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BY THE COMPTROLLER GENERAL

Report To The Congress

OF THE UNITED STATES

Fraud In Government Programs:

--How Extensive Is It?

--How Can It Be Controlled?

Volume III

This is the third volume of a three-volume report on the results of a statistical analysis of fraud and other illegal activities against the Government at 21 Federal agencies. In volume I (AFMD-81-57), GAO discussed overall findings, conclusions, and recommendations. Volume II (AFMD-81-73) presented a detailed statistical analysis of the data GAO collected. This volume provides fraud profiles for each agency based on statistical data on over 77,000 fraud cases covering a 2-1/2 year period.

81471

Due.

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COMPTROLLER GENERAL OF THE UNITED STATES
WASHINGTON D.C. 20548

NOTES

JAN 25 1980

ACQUISITIONS

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To The President of the Senate and the
Speaker of the House of Representatives

This is the third volume of a three-volume report on the results of a statistical analysis of fraud and other illegal activities affecting 21 Federal agencies during the 2-1/2 years from October 1, 1976, through March 31, 1979. In volume I (AFMD-81-57) we discussed the overall results of our work including our findings, conclusions, and recommendations. Volume II (AFMD-81-73) presented a detailed statistical analysis of the data we collected.

This volume provides fraud profiles for each agency based on data we collected from a statistical sample of 3,227 fraud cases identified by Federal agencies over the 2-1/2 year period. The sample represents a total universe of 77,211 cases. We believe these data will be useful to people especially interested in the activities of individual agencies. To facilitate the use of this volume, we have printed the pages on tearsheets.

Please be cautious in using these data. We did not attempt to evaluate the investigative procedures used or the evidence developed. Also, we did not independently develop lists of fraud cases, but selected our sample from lists of cases provided by each agency. Thus, conclusions that one agency has better fraud detection systems than another because it discovered more cases are not necessarily valid. It also would be incorrect to conclude that because one agency has identified more fraud than another it is more prone to fraud, less well managed, or otherwise not fulfilling its responsibilities. If the number of fraud cases at any agency seems high, it may be because the agency is more conscious of fraud and abuse occurring in its programs and is more alert in detecting and investigating it than other agencies are. It might also mean that the programs or activities of some agencies are more susceptible to fraud than those of other agencies.

Copies of this report are being sent to the Director of the Office of Management and Budget and the heads of the agencies covered in the study.

Charles A. Bowsher

Comptroller General
of the United States

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AGENCY PROFILE 1/

Department of Agriculture

The following statistics are for closed cases and open cases where some administrative or legal action was taken or no action was taken because no suspect could be identified.

1. Number of fraud or other illegal activity cases in the universe.

8,571

2. Functional areas in which fraud occurred.

| | |
|--------------|--|
| <u>28</u> | Procurement - award |
| <u>0</u> | Property disposition |
| <u>83</u> | Payroll |
| <u>0</u> | Grants |
| <u>6,843</u> | Financial assistance to individuals (excludes loans) |
| <u>374</u> | Enforcement (i.e. Customs, IRS) |
| <u>0</u> | Provision of health care or social services |
| <u>415</u> | Loans |
| <u>0</u> | Loan guarantees |
| <u>663</u> | Personnel |
| <u>0</u> | Inventory control/property management |
| <u>0</u> | Mail service |
| <u>0</u> | Cash control |
| <u>0</u> | Procurement - monitoring |
| <u>111</u> | Travel |
| <u>28</u> | Administrative services |
| <u>0</u> | Training and education |
| <u>0</u> | Personal property management |
| <u>28</u> | Other |
| <u>0</u> | Unknown |

3. Principal types of fraud

| | |
|--------------|------------------------------------|
| <u>83</u> | Work hour abuses |
| <u>111</u> | Private use of government property |
| <u>55</u> | Forgery |
| <u>111</u> | Kickbacks/Bribes |
| <u>1,437</u> | False statements |
| <u>28</u> | Non-performance of contract terms |
| <u>193</u> | Theft |
| <u>0</u> | Extortion |
| <u>6,026</u> | Food Stamp irregularities |
| <u>528</u> | Miscellaneous fraud |

4. The period of time over which the alleged fraudulent activity took place.

| | |
|--------------|----------------------|
| <u>6,060</u> | Less than 3 months |
| <u>633</u> | 3 to 6 months |
| <u>291</u> | 6 months to one year |
| <u>402</u> | 1 to 2 years |
| <u>166</u> | More than 2 years |
| <u>1,020</u> | Unknown |

5. The period of time between occurrence and discovery of the fraudulent activity.

| | |
|--------------|----------------------|
| <u>5,529</u> | Less than 3 months |
| <u>653</u> | 3 to 6 months |
| <u>312</u> | 6 months to one year |
| <u>332</u> | 1 to 2 years |
| <u>304</u> | More than 2 years |
| <u>1,442</u> | Unknown |

6. How the alleged fraud was discovered.

| | |
|--------------|--|
| <u>5,652</u> | Routine audit, inspection, investigation, or review |
| <u>892</u> | Specially requested audit, inspection, or review |
| <u>498</u> | Federal employee (knowledge gained through work) |
| <u>28</u> | Former federal employee |
| <u>28</u> | Contractor personnel |
| <u>0</u> | Grantee personnel (excludes state or local government personnel) |
| <u>0</u> | Former grantee personnel |
| <u>367</u> | Private individual (not former employee) |
| <u>362</u> | Informant |
| <u>0</u> | Consumer complaint form |
| <u>0</u> | Unsuccessful bidder |
| <u>0</u> | News media |
| <u>0</u> | Congressional Committee Member - Staff |
| <u>0</u> | Alleged victim |
| <u>0</u> | Confession by perpetrator |
| <u>0</u> | Law enforcement investigation - state & local |
| <u>636</u> | Other |
| <u>111</u> | Unknown |

7. Estimate of amount of loss incurred by Federal Government

| | |
|------------|--------------------------------------|
| <u>0</u> | Less than \$100 |
| <u>276</u> | \$101 - \$1,000 |
| <u>580</u> | \$1,001 - \$10,000 |
| <u>166</u> | \$10,001 - \$100,000 |
| <u>0</u> | \$100,001 - \$500,000 |
| <u>0</u> | \$500,001 - \$1 million |
| <u>0</u> | Over \$1 million |
| <u>221</u> | Monetary loss - amount not available |

8. Participants in the alleged fraudulent activity.

| | |
|------------|---|
| <u>526</u> | Federal Government employees alone and with others |
| <u>83</u> | State and local government employees |
| <u>28</u> | Federal contractor(s)/grantee(s) personnel - other than state and local governments |

1/As discussed in volume II of this report, our information on fraud is based on a statistical projection of data collected on a sample of 3,227 cases representing a universe of 77,211. In some instances the figures in this report do not add to the totals presented due to rounding and weighting of the data.

| | |
|--------------|--|
| <u>28</u> | Corporate recipient(s) of Federal Government financial assistance |
| <u>829</u> | Individual recipient(s) of Federal Government financial assistance |
| <u>663</u> | Other individual citizens |
| <u>6,360</u> | Other corporate or business entities (such as lending institutions) |
| <u>28</u> | Unknown |
| <u>0</u> | State and local government employees in collusion with individual recipient(s) of Federal Government financial assistance |
| <u>0</u> | Federal contractor(s)/grantee(s) personnel - (other than state and local government(s)) in collusion with individual recipient(s) of Federal Government financial assistance |
| <u>0</u> | Corporate recipients of Federal Government financial assistance in collusion with individual recipient(s) of Federal Government financial assistance |
| <u>28</u> | Other corporate or business entities (such as lending institutions) in collusion with individual recipient(s) of Federal Government financial assistance |

9. Status of fraud cases.

| | |
|--------------|---|
| <u>7,939</u> | Closed (Includes cases officially closed by the agency) |
| <u>632</u> | Open (Includes cases under investigation and cases in which some action may have been taken but the cases were not officially closed) |

The following statistics are for cases officially closed by the agency.

10. Type of action taken against perpetrator.

| | |
|--------------|--------------------------------------|
| <u>4,736</u> | Administrative action only |
| <u>387</u> | Legal action only |
| <u>193</u> | Administrative and legal action |
| <u>1,841</u> | Unknown |
| <u>754</u> | No action taken - suspect identified |
| <u>28</u> | No action taken - suspect unknown |

11. Types of administrative action taken against Federal employees. a/

| | |
|------------|----------------------------|
| <u>249</u> | No action taken |
| <u>55</u> | Federal employee dismissed |

| | |
|-----------|--|
| <u>83</u> | Federal employee suspended |
| <u>52</u> | Federal employee issued warning letter |
| <u>0</u> | Federal employee issued letter of counseling |
| <u>0</u> | Federal employee issued oral warning |
| <u>0</u> | Federal employee demoted |
| <u>28</u> | Federal employee transferred |
| <u>28</u> | Formal loss recovery plan agreed to |
| <u>0</u> | Extra duty (military) |
| <u>0</u> | Employee resigned pending dismissal |
| <u>0</u> | Other |
| <u>0</u> | Unknown |

12. Types of administrative action taken against non-Federal government organizations (contractors, corporations, non-profit organizations, state and local governments, etc.) or individuals. a/

| | |
|--------------|--|
| <u>2,056</u> | Suspended from doing business with the Federal Government |
| <u>0</u> | Debarred from doing business with the Federal Government |
| <u>0</u> | Contract/grant cancelled |
| <u>1,722</u> | Issued warning and they agreed to take corrective action |
| <u>193</u> | Formal loss recovery plan agreed to |
| <u>975</u> | No action taken |
| <u>55</u> | Negotiating reimbursement |
| <u>0</u> | Declared ineligible for program participation under status claimed |
| <u>0</u> | Employee/enlistee dismissed; employment/enlistment denied |
| <u>83</u> | Other |
| <u>625</u> | Unknown |

13. Type of legal action or prosecution taken.

| | |
|------------|--------------------------------|
| <u>0</u> | Civil prosecution |
| <u>553</u> | Criminal prosecution |
| <u>0</u> | Civil and criminal prosecution |
| <u>28</u> | Pre-trial diversion |
| <u>0</u> | Court martial |

14. Outcome of civil proceedings.

| | |
|----------|----------------------------|
| <u>0</u> | Judgment for plaintiff |
| <u>0</u> | Judgment for the defendant |
| <u>0</u> | Unknown |

15. Outcome of criminal prosecution. (Excludes court martials)

| | |
|------------|---|
| <u>0</u> | Acquittal |
| <u>553</u> | Conviction (guilty plea, nolo contendere) |
| <u>0</u> | Other |

a/ In many cases, Federal agencies took more than one type administrative action against those who commit fraud or other illegal acts. All actions taken are recorded here.

AGENCY PROFILE

Department of Commerce

The following statistics are for closed cases and open cases where some administrative or legal action was taken or no action was taken because no suspect could be identified.

1. Number of fraud or other illegal activity cases in the universe.

184

2. Functional areas in which fraud occurred.

| | |
|------------|--|
| <u>4</u> | Procurement - award |
| <u>0</u> | Property disposition |
| <u>8</u> | Payroll |
| <u>129</u> | Grants |
| <u>0</u> | Financial assistance to individuals (excludes loans) |
| <u>0</u> | Enforcement (i.e. Customs, IRS) |
| <u>0</u> | Provision of health care or social services |
| <u>4</u> | Loans |
| <u>4</u> | Loan guarantees |
| <u>8</u> | Personnel |
| <u>8</u> | Inventory control/property management |
| <u>0</u> | Mail service |
| <u>4</u> | Cash control |
| <u>4</u> | Procurement - monitoring |
| <u>4</u> | Travel |
| <u>8</u> | Administrative services |
| <u>0</u> | Training and education |
| <u>0</u> | Personal property management |
| <u>0</u> | Other |
| <u>0</u> | Unknown |

3. Principal types of fraud

| | |
|------------|------------------------------------|
| <u>8</u> | Work hour abuses |
| <u>8</u> | Private use of government property |
| <u>4</u> | Forgery |
| <u>0</u> | Kickbacks/Bribes |
| <u>145</u> | False statements |
| <u>0</u> | Non-performance of contract terms |
| <u>12</u> | Theft |
| <u>4</u> | Extortion |
| <u>0</u> | Food Stamp irregularities |
| <u>4</u> | Miscellaneous fraud |

4. The period of time over which the alleged fraudulent activity took place.

| | |
|-----------|----------------------|
| <u>27</u> | Less than 3 months |
| <u>39</u> | 3 to 6 months |
| <u>12</u> | 6 months to one year |
| <u>8</u> | 1 to 2 years |
| <u>4</u> | More than 2 years |
| <u>94</u> | Unknown |

5. The period of time between occurrence and discovery of the fraudulent activity.

| | |
|-----------|----------------------|
| <u>31</u> | Less than 3 months |
| <u>43</u> | 3 to 6 months |
| <u>12</u> | 6 months to one year |
| <u>12</u> | 1 to 2 years |
| <u>8</u> | More than 2 years |
| <u>78</u> | Unknown |

6. How the alleged fraud was discovered.

| | |
|------------|--|
| <u>20</u> | Routine audit, inspection, investigation, or review |
| <u>8</u> | Specially requested audit, inspection, or review |
| <u>106</u> | Federal employee (knowledge gained through work) |
| <u>0</u> | Former federal employee |
| <u>8</u> | Contractor personnel |
| <u>8</u> | Grantee personnel (excludes state or local government personnel) |
| <u>0</u> | Former grantee personnel |
| <u>0</u> | Private individual (not former employee) |
| <u>4</u> | Informant |
| <u>0</u> | Consumer complaint form |
| <u>0</u> | Unsuccessful bidder |
| <u>0</u> | News media |
| <u>4</u> | Congressional Committee Member - Staff |
| <u>0</u> | Alleged victim |
| <u>4</u> | Confession by perpetrator |
| <u>0</u> | Law enforcement investigation - state & local |
| <u>12</u> | Other |
| <u>12</u> | Unknown |

7. Estimate of amount of loss incurred by Federal Government

| | |
|-----------|--------------------------------------|
| <u>8</u> | Less than \$100 |
| <u>8</u> | \$101 - \$1,000 |
| <u>8</u> | \$1,001 - \$10,000 |
| <u>8</u> | \$10,001 - \$100,000 |
| <u>4</u> | \$100,001 - \$500,000 |
| <u>0</u> | \$500,001 - \$1 million |
| <u>0</u> | Over \$1 million |
| <u>12</u> | Monetary loss - amount not available |

8. Participants in the alleged fraudulent activity.

| | |
|------------|---|
| <u>31</u> | Federal Government employees alone and with others |
| <u>4</u> | State and local government employees |
| <u>133</u> | Federal contractor(s)/grantee(s) personnel - other than state and local governments |

8 Corporate recipient(s) of Federal Government financial assistance
0 Individual recipient(s) of Federal Government financial assistance
4 Other individual citizens
4 Other corporate or business entities (such as lending institutions)
0 Unknown
0 State and local government employees in collusion with individual recipient(s) of Federal Government financial assistance
0 Federal contractor(s)/grantee(s) personnel - (other than state and local government(s)) in collusion with individual recipient(s) of Federal Government financial assistance
0 Corporate recipients of Federal Government financial assistance in collusion with individual recipient(s) of Federal Government financial assistance
0 Other corporate or business entities (such as lending institutions) in collusion with individual recipient(s) of Federal Government financial assistance

9. Status of fraud cases.

161 Closed (Includes cases officially closed by the agency)
23 Open (Includes cases under investigation and cases in which some action may have been taken but the cases were not officially closed)

The following statistics are for cases officially closed by the agency.

10. Type of action taken against perpetrator.

110 Administrative action only
0 Legal action only
4 Administrative and legal action
31 Unknown
16 No action taken - suspect identified
0 No action taken - suspect unknown

11. Types of administrative action taken against Federal employees. a/

8 No action taken
4 Federal employee dismissed

4 Federal employee suspended
0 Federal employee issued warning letter
0 Federal employee issued letter of counseling
0 Federal employee issued oral warning
0 Federal employee demoted
0 Federal employee transferred
4 Formal loss recovery plan agreed to
0 Extra duty (military)
0 Employee resigned pending dismissal
0 Other
4 Unknown

12. Types of administrative action taken against non-Federal government organizations (contractors, corporations, non-profit organizations, state and local governments, etc.) or individuals. a/

0 Suspended from doing business with the Federal Government
0 Debarred from doing business with the Federal Government
4 Contract/grant cancelled
31 Issued warning and they agreed to take corrective action
0 Formal loss recovery plan agreed to
8 No action taken
4 Negotiating reimbursement
43 Declared ineligible for program participation under status claimed
0 Employee/enlistee dismissed; employment/enlistment denied
4 Other
20 Unknown

13. Type of legal action or prosecution taken.

0 Civil prosecution
4 Criminal prosecution
0 Civil and criminal prosecution
0 Pre-trial diversion
0 Court martial

14. Outcome of civil proceedings.

0 Judgment for plaintiff
0 Judgment for the defendant
0 Unknown

15. Outcome of criminal prosecution. (Excludes court martials)

0 Acquittal
4 Conviction (guilty plea, nolo contendere)
0 Other

a/ In many cases, Federal agencies took more than one type administrative action against those who commit fraud or other illegal acts. All actions taken are recorded here.

AGENCY PROFILE

Community Services Administration

The following statistics are for closed cases and open cases where some administrative or legal action was taken or no action was taken because no suspect could be identified.

1. Number of fraud or other illegal activity cases in the universe.

70

2. Functional areas in which fraud occurred.

| | |
|-----------|--|
| <u>4</u> | Procurement - award |
| <u>0</u> | Property disposition |
| <u>3</u> | Payroll |
| <u>35</u> | Grants |
| <u>2</u> | Financial assistance to individuals (excludes loans) |
| <u>0</u> | Enforcement (i.e. Customs, IRS) |
| <u>0</u> | Provision of health care or social services |
| <u>0</u> | Loans |
| <u>0</u> | Loan guarantees |
| <u>10</u> | Personnel |
| <u>2</u> | Inventory control/property management |
| <u>0</u> | Mail service |
| <u>3</u> | Cash control |
| <u>6</u> | Procurement - monitoring |
| <u>5</u> | Travel |
| <u>0</u> | Administrative services |
| <u>0</u> | Training and education |
| <u>0</u> | Personal property management |
| <u>0</u> | Other |
| <u>0</u> | Unknown |

3. Principal types of fraud

| | |
|-----------|------------------------------------|
| <u>4</u> | Work hour abuses |
| <u>0</u> | Private use of government property |
| <u>0</u> | Forgery |
| <u>5</u> | Kickbacks/Bribes |
| <u>8</u> | False statements |
| <u>23</u> | Non-performance of contract terms |
| <u>6</u> | Theft |
| <u>1</u> | Extortion |
| <u>0</u> | Food Stamp irregularities |
| <u>23</u> | Miscellaneous fraud |

4. The period of time over which the alleged fraudulent activity took place.

| | |
|-----------|----------------------|
| <u>13</u> | Less than 3 months |
| <u>2</u> | 3 to 6 months |
| <u>6</u> | 6 months to one year |
| <u>10</u> | 1 to 2 years |
| <u>23</u> | More than 2 years |
| <u>16</u> | Unknown |

5. The period of time between occurrence and discovery of the fraudulent activity.

| | |
|-----------|----------------------|
| <u>6</u> | Less than 3 months |
| <u>6</u> | 3 to 6 months |
| <u>6</u> | 6 months to one year |
| <u>13</u> | 1 to 2 years |
| <u>21</u> | More than 2 years |
| <u>18</u> | Unknown |

6. How the alleged fraud was discovered.

| | |
|-----------|--|
| <u>1</u> | Routine audit, inspection, investigation, or review |
| <u>3</u> | Specially requested audit, inspection, or review |
| <u>20</u> | Federal employee (knowledge gained through work) |
| <u>0</u> | Former federal employee |
| <u>0</u> | Contractor personnel |
| <u>17</u> | Grantee personnel (excludes state or local government personnel) |
| <u>9</u> | Former grantee personnel |
| <u>5</u> | Private individual (not former employee) |
| <u>1</u> | Informant |
| <u>0</u> | Consumer complaint form |
| <u>0</u> | Unsuccessful bidder |
| <u>5</u> | News media |
| <u>4</u> | Congressional Committee Member - Staff |
| <u>0</u> | Alleged victim |
| <u>0</u> | Confession by perpetrator |
| <u>0</u> | Law enforcement investigation - state & local |
| <u>4</u> | Other |
| <u>1</u> | Unknown |

7. Estimate of amount of loss incurred by Federal Government

| | |
|-----------|--------------------------------------|
| <u>1</u> | Less than \$100 |
| <u>4</u> | \$101 - \$1,000 |
| <u>7</u> | \$1,001 - \$10,000 |
| <u>16</u> | \$10,001 - \$100,000 |
| <u>6</u> | \$100,001 - \$500,000 |
| <u>2</u> | \$500,001 - \$1 million |
| <u>1</u> | Over \$1 million |
| <u>21</u> | Monetary loss - amount not available |

8. Participants in the alleged fraudulent activity.

| | |
|-----------|---|
| <u>8</u> | Federal Government employees alone and with others |
| <u>1</u> | State and local government employees |
| <u>61</u> | Federal contractor(s)/grantee(s) personnel - other than state and local governments |

| | |
|----------|--|
| <u>0</u> | Corporate recipient(s) of Federal Government financial assistance |
| <u>0</u> | Individual recipient(s) of Federal Government financial assistance |
| <u>0</u> | Other individual citizens |
| <u>0</u> | Other corporate or business entities (such as lending institutions) |
| <u>0</u> | Unknown |
| <u>0</u> | State and local government employees in collusion with individual recipient(s) of Federal Government financial assistance |
| <u>0</u> | Federal contractor(s)/grantee(s) personnel - (other than state and local government(s)) in collusion with individual recipient(s) of Federal Government financial assistance |
| <u>0</u> | Corporate recipients of Federal Government financial assistance in collusion with individual recipient(s) of Federal Government financial assistance |
| <u>0</u> | Other corporate or business entities (such as lending institutions) in collusion with individual recipient(s) of Federal Government financial assistance |

9. Status of fraud cases.

| | |
|-----------|---|
| <u>48</u> | Closed (Includes cases officially closed by the agency) |
| <u>22</u> | Open (Includes cases under investigation and cases in which some action may have been taken but the cases were not officially closed) |

The following statistics are for cases officially closed by the agency.

10. Type of action taken against perpetrator.

| | |
|-----------|--------------------------------------|
| <u>40</u> | Administrative action only |
| <u>0</u> | Legal action only |
| <u>2</u> | Administrative and legal action |
| <u>0</u> | Unknown |
| <u>6</u> | No action taken - suspect identified |
| <u>0</u> | No action taken - suspect unknown |

11. Types of administrative action taken against Federal employees. a/

| | |
|----------|----------------------------|
| <u>1</u> | No action taken |
| <u>2</u> | Federal employee dismissed |

| | |
|----------|--|
| <u>0</u> | Federal employee suspended |
| <u>2</u> | Federal employee issued warning letter |
| <u>1</u> | Federal employee issued letter of counseling |
| <u>0</u> | Federal employee issued oral warning |
| <u>0</u> | Federal employee demoted |
| <u>0</u> | Federal employee transferred |
| <u>1</u> | Formal loss recovery plan agreed to |
| <u>0</u> | Extra duty (military) |
| <u>0</u> | Employee resigned pending dismissal |
| <u>1</u> | Other |
| <u>2</u> | Unknown |

12. Types of administrative action taken against non-Federal government organizations (contractors, corporations, non-profit organizations, state and local governments, etc.) or individuals. a/

| | |
|-----------|--|
| <u>0</u> | Suspended from doing business with the Federal Government |
| <u>0</u> | Debarred from doing business with the Federal Government |
| <u>8</u> | Contract/grant cancelled |
| <u>17</u> | Issued warning and they agreed to take corrective action |
| <u>6</u> | Formal loss recovery plan agreed to |
| <u>5</u> | No action taken |
| <u>3</u> | Negotiating reimbursement |
| <u>0</u> | Declared ineligible for program participation under status claimed |
| <u>0</u> | Employee/enlistee dismissed; employment/enlistment denied |
| <u>1</u> | Other |
| <u>7</u> | Unknown |

13. Type of legal action or prosecution taken.

| | |
|----------|--------------------------------|
| <u>0</u> | Civil prosecution |
| <u>2</u> | Criminal prosecution |
| <u>0</u> | Civil and criminal prosecution |
| <u>0</u> | Pre-trial diversion |
| <u>0</u> | Court martial |

14. Outcome of civil proceedings.

| | |
|----------|----------------------------|
| <u>0</u> | Judgment for plaintiff |
| <u>0</u> | Judgment for the defendant |
| <u>0</u> | Unknown |

15. Outcome of criminal prosecution. (Excludes court martials)

| | |
|----------|---|
| <u>0</u> | Acquittal |
| <u>2</u> | Conviction (guilty plea, nolo contendere) |
| <u>0</u> | Other |

a/ In many cases, Federal agencies took more than one type administrative action against those who commit fraud or other illegal acts. All actions taken are recorded here.

AGENCY PROFILE

Department of Defense 1/

The following statistics are for closed cases and open cases where some administrative or legal action was taken or no action was taken because no suspect could be identified.

1. Number of fraud or other illegal activity cases in the universe.

5

2. Functional areas in which fraud occurred.

| | |
|----------|--|
| <u>0</u> | Procurement - award |
| <u>0</u> | Property disposition |
| <u>0</u> | Payroll |
| <u>0</u> | Grants |
| <u>0</u> | Financial assistance to individuals (excludes loans) |
| <u>0</u> | Enforcement (i.e. Customs, IRS) |
| <u>4</u> | Provision of health care or social services |
| <u>0</u> | Loans |
| <u>0</u> | Loan guarantees |
| <u>1</u> | Personnel |
| <u>0</u> | Inventory control/property management |
| <u>0</u> | Mail service |
| <u>0</u> | Cash control |
| <u>0</u> | Procurement - monitoring |
| <u>0</u> | Travel |
| <u>0</u> | Administrative services |
| <u>0</u> | Training and education |
| <u>0</u> | Personal property management |
| <u>0</u> | Other |
| <u>0</u> | Unknown |

3. Principal types of fraud

| | |
|----------|------------------------------------|
| <u>0</u> | Work hour abuses |
| <u>0</u> | Private use of government property |
| <u>0</u> | Forgery |
| <u>0</u> | Kickbacks/Bribes |
| <u>1</u> | False statements |
| <u>0</u> | Non-performance of contract terms |
| <u>0</u> | Theft |
| <u>0</u> | Extortion |
| <u>0</u> | Food Stamp irregularities |
| <u>4</u> | Miscellaneous fraud |

4. The period of time over which the alleged fraudulent activity took place.

| | |
|----------|----------------------|
| <u>3</u> | Less than 3 months |
| <u>1</u> | 3 to 6 months |
| <u>0</u> | 6 months to one year |
| <u>1</u> | 1 to 2 years |
| <u>0</u> | More than 2 years |
| <u>0</u> | Unknown |

5. The period of time between occurrence and discovery of the fraudulent activity.

| | |
|----------|----------------------|
| <u>0</u> | Less than 3 months |
| <u>2</u> | 3 to 6 months |
| <u>1</u> | 6 months to one year |
| <u>1</u> | 1 to 2 years |
| <u>1</u> | More than 2 years |
| <u>0</u> | Unknown |

6. How the alleged fraud was discovered.

| | |
|----------|--|
| <u>0</u> | Routine audit, inspection, investigation, or review |
| <u>3</u> | Specially requested audit, inspection, or review |
| <u>2</u> | Federal employee (knowledge gained through work) |
| <u>0</u> | Former federal employee |
| <u>0</u> | Contractor personnel |
| <u>0</u> | Grantee personnel (excludes state or local government personnel) |
| <u>0</u> | Former grantee personnel |
| <u>0</u> | Private individual (not former employee) |
| <u>0</u> | Informant |
| <u>0</u> | Consumer complaint form |
| <u>0</u> | Unsuccessful bidder |
| <u>0</u> | News media |
| <u>0</u> | Congressional Committee Member - Staff |
| <u>0</u> | Alleged victim |
| <u>0</u> | Confession by perpetrator |
| <u>0</u> | Law enforcement investigation - state & local |
| <u>0</u> | Other |
| <u>0</u> | Unknown |

7. Estimate of amount of loss incurred by Federal Government

| | |
|----------|--------------------------------------|
| <u>0</u> | Less than \$100 |
| <u>2</u> | \$101 - \$1,000 |
| <u>1</u> | \$1,001 - \$10,000 |
| <u>0</u> | \$10,001 - \$100,000 |
| <u>0</u> | \$100,001 - \$500,000 |
| <u>0</u> | \$500,001 - \$1 million |
| <u>0</u> | Over \$1 million |
| <u>1</u> | Monetary loss - amount not available |

8. Participants in the alleged fraudulent activity.

| | |
|----------|---|
| <u>2</u> | Federal Government employees alone and with others |
| <u>0</u> | State and local government employees |
| <u>0</u> | Federal contractor(s)/grantee(s) personnel - other than state and local governments |

1/These cases were investigated by the Defense Investigative Service and involved activities under the direct responsibility of DOD rather than an individual service.

0 Corporate recipient(s) of Federal Government financial assistance
1 Individual recipient(s) of Federal Government financial assistance
2 Other individual citizens
0 Other corporate or business entities (such as lending institutions)
0 Unknown
0 State and local government employees in collusion with individual recipient(s) of Federal Government financial assistance
0 Federal contractor(s)/grantee(s) personnel - (other than state and local government(s)) in collusion with individual recipient(s) of Federal Government financial assistance
0 Corporate recipients of Federal Government financial assistance in collusion with individual recipient(s) of Federal Government financial assistance
0 Other corporate or business entities (such as lending institutions) in collusion with individual recipient(s) of Federal Government financial assistance

9. Status of fraud cases.

4 Closed (Includes cases officially closed by the agency)
1 Open (Includes cases under investigation and cases in which some action may have been taken but the cases were not officially closed)

The following statistics are for cases officially closed by the agency.

10. Type of action taken against perpetrator.

3 Administrative action only
0 Legal action only
0 Administrative and legal action
1 Unknown
0 No action taken - suspect identified
0 No action taken - suspect unknown

11. Types of administrative action taken against Federal employees. u/

0 No action taken
1 Federal employee dismissed

0 Federal employee suspended
0 Federal employee issued warning letter
0 Federal employee issued letter of counseling
0 Federal employee issued oral warning
0 Federal employee demoted
0 Federal employee transferred
0 Formal loss recovery plan agreed to
0 Extra duty (military)
0 Employee resigned pending dismissal
0 Other
0 Unknown

12. Types of administrative action taken against non-Federal government organizations (contractors, corporations, non-profit organizations, state and local governments, etc.) or individuals. a/

0 Suspended from doing business with the Federal Government
0 Debarred from doing business with the Federal Government
0 Contract/grant cancelled
0 Issued warning and they agreed to take corrective action
2 Formal loss recovery plan agreed to
0 No action taken
0 Negotiating reimbursement
0 Declared ineligible for program participation under status claimed
0 Employee/enlistee dismissed; employment/enlistment denied
0 Other
0 Unknown

13. Type of legal action or prosecution taken.

0 Civil prosecution
0 Criminal prosecution
0 Civil and criminal prosecution
0 Pre-trial diversion
0 Court martial

14. Outcome of civil proceedings.

0 Judgment for plaintiff
0 Judgment for the defendant
0 Unknown

15. Outcome of criminal prosecution. (Excludes court martials)

0 Acquittal
0 Conviction (guilty plea, nolo contendere)
0 Other

a/ In many cases, Federal agencies took more than one type administrative action against those who commit fraud or other illegal acts. All actions taken are recorded here.

AGENCY PROFILE

Defense Logistics Agency

The following statistics are for closed cases and open cases where some administrative or legal action was taken or no action was taken because no suspect could be identified.

1. Number of fraud or other illegal activity cases in the universe.

639

2. Functional areas in which fraud occurred.

| | |
|------------|--|
| <u>25</u> | Procurement - award |
| <u>224</u> | Property disposition |
| <u>6</u> | Payroll |
| <u>0</u> | Grants |
| <u>0</u> | Financial assistance to individuals (excludes loans) |
| <u>0</u> | Enforcement (i.e. Customs, IRS) |
| <u>0</u> | Provision of health care or social services |
| <u>0</u> | Loans |
| <u>0</u> | Loan guarantees |
| <u>6</u> | Personnel |
| <u>221</u> | Inventory control/property management |
| <u>3</u> | Mail service |
| <u>5</u> | Cash control |
| <u>141</u> | Procurement - monitoring |
| <u>6</u> | Travel |
| <u>3</u> | Administrative services |
| <u>0</u> | Training and education |
| <u>0</u> | Personal property management |
| <u>0</u> | Other |
| <u>0</u> | Unknown |

3. Principal types of fraud

| | |
|------------|------------------------------------|
| <u>6</u> | Work hour abuses |
| <u>3</u> | Private use of government property |
| <u>0</u> | Forgery |
| <u>11</u> | Kickbacks/Bribes |
| <u>31</u> | False statements |
| <u>45</u> | Non-performance of contract terms |
| <u>493</u> | Theft |
| <u>11</u> | Extortion |
| <u>0</u> | Food Stamp irregularities |
| <u>39</u> | Miscellaneous fraud |

4. The period of time over which the alleged fraudulent activity took place.

| | |
|------------|----------------------|
| <u>484</u> | Less than 3 months |
| <u>30</u> | 3 to 6 months |
| <u>19</u> | 6 months to one year |
| <u>28</u> | 1 to 2 years |
| <u>44</u> | More than 2 years |
| <u>33</u> | Unknown |

5. The period of time between occurrence and discovery of the fraudulent activity.

| | |
|------------|----------------------|
| <u>492</u> | Less than 3 months |
| <u>33</u> | 3 to 6 months |
| <u>14</u> | 6 months to one year |
| <u>28</u> | 1 to 2 years |
| <u>44</u> | More than 2 years |
| <u>27</u> | Unknown |

6. How the alleged fraud was discovered.

| | |
|------------|--|
| <u>38</u> | Routine audit, inspection, investigation, or review |
| <u>30</u> | Specially requested audit, inspection, or review |
| <u>429</u> | Federal employee (knowledge gained through work) |
| <u>0</u> | Former federal employee |
| <u>52</u> | Contractor personnel |
| <u>0</u> | Grantee personnel (excludes state or local government personnel) |
| <u>0</u> | Former grantee personnel |
| <u>8</u> | Private individual (not former employee) |
| <u>41</u> | Informant |
| <u>0</u> | Consumer complaint form |
| <u>8</u> | Unsuccessful bidder |
| <u>0</u> | News media |
| <u>0</u> | Congressional Committee Member - Staff |
| <u>11</u> | Alleged victim |
| <u>0</u> | Confession by perpetrator |
| <u>11</u> | Law enforcement investigation - state & local |
| <u>3</u> | Other |
| <u>5</u> | Unknown |

7. Estimate of amount of loss incurred by Federal Government

| | |
|------------|--------------------------------------|
| <u>125</u> | Less than \$100 |
| <u>202</u> | \$101 - \$1,000 |
| <u>137</u> | \$1,001 - \$10,000 |
| <u>17</u> | \$10,001 - \$100,000 |
| <u>6</u> | \$100,001 - \$500,000 |
| <u>0</u> | \$500,001 - \$1 million |
| <u>0</u> | Over \$1 million |
| <u>111</u> | Monetary loss - amount not available |

8. Participants in the alleged fraudulent activity.

| | |
|------------|---|
| <u>131</u> | Federal Government employees alone and with others |
| <u>0</u> | State and local government employees |
| <u>100</u> | Federal contractor(s)/grantee(s) personnel - other than state and local governments |

| | |
|------------|--|
| <u>0</u> | Corporate recipient(s) of Federal Government financial assistance |
| <u>0</u> | Individual recipient(s) of Federal Government financial assistance |
| <u>25</u> | Other individual citizens |
| <u>0</u> | Other corporate or business entities (such as lending institutions) |
| <u>384</u> | Unknown |
| <u>0</u> | State and local government employees in collusion with individual recipient(s) of Federal Government financial assistance |
| <u>0</u> | Federal contractor(s)/grantee(s) personnel - (other than state and local government(s)) in collusion with individual recipient(s) of Federal Government financial assistance |
| <u>0</u> | Corporate recipients of Federal Government financial assistance in collusion with individual recipient(s) of Federal Government financial assistance |
| <u>0</u> | Other corporate or business entities (such as lending institutions) in collusion with individual recipient(s) of Federal Government financial assistance |

9. Status of fraud cases.

| | |
|------------|---|
| <u>630</u> | Closed (Includes cases officially closed by the agency) |
| <u>9</u> | Open (Includes cases under investigation and cases in which some action may have been taken but the cases were not officially closed) |

The following statistics are for cases officially closed by the agency.

10. Type of action taken against perpetrator.

| | |
|------------|--------------------------------------|
| <u>106</u> | Administrative action only |
| <u>16</u> | Legal action only |
| <u>30</u> | Administrative and legal action |
| <u>36</u> | Unknown |
| <u>61</u> | No action taken - suspect identified |
| <u>382</u> | No action taken - suspect unknown |

11. Types of administrative action taken against Federal employees. a/

| | |
|-----------|----------------------------|
| <u>42</u> | No action taken |
| <u>14</u> | Federal employee dismissed |

| | |
|-----------|--|
| <u>0</u> | Federal employee suspended |
| <u>11</u> | Federal employee issued warning letter |
| <u>0</u> | Federal employee issued letter of counseling |
| <u>6</u> | Federal employee issued oral warning |
| <u>5</u> | Federal employee demoted |
| <u>8</u> | Federal employee transferred |
| <u>14</u> | Formal loss recovery plan agreed to |
| <u>0</u> | Extra duty (military) |
| <u>0</u> | Employee resigned pending dismissal |
| <u>0</u> | Other |
| <u>11</u> | Unknown |

12. Types of administrative action taken against non-Federal government organizations (contractors, corporations, non-profit organizations, state and local governments, etc.) or individuals. a/

| | |
|-----------|--|
| <u>3</u> | Suspended from doing business with the Federal Government |
| <u>25</u> | Debarred from doing business with the Federal Government |
| <u>6</u> | Contract/grant cancelled |
| <u>14</u> | Issued warning and they agreed to take corrective action |
| <u>44</u> | Formal loss recovery plan agreed to |
| <u>74</u> | No action taken |
| <u>0</u> | Negotiating reimbursement |
| <u>0</u> | Declared ineligible for program participation under status claimed |
| <u>0</u> | Employee/enlistee dismissed; employment/enlistment denied |
| <u>3</u> | Other |
| <u>14</u> | Unknown |

13. Type of legal action or prosecution taken.

| | |
|-----------|--------------------------------|
| <u>0</u> | Civil prosecution |
| <u>42</u> | Criminal prosecution |
| <u>0</u> | Civil and criminal prosecution |
| <u>0</u> | Pre-trial diversion |
| <u>5</u> | Court martial |

14. Outcome of civil proceedings.

| | |
|----------|----------------------------|
| <u>0</u> | Judgment for plaintiff |
| <u>0</u> | Judgment for the defendant |
| <u>0</u> | Unknown |

15. Outcome of criminal prosecution. (Excludes court martials)

| | |
|-----------|---|
| <u>3</u> | Acquittal |
| <u>44</u> | Conviction (guilty plea, nolo contendere) |
| <u>0</u> | Other |

a/ In many cases, Federal agencies took more than one type administrative action against those who commit fraud or other illegal acts. All actions taken are recorded here.

AGENCY PROFILE

Department of the Army

The following statistics are for closed cases and open cases where some administrative or legal action was taken or no action was taken because no suspect could be identified.

1. Number of fraud or other illegal activity cases in the universe.

15,941

2. Functional areas in which fraud occurred.

| | |
|--------------|--|
| <u>13</u> | Procurement - award |
| <u>196</u> | Property disposition |
| <u>422</u> | Payroll |
| <u>0</u> | Grants |
| <u>0</u> | Financial assistance to individuals (excludes loans) |
| <u>13</u> | Enforcement (i.e. Customs, IRS) |
| <u>53</u> | Provision of health care or social services |
| <u>13</u> | Loans |
| <u>0</u> | Loan guarantees |
| <u>594</u> | Personnel |
| <u>6,182</u> | Inventory control/property management |
| <u>98</u> | Mail service |
| <u>423</u> | Cash control |
| <u>137</u> | Procurement - monitoring |
| <u>494</u> | Travel |
| <u>39</u> | Administrative services |
| <u>0</u> | Training and education |
| <u>6,539</u> | Personal property management |
| <u>640</u> | Other |
| <u>85</u> | Unknown |

3. Principal types of fraud

| | |
|---------------|------------------------------------|
| <u>119</u> | Work hour abuses |
| <u>85</u> | Private use of government property |
| <u>428</u> | Forgery |
| <u>92</u> | Kickbacks/Bribes |
| <u>1,125</u> | False statements |
| <u>26</u> | Non-performance of contract terms |
| <u>12,932</u> | Theft |
| <u>26</u> | Extortion |
| <u>0</u> | Food Stamp irregularities |
| <u>1,108</u> | Miscellaneous fraud |

4. The period of time over which the alleged fraudulent activity took place.

| | |
|---------------|----------------------|
| <u>14,873</u> | Less than 3 months |
| <u>386</u> | 3 to 6 months |
| <u>230</u> | 6 months to one year |
| <u>66</u> | 1 to 2 years |
| <u>151</u> | More than 2 years |
| <u>235</u> | Unknown |

5. The period of time between occurrence and discovery of the fraudulent activity.

| | |
|---------------|----------------------|
| <u>14,464</u> | Less than 3 months |
| <u>747</u> | 3 to 6 months |
| <u>322</u> | 6 months to one year |
| <u>119</u> | 1 to 2 years |
| <u>164</u> | More than 2 years |
| <u>124</u> | Unknown |

6. How the alleged fraud was discovered.

| | |
|--------------|--|
| <u>288</u> | Routine audit, inspection, investigation, or review |
| <u>296</u> | Specially requested audit, inspection, or review |
| <u>6,974</u> | Federal employee (knowledge gained through work) |
| <u>13</u> | Former federal employee |
| <u>0</u> | Contractor personnel |
| <u>0</u> | Grantee personnel (excludes state or local government personnel) |
| <u>0</u> | Former grantee personnel |
| <u>587</u> | Private individual (not former employee) |
| <u>177</u> | Informant |
| <u>0</u> | Consumer complaint form |
| <u>0</u> | Unsuccessful bidder |
| <u>0</u> | News media |
| <u>0</u> | Congressional Committee Member - Staff |
| <u>6,951</u> | Alleged victim |
| <u>79</u> | Confession by perpetrator |
| <u>209</u> | Law enforcement investigation - state & local |
| <u>275</u> | Other |
| <u>79</u> | Unknown |

7. Estimate of amount of loss incurred by Federal Government

| | |
|--------------|--------------------------------------|
| <u>1,570</u> | Less than \$100 |
| <u>5,016</u> | \$101 - \$1,000 |
| <u>1,630</u> | \$1,001 - \$10,000 |
| <u>53</u> | \$10,001 - \$100,000 |
| <u>0</u> | \$100,001 - \$500,000 |
| <u>0</u> | \$500,001 - \$1 million |
| <u>0</u> | Over \$1 million |
| <u>705</u> | Monetary loss - amount not available |

8. Participants in the alleged fraudulent activity.

| | |
|--------------|---|
| <u>5,530</u> | Federal Government employees <i>alone and with others</i> |
| <u>0</u> | State and local government employees |
| <u>39</u> | Federal contractor(s)/grantee(s) personnel - other than state and local governments |

| | |
|--------------|--|
| <u>0</u> | Corporate recipient(s) of Federal Government financial assistance |
| <u>26</u> | Individual recipient(s) of Federal Government financial assistance |
| <u>412</u> | Other individual citizens |
| <u>85</u> | Other corporate or business entities (such as lending institutions) |
| <u>9,845</u> | Unknown |
| <u>0</u> | State and local government employees in collusion with individual recipient(s) of Federal Government financial assistance |
| <u>0</u> | Federal contractor(s)/grantee(s) personnel - (other than state and local government(s)) in collusion with individual recipient(s) of Federal Government financial assistance |
| <u>0</u> | Corporate recipients of Federal Government financial assistance in collusion with individual recipient(s) of Federal Government financial assistance |
| <u>0</u> | Other corporate or business entities (such as lending institutions) in collusion with individual recipient(s) of Federal Government financial assistance |

9. Status of fraud cases.

| | |
|---------------|---|
| <u>15,843</u> | Closed (Includes cases officially closed by the agency) |
| <u>98</u> | Open (Includes cases under investigation and cases in which some action may have been taken but the cases were not officially closed) |

The following statistics are for cases officially closed by the agency.

10. Type of action taken against perpetrator.

| | |
|--------------|--------------------------------------|
| <u>3,329</u> | Administrative action only |
| <u>280</u> | Legal action only |
| <u>750</u> | Administrative and legal action |
| <u>280</u> | Unknown |
| <u>1,456</u> | No action taken - suspect identified |
| <u>9,747</u> | No action taken - suspect unknown |

11. Types of administrative action taken against Federal employees. a/

| | |
|--------------|----------------------------|
| <u>1,429</u> | No action taken |
| <u>973</u> | Federal employee dismissed |

| | |
|--------------|--|
| <u>541</u> | Federal employee suspended |
| <u>465</u> | Federal employee issued warning letter |
| <u>79</u> | Federal employee issued letter of counseling |
| <u>412</u> | Federal employee issued oral warning |
| <u>1,266</u> | Federal employee demoted |
| <u>328</u> | Federal employee transferred |
| <u>1,599</u> | Formal loss recovery plan agreed to |
| <u>809</u> | Extra duty (military) |
| <u>0</u> | Employee resigned pending dismissal |
| <u>750</u> | Other |
| <u>359</u> | Unknown |

12. Types of administrative action taken against non-Federal government organizations (contractors, corporations, non-profit organizations, state and local governments, etc.) or individuals. a/

| | |
|------------|--|
| <u>0</u> | Suspended from doing business with the Federal Government |
| <u>0</u> | Debarred from doing business with the Federal Government |
| <u>0</u> | Contract/grant cancelled |
| <u>13</u> | Issued warning and they agreed to take corrective action |
| <u>98</u> | Formal loss recovery plan agreed to |
| <u>549</u> | No action taken |
| <u>0</u> | Negotiating reimbursement |
| <u>13</u> | Declared ineligible for program participation under status claimed |
| <u>211</u> | Employee/enlistee dismissed; employment/enlistment denied |
| <u>53</u> | Other |
| <u>288</u> | Unknown |

13. Type of legal action or prosecution taken.

| | |
|------------|--------------------------------|
| <u>0</u> | Civil prosecution |
| <u>333</u> | Criminal prosecution |
| <u>0</u> | Civil and criminal prosecution |
| <u>0</u> | Pre-trial diversion |
| <u>698</u> | Court martial |

14. Outcome of civil proceedings.

| | |
|----------|----------------------------|
| <u>0</u> | Judgment for plaintiff |
| <u>0</u> | Judgment for the defendant |
| <u>0</u> | Unknown |

15. Outcome of criminal prosecution. (Excludes court martials)

| | |
|------------|---|
| <u>182</u> | Acquittal |
| <u>848</u> | Conviction (guilty plea, nolo contendere) |
| <u>0</u> | Other |

a/ In many cases, Federal agencies took more than one type administrative action against those who commit fraud or other illegal acts. All actions taken are recorded here.

AGENCY PROFILE

Department of the Navy

The following statistics are for closed cases and open cases where some administrative or legal action was taken or no action was taken because no suspect could be identified.

1. Number of fraud or other illegal activity cases in the universe.

17,799

2. Functional areas in which fraud occurred.

| | |
|---------------|--|
| <u>55</u> | Procurement - award |
| <u>87</u> | Property disposition |
| <u>800</u> | Payroll |
| <u>0</u> | Grants |
| <u>28</u> | Financial assistance to individuals (excludes loans) |
| <u>0</u> | Enforcement (i.e. Customs, IRS) |
| <u>28</u> | Provision of health care or social services |
| <u>0</u> | Loans |
| <u>0</u> | Loan guarantees |
| <u>1,282</u> | Personnel |
| <u>10,109</u> | Inventory control/property management |
| <u>28</u> | Mail service |
| <u>607</u> | Cash control |
| <u>114</u> | Procurement - monitoring |
| <u>331</u> | Travel |
| <u>138</u> | Administrative services |
| <u>0</u> | Training and education |
| <u>3,382</u> | Personal property management |
| <u>756</u> | Other |
| <u>55</u> | Unknown |

3. Principal types of fraud

| | |
|---------------|------------------------------------|
| <u>253</u> | Work hour abuses |
| <u>111</u> | Private use of government property |
| <u>532</u> | Forgery |
| <u>28</u> | Kickbacks/Bribes |
| <u>1,324</u> | False statements |
| <u>55</u> | Non-performance of contract terms |
| <u>13,385</u> | Theft |
| <u>87</u> | Extortion |
| <u>0</u> | Food Stamp irregularities |
| <u>2,026</u> | Miscellaneous fraud |

4. The period of time over which the alleged fraudulent activity took place.

| | |
|---------------|----------------------|
| <u>15,844</u> | Less than 3 months |
| <u>674</u> | 3 to 6 months |
| <u>367</u> | 6 months to one year |
| <u>256</u> | 1 to 2 years |
| <u>142</u> | More than 2 years |
| <u>516</u> | Unknown |

5. The period of time between occurrence and discovery of the fraudulent activity.

| | |
|---------------|----------------------|
| <u>15,343</u> | Less than 3 months |
| <u>848</u> | 3 to 6 months |
| <u>363</u> | 6 months to one year |
| <u>477</u> | 1 to 2 years |
| <u>138</u> | More than 2 years |
| <u>630</u> | Unknown |

6. How the alleged fraud was discovered.

| | |
|--------------|--|
| <u>773</u> | Routine audit, inspection, investigation, or review |
| <u>276</u> | Specially requested audit, inspection, or review |
| <u>9,601</u> | Federal employee (knowledge gained through work) |
| <u>55</u> | Former federal employee |
| <u>316</u> | Contractor personnel |
| <u>0</u> | Grantee personnel (excludes state or local government personnel) |
| <u>0</u> | Former grantee personnel |
| <u>950</u> | Private individual (not former employee) |
| <u>769</u> | Informant |
| <u>0</u> | Consumer complaint form |
| <u>0</u> | Unsuccessful bidder |
| <u>0</u> | News media |
| <u>0</u> | Congressional Committee Member - Staff |
| <u>3,023</u> | Alleged victim |
| <u>276</u> | Confession by perpetrator |
| <u>228</u> | Law enforcement investigation - state & local |
| <u>1,135</u> | Other |
| <u>398</u> | Unknown |

7. Estimate of amount of loss incurred by Federal Government

| | |
|--------------|--------------------------------------|
| <u>1,982</u> | Less than \$100 |
| <u>6,846</u> | \$101 - \$1,000 |
| <u>2,124</u> | \$1,001 - \$10,000 |
| <u>288</u> | \$10,001 - \$100,000 |
| <u>0</u> | \$100,001 - \$500,000 |
| <u>0</u> | \$500,001 - \$1 million |
| <u>0</u> | Over \$1 million |
| <u>1,128</u> | Monetary loss - amount not available |

8. Participants in the alleged fraudulent activity.

| | |
|--------------|---|
| <u>6,924</u> | Federal Government employees <i>alone and with others</i> |
| <u>0</u> | State and local government employees |
| <u>55</u> | Federal contractor(s)/grantee(s) personnel - other than state and local governments |

| | |
|--------------|--|
| <u>28</u> | Corporate recipient(s) of Federal Government financial assistance |
| <u>0</u> | Individual recipient(s) of Federal Government financial assistance |
| <u>1,206</u> | Other individual citizens |
| <u>0</u> | Other corporate or business entities (such as lending institutions) |
| <u>9,585</u> | Unknown |
| <u>0</u> | State and local government employees in collusion with individual recipient(s) of Federal Government financial assistance |
| <u>0</u> | Federal contractor(s)/grantee(s) personnel - (other than state and local government(s)) in collusion with individual recipient(s) of Federal Government financial assistance |
| <u>0</u> | Corporate recipients of Federal Government financial assistance in collusion with individual recipient(s) of Federal Government financial assistance |
| <u>0</u> | Other corporate or business entities (such as lending institutions) in collusion with individual recipient(s) of Federal Government financial assistance |

9. Status of fraud cases.

| | |
|---------------|---|
| <u>16,881</u> | Closed (Includes cases officially closed by the agency) |
| <u>918</u> | Open (Includes cases under investigation and cases in which some action may have been taken but the cases were not officially closed) |

The following statistics are for cases officially closed by the agency.

10. Type of action taken against perpetrator.

| | |
|--------------|--------------------------------------|
| <u>5,321</u> | Administrative action only |
| <u>0</u> | Legal action only |
| <u>339</u> | Administrative and legal action |
| <u>757</u> | Unknown |
| <u>1,455</u> | No action taken - suspect identified |
| <u>9,009</u> | No action taken - suspect unknown |

11. Types of administrative action taken against Federal employees. a/

| | |
|--------------|----------------------------|
| <u>1,399</u> | No action taken |
| <u>603</u> | Federal employee dismissed |

| | |
|--------------|--|
| <u>114</u> | Federal employee suspended |
| <u>0</u> | Federal employee issued warning letter |
| <u>0</u> | Federal employee issued letter of counseling |
| <u>28</u> | Federal employee issued oral warning |
| <u>83</u> | Federal employee demoted |
| <u>114</u> | Federal employee transferred |
| <u>2,187</u> | Formal loss recovery plan agreed to |
| <u>0</u> | Extra duty (military) |
| <u>0</u> | Employee resigned pending dismissal |
| <u>87</u> | Other |
| <u>2,062</u> | Unknown |

12. Types of administrative action taken against non-Federal government organizations (contractors, corporations, non-profit organizations, state and local governments, etc.) or individuals. a/

| | |
|--------------|--|
| <u>0</u> | Suspended from doing business with the Federal Government |
| <u>0</u> | Debarred from doing business with the Federal Government |
| <u>0</u> | Contract/grant cancelled |
| <u>28</u> | Issued warning and they agreed to take corrective action |
| <u>229</u> | Formal loss recovery plan agreed to |
| <u>307</u> | No action taken |
| <u>0</u> | Negotiating reimbursement |
| <u>0</u> | Declared ineligible for program participation under status claimed |
| <u>55</u> | Employee/enlistee dismissed; employment/enlistment denied |
| <u>142</u> | Other |
| <u>1,041</u> | Unknown |

13. Type of legal action or prosecution taken.

| | |
|------------|--------------------------------|
| <u>0</u> | Civil prosecution |
| <u>284</u> | Criminal prosecution |
| <u>0</u> | Civil and criminal prosecution |
| <u>0</u> | Pre-trial diversion |
| <u>55</u> | Court martial |

14. Outcome of civil proceedings.

| | |
|----------|----------------------------|
| <u>0</u> | Judgment for plaintiff |
| <u>0</u> | Judgment for the defendant |
| <u>0</u> | Unknown |

15. Outcome of criminal prosecution. (Excludes court martials)

| | |
|------------|---|
| <u>0</u> | Acquittal |
| <u>311</u> | Conviction (guilty plea, nolo contendere) |
| <u>28</u> | Other |

a/ In many cases, Federal agencies took more than one type administrative action against those who commit fraud or other illegal acts. All actions taken are recorded here.

AGENCY PROFILE

Department of Energy

The following statistics are for closed cases and open cases where some administrative or legal action was taken or no action was taken because no suspect could be identified.

1. Number of fraud or other illegal activity cases in the universe.

624

2. Functional areas in which fraud occurred.

| | |
|------------|--|
| <u>18</u> | Procurement - award |
| <u>1</u> | Property disposition |
| <u>19</u> | Payroll |
| <u>0</u> | Grants |
| <u>0</u> | Financial assistance to individuals (excludes loans) |
| <u>8</u> | Enforcement (i.e. Customs, IRS) |
| <u>0</u> | Provision of health care or social services |
| <u>0</u> | Loans |
| <u>0</u> | Loan guarantees |
| <u>9</u> | Personnel |
| <u>507</u> | Inventory control/property management |
| <u>0</u> | Mail service |
| <u>2</u> | Cash control |
| <u>14</u> | Procurement - monitoring |
| <u>23</u> | Travel |
| <u>14</u> | Administrative services |
| <u>0</u> | Training and education |
| <u>0</u> | Personal property management |
| <u>6</u> | Other |
| <u>2</u> | Unknown |

3. Principal types of fraud

| | |
|------------|------------------------------------|
| <u>20</u> | Work hour abuses |
| <u>19</u> | Private use of government property |
| <u>6</u> | Forgery |
| <u>15</u> | Kickbacks/Bribes |
| <u>34</u> | False statements |
| <u>6</u> | Non-performance of contract terms |
| <u>489</u> | Theft |
| <u>5</u> | Extortion |
| <u>0</u> | Food Stamp irregularities |
| <u>30</u> | Miscellaneous fraud |

4. The period of time over which the alleged fraudulent activity took place.

| | |
|------------|----------------------|
| <u>495</u> | Less than 3 months |
| <u>18</u> | 3 to 6 months |
| <u>24</u> | 6 months to one year |
| <u>6</u> | 1 to 2 years |
| <u>14</u> | More than 2 years |
| <u>67</u> | Unknown |

5. The period of time between occurrence and discovery of the fraudulent activity.

| | |
|------------|----------------------|
| <u>409</u> | Less than 3 months |
| <u>14</u> | 3 to 6 months |
| <u>30</u> | 6 months to one year |
| <u>11</u> | 1 to 2 years |
| <u>13</u> | More than 2 years |
| <u>148</u> | Unknown |

6. How the alleged fraud was discovered.

| | |
|------------|--|
| <u>37</u> | Routine audit, inspection, investigation, or review |
| <u>10</u> | Specially requested audit, inspection, or review |
| <u>52</u> | Federal employee (knowledge gained through work) |
| <u>2</u> | Former federal employee |
| <u>491</u> | Contractor personnel |
| <u>0</u> | Grantee personnel (excludes state or local government personnel) |
| <u>0</u> | Former grantee personnel |
| <u>7</u> | Private individual (not former employee) |
| <u>23</u> | Informant |
| <u>0</u> | Consumer complaint form |
| <u>1</u> | Unsuccessful bidder |
| <u>0</u> | News media |
| <u>0</u> | Congressional Committee Member - Staff |
| <u>0</u> | Alleged victim |
| <u>0</u> | Confession by perpetrator |
| <u>0</u> | Law enforcement investigation - state & local |
| <u>4</u> | Other |
| <u>7</u> | Unknown |

7. Estimate of amount of loss incurred by Federal Government

| | |
|------------|--------------------------------------|
| <u>174</u> | Less than \$100 |
| <u>247</u> | \$101 - \$1,000 |
| <u>70</u> | \$1,001 - \$10,000 |
| <u>12</u> | \$10,001 - \$100,000 |
| <u>0</u> | \$100,001 - \$500,000 |
| <u>0</u> | \$500,001 - \$1 million |
| <u>0</u> | Over \$1 million |
| <u>61</u> | Monetary loss - amount not available |

8. Participants in the alleged fraudulent activity.

| | |
|------------|---|
| <u>51</u> | Federal Government employees <i>alone and with others</i> |
| <u>0</u> | State and local government employees |
| <u>107</u> | Federal contractor(s)/grantee(s) personnel - other than state and local governments |

| | |
|------------|--|
| <u>0</u> | Corporate recipient(s) of Federal Government financial assistance |
| <u>0</u> | Individual recipient(s) of Federal Government financial assistance |
| <u>6</u> | Other individual citizens |
| <u>3</u> | Other corporate or business entities (such as lending institutions) |
| <u>457</u> | Unknown |
| <u>0</u> | State and local government employees in collusion with individual recipient(s) of Federal Government financial assistance |
| <u>0</u> | Federal contractor(s)/grantee(s) personnel - (other than state and local government(s)) in collusion with individual recipient(s) of Federal Government financial assistance |
| <u>0</u> | Corporate recipients of Federal Government financial assistance in collusion with individual recipient(s) of Federal Government financial assistance |
| <u>0</u> | Other corporate or business entities (such as lending institutions) in collusion with individual recipient(s) of Federal Government financial assistance |

9. Status of fraud cases.

| | |
|------------|---|
| <u>607</u> | Closed (Includes cases officially closed by the agency) |
| <u>17</u> | Open (Includes cases under investigation and cases in which some action may have been taken but the cases were not officially closed) |

The following statistics are for cases officially closed by the agency.

10. Type of action taken against perpetrator.

| | |
|------------|--------------------------------------|
| <u>36</u> | Administrative action only |
| <u>22</u> | Legal action only |
| <u>1</u> | Administrative and legal action |
| <u>1</u> | Unknown |
| <u>101</u> | No action taken - suspect identified |
| <u>446</u> | No action taken - suspect unknown |

11. Types of administrative action taken against Federal employees. a/

| | |
|-----------|----------------------------|
| <u>22</u> | No action taken |
| <u>2</u> | Federal employee dismissed |

| | |
|----------|--|
| <u>3</u> | Federal employee suspended |
| <u>4</u> | Federal employee issued warning letter |
| <u>3</u> | Federal employee issued letter of counseling |
| <u>5</u> | Federal employee issued oral warning |
| <u>1</u> | Federal employee demoted |
| <u>0</u> | Federal employee transferred |
| <u>9</u> | Formal loss recovery plan agreed to |
| <u>0</u> | Extra duty (military) |
| <u>1</u> | Employee resigned pending dismissal |
| <u>2</u> | Other |
| <u>1</u> | Unknown |

12. Types of administrative action taken against non-Federal government organizations (contractors, corporations, non-profit organizations, state and local governments, etc.) or individuals. a/

| | |
|------------|--|
| <u>0</u> | Suspended from doing business with the Federal Government |
| <u>0</u> | Debarred from doing business with the Federal Government |
| <u>3</u> | Contract/grant cancelled |
| <u>1</u> | Issued warning and they agreed to take corrective action |
| <u>5</u> | Formal loss recovery plan agreed to |
| <u>115</u> | No action taken |
| <u>0</u> | Negotiating reimbursement |
| <u>0</u> | Declared ineligible for program participation under status claimed |
| <u>0</u> | Employee/enlistee dismissed; employment/enlistment denied |
| <u>2</u> | Other |
| <u>1</u> | Unknown |

13. Type of legal action or prosecution taken.

| | |
|-----------|--------------------------------|
| <u>0</u> | Civil prosecution |
| <u>22</u> | Criminal prosecution |
| <u>0</u> | Civil and criminal prosecution |
| <u>1</u> | Pre-trial diversion |
| <u>0</u> | Court martial |

14. Outcome of civil proceedings.

| | |
|----------|----------------------------|
| <u>0</u> | Judgment for plaintiff |
| <u>0</u> | Judgment for the defendant |
| <u>0</u> | Unknown |

15. Outcome of criminal prosecution. (Excludes court martials)

| | |
|-----------|---|
| <u>0</u> | Acquittal |
| <u>22</u> | Conviction (guilty plea, nolo contendere) |
| <u>0</u> | Other |

a/ In many cases, Federal agencies took more than one type administrative action against those who commit fraud or other illegal acts. All actions taken are recorded here.

AGENCY PROFILE

Environmental Protection Agency

The following statistics are for closed cases and open cases where some administrative or legal action was taken or no action was taken because no suspect could be identified.

1. Number of fraud or other illegal activity cases in the universe.

140

2. Functional areas in which fraud occurred.

| | |
|-----------|--|
| <u>14</u> | Procurement - award |
| <u>0</u> | Property disposition |
| <u>16</u> | Payroll |
| <u>3</u> | Grants |
| <u>3</u> | Financial assistance to individuals (excludes loans) |
| <u>11</u> | Enforcement (i.e. Customs, IRS) |
| <u>0</u> | Provision of health care or social services |
| <u>0</u> | Loans |
| <u>0</u> | Loan guarantees |
| <u>0</u> | Personnel |
| <u>19</u> | Inventory control/property management |
| <u>0</u> | Mail service |
| <u>3</u> | Cash control |
| <u>27</u> | Procurement - monitoring |
| <u>38</u> | Travel |
| <u>3</u> | Administrative services |
| <u>0</u> | Training and education |
| <u>0</u> | Personal property management |
| <u>0</u> | Other |
| <u>3</u> | Unknown |

3. Principal types of fraud

| | |
|-----------|------------------------------------|
| <u>11</u> | Work hour abuses |
| <u>19</u> | Private use of government property |
| <u>0</u> | Forgery |
| <u>14</u> | Kickbacks/Bribes |
| <u>52</u> | False statements |
| <u>8</u> | Non-performance of contract terms |
| <u>16</u> | Theft |
| <u>0</u> | Extortion |
| <u>0</u> | Food Stamp irregularities |
| <u>19</u> | Miscellaneous fraud |

4. The period of time over which the alleged fraudulent activity took place.

| | |
|-----------|----------------------|
| <u>69</u> | Less than 3 months |
| <u>8</u> | 3 to 6 months |
| <u>11</u> | 6 months to one year |
| <u>11</u> | 1 to 2 years |
| <u>25</u> | More than 2 years |
| <u>16</u> | Unknown |

5. The period of time between occurrence and discovery of the fraudulent activity.

| | |
|-----------|----------------------|
| <u>55</u> | Less than 3 months |
| <u>14</u> | 3 to 6 months |
| <u>11</u> | 6 months to one year |
| <u>8</u> | 1 to 2 years |
| <u>19</u> | More than 2 years |
| <u>33</u> | Unknown |

6. How the alleged fraud was discovered.

| | |
|-----------|--|
| <u>16</u> | Routine audit, inspection, investigation, or review |
| <u>16</u> | Specially requested audit, inspection, or review |
| <u>71</u> | Federal employee (knowledge gained through work) |
| <u>0</u> | Former federal employee |
| <u>3</u> | Contractor personnel |
| <u>0</u> | Grantee personnel (excludes state or local government personnel) |
| <u>0</u> | Former grantee personnel |
| <u>11</u> | Private individual (not former employee) |
| <u>14</u> | Informant |
| <u>0</u> | Consumer complaint form |
| <u>0</u> | Unsuccessful bidder |
| <u>0</u> | News media |
| <u>0</u> | Congressional Committee Member - Staff |
| <u>0</u> | Alleged victim |
| <u>0</u> | Confession by perpetrator |
| <u>0</u> | Law enforcement investigation - state & local |
| <u>6</u> | Other |
| <u>3</u> | Unknown |

7. Estimate of amount of loss incurred by Federal Government

| | |
|-----------|--------------------------------------|
| <u>8</u> | Less than \$100 |
| <u>27</u> | \$101 - \$1,000 |
| <u>16</u> | \$1,001 - \$10,000 |
| <u>11</u> | \$10,001 - \$100,000 |
| <u>3</u> | \$100,001 - \$500,000 |
| <u>3</u> | \$500,001 - \$1 million |
| <u>0</u> | Over \$1 million |
| <u>27</u> | Monetary loss - amount not available |

8. Participants in the alleged fraudulent activity.

| | |
|-----------|---|
| <u>66</u> | Federal Government employees <i>alone and with others</i> |
| <u>33</u> | State and local government employees |
| <u>36</u> | Federal contractor(s)/grantee(s) personnel - other than state and local governments |

0 Corporate recipient(s) of Federal Government financial assistance
0 Individual recipient(s) of Federal Government financial assistance
5 Other individual citizens
0 Other corporate or business entities (such as lending institutions)
0 Unknown
0 State and local government employees in collusion with individual recipient(s) of Federal Government financial assistance
0 Federal contractor(s)/grantee(s) personnel - (other than state and local government(s)) in collusion with individual recipient(s) of Federal Government financial assistance
0 Corporate recipients of Federal Government financial assistance in collusion with individual recipient(s) of Federal Government financial assistance
0 Other corporate or business entities (such as lending institutions) in collusion with individual recipient(s) of Federal Government financial assistance

9. Status of fraud cases.

126 Closed (Includes cases officially closed by the agency)
14 Open (Includes cases under investigation and cases in which some action may have been taken but the cases were not officially closed)

The following statistics are for cases officially closed by the agency.

10. Type of action taken against perpetrator.

82 Administrative action only
11 Legal action only
5 Administrative and legal action
0 Unknown
27 No action taken - suspect identified
0 No action taken - suspect unknown

11. Types of administrative action taken against Federal employees. ^{a/}

11 No action taken
5 Federal employee dismissed

5 Federal employee suspended
5 Federal employee issued warning letter
0 Federal employee issued letter of counseling
14 Federal employee issued oral warning
0 Federal employee demoted
0 Federal employee transferred
27 Formal loss recovery plan agreed to
0 Extra duty (military)
3 Employee resigned pending dismissal
0 Other
5 Unknown

12. Types of administrative action taken against non-federal government organizations (contractors, corporations, non-profit organizations, state and local governments, etc.) or individuals. ^{a/}

0 Suspended from doing business with the Federal Government
0 Debarred from doing business with the Federal Government
0 Contract/grant cancelled
5 Issued warning and they agreed to take corrective action
25 Formal loss recovery plan agreed to
30 No action taken
0 Negotiating reimbursement
0 Declared ineligible for program participation under status claimed
0 Employee/enlistee dismissed; employment/enlistment denied
5 Other
8 Unknown

13. Type of legal action or prosecution taken.

3 Civil prosecution
11 Criminal prosecution
0 Civil and criminal prosecution
3 Pre-trial diversion
0 Court martial

14. Outcome of civil proceedings.

0 Judgment for plaintiff
0 Judgment for the defendant
3 Unknown

15. Outcome of criminal prosecution. (Excludes court martials)

0 Acquittal
8 Conviction (guilty plea, nolo contendere)
3 Other

^{a/} In many cases, Federal agencies took more than one type administrative action against those who commit fraud or other illegal acts. All actions taken are recorded here.

AGENCY PROFILE

General Services Administration

The following statistics are for closed cases and open cases where some administrative or legal action was taken or no action was taken because no suspect could be identified.

1. Number of fraud or other illegal activity cases in the universe.

1,126

2. Functional areas in which fraud occurred.

| | |
|------------|--|
| <u>38</u> | Procurement - award |
| <u>17</u> | Property disposition |
| <u>27</u> | Payroll |
| <u>0</u> | Grants |
| <u>1</u> | Financial assistance to individuals (excludes loans) |
| <u>1</u> | Enforcement (i.e. Customs, IRS) |
| <u>0</u> | Provision of health care or social services |
| <u>0</u> | Loans |
| <u>0</u> | Loan guarantees |
| <u>5</u> | Personnel |
| <u>899</u> | Inventory control/property management |
| <u>5</u> | Mail service |
| <u>6</u> | Cash control |
| <u>110</u> | Procurement - monitoring |
| <u>4</u> | Travel |
| <u>13</u> | Administrative services |
| <u>0</u> | Training and education |
| <u>0</u> | Personal property management |
| <u>0</u> | Other |
| <u>0</u> | Unknown |

3. Principal types of fraud

| | |
|------------|------------------------------------|
| <u>13</u> | Work hour abuses |
| <u>45</u> | Private use of government property |
| <u>9</u> | Forgery |
| <u>42</u> | Kickbacks/Bribes |
| <u>38</u> | False statements |
| <u>21</u> | Non-performance of contract terms |
| <u>907</u> | Theft |
| <u>2</u> | Extortion |
| <u>0</u> | Food Stamp irregularities |
| <u>48</u> | Miscellaneous fraud |

4. The period of time over which the alleged fraudulent activity took place.

| | |
|------------|----------------------|
| <u>931</u> | Less than 3 months |
| <u>23</u> | 3 to 6 months |
| <u>56</u> | 6 months to one year |
| <u>24</u> | 1 to 2 years |
| <u>51</u> | More than 2 years |
| <u>41</u> | Unknown |

5. The period of time between occurrence and discovery of the fraudulent activity.

| | |
|------------|----------------------|
| <u>890</u> | Less than 3 months |
| <u>37</u> | 3 to 6 months |
| <u>50</u> | 6 months to one year |
| <u>21</u> | 1 to 2 years |
| <u>44</u> | More than 2 years |
| <u>84</u> | Unknown |

6. How the alleged fraud was discovered.

| | |
|------------|--|
| <u>64</u> | Routine audit, inspection, investigation, or review |
| <u>46</u> | Specially requested audit, inspection, or review |
| <u>846</u> | Federal employee (knowledge gained through work) |
| <u>9</u> | Former federal employee |
| <u>31</u> | Contractor personnel |
| <u>0</u> | Grantee personnel (excludes state or local government personnel) |
| <u>0</u> | Former grantee personnel |
| <u>17</u> | Private individual (not former employee) |
| <u>19</u> | Informant |
| <u>0</u> | Consumer complaint form |
| <u>4</u> | Unsuccessful bidder |
| <u>0</u> | News media |
| <u>0</u> | Congressional Committee Member - Staff |
| <u>0</u> | Alleged victim |
| <u>1</u> | Confession by perpetrator |
| <u>1</u> | Law enforcement investigation - state & local |
| <u>31</u> | Other |
| <u>57</u> | Unknown |

7. Estimate of amount of loss incurred by Federal Government

| | |
|------------|--------------------------------------|
| <u>127</u> | Less than \$100 |
| <u>613</u> | \$101 - \$1,000 |
| <u>137</u> | \$1,001 - \$10,000 |
| <u>33</u> | \$10,001 - \$100,000 |
| <u>16</u> | \$100,001 - \$500,000 |
| <u>0</u> | \$500,001 - \$1 million |
| <u>5</u> | Over \$1 million |
| <u>137</u> | Monetary loss - amount not available |

8. Participants in the alleged fraudulent activity.

| | |
|------------|---|
| <u>198</u> | Federal Government employees alone and with others |
| <u>0</u> | State and local government employees |
| <u>71</u> | Federal contractor(s)/grantee(s) personnel - other than state and local governments |

| | |
|------------|--|
| <u>0</u> | Corporate recipient(s) of Federal Government financial assistance |
| <u>1</u> | Individual recipient(s) of Federal Government financial assistance |
| <u>49</u> | Other individual citizens |
| <u>2</u> | Other corporate or business entities (such as lending institutions) |
| <u>807</u> | Unknown |
| <u>0</u> | State and local government employees in collusion with individual recipient(s) of Federal Government financial assistance |
| <u>0</u> | Federal contractor(s)/grantee(s) personnel - (other than state and local government(s)) in collusion with individual recipient(s) of Federal Government financial assistance |
| <u>0</u> | Corporate recipients of Federal Government financial assistance in collusion with individual recipient(s) of Federal Government financial assistance |
| <u>0</u> | Other corporate or business entities (such as lending institutions) in collusion with individual recipient(s) of Federal Government financial assistance |

9. Status of fraud cases.

| | |
|--------------|---|
| <u>1,076</u> | Closed (Includes cases officially closed by the agency) |
| <u>50</u> | Open (Includes cases under investigation and cases in which some action may have been taken but the cases were not officially closed) |

The following statistics are for cases officially closed by the agency.

10. Type of action taken against perpetrator.

| | |
|------------|--------------------------------------|
| <u>106</u> | Administrative action only |
| <u>63</u> | Legal action only |
| <u>45</u> | Administrative and legal action |
| <u>0</u> | Unknown |
| <u>78</u> | No action taken - suspect identified |
| <u>785</u> | No action taken - suspect unknown |

11. Types of administrative action taken against Federal employees. a/

| | |
|-----------|----------------------------|
| <u>75</u> | No action taken |
| <u>22</u> | Federal employee dismissed |

| | |
|-----------|--|
| <u>35</u> | Federal employee suspended |
| <u>15</u> | Federal employee issued warning letter |
| <u>0</u> | Federal employee issued letter of counseling |
| <u>1</u> | Federal employee issued oral warning |
| <u>2</u> | Federal employee demoted |
| <u>4</u> | Federal employee transferred |
| <u>12</u> | Formal loss recovery plan agreed to |
| <u>0</u> | Extra duty (military) |
| <u>9</u> | Employee resigned pending dismissal |
| <u>1</u> | Other |
| <u>6</u> | Unknown |

12. Types of administrative action taken against non-Federal government organizations (contractors, corporations, non-profit organizations, state and local governments, etc.) or individuals. a/

| | |
|------------|--|
| <u>4</u> | Suspended from doing business with the Federal Government |
| <u>4</u> | Debarred from doing business with the Federal Government |
| <u>10</u> | Contract/grant cancelled |
| <u>11</u> | Issued warning and they agreed to take corrective action |
| <u>20</u> | Formal loss recovery plan agreed to |
| <u>132</u> | No action taken |
| <u>2</u> | Negotiating reimbursement |
| <u>0</u> | Declared ineligible for program participation under status claimed |
| <u>0</u> | Employee/enlistee dismissed; employment/enlistment denied |
| <u>9</u> | Other |
| <u>18</u> | Unknown |

13. Type of legal action or prosecution taken.

| | |
|-----------|--------------------------------|
| <u>4</u> | Civil prosecution |
| <u>95</u> | Criminal prosecution |
| <u>0</u> | Civil and criminal prosecution |
| <u>9</u> | Pre-trial diversion |
| <u>0</u> | Court martial |

14. Outcome of civil proceedings.

| | |
|----------|----------------------------|
| <u>4</u> | Judgment for plaintiff |
| <u>0</u> | Judgment for the defendant |
| <u>0</u> | Unknown |

15. Outcome of criminal prosecution. (Excludes court martials)

| | |
|-----------|---|
| <u>9</u> | Acquittal |
| <u>86</u> | Conviction (guilty plea, nolo contendere) |
| <u>0</u> | Other |

a/ In many cases, Federal agencies took more than one type administrative action against those who commit fraud or other illegal acts. All actions taken are recorded here.

AGENCY PROFILE

Department of Health, Education and Welfare

The following statistics are for closed cases and open cases where some administrative or legal action was taken or no action was taken because no suspect could be identified.

1. Number of fraud or other illegal activity cases in the universe.

279

2. Functional areas in which fraud occurred.

| | |
|------------|--|
| <u>6</u> | Procurement - award |
| <u>0</u> | Property disposition |
| <u>11</u> | Payroll |
| <u>74</u> | Grants |
| <u>34</u> | Financial assistance to individuals (excludes loans) |
| <u>0</u> | Enforcement (i.e. Customs, IRS) |
| <u>108</u> | Provision of health care or social services |
| <u>6</u> | Loans |
| <u>23</u> | Loan guarantees |
| <u>6</u> | Personnel |
| <u>0</u> | Inventory control/property management |
| <u>0</u> | Mail service |
| <u>0</u> | Cash control |
| <u>0</u> | Procurement - monitoring |
| <u>6</u> | Travel |
| <u>0</u> | Administrative services |
| <u>6</u> | Training and education |
| <u>0</u> | Personal property management |
| <u>0</u> | Other |
| <u>0</u> | Unknown |

3. Principal types of fraud

| | |
|------------|------------------------------------|
| <u>11</u> | Work hour abuses |
| <u>0</u> | Private use of government property |
| <u>17</u> | Forgery |
| <u>6</u> | Kickbacks/Bribes |
| <u>182</u> | False statements |
| <u>23</u> | Non-performance of contract terms |
| <u>17</u> | Theft |
| <u>11</u> | Extortion |
| <u>0</u> | Food Stamp irregularities |
| <u>11</u> | Miscellaneous fraud |

4. The period of time over which the alleged fraudulent activity took place.

| | |
|-----------|----------------------|
| <u>40</u> | Less than 3 months |
| <u>17</u> | 3 to 6 months |
| <u>40</u> | 6 months to one year |
| <u>40</u> | 1 to 2 years |
| <u>57</u> | More than 2 years |
| <u>86</u> | Unknown |

5. The period of time between occurrence and discovery of the fraudulent activity.

| | |
|------------|----------------------|
| <u>17</u> | Less than 3 months |
| <u>11</u> | 3 to 6 months |
| <u>34</u> | 6 months to one year |
| <u>57</u> | 1 to 2 years |
| <u>57</u> | More than 2 years |
| <u>103</u> | Unknown |

6. How the alleged fraud was discovered.

| | |
|-----------|--|
| <u>86</u> | Routine audit, inspection, investigation, or review |
| <u>0</u> | Specially requested audit, inspection, or review |
| <u>80</u> | Federal employee (knowledge gained through work) |
| <u>0</u> | Former federal employee |
| <u>0</u> | Contractor personnel |
| <u>29</u> | Grantee personnel (excludes state or local government personnel) |
| <u>6</u> | Former grantee personnel |
| <u>23</u> | Private individual (not former employee) |
| <u>0</u> | Informant |
| <u>0</u> | Consumer complaint form |
| <u>0</u> | Unsuccessful bidder |
| <u>0</u> | News media |
| <u>0</u> | Congressional Committee Member - Staff |
| <u>0</u> | Alleged victim |
| <u>0</u> | Confession by perpetrator |
| <u>0</u> | Law enforcement investigation - state & local |
| <u>51</u> | Other |
| <u>6</u> | Unknown |

7. Estimate of amount of loss incurred by Federal Government

| | |
|-----------|--------------------------------------|
| <u>11</u> | Less than \$100 |
| <u>51</u> | \$101 - \$1,000 |
| <u>57</u> | \$1,001 - \$10,000 |
| <u>34</u> | \$10,001 - \$100,000 |
| <u>6</u> | \$100,001 - \$500,000 |
| <u>0</u> | \$500,001 - \$1 million |
| <u>11</u> | Over \$1 million |
| <u>63</u> | Monetary loss - amount not available |

8. Participants in the alleged fraudulent activity.

| | |
|-----------|---|
| <u>40</u> | Federal Government employees alone and with others |
| <u>0</u> | State and local government employees |
| <u>29</u> | Federal contractor(s)/grantee(s) personnel - other than state and local governments |

| | |
|-----------|--|
| <u>0</u> | Corporate recipient(s) of Federal Government financial assistance |
| <u>86</u> | Individual recipient(s) of Federal Government financial assistance |
| <u>29</u> | Other individual citizens |
| <u>80</u> | Other corporate or business entities (such as lending institutions) |
| <u>6</u> | Unknown |
| <u>0</u> | State and local government employees in collusion with individual recipient(s) of Federal Government financial assistance |
| <u>0</u> | Federal contractor(s)/grantee(s) personnel - (other than state and local government(s)) in collusion with individual recipient(s) of Federal Government financial assistance |
| <u>0</u> | Corporate recipients of Federal Government financial assistance in collusion with individual recipient(s) of Federal Government financial assistance |
| <u>11</u> | Other corporate or business entities (such as lending institutions) in collusion with individual recipient(s) of Federal Government financial assistance |

9. Status of fraud cases.

| | |
|------------|---|
| <u>274</u> | Closed (Includes cases officially closed by the agency) |
| <u>5</u> | Open (Includes cases under investigation and cases in which some action may have been taken but the cases were not officially closed) |

The following statistics are for cases officially closed by the agency.

10. Type of action taken against perpetrator.

| | |
|------------|--------------------------------------|
| <u>143</u> | Administrative action only |
| <u>57</u> | Legal action only |
| <u>6</u> | Administrative and legal action |
| <u>0</u> | Unknown |
| <u>68</u> | No action taken - suspect identified |
| <u>0</u> | No action taken - suspect unknown |

11. Types of administrative action taken against Federal employees. a/

| | |
|-----------|----------------------------|
| <u>17</u> | No action taken |
| <u>11</u> | Federal employee dismissed |

| | |
|----------|--|
| <u>0</u> | Federal employee suspended |
| <u>6</u> | Federal employee issued warning letter |
| <u>0</u> | Federal employee issued letter of counseling |
| <u>0</u> | Federal employee issued oral warning |
| <u>0</u> | Federal employee demoted |
| <u>0</u> | Federal employee transferred |
| <u>0</u> | Formal loss recovery plan agreed to |
| <u>0</u> | Extra duty (military) |
| <u>0</u> | Employee resigned pending dismissal |
| <u>0</u> | Other |
| <u>6</u> | Unknown |

12. Types of administrative action taken against non-Federal government organizations (contractors, corporations, non-profit organizations, state and local governments, etc.) or individuals. a/

| | |
|------------|--|
| <u>0</u> | Suspended from doing business with the Federal Government |
| <u>0</u> | Debarred from doing business with the Federal Government |
| <u>6</u> | Contract/grant cancelled |
| <u>0</u> | Issued warning and they agreed to take corrective action |
| <u>57</u> | Formal loss recovery plan agreed to |
| <u>114</u> | No action taken |
| <u>12</u> | Negotiating reimbursement |
| <u>0</u> | Declared ineligible for program participation under status claimed |
| <u>0</u> | Employee/enlistee dismissed; employment/enlistment denied |
| <u>6</u> | Other |
| <u>46</u> | Unknown |

13. Type of legal action or prosecution taken.

| | |
|-----------|--------------------------------|
| <u>6</u> | Civil prosecution |
| <u>46</u> | Criminal prosecution |
| <u>0</u> | Civil and criminal prosecution |
| <u>11</u> | Pre-trial diversion |
| <u>0</u> | Court martial |

14. Outcome of civil proceedings.

| | |
|----------|----------------------------|
| <u>6</u> | Judgment for plaintiff |
| <u>0</u> | Judgment for the defendant |
| <u>0</u> | Unknown |

15. Outcome of criminal prosecution. (Excludes court martials)

| | |
|-----------|---|
| <u>0</u> | Acquittal |
| <u>46</u> | Conviction (guilty plea, nolo contendere) |
| <u>0</u> | Other |

a/ In many cases, Federal agencies took more than one type administrative action against those who commit fraud or other illegal acts. All actions taken are recorded here.

AGENCY PROFILE

Department of Housing and Urban Development

The following statistics are for closed cases and open cases where some administrative or legal action was taken or no action was taken because no suspect could be identified.

1. Number of fraud or other illegal activity cases in the universe.

1,665

2. Functional areas in which fraud occurred.

| | |
|------------|--|
| <u>0</u> | Procurement - award |
| <u>29</u> | Property disposition |
| <u>0</u> | Payroll |
| <u>29</u> | Grants |
| <u>402</u> | Financial assistance to individuals (excludes loans) |
| <u>0</u> | Enforcement (i.e. Customs, IRS) |
| <u>0</u> | Provision of health care or social services |
| <u>29</u> | Loans |
| <u>861</u> | Loan guarantees |
| <u>57</u> | Personnel |
| <u>0</u> | Inventory control/property management |
| <u>0</u> | Mail service |
| <u>29</u> | Cash control |
| <u>57</u> | Procurement - monitoring |
| <u>29</u> | Travel |
| <u>0</u> | Administrative services |
| <u>0</u> | Training and education |
| <u>0</u> | Personal property management |
| <u>144</u> | Other |
| <u>0</u> | Unknown |

3. Principal types of fraud

| | |
|--------------|------------------------------------|
| <u>29</u> | Work hour abuses |
| <u>29</u> | Private use of government property |
| <u>57</u> | Forgery |
| <u>29</u> | Kickbacks/Bribes |
| <u>1,091</u> | False statements |
| <u>115</u> | Non-performance of contract terms |
| <u>115</u> | Theft |
| <u>86</u> | Extortion |
| <u>0</u> | Food Stamp irregularities |
| <u>115</u> | Miscellaneous fraud |

4. The period of time over which the alleged fraudulent activity took place.

| | |
|------------|----------------------|
| <u>775</u> | Less than 3 months |
| <u>144</u> | 3 to 6 months |
| <u>115</u> | 6 months to one year |
| <u>230</u> | 1 to 2 years |
| <u>287</u> | More than 2 years |
| <u>115</u> | Unknown |

5. The period of time between occurrence and discovery of the fraudulent activity.

| | |
|------------|----------------------|
| <u>344</u> | Less than 3 months |
| <u>172</u> | 3 to 6 months |
| <u>258</u> | 6 months to one year |
| <u>373</u> | 1 to 2 years |
| <u>344</u> | More than 2 years |
| <u>172</u> | Unknown |

6. How the alleged fraud was discovered.

| | |
|------------|--|
| <u>373</u> | Routine audit, inspection, investigation, or review |
| <u>57</u> | Specially requested audit, inspection, or review |
| <u>373</u> | Federal employee (knowledge gained through work) |
| <u>29</u> | Former federal employee |
| <u>258</u> | Contractor personnel |
| <u>0</u> | Grantee personnel (excludes state or local government personnel) |
| <u>0</u> | Former grantee personnel |
| <u>316</u> | Private individual (not former employee) |
| <u>86</u> | Informant |
| <u>0</u> | Consumer complaint form |
| <u>0</u> | Unsuccessful bidder |
| <u>0</u> | News media |
| <u>0</u> | Congressional Committee Member - Staff |
| <u>0</u> | Alleged victim |
| <u>0</u> | Confession by perpetrator |
| <u>0</u> | Law enforcement investigation - state & local |
| <u>144</u> | Other |
| <u>29</u> | Unknown |

7. Estimate of amount of loss incurred by Federal Government

| | |
|------------|--------------------------------------|
| <u>0</u> | Less than \$100 |
| <u>201</u> | \$101 - \$1,000 |
| <u>258</u> | \$1,001 - \$10,000 |
| <u>86</u> | \$10,001 - \$100,000 |
| <u>0</u> | \$100,001 - \$500,000 |
| <u>0</u> | \$500,001 - \$1 million |
| <u>144</u> | Over \$1 million |
| <u>144</u> | Monetary loss - amount not available |

8. Participants in the alleged fraudulent activity.

| | |
|------------|---|
| <u>173</u> | Federal Government employees alone and with others |
| <u>115</u> | State and local government employees |
| <u>29</u> | Federal contractor(s)/grantee(s) personnel - other than state and local governments |

| | |
|------------|--|
| <u>0</u> | Corporate recipient(s) of Federal Government financial assistance |
| <u>718</u> | Individual recipient(s) of Federal Government financial assistance |
| <u>57</u> | Other individual citizens |
| <u>344</u> | Other corporate or business entities (such as lending institutions) |
| <u>0</u> | Unknown |
| <u>29</u> | State and local government employees in collusion with individual recipient(s) of Federal Government financial assistance |
| <u>57</u> | Federal contractor(s)/grantee(s) personnel - (other than state and local government(s)) in collusion with individual recipient(s) of Federal Government financial assistance |
| <u>0</u> | Corporate recipients of Federal Government financial assistance in collusion with individual recipient(s) of Federal Government financial assistance |
| <u>144</u> | Other corporate or business entities (such as lending institutions) in collusion with individual recipient(s) of Federal Government financial assistance |

9. Status of fraud cases.

| | |
|--------------|---|
| <u>1,608</u> | Closed (Includes cases officially closed by the agency) |
| <u>57</u> | Open (Includes cases under investigation and cases in which some action may have been taken but the cases were not officially closed) |

The following statistics are for cases officially closed by the agency.

10. Type of action taken against perpetrator.

| | |
|------------|--------------------------------------|
| <u>890</u> | Administrative action only |
| <u>29</u> | Legal action only |
| <u>57</u> | Administrative and legal action |
| <u>0</u> | Unknown |
| <u>632</u> | No action taken - suspect identified |
| <u>0</u> | No action taken - suspect unknown |

11. Types of administrative action taken against Federal employees. a/

| | |
|-----------|----------------------------|
| <u>57</u> | No action taken |
| <u>0</u> | Federal employee dismissed |

| | |
|------------|--|
| <u>0</u> | Federal employee suspended |
| <u>115</u> | Federal employee issued warning letter |
| <u>0</u> | Federal employee issued letter of counseling |
| <u>0</u> | Federal employee issued oral warning |
| <u>0</u> | Federal employee demoted |
| <u>0</u> | Federal employee transferred |
| <u>29</u> | Formal loss recovery plan agreed to |
| <u>0</u> | Extra duty (military) |
| <u>0</u> | Employee resigned pending dismissal |
| <u>0</u> | Other |
| <u>0</u> | Unknown |

12. Types of administrative action taken against non-Federal government organizations (contractors, corporations, non-profit organizations, state and local governments, etc.) or individuals. a/

| | |
|------------|--|
| <u>86</u> | Suspended from doing business with the Federal Government |
| <u>29</u> | Debarred from doing business with the Federal Government |
| <u>0</u> | Contract/grant cancelled |
| <u>316</u> | Issued warning and they agreed to take corrective action |
| <u>144</u> | Formal loss recovery plan agreed to |
| <u>632</u> | No action taken |
| <u>86</u> | Negotiating reimbursement |
| <u>0</u> | Declared ineligible for program participation under status claimed |
| <u>0</u> | Employee/enlistee dismissed; employment/enlistment denied |
| <u>86</u> | Other |
| <u>86</u> | Unknown |

13. Type of legal action or prosecution taken.

| | |
|-----------|--------------------------------|
| <u>0</u> | Civil prosecution |
| <u>86</u> | Criminal prosecution |
| <u>0</u> | Civil and criminal prosecution |
| <u>0</u> | Pre-trial diversion |
| <u>0</u> | Court martial |

14. Outcome of civil proceedings.

| | |
|----------|----------------------------|
| <u>0</u> | Judgment for plaintiff |
| <u>0</u> | Judgment for the defendant |
| <u>0</u> | Unknown |

15. Outcome of criminal prosecution. (Excludes court martials)

| | |
|-----------|---|
| <u>0</u> | Acquittal |
| <u>86</u> | Conviction (guilty plea, nolo contendere) |
| <u>0</u> | Other |

a/ In many cases, Federal agencies took more than one type administrative action against those who commit fraud or other illegal acts. All actions taken are recorded here.

AGENCY PROFILE

Department of Interior

The following statistics are for closed cases and open cases where some administrative or legal action was taken or no action was taken because no suspect could be identified.

1. Number of fraud or other illegal activity cases in the universe.

143

2. Functional areas in which fraud occurred.

| | |
|-----------|--|
| <u>9</u> | Procurement - award |
| <u>3</u> | Property disposition |
| <u>15</u> | Payroll |
| <u>0</u> | Grants |
| <u>0</u> | Financial assistance to individuals (excludes loans) |
| <u>3</u> | Enforcement (i.e. Customs, IRS) |
| <u>0</u> | Provision of health care or social services |
| <u>3</u> | Loans |
| <u>0</u> | Loan guarantees |
| <u>3</u> | Personnel |
| <u>64</u> | Inventory control/property management |
| <u>0</u> | Mail service |
| <u>15</u> | Cash control |
| <u>9</u> | Procurement - monitoring |
| <u>6</u> | Travel |
| <u>6</u> | Administrative services |
| <u>0</u> | Training and education |
| <u>0</u> | Personal property management |
| <u>3</u> | Other |
| <u>3</u> | Unknown |

3. Principal types of fraud

| | |
|-----------|------------------------------------|
| <u>12</u> | Work hour abuses |
| <u>64</u> | Private use of government property |
| <u>0</u> | Forgery |
| <u>0</u> | Kickbacks/Bribes |
| <u>12</u> | False statements |
| <u>0</u> | Non-performance of contract terms |
| <u>39</u> | Theft |
| <u>0</u> | Extortion |
| <u>0</u> | Food Stamp irregularities |
| <u>15</u> | Miscellaneous fraud |

4. The period of time over which the alleged fraudulent activity took place.

| | |
|------------|----------------------|
| <u>100</u> | Less than 3 months |
| <u>6</u> | 3 to 6 months |
| <u>12</u> | 6 months to one year |
| <u>6</u> | 1 to 2 years |
| <u>3</u> | More than 2 years |
| <u>15</u> | Unknown |

5. The period of time between occurrence and discovery of the fraudulent activity.

| | |
|------------|----------------------|
| <u>106</u> | Less than 3 months |
| <u>9</u> | 3 to 6 months |
| <u>9</u> | 6 months to one year |
| <u>3</u> | 1 to 2 years |
| <u>6</u> | More than 2 years |
| <u>9</u> | Unknown |

6. How the alleged fraud was discovered.

| | |
|-----------|--|
| <u>12</u> | Routine audit, inspection, investigation, or review |
| <u>0</u> | Specially requested audit, inspection, or review |
| <u>82</u> | Federal employee (knowledge gained through work) |
| <u>3</u> | Former federal employee |
| <u>0</u> | Contractor personnel |
| <u>0</u> | Grantee personnel (excludes state or local government personnel) |
| <u>0</u> | Former grantee personnel |
| <u>30</u> | Private individual (not former employee) |
| <u>12</u> | Informant |
| <u>0</u> | Consumer complaint form |
| <u>0</u> | Unsuccessful bidder |
| <u>0</u> | News media |
| <u>0</u> | Congressional Committee Member - Staff |
| <u>0</u> | Alleged victim |
| <u>0</u> | Confession by perpetrator |
| <u>0</u> | Law enforcement investigation - state & local |
| <u>3</u> | Other |
| <u>0</u> | Unknown |

7. Estimate of amount of loss incurred by Federal Government

| | |
|-----------|--------------------------------------|
| <u>24</u> | Less than \$100 |
| <u>39</u> | \$101 - \$1,000 |
| <u>9</u> | \$1,001 - \$10,000 |
| <u>6</u> | \$10,001 - \$100,000 |
| <u>0</u> | \$100,001 - \$500,000 |
| <u>0</u> | \$500,001 - \$1 million |
| <u>0</u> | Over \$1 million |
| <u>15</u> | Monetary loss - amount not available |

8. Participants in the alleged fraudulent activity.

| | |
|------------|---|
| <u>137</u> | Federal Government employees alone and with others |
| <u>0</u> | State and local government employees |
| <u>3</u> | Federal contractor(s)/grantee(s) personnel - other than state and local governments |

2 Corporate recipient(s) of Federal Government financial assistance
0 Individual recipient(s) of Federal Government financial assistance
0 Other individual citizens
0 Other corporate or business entities (such as lending institutions)
3 Unknown
0 State and local government employees in collusion with individual recipient(s) of Federal Government financial assistance
0 Federal contractor(s)/grantee(s) personnel - (other than state and local government(s)) in collusion with individual recipient(s) of Federal Government financial assistance
0 Corporate recipients of Federal Government financial assistance in collusion with individual recipient(s) of Federal Government financial assistance
0 Other corporate or business entities (such as lending institutions) in collusion with individual recipient(s) of Federal Government financial assistance

9. Status of fraud cases.

127 Closed (Includes cases officially closed by the agency)
16 Open (Includes cases under investigation and cases in which some action may have been taken but the cases were not officially closed)

The following statistics are for cases officially closed by the agency.

10. Type of action taken against perpetrator.

109 Administrative action only
0 Legal action only
0 Administrative and legal action
0 Unknown
18 No action taken - suspect identified
0 No action taken - suspect unknown

11. Types of administrative action taken against Federal employees. a/

18 No action taken
15 Federal employee dismissed

18 Federal employee suspended
9 Federal employee issued warning letter
18 Federal employee issued letter of counseling
15 Federal employee issued oral warning
0 Federal employee demoted
6 Federal employee transferred
39 Formal loss recovery plan agreed to
0 Extra duty (military)
9 Employee resigned pending dismissal
3 Other
6 Unknown

12. Types of administrative action taken against non-Federal government organizations (contractors, corporations, non-profit organizations, state and local governments, etc.) or individuals. a/

0 Suspended from doing business with the Federal Government
0 Debarred from doing business with the Federal Government
3 Contract/grant cancelled
3 Issued warning and they agreed to take corrective action
3 Formal loss recovery plan agreed to
3 No action taken
0 Negotiating reimbursement
0 Declared ineligible for program participation under status claimed
0 Employee/enlistee dismissed; employment/enlistment denied
0 Other
0 Unknown

13. Type of legal action or prosecution taken.

0 Civil prosecution
0 Criminal prosecution
0 Civil and criminal prosecution
0 Pre-trial diversion
0 Court martial

14. Outcome of civil proceedings.

0 Judgment for plaintiff
0 Judgment for the defendant
0 Unknown

15. Outcome of criminal prosecution. (Excludes court martials)

0 Acquittal
0 Conviction (guilty plea, nolo contendere)
0 Other

a/ In many cases, Federal agencies took more than one type administrative action against those who commit fraud or other illegal acts. All actions taken are recorded here.

AGENCY PROFILE

Department of Labor

The following statistics are for closed cases and open cases where some administrative or legal action was taken or no action was taken because no suspect could be identified.

1. Number of fraud or other illegal activity cases in the universe.

430

2. Functional areas in which fraud occurred.

| | |
|-----|--|
| 0 | Procurement - award |
| 0 | Property disposition |
| 44 | Payroll |
| 28 | Grants |
| 226 | Financial assistance to individuals (excludes loans) |
| 0 | Enforcement (i.e. Customs, IRS) |
| 0 | Provision of health care or social services |
| 0 | Loans |
| 0 | Loan guarantees |
| 45 | Personnel |
| 0 | Inventory control/property management |
| 0 | Mail service |
| 2 | Cash control |
| 0 | Procurement - monitoring |
| 0 | Travel |
| 2 | Administrative services |
| 82 | Training and education |
| 0 | Personal property management |
| 0 | Other |
| 0 | Unknown |

3. Principal types of fraud

| | |
|-----|------------------------------------|
| 28 | Work hour abuses |
| 0 | Private use of government property |
| 37 | Forgery |
| 0 | Kickbacks/Bribes |
| 280 | False statements |
| 49 | Non-performance of contract terms |
| 0 | Theft |
| 15 | Extortion |
| 0 | Food Stamp irregularities |
| 21 | Miscellaneous fraud |

4. The period of time over which the alleged fraudulent activity took place.

| | |
|-----|----------------------|
| 38 | Less than 3 months |
| 51 | 3 to 6 months |
| 108 | 6 months to one year |
| 100 | 1 to 2 years |
| 56 | More than 2 years |
| 78 | Unknown |

5. The period of time between occurrence and discovery of the fraudulent activity.

| | |
|-----|----------------------|
| 56 | Less than 3 months |
| 46 | 3 to 6 months |
| 53 | 6 months to one year |
| 143 | 1 to 2 years |
| 51 | More than 2 years |
| 50 | Unknown |

6. How the alleged fraud was discovered.

| | |
|-----|--|
| 75 | Routine audit, inspection, investigation, or review |
| 0 | Specially requested audit, inspection, or review |
| 171 | Federal employee (knowledge gained through work) |
| 0 | Former federal employee |
| 0 | Contractor personnel |
| 55 | Grantee personnel (excludes state or local government personnel) |
| 11 | Former grantee personnel |
| 4 | Private individual (not former employee) |
| 0 | Informant |
| 0 | Consumer complaint form |
| 0 | Unsuccessful bidder |
| 16 | News media |
| 0 | Congressional Committee Member - Staff |
| 0 | Alleged victim |
| 0 | Confession by perpetrator |
| 45 | Law enforcement investigation - state & local |
| 46 | Other |
| 4 | Unknown |

7. Estimate of amount of loss incurred by Federal Government

| | |
|-----|--------------------------------------|
| 2 | Less than \$100 |
| 41 | \$101 - \$1,000 |
| 155 | \$1,001 - \$10,000 |
| 72 | \$10,001 - \$100,000 |
| 12 | \$100,001 - \$500,000 |
| 16 | \$500,001 - \$1 million |
| 0 | Over \$1 million |
| 119 | Monetary loss - amount not available |

8. Participants in the alleged fraudulent activity.

| | |
|-----|---|
| 183 | Federal Government employees alone and with others |
| 35 | State and local government employees |
| 101 | Federal contractor(s)/grantee(s) personnel - other than state and local governments |

| | |
|-----------|--|
| <u>0</u> | Corporate recipient(s) of Federal Government financial assistance |
| <u>75</u> | Individual recipient(s) of Federal Government financial assistance |
| <u>14</u> | Other individual citizens |
| <u>0</u> | Other corporate or business entities (such as lending institutions) |
| <u>0</u> | Unknown |
| <u>9</u> | State and local government employees in collusion with individual recipient(s) of Federal Government financial assistance |
| <u>12</u> | Federal contractor(s)/grantee(s) personnel - (other than state and local government(s)) in collusion with individual recipient(s) of Federal Government financial assistance |
| <u>0</u> | Corporate recipients of Federal Government financial assistance in collusion with individual recipient(s) of Federal Government financial assistance |
| <u>0</u> | Other corporate or business entities (such as lending institutions) in collusion with individual recipient(s) of Federal Government financial assistance |

9. Status of fraud cases.

| | |
|------------|---|
| <u>356</u> | Closed (Includes cases officially closed by the agency) |
| <u>74</u> | Open (Includes cases under investigation and cases in which some action may have been taken but the cases were not officially closed) |

The following statistics are for cases officially closed by the agency.

10. Type of action taken against perpetrator.

| | |
|------------|--------------------------------------|
| <u>116</u> | Administrative action only |
| <u>12</u> | Legal action only |
| <u>34</u> | Administrative and legal action |
| <u>0</u> | Unknown |
| <u>194</u> | No action taken - suspect identified |
| <u>0</u> | No action taken - suspect unknown |

11. Types of administrative action taken against Federal employees. a/

| | |
|-----------|----------------------------|
| <u>85</u> | No action taken |
| <u>28</u> | Federal employee dismissed |

| | |
|-----------|--|
| <u>0</u> | Federal employee suspended |
| <u>0</u> | Federal employee issued warning letter |
| <u>0</u> | Federal employee issued letter of counseling |
| <u>0</u> | Federal employee issued oral warning |
| <u>0</u> | Federal employee demoted |
| <u>0</u> | Federal employee transferred |
| <u>42</u> | Formal loss recovery plan agreed to |
| <u>0</u> | Extra duty (military) |
| <u>0</u> | Employee resigned pending dismissal |
| <u>0</u> | Other |
| <u>0</u> | Unknown |

12. Types of administrative action taken against non-Federal government organizations (contractors, corporations, non-profit organizations, state and local governments, etc.) or individuals. a/

| | |
|------------|--|
| <u>7</u> | Suspended from doing business with the Federal Government |
| <u>0</u> | Debarred from doing business with the Federal Government |
| <u>7</u> | Contract/grant cancelled |
| <u>7</u> | Issued warning and they agreed to take corrective action |
| <u>19</u> | Formal loss recovery plan agreed to |
| <u>121</u> | No action taken |
| <u>0</u> | Negotiating reimbursement |
| <u>42</u> | Declared ineligible for program participation under status claimed |
| <u>0</u> | Employee/enlistee dismissed; employment/enlistment denied |
| <u>2</u> | Other |
| <u>3</u> | Unknown |

13. Type of legal action or prosecution taken.

| | |
|-----------|--------------------------------|
| <u>0</u> | Civil prosecution |
| <u>46</u> | Criminal prosecution |
| <u>0</u> | Civil and criminal prosecution |
| <u>0</u> | Pre-trial diversion |
| <u>0</u> | Court martial |

14. Outcome of civil proceedings.

| | |
|----------|----------------------------|
| <u>0</u> | Judgment for plaintiff |
| <u>0</u> | Judgment for the defendant |
| <u>0</u> | Unknown |

15. Outcome of criminal prosecution. (Excludes court martials)

| | |
|-----------|---|
| <u>0</u> | Acquittal |
| <u>46</u> | Conviction (guilty plea, nolo contendere) |
| <u>0</u> | Other |

a/ In many cases, Federal agencies took more than one type administrative action against those who commit fraud or other illegal acts. All actions taken are recorded here.

AGENCY PROFILE

Law Enforcement Assistance Administration

Department of Justice

The following statistics are for closed cases and open cases where some administrative or legal action was taken or no action was taken because no suspect could be identified.

1. Number of fraud or other illegal activity cases in the universe.

56

2. Functional areas in which fraud occurred.

| | |
|-----------|--|
| <u>3</u> | Procurement - award |
| <u>0</u> | Property disposition |
| <u>3</u> | Payroll |
| <u>13</u> | Grants |
| <u>0</u> | Financial assistance to individuals (excludes loans) |
| <u>0</u> | Enforcement (i.e. Customs, IRS) |
| <u>3</u> | Provision of health care or social services |
| <u>0</u> | Loans |
| <u>0</u> | Loan guarantees |
| <u>5</u> | Personnel |
| <u>5</u> | Inventory control/property management |
| <u>0</u> | Mail service |
| <u>5</u> | Cash control |
| <u>3</u> | Procurement - monitoring |
| <u>8</u> | Travel |
| <u>3</u> | Administrative services |
| <u>5</u> | Training and education |
| <u>0</u> | Personal property management |
| <u>0</u> | Other |
| <u>0</u> | Unknown |

3. Principal types of fraud

| | |
|-----------|------------------------------------|
| <u>0</u> | Work hour abuses |
| <u>0</u> | Private use of government property |
| <u>3</u> | Forgery |
| <u>5</u> | Kickbacks/Bribes |
| <u>13</u> | False statements |
| <u>16</u> | Non-performance of contract terms |
| <u>8</u> | Theft |
| <u>0</u> | Extortion |
| <u>0</u> | Food Stamp irregularities |
| <u>11</u> | Miscellaneous fraud |

4. The period of time over which the alleged fraudulent activity took place.

| | |
|-----------|----------------------|
| <u>13</u> | Less than 3 months |
| <u>3</u> | 3 to 6 months |
| <u>19</u> | 6 months to one year |
| <u>8</u> | 1 to 2 years |
| <u>8</u> | More than 2 years |
| <u>5</u> | Unknown |

5. The period of time between occurrence and discovery of the fraudulent activity.

| | |
|-----------|----------------------|
| <u>5</u> | Less than 3 months |
| <u>8</u> | 3 to 6 months |
| <u>8</u> | 6 months to one year |
| <u>19</u> | 1 to 2 years |
| <u>8</u> | More than 2 years |
| <u>8</u> | Unknown |

6. How the alleged fraud was discovered.

| | |
|-----------|--|
| <u>19</u> | Routine audit, inspection, investigation, or review |
| <u>0</u> | Specially requested audit, inspection, or review |
| <u>5</u> | Federal employee (knowledge gained through work) |
| <u>0</u> | Former federal employee |
| <u>0</u> | Contractor personnel |
| <u>3</u> | Grantee personnel (excludes state or local government personnel) |
| <u>0</u> | Former grantee personnel |
| <u>8</u> | Private individual (not former employee) |
| <u>3</u> | Informant |
| <u>0</u> | Consumer complaint form |
| <u>3</u> | Unsuccessful bidder |
| <u>3</u> | News media |
| <u>0</u> | Congressional Committee Member - Staff |
| <u>0</u> | Alleged victim |
| <u>0</u> | Confession by perpetrator |
| <u>0</u> | Law enforcement investigation - state & local |
| <u>14</u> | Other |
| <u>0</u> | Unknown |

7. Estimate of amount of loss incurred by Federal Government

| | |
|-----------|--------------------------------------|
| <u>3</u> | Less than \$100 |
| <u>13</u> | \$101 - \$1,000 |
| <u>8</u> | \$1,001 - \$10,000 |
| <u>16</u> | \$10,001 - \$100,000 |
| <u>0</u> | \$100,001 - \$500,000 |
| <u>0</u> | \$500,001 - \$1 million |
| <u>0</u> | Over \$1 million |
| <u>13</u> | Monetary loss - amount not available |

8. Participants in the alleged fraudulent activity.

| | |
|-----------|---|
| <u>3</u> | Federal Government employees <i>alone and with others</i> |
| <u>29</u> | State and local government employees |
| <u>19</u> | Federal contractor(s)/grantee(s) personnel - other than state and local governments |

0 Corporate recipient(s) of Federal Government financial assistance
0 Individual recipient(s) of Federal Government financial assistance
3 Other individual citizens
0 Other corporate or business entities (such as lending institutions)
3 Unknown
0 State and local government employees in collusion with individual recipient(s) of Federal Government financial assistance
0 Federal contractor(s)/grantee(s) personnel - (other than state and local government(s)) in collusion with individual recipient(s) of Federal Government financial assistance
0 Corporate recipients of Federal Government financial assistance in collusion with individual recipient(s) of Federal Government financial assistance
0 Other corporate or business entities (such as lending institutions) in collusion with individual recipient(s) of Federal Government financial assistance

9. Status of fraud cases.

46 Closed (Includes cases officially closed by the agency)
10 Open (Includes cases under investigation and cases in which some action may have been taken but the cases were not officially closed)

The following statistics are for cases officially closed by the agency.

10. Type of action taken against perpetrator.

19 Administrative action only
3 Legal action only
3 Administrative and legal action
0 Unknown
19 No action taken - suspect identified
3 No action taken - suspect unknown

11. Types of administrative action taken against Federal employees. a/

0 No action taken
0 Federal employee dismissed

0 Federal employee suspended
0 Federal employee issued warning letter
0 Federal employee issued letter of counseling
0 Federal employee issued oral warning
0 Federal employee demoted
0 Federal employee transferred
0 Formal loss recovery plan agreed to
0 Extra duty (military)
0 Employee resigned pending dismissal
0 Other
0 Unknown

12. Types of administrative action taken against non-Federal government organizations (contractors, corporations, non-profit organizations, state and local governments, etc.) or individuals. a/

0 Suspended from doing business with the Federal Government
0 Debarred from doing business with the Federal Government
3 Contract/grant cancelled
5 Issued warning and they agreed to take corrective action
11 Formal loss recovery plan agreed to
21 No action taken
5 Negotiating reimbursement
0 Declared ineligible for program participation under status claimed
0 Employee/enlistee dismissed; employment/enlistment denied
0 Other
0 Unknown

13. Type of legal action or prosecution taken.

0 Civil prosecution
5 Criminal prosecution
0 Civil and criminal prosecution
0 Pre-trial diversion
0 Court martial

14. Outcome of civil proceedings.

0 Judgment for plaintiff
0 Judgment for the defendant
0 Unknown

15. Outcome of criminal prosecution. (Excludes court martials)

3 Acquittal
3 Conviction (guilty plea, nolo contendere)
0 Other

a/ In many cases, federal agencies took more than one type administrative action against those who commit fraud or other illegal acts. All actions taken are recorded here.

AGENCY PROFILE

U.S. Postal Service

The following statistics are for closed cases and open cases where some administrative or legal action was taken or no action was taken because no suspect could be identified.

1. Number of fraud or other illegal activity cases in the universe.

11,161

2. Functional areas in which fraud occurred.

| | |
|--------------|--|
| <u>13</u> | Procurement - award |
| <u>0</u> | Property disposition |
| <u>409</u> | Payroll |
| <u>0</u> | Grants |
| <u>0</u> | Financial assistance to individuals (excludes loans) |
| <u>0</u> | Enforcement (i.e. Customs, IRS) |
| <u>0</u> | Provision of health care or social services |
| <u>0</u> | Loans |
| <u>0</u> | Loan guarantees |
| <u>108</u> | Personnel |
| <u>882</u> | Inventory control/property management |
| <u>7,674</u> | Mail service |
| <u>2,075</u> | Cash control |
| <u>0</u> | Procurement - monitoring |
| <u>0</u> | Travel |
| <u>0</u> | Administrative services |
| <u>0</u> | Training and education |
| <u>0</u> | Personal property management |
| <u>0</u> | Other |
| <u>0</u> | Unknown |

3. Principal types of fraud

| | |
|--------------|------------------------------------|
| <u>296</u> | Work hour abuses |
| <u>83</u> | Private use of government property |
| <u>107</u> | Forgery |
| <u>0</u> | Kickbacks/Bribes |
| <u>325</u> | False statements |
| <u>14</u> | Non-performance of contract terms |
| <u>7,783</u> | Theft |
| <u>0</u> | Extortion |
| <u>0</u> | Food Stamp irregularities |
| <u>2,552</u> | Miscellaneous fraud |

4. The period of time over which the alleged fraudulent activity took place.

| | |
|--------------|----------------------|
| <u>7,948</u> | Less than 3 months |
| <u>798</u> | 3 to 6 months |
| <u>624</u> | 6 months to one year |
| <u>536</u> | 1 to 2 years |
| <u>244</u> | More than 2 years |
| <u>1,012</u> | Unknown |

5. The period of time between occurrence and discovery of the fraudulent activity.

| | |
|--------------|----------------------|
| <u>8,201</u> | Less than 3 months |
| <u>976</u> | 3 to 6 months |
| <u>538</u> | 6 months to one year |
| <u>268</u> | 1 to 2 years |
| <u>192</u> | More than 2 years |
| <u>987</u> | Unknown |

6. How the alleged fraud was discovered.

| | |
|--------------|--|
| <u>2,224</u> | Routine audit, inspection, investigation, or review |
| <u>835</u> | Specially requested audit, inspection, or review |
| <u>3,952</u> | Federal employee (knowledge gained through work) |
| <u>0</u> | Former federal employee |
| <u>176</u> | Contractor personnel |
| <u>0</u> | Grantee personnel (excludes state or local government personnel) |
| <u>0</u> | Former grantee personnel |
| <u>2,834</u> | Private individual (not former employee) |
| <u>237</u> | Informant |
| <u>338</u> | Consumer complaint form |
| <u>0</u> | Unsuccessful bidder |
| <u>0</u> | News media |
| <u>0</u> | Congressional Committee Member - Staff |
| <u>0</u> | Alleged victim |
| <u>0</u> | Confession by perpetrator |
| <u>0</u> | Law enforcement investigation - state & local |
| <u>314</u> | Other |
| <u>258</u> | Unknown |

7. Estimate of amount of loss incurred by Federal Government

| | |
|--------------|--------------------------------------|
| <u>1,667</u> | Less than \$100 |
| <u>3,626</u> | \$101 - \$1,000 |
| <u>799</u> | \$1,001 - \$10,000 |
| <u>153</u> | \$10,001 - \$100,000 |
| <u>0</u> | \$100,001 - \$500,000 |
| <u>0</u> | \$500,001 - \$1 million |
| <u>28</u> | Over \$1 million |
| <u>1,374</u> | Monetary loss - amount not available |

8. Participants in the alleged fraudulent activity.

| | |
|--------------|---|
| <u>6,514</u> | Federal Government employees alone and with others |
| <u>122</u> | State and local government employees |
| <u>567</u> | Federal contractor(s)/grantee(s) personnel - other than state and local governments |

| | |
|--------------|--|
| <u>0</u> | Corporate recipient(s) of Federal Government financial assistance |
| <u>0</u> | Individual recipient(s) of Federal Government financial assistance |
| <u>1,550</u> | Other individual citizens |
| <u>329</u> | Other corporate or business entities (such as lending institutions) |
| <u>2,080</u> | Unknown |
| <u>0</u> | State and local government employees in collusion with individual recipient(s) of Federal Government financial assistance |
| <u>0</u> | Federal contractor(s)/grantee(s) personnel - (other than state and local government(s)) in collusion with individual recipient(s) of Federal Government financial assistance |
| <u>0</u> | Corporate recipients of Federal Government financial assistance in collusion with individual recipient(s) of Federal Government financial assistance |
| <u>0</u> | Other corporate or business entities (such as lending institutions) in collusion with individual recipient(s) of Federal Government financial assistance |

9. Status of fraud cases.

| | |
|---------------|---|
| <u>10,693</u> | Closed (Includes cases officially closed by the agency) |
| <u>468</u> | Open (Includes cases under investigation and cases in which some action may have been taken but the cases were not officially closed) |

The following statistics are for cases officially closed by the agency.

10. Type of action taken against perpetrator.

| | |
|--------------|--------------------------------------|
| <u>4,504</u> | Administrative action only |
| <u>252</u> | Legal action only |
| <u>2,133</u> | Administrative and legal action |
| <u>187</u> | Unknown |
| <u>1,757</u> | No action taken - suspect identified |
| <u>1,861</u> | No action taken - suspect unknown |

11. Types of administrative action taken against Federal employees. a/

| | |
|--------------|----------------------------|
| <u>1,257</u> | No action taken |
| <u>2,053</u> | Federal employee dismissed |

| | |
|--------------|--|
| <u>977</u> | Federal employee suspended |
| <u>207</u> | Federal employee issued warning letter |
| <u>243</u> | Federal employee issued letter of counseling |
| <u>304</u> | Federal employee issued oral warning |
| <u>197</u> | Federal employee demoted |
| <u>214</u> | Federal employee transferred |
| <u>1,315</u> | Formal loss recovery plan agreed to |
| <u>0</u> | Extra duty (military) |
| <u>695</u> | Employee resigned pending dismissal |
| <u>321</u> | Other |
| <u>23</u> | Unknown |

12. Types of administrative action taken against non-Federal government organizations (contractors, corporations, non-profit organizations, state and local governments, etc.) or individuals. a/

| | |
|--------------|--|
| <u>23</u> | Suspended from doing business with the Federal Government |
| <u>0</u> | Debarred from doing business with the Federal Government |
| <u>93</u> | Contract/grant cancelled |
| <u>814</u> | Issued warning and they agreed to take corrective action |
| <u>1,234</u> | Formal loss recovery plan agreed to |
| <u>1,044</u> | No action taken |
| <u>77</u> | Negotiating reimbursement |
| <u>0</u> | Declared ineligible for program participation under status claimed |
| <u>0</u> | Employee/enlistee dismissed; employment/enlistment denied |
| <u>126</u> | Other |
| <u>57</u> | Unknown |

13. Type of legal action or prosecution taken.

| | |
|--------------|--------------------------------|
| <u>0</u> | Civil prosecution |
| <u>1,911</u> | Criminal prosecution |
| <u>0</u> | Civil and criminal prosecution |
| <u>419</u> | Pre-trial diversion |
| <u>55</u> | Court martial |

14. Outcome of civil proceedings.

| | |
|----------|----------------------------|
| <u>0</u> | Judgment for plaintiff |
| <u>0</u> | Judgment for the defendant |
| <u>0</u> | Unknown |

15. Outcome of criminal prosecution. (Excludes court martials)

| | |
|--------------|---|
| <u>74</u> | Acquittal |
| <u>1,818</u> | Conviction (guilty plea, nolo contendere) |
| <u>74</u> | Other |

a/ In many cases, Federal agencies took more than one type administrative action against those who commit fraud or other illegal acts. All actions taken are recorded here.

AGENCY PROFILE

Small Business Administration

The following statistics are for closed cases and open cases where some administrative or legal action was taken or no action was taken because no suspect could be identified.

1. Number of fraud or other illegal activity cases in the universe.

692

2. Functional areas in which fraud occurred.

| | |
|------------|--|
| <u>27</u> | Procurement - award |
| <u>0</u> | Property disposition |
| <u>0</u> | Payroll |
| <u>0</u> | Grants |
| <u>0</u> | Financial assistance to individuals (excludes loans) |
| <u>0</u> | Enforcement (i.e. Customs, IRS) |
| <u>0</u> | Provision of health care or social services |
| <u>359</u> | Loans |
| <u>262</u> | Loan guarantees |
| <u>23</u> | Personnel |
| <u>3</u> | Inventory control/property management |
| <u>0</u> | Mail service |
| <u>3</u> | Cash control |
| <u>0</u> | Procurement - monitoring |
| <u>15</u> | Travel |
| <u>0</u> | Administrative services |
| <u>0</u> | Training and education |
| <u>0</u> | Personal property management |
| <u>0</u> | Other |
| <u>0</u> | Unknown |

3. Principal types of fraud

| | |
|------------|------------------------------------|
| <u>5</u> | Work hour abuses |
| <u>13</u> | Private use of government property |
| <u>1</u> | Forgery |
| <u>27</u> | Kickbacks/Bribes |
| <u>235</u> | False statements |
| <u>10</u> | Non-performance of contract terms |
| <u>5</u> | Theft |
| <u>12</u> | Extortion |
| <u>0</u> | Food Stamp irregularities |
| <u>383</u> | Miscellaneous fraud |

4. The period of time over which the alleged fraudulent activity took place.

| | |
|------------|----------------------|
| <u>413</u> | Less than 3 months |
| <u>64</u> | 3 to 6 months |
| <u>39</u> | 6 months to one year |
| <u>30</u> | 1 to 2 years |
| <u>46</u> | More than 2 years |
| <u>101</u> | Unknown |

5. The period of time between occurrence and discovery of the fraudulent activity.

| | |
|------------|----------------------|
| <u>173</u> | Less than 3 months |
| <u>117</u> | 3 to 6 months |
| <u>117</u> | 6 months to one year |
| <u>110</u> | 1 to 2 years |
| <u>88</u> | More than 2 years |
| <u>86</u> | Unknown |

6. How the alleged fraud was discovered.

| | |
|------------|--|
| <u>24</u> | Routine audit, inspection, investigation, or review |
| <u>12</u> | Specially requested audit, inspection, or review |
| <u>412</u> | Federal employee (knowledge gained through work) |
| <u>0</u> | Former federal employee |
| <u>3</u> | Contractor personnel |
| <u>10</u> | Grantee personnel (excludes state or local government personnel) |
| <u>0</u> | Former grantee personnel |
| <u>109</u> | Private individual (not former employee) |
| <u>32</u> | Informant |
| <u>0</u> | Consumer complaint form |
| <u>10</u> | Unsuccessful bidder |
| <u>0</u> | News media |
| <u>1</u> | Congressional Committee Member - Staff |
| <u>0</u> | Alleged victim |
| <u>0</u> | Confession by perpetrator |
| <u>0</u> | Law enforcement investigation - state & local |
| <u>51</u> | Other |
| <u>29</u> | Unknown |

7. Estimate of amount of loss incurred by Federal Government

| | |
|------------|--------------------------------------|
| <u>16</u> | Less than \$100 |
| <u>3</u> | \$101 - \$1,000 |
| <u>139</u> | \$1,001 - \$10,000 |
| <u>317</u> | \$10,001 - \$100,000 |
| <u>39</u> | \$100,001 - \$500,000 |
| <u>0</u> | \$500,001 - \$1 million |
| <u>1</u> | Over \$1 million |
| <u>19</u> | Monetary loss - amount not available |

8. Participants in the alleged fraudulent activity.

| | |
|-----------|---|
| <u>95</u> | Federal Government employees alone and with others |
| <u>0</u> | State and local government employees |
| <u>10</u> | Federal contractor(s)/grantee(s) personnel - other than state and local governments |

| | |
|------------|--|
| <u>517</u> | Corporate recipient(s) of Federal Government financial assistance |
| <u>58</u> | Individual recipient(s) of Federal Government financial assistance |
| <u>0</u> | Other individual citizens |
| <u>11</u> | Other corporate or business entities (such as lending institutions) |
| <u>1</u> | Unknown |
| <u>0</u> | State and local government employees in collusion with individual recipient(s) of Federal Government financial assistance |
| <u>0</u> | Federal contractor(s)/grantee(s) personnel - (other than state and local government(s)) in collusion with individual recipient(s) of Federal Government financial assistance |
| <u>0</u> | Corporate recipients of Federal Government financial assistance in collusion with individual recipient(s) of Federal Government financial assistance |
| <u>0</u> | Other corporate or business entities (such as lending institutions) in collusion with individual recipient(s) of Federal Government financial assistance |

9. Status of fraud cases.

| | |
|------------|---|
| <u>690</u> | Closed (Includes cases officially closed by the agency) |
| <u>2</u> | Open (Includes cases under investigation and cases in which some action may have been taken but the cases were not officially closed) |

The following statistics are for cases officially closed by the agency.

10. Type of action taken against perpetrator.

| | |
|------------|--------------------------------------|
| <u>487</u> | Administrative action only |
| <u>49</u> | Legal action only |
| <u>18</u> | Administrative and legal action |
| <u>13</u> | Unknown |
| <u>123</u> | No action taken - suspect identified |
| <u>0</u> | No action taken - suspect unknown |

11. Types of administrative action taken against Federal employees. a/

| | |
|-----------|----------------------------|
| <u>40</u> | No action taken |
| <u>11</u> | Federal employee dismissed |

| | |
|-----------|--|
| <u>5</u> | Federal employee suspended |
| <u>8</u> | Federal employee issued warning letter |
| <u>3</u> | Federal employee issued letter of counseling |
| <u>0</u> | Federal employee issued oral warning |
| <u>3</u> | Federal employee demoted |
| <u>3</u> | Federal employee transferred |
| <u>0</u> | Formal loss recovery plan agreed to |
| <u>0</u> | Extra duty (military) |
| <u>22</u> | Employee resigned pending dismissal |
| <u>10</u> | Other |
| <u>3</u> | Unknown |

12. Types of administrative action taken against non-Federal government organizations (contractors, corporations, non-profit organizations, state and local governments, etc.) or individuals. a/

| | |
|------------|--|
| <u>0</u> | Suspended from doing business with the Federal Government |
| <u>0</u> | Debarred from doing business with the Federal Government |
| <u>0</u> | Contract/grant cancelled |
| <u>0</u> | Issued warning and they agreed to take corrective action |
| <u>80</u> | Formal loss recovery plan agreed to |
| <u>177</u> | No action taken |
| <u>0</u> | Negotiating reimbursement |
| <u>29</u> | Declared ineligible for program participation under status claimed |
| <u>0</u> | Employee/enlistee dismissed; employment/enlistment denied |
| <u>0</u> | Other |
| <u>352</u> | Unknown |

13. Type of legal action or prosecution taken.

| | |
|-----------|--------------------------------|
| <u>10</u> | Civil prosecution |
| <u>47</u> | Criminal prosecution |
| <u>0</u> | Civil and criminal prosecution |
| <u>10</u> | Pre-trial diversion |
| <u>0</u> | Court martial |

14. Outcome of civil proceedings.

| | |
|-----------|----------------------------|
| <u>10</u> | Judgment for plaintiff |
| <u>0</u> | Judgment for the defendant |
| <u>0</u> | Unknown |

15. Outcome of criminal prosecution. (Excludes court martials)

| | |
|-----------|---|
| <u>3</u> | Acquittal |
| <u>44</u> | Conviction (guilty plea, nolo contendere) |
| <u>0</u> | Other |

a/ In many cases, Federal agencies took more than one type administrative action against those who commit fraud or other illegal acts. All actions taken are recorded here.

AGENCY PROFILE
Social Security Administration

The following statistics are for closed cases and open cases where some administrative or legal action was taken or no action was taken because no suspect could be identified.

1. Number of fraud or other illegal activity cases in the universe.

13,147

2. Functional areas in which fraud occurred.

| | |
|---------------|--|
| <u>0</u> | Procurement - award |
| <u>0</u> | Property disposition |
| <u>0</u> | Payroll |
| <u>0</u> | Grants |
| <u>13,147</u> | Financial assistance to individuals (excludes loans) |
| <u>0</u> | Enforcement (i.e. Customs, IRS) |
| <u>0</u> | Provision of health care or social services |
| <u>0</u> | Loans |
| <u>0</u> | Loan guarantees |
| <u>0</u> | Personnel |
| <u>0</u> | Inventory control/property management |
| <u>0</u> | Mail service |
| <u>0</u> | Cash control |
| <u>0</u> | Procurement - monitoring |
| <u>0</u> | Travel |
| <u>0</u> | Administrative services |
| <u>0</u> | Training and education |
| <u>0</u> | Personal property management |
| <u>0</u> | Other |
| <u>0</u> | Unknown |

3. Principal types of fraud

| | |
|---------------|------------------------------------|
| <u>0</u> | Work hour abuses |
| <u>0</u> | Private use of government property |
| <u>287</u> | Forgery |
| <u>0</u> | Kickbacks/Bribes |
| <u>12,045</u> | false statements |
| <u>0</u> | Non-performance of contract terms |
| <u>594</u> | Theft |
| <u>221</u> | Extortion |
| <u>0</u> | Food Stamp irregularities |
| <u>0</u> | Miscellaneous fraud |

4. The period of time over which the alleged fraudulent activity took place.

| | |
|--------------|----------------------|
| <u>1,672</u> | Less than 3 months |
| <u>1,392</u> | 3 to 6 months |
| <u>2,327</u> | 6 months to one year |
| <u>2,727</u> | 1 to 2 years |
| <u>4,421</u> | More than 2 years |
| <u>609</u> | Unknown |

5. The period of time between occurrence and discovery of the fraudulent activity.

| | |
|--------------|----------------------|
| <u>1,458</u> | Less than 3 months |
| <u>1,090</u> | 3 to 6 months |
| <u>1,946</u> | 6 months to one year |
| <u>3,216</u> | 1 to 2 years |
| <u>4,541</u> | More than 2 years |
| <u>896</u> | Unknown |

6. How the alleged fraud was discovered.

| | |
|--------------|--|
| <u>7,778</u> | Routine audit, inspection, investigation, or review |
| <u>187</u> | Specially requested audit, inspection, or review |
| <u>709</u> | Federal employee (knowledge gained through work) |
| <u>0</u> | Former federal employee |
| <u>0</u> | Contractor personnel |
| <u>0</u> | Grantee personnel (excludes state or local government personnel) |
| <u>0</u> | Former grantee personnel |
| <u>1,932</u> | Private individual (not former employee) |
| <u>582</u> | Informant |
| <u>0</u> | Consumer complaint form |
| <u>0</u> | Unsuccessful bidder |
| <u>0</u> | News media |
| <u>0</u> | Congressional Committee Member - Staff |
| <u>0</u> | Alleged victim |
| <u>628</u> | Confession by perpetrator |
| <u>47</u> | Law enforcement investigation - state & local |
| <u>803</u> | Other |
| <u>481</u> | Unknown |

7. Estimate of amount of loss incurred by Federal Government

| | |
|--------------|--------------------------------------|
| <u>295</u> | Less than \$100 |
| <u>3,692</u> | \$101 - \$1,000 |
| <u>6,205</u> | \$1,001 - \$10,000 |
| <u>415</u> | \$10,001 - \$100,000 |
| <u>0</u> | \$100,001 - \$500,000 |
| <u>0</u> | \$500,001 - \$1 million |
| <u>0</u> | Over \$1 million |
| <u>783</u> | Monetary loss - amount not available |

8. Participants in the alleged fraudulent activity.

| | |
|-----------|---|
| <u>74</u> | Federal Government employees alone and with others |
| <u>0</u> | State and local government employees |
| <u>0</u> | Federal contractor(s)/grantee(s) personnel - other than state and local governments |

| | |
|---------------|--|
| <u>0</u> | Corporate recipient(s) of Federal Government financial assistance |
| <u>11,262</u> | Individual recipient(s) of Federal Government financial assistance |
| <u>1,733</u> | Other individual citizens |
| <u>0</u> | Other corporate or business entities (such as lending institutions) |
| <u>0</u> | Unknown |
| <u>0</u> | State and local government employees in collusion with individual recipient(s) of Federal Government financial assistance |
| <u>0</u> | Federal contractor(s)/grantee(s) personnel - (other than state and local government(s)) in collusion with individual recipient(s) of Federal Government financial assistance |
| <u>74</u> | Corporate recipients of Federal Government financial assistance in collusion with individual recipient(s) of Federal Government financial assistance |
| <u>0</u> | Other corporate or business entities (such as lending institutions) in collusion with individual recipient(s) of Federal Government financial assistance |

9. Status of fraud cases.

| | |
|---------------|---|
| <u>11,657</u> | Closed (Includes cases officially closed by the agency) |
| <u>1,490</u> | Open (Includes cases under investigation and cases in which some action may have been taken but the cases were not officially closed) |

The following statistics are for cases officially closed by the agency.

10. Type of action taken against perpetrator.

| | |
|--------------|--------------------------------------|
| <u>8,854</u> | Administrative action only |
| <u>636</u> | Legal action only |
| <u>147</u> | Administrative and legal action |
| <u>0</u> | Unknown |
| <u>2,020</u> | No action taken - suspect identified |
| <u>0</u> | No action taken - suspect unknown |

11. Types of administrative action taken against Federal employees. a/

| | |
|----------|----------------------------|
| <u>0</u> | No action taken |
| <u>0</u> | Federal employee dismissed |

| | |
|----------|--|
| <u>0</u> | Federal employee suspended |
| <u>0</u> | Federal employee issued warning letter |
| <u>0</u> | Federal employee issued letter of counseling |
| <u>0</u> | Federal employee issued oral warning |
| <u>0</u> | Federal employee demoted |
| <u>0</u> | Federal employee transferred |
| <u>0</u> | Formal loss recovery plan agreed to |
| <u>0</u> | Extra duty (military) |
| <u>0</u> | Employee resigned pending dismissal |
| <u>0</u> | Other |
| <u>0</u> | Unknown |

12. Types of administrative action taken against non-Federal government organizations (contractors, corporations, non-profit organizations, state and local governments, etc.) or individuals. a/

| | |
|--------------|--|
| <u>0</u> | Suspended from doing business with the Federal Government |
| <u>0</u> | Debarred from doing business with the Federal Government |
| <u>0</u> | Contract/grant cancelled |
| <u>93</u> | Issued warning and they agreed to take corrective action |
| <u>4,654</u> | Formal loss recovery plan agreed to |
| <u>2,656</u> | No action taken |
| <u>1,524</u> | Negotiating reimbursement |
| <u>2,653</u> | Declared ineligible for program participation under status claimed |
| <u>0</u> | Employee/enlistee dismissed; employment/enlistment denied |
| <u>454</u> | Other |
| <u>1,345</u> | Unknown |

13. Type of legal action or prosecution taken.

| | |
|------------|--------------------------------|
| <u>0</u> | Civil prosecution |
| <u>636</u> | Criminal prosecution |
| <u>0</u> | Civil and criminal prosecution |
| <u>147</u> | Pre-trial diversion |
| <u>0</u> | Court martial |

14. Outcome of civil proceedings.

| | |
|----------|----------------------------|
| <u>0</u> | Judgment for plaintiff |
| <u>0</u> | Judgment for the defendant |
| <u>0</u> | Unknown |

15. Outcome of criminal prosecution. (Excludes court martials)

| | |
|------------|---|
| <u>0</u> | Acquittal |
| <u>636</u> | Conviction (guilty plea, nolo contendere) |
| <u>0</u> | Other |

a/ In many cases, Federal agencies took more than one type administrative action against those who commit fraud or other illegal acts. All actions taken are recorded here.

AGENCY PROFILE

Department of Transportation

The following statistics are for closed cases and open cases where some administrative or legal action was taken or no action was taken because no suspect could be identified.

1. Number of fraud or other illegal activity cases in the universe.

548

2. Functional areas in which fraud occurred.

| | |
|------------|--|
| <u>26</u> | Procurement - award |
| <u>2</u> | Property disposition |
| <u>88</u> | Payroll |
| <u>4</u> | Grants |
| <u>4</u> | Financial assistance to individuals (excludes loans) |
| <u>14</u> | Enforcement (i.e. Customs, IRS) |
| <u>0</u> | Provision of health care or social services |
| <u>0</u> | Loans |
| <u>0</u> | Loan guarantees |
| <u>61</u> | Personnel |
| <u>232</u> | Inventory control/property management |
| <u>8</u> | Mail service |
| <u>16</u> | Cash control |
| <u>18</u> | Procurement - monitoring |
| <u>57</u> | Travel |
| <u>12</u> | Administrative services |
| <u>0</u> | Training and education |
| <u>0</u> | Personal property management |
| <u>4</u> | Other |
| <u>0</u> | Unknown |

3. Principal types of fraud

| | |
|------------|------------------------------------|
| <u>62</u> | Work hour abuses |
| <u>47</u> | Private use of government property |
| <u>6</u> | Forgery |
| <u>31</u> | Kickbacks/Bribes |
| <u>142</u> | False statements |
| <u>8</u> | Non-performance of contract terms |
| <u>212</u> | Theft |
| <u>4</u> | Extortion |
| <u>0</u> | Food Stamp irregularities |
| <u>37</u> | Miscellaneous fraud |

4. The period of time over which the alleged fraudulent activity took place.

| | |
|------------|----------------------|
| <u>379</u> | Less than 3 months |
| <u>33</u> | 3 to 6 months |
| <u>18</u> | 6 months to one year |
| <u>45</u> | 1 to 2 years |
| <u>36</u> | More than 2 years |
| <u>36</u> | Unknown |

5. The period of time between occurrence and discovery of the fraudulent activity.

| | |
|------------|----------------------|
| <u>314</u> | Less than 3 months |
| <u>45</u> | 3 to 6 months |
| <u>45</u> | 6 months to one year |
| <u>53</u> | 1 to 2 years |
| <u>40</u> | More than 2 years |
| <u>51</u> | Unknown |

6. How the alleged fraud was discovered.

| | |
|------------|--|
| <u>59</u> | Routine audit, inspection, investigation, or review |
| <u>34</u> | Specially requested audit, inspection, or review |
| <u>354</u> | Federal employee (knowledge gained through work) |
| <u>8</u> | Former federal employee |
| <u>10</u> | Contractor personnel |
| <u>0</u> | Grantee personnel (excludes state or local government personnel) |
| <u>0</u> | Former grantee personnel |
| <u>28</u> | Private individual (not former employee) |
| <u>14</u> | Informant |
| <u>0</u> | Consumer complaint form |
| <u>0</u> | Unsuccessful bidder |
| <u>0</u> | News media |
| <u>0</u> | Congressional Committee Member - Staff |
| <u>0</u> | Alleged victim |
| <u>0</u> | Confession by perpetrator |
| <u>0</u> | Law enforcement investigation - state & local |
| <u>12</u> | Other |
| <u>28</u> | Unknown |

7. Estimate of amount of loss incurred by Federal Government

| | |
|------------|--------------------------------------|
| <u>59</u> | Less than \$100 |
| <u>217</u> | \$101 - \$1,000 |
| <u>61</u> | \$1,001 - \$10,000 |
| <u>30</u> | \$10,001 - \$100,000 |
| <u>4</u> | \$100,001 - \$500,000 |
| <u>0</u> | \$500,001 - \$1 million |
| <u>0</u> | Over \$1 million |
| <u>156</u> | Monetary loss - amount not available |

8. Participants in the alleged fraudulent activity.

| | |
|------------|---|
| <u>391</u> | Federal Government employees alone and with others |
| <u>20</u> | State and local government employees |
| <u>16</u> | Federal contractor(s)/grantee(s) personnel - other than state and local governments |

| | |
|-----------|--|
| <u>6</u> | Corporate recipient(s) of Federal Government financial assistance |
| <u>0</u> | Individual recipient(s) of Federal Government financial assistance |
| <u>28</u> | Other individual citizens |
| <u>0</u> | Other corporate or business entities (such as lending institutions) |
| <u>87</u> | Unknown |
| <u>0</u> | State and local government employees in collusion with individual recipient(s) of Federal Government financial assistance |
| <u>0</u> | Federal contractor(s)/grantee(s) personnel - (other than state and local government(s)) in collusion with individual recipient(s) of Federal Government financial assistance |
| <u>0</u> | Corporate recipients of Federal Government financial assistance in collusion with individual recipient(s) of Federal Government financial assistance |
| <u>0</u> | Other corporate or business entities (such as lending institutions) in collusion with individual recipient(s) of Federal Government financial assistance |

9. Status of fraud cases.

| | |
|------------|---|
| <u>514</u> | Closed (Includes cases officially closed by the agency) |
| <u>34</u> | Open (Includes cases under investigation and cases in which some action may have been taken but the cases were not officially closed) |

The following statistics are for cases officially closed by the agency.

10. Type of action taken against perpetrator.

| | |
|------------|--------------------------------------|
| <u>297</u> | Administrative action only |
| <u>4</u> | Legal action only |
| <u>16</u> | Administrative and legal action |
| <u>0</u> | Unknown |
| <u>113</u> | No action taken - suspect identified |
| <u>83</u> | No action taken - suspect unknown |

11. Types of administrative action taken against Federal employees. a/

| | |
|------------|----------------------------|
| <u>115</u> | No action taken |
| <u>25</u> | Federal employee dismissed |

| | |
|-----------|--|
| <u>37</u> | Federal employee suspended |
| <u>37</u> | Federal employee issued warning letter |
| <u>14</u> | Federal employee issued letter of counseling |
| <u>14</u> | Federal employee issued oral warning |
| <u>6</u> | Federal employee demoted |
| <u>2</u> | Federal employee transferred |
| <u>77</u> | Formal loss recovery plan agreed to |
| <u>8</u> | Extra duty (military) |
| <u>4</u> | Employee resigned pending dismissal |
| <u>14</u> | Other |
| <u>68</u> | Unknown |

12. Types of administrative action taken against non-federal government organizations (contractors, corporations, non-profit organizations, state and local governments, etc.) or individuals. a/

| | |
|-----------|--|
| <u>0</u> | Suspended from doing business with the Federal Government |
| <u>0</u> | Debarred from doing business with the Federal Government |
| <u>2</u> | Contract/grant cancelled |
| <u>4</u> | Issued warning and they agreed to take corrective action |
| <u>2</u> | Formal loss recovery plan agreed to |
| <u>38</u> | No action taken |
| <u>0</u> | Negotiating reimbursement |
| <u>0</u> | Declared ineligible for program participation under status claimed |
| <u>4</u> | Employee/enlistee dismissed; employment/enlistment denied |
| <u>18</u> | Other |
| <u>36</u> | Unknown |

13. Type of legal action or prosecution taken.

| | |
|-----------|--------------------------------|
| <u>0</u> | Civil prosecution |
| <u>8</u> | Criminal prosecution |
| <u>0</u> | Civil and criminal prosecution |
| <u>0</u> | Pre-trial diversion |
| <u>12</u> | Court martial |

14. Outcome of civil proceedings.

| | |
|----------|----------------------------|
| <u>0</u> | Judgment for plaintiff |
| <u>0</u> | Judgment for the defendant |
| <u>0</u> | Unknown |

15. Outcome of criminal prosecution. (Excludes court martials)

| | |
|-----------|---|
| <u>0</u> | Acquittal |
| <u>16</u> | Conviction (guilty plea, nolo contendere) |
| <u>4</u> | Other |

a/ In many cases, Federal agencies took more than one type administrative action against those who commit fraud or other illegal acts. All actions taken are recorded here.

AGENCY PROFILE

Department of the Treasury

The following statistics are for closed cases and open cases where some administrative or legal action was taken or no action was taken because no suspect could be identified.

1. Number of fraud or other illegal activity cases in the universe.

1,994

2. Functional areas in which fraud occurred.

| | |
|------------|--|
| <u>19</u> | Procurement - award |
| <u>20</u> | Property disposition |
| <u>208</u> | Payroll |
| <u>0</u> | Grants |
| <u>19</u> | Financial assistance to individuals (excludes loans) |
| <u>784</u> | Enforcement (i.e. Customs, IRS) |
| <u>0</u> | Provision of health care or social services |
| <u>0</u> | Loans |
| <u>0</u> | Loan guarantees |
| <u>529</u> | Personnel |
| <u>309</u> | Inventory control/property management |
| <u>3</u> | Mail service |
| <u>27</u> | Cash control |
| <u>11</u> | Procurement - monitoring |
| <u>2</u> | Travel |
| <u>62</u> | Administrative services |
| <u>0</u> | Training and education |
| <u>0</u> | Personal property management |
| <u>0</u> | Other |
| <u>0</u> | Unknown |

3. Principal types of fraud

| | |
|------------|------------------------------------|
| <u>214</u> | Work hour abuses |
| <u>133</u> | Private use of government property |
| <u>60</u> | Forgery |
| <u>429</u> | Kickbacks/Bribes |
| <u>571</u> | False statements |
| <u>0</u> | Non-performance of contract terms |
| <u>251</u> | Theft |
| <u>0</u> | Extortion |
| <u>0</u> | Food Stamp irregularities |
| <u>336</u> | Miscellaneous fraud |

4. The period of time over which the alleged fraudulent activity took place.

| | |
|--------------|----------------------|
| <u>1,213</u> | Less than 3 months |
| <u>182</u> | 3 to 6 months |
| <u>161</u> | 6 months to one year |
| <u>48</u> | 1 to 2 years |
| <u>186</u> | More than 2 years |
| <u>204</u> | Unknown |

5. The period of time between occurrence and discovery of the fraudulent activity.

| | |
|--------------|----------------------|
| <u>1,012</u> | Less than 3 months |
| <u>200</u> | 3 to 6 months |
| <u>217</u> | 6 months to one year |
| <u>109</u> | 1 to 2 years |
| <u>173</u> | More than 2 years |
| <u>283</u> | Unknown |

6. How the alleged fraud was discovered.

| | |
|------------|--|
| <u>659</u> | Routine audit, inspection, investigation, or review |
| <u>126</u> | Specially requested audit, inspection, or review |
| <u>885</u> | Federal employee (knowledge gained through work) |
| <u>1</u> | Former federal employee |
| <u>15</u> | Contractor personnel |
| <u>0</u> | Grantee personnel (excludes state or local government personnel) |
| <u>0</u> | Former grantee personnel |
| <u>146</u> | Private individual (not former employee) |
| <u>58</u> | Informant |
| <u>19</u> | Consumer complaint form |
| <u>0</u> | Unsuccessful bidder |
| <u>0</u> | News media |
| <u>0</u> | Congressional Committee Member - Staff |
| <u>0</u> | Alleged victim |
| <u>0</u> | Confession by perpetrator |
| <u>0</u> | Law enforcement investigation - state & local |
| <u>63</u> | Other |
| <u>21</u> | Unknown |

7. Estimate of amount of loss incurred by Federal Government

| | |
|------------|--------------------------------------|
| <u>119</u> | Less than \$100 |
| <u>295</u> | \$101 - \$1,000 |
| <u>100</u> | \$1,001 - \$10,000 |
| <u>20</u> | \$10,001 - \$100,000 |
| <u>19</u> | \$100,001 - \$500,000 |
| <u>1</u> | \$500,001 - \$1 million |
| <u>0</u> | Over \$1 million |
| <u>654</u> | Monetary loss - amount not available |

8. Participants in the alleged fraudulent activity.

| | |
|--------------|---|
| <u>1,298</u> | Federal Government employees alone and with others |
| <u>0</u> | State and local government employees |
| <u>0</u> | Federal contractor(s)/grantee(s) personnel - other than state and local governments |

0 Corporate recipient(s) of Federal Government financial assistance
0 Individual recipient(s) of Federal Government financial assistance
232 Other individual citizens
174 Other corporate or business entities (such as lending institutions)
271 Unknown
0 State and local government employees in collusion with individual recipient(s) of Federal Government financial assistance
0 Federal contractor(s)/grantee(s) personnel - (other than state and local government(s)) in collusion with individual recipient(s) of Federal Government financial assistance
0 Corporate recipients of Federal Government financial assistance in collusion with individual recipient(s) of Federal Government financial assistance
19 Other corporate or business entities (such as lending institutions) in collusion with individual recipient(s) of Federal Government financial assistance

9. Status of fraud cases.

1,852 Closed (Includes cases officially closed by the agency)
142 Open (Includes cases under investigation and cases in which some action may have been taken but the cases were not officially closed)

The following statistics are for cases officially closed by the agency.

10. Type of action taken against perpetrator.

760 Administrative action only
124 Legal action only
7 Administrative and legal action
0 Unknown
729 No action taken - suspect identified
232 No action taken - suspect unknown

11. Types of administrative action taken against Federal employees. a/

602 No action taken
119 Federal employee dismissed

103 Federal employee suspended
256 Federal employee issued warning letter
0 Federal employee issued letter of counseling
122 Federal employee issued oral warning
29 Federal employee demoted
20 Federal employee transferred
82 Formal loss recovery plan agreed to
0 Extra duty (military)
27 Employee resigned pending dismissal
1 Other
0 Unknown

12. Types of administrative action taken against non-Federal government organizations (contractors, corporations, non-profit organizations, state and local governments, etc.) or individuals. a/

0 Suspended from doing business with the Federal Government
0 Debarred from doing business with the Federal Government
0 Contract/grant cancelled
0 Issued warning and they agreed to take corrective action
0 Formal loss recovery plan agreed to
351 No action taken
0 Negotiating reimbursement
0 Declared ineligible for program participation under status claimed
39 Employee/enlistee dismissed; employment/enlistment denied
78 Other
0 Unknown

13. Type of legal action or prosecution taken.

0 Civil prosecution
131 Criminal prosecution
0 Civil and criminal prosecution
0 Pre-trial diversion
0 Court martial

14. Outcome of civil proceedings.

0 Judgment for plaintiff
0 Judgment for the defendant
0 Unknown

15. Outcome of criminal prosecution. (Excludes court martials)

23 Acquittal
108 Conviction (guilty plea, nolo contendere)
0 Other

a/ In many cases, Federal agencies took more than one type administrative action against those who commit fraud or other illegal acts. All actions taken are recorded here.

AGENCY PROFILE

Veterans Administration

The following statistics are for closed cases and open cases where some administrative or legal action was taken or no action was taken because no suspect could be identified.

1. Number of fraud or other illegal activity cases in the universe.

1,996

2. Functional areas in which fraud occurred.

| | |
|--------------|--|
| <u>0</u> | Procurement - award |
| <u>1</u> | Property disposition |
| <u>2</u> | Payroll |
| <u>0</u> | Grants |
| <u>558</u> | Financial assistance to individuals (excludes loans) |
| <u>0</u> | Enforcement (i.e. Customs, IRS) |
| <u>59</u> | Provision of health care or social services |
| <u>12</u> | Loans |
| <u>1,249</u> | Loan guarantees |
| <u>1</u> | Personnel |
| <u>17</u> | Inventory control/property management |
| <u>5</u> | Mail service |
| <u>21</u> | Cash control |
| <u>0</u> | Procurement - monitoring |
| <u>31</u> | Travel |
| <u>1</u> | Administrative services |
| <u>38</u> | Training and education |
| <u>0</u> | Personal property management |
| <u>0</u> | Other |
| <u>0</u> | Unknown |

3. Principal types of fraud

| | |
|--------------|------------------------------------|
| <u>6</u> | Work hour abuses |
| <u>4</u> | Private use of government property |
| <u>254</u> | Forgery |
| <u>0</u> | Kickbacks/Bribes |
| <u>1,555</u> | False statements |
| <u>0</u> | Non-performance of contract terms |
| <u>61</u> | Theft |
| <u>18</u> | Extortion |
| <u>0</u> | Food Stamp irregularities |
| <u>100</u> | Miscellaneous fraud |

4. The period of time over which the alleged fraudulent activity took place.

| | |
|------------|----------------------|
| <u>853</u> | Less than 3 months |
| <u>99</u> | 3 to 6 months |
| <u>524</u> | 6 months to one year |
| <u>301</u> | 1 to 2 years |
| <u>176</u> | More than 2 years |
| <u>44</u> | Unknown |

5. The period of time between occurrence and discovery of the fraudulent activity.

| | |
|------------|----------------------|
| <u>339</u> | Less than 3 months |
| <u>173</u> | 3 to 6 months |
| <u>340</u> | 6 months to one year |
| <u>377</u> | 1 to 2 years |
| <u>512</u> | More than 2 years |
| <u>255</u> | Unknown |

6. How the alleged fraud was discovered.

| | |
|------------|--|
| <u>424</u> | Routine audit, inspection, investigation, or review |
| <u>21</u> | Specially requested audit, inspection, or review |
| <u>382</u> | Federal employee (knowledge gained through work) |
| <u>0</u> | Former federal employee |
| <u>29</u> | Contractor personnel |
| <u>0</u> | Grantee personnel (excludes state or local government personnel) |
| <u>0</u> | Former grantee personnel |
| <u>234</u> | Private individual (not former employee) |
| <u>63</u> | Informant |
| <u>0</u> | Consumer complaint form |
| <u>0</u> | Unsuccessful bidder |
| <u>0</u> | News media |
| <u>0</u> | Congressional Committee Member - Staff |
| <u>0</u> | Alleged victim |
| <u>13</u> | Confession by perpetrator |
| <u>225</u> | Law enforcement investigation - state & local |
| <u>139</u> | Other |
| <u>466</u> | Unknown |

7. Estimate of amount of loss incurred by Federal Government

| | |
|------------|--------------------------------------|
| <u>67</u> | Less than \$100 |
| <u>148</u> | \$101 - \$1,000 |
| <u>600</u> | \$1,001 - \$10,000 |
| <u>160</u> | \$10,001 - \$100,000 |
| <u>0</u> | \$100,001 - \$500,000 |
| <u>0</u> | \$500,001 - \$1 million |
| <u>1</u> | Over \$1 million |
| <u>160</u> | Monetary loss - amount not available |

8. Participants in the alleged fraudulent activity.

| | |
|------------|---|
| <u>275</u> | Federal Government employees alone and with others |
| <u>0</u> | State and local government employees |
| <u>0</u> | Federal contractor(s)/grantee(s) personnel - other than state and local governments |

| | |
|------------|--|
| <u>0</u> | Corporate recipient(s) of Federal Government financial assistance |
| <u>802</u> | Individual recipient(s) of Federal Government financial assistance |
| <u>57</u> | Other individual citizens |
| <u>164</u> | Other corporate or business entities (such as lending institutions) |
| <u>20</u> | Unknown |
| <u>0</u> | State and local government employees in collusion with individual recipient(s) of Federal Government financial assistance |
| <u>0</u> | Federal contractor(s)/grantee(s) personnel - (other than state and local government(s)) in collusion with individual recipient(s) of Federal Government financial assistance |
| <u>0</u> | Corporate recipients of Federal Government financial assistance in collusion with individual recipient(s) of Federal Government financial assistance |
| <u>678</u> | Other corporate or business entities (such as lending institutions) in collusion with individual recipient(s) of Federal Government financial assistance |

9. Status of fraud cases.

| | |
|--------------|---|
| <u>1,666</u> | Closed (Includes cases officially closed by the agency) |
| <u>330</u> | Open (Includes cases under investigation and cases in which some action may have been taken but the cases were not officially closed) |

The following statistics are for cases officially closed by the agency.

10. Type of action taken against perpetrator.

| | |
|------------|--------------------------------------|
| <u>697</u> | Administrative action only |
| <u>35</u> | Legal action only |
| <u>107</u> | Administrative and legal action |
| <u>0</u> | Unknown |
| <u>807</u> | No action taken - suspect identified |
| <u>20</u> | No action taken - suspect unknown |

11. Types of administrative action taken against federal employees. ^{a/}

| | |
|-----------|----------------------------|
| <u>9</u> | No action taken |
| <u>11</u> | Federal employee dismissed |

| | |
|-----------|--|
| <u>7</u> | Federal employee suspended |
| <u>8</u> | Federal employee issued warning letter |
| <u>1</u> | Federal employee issued letter of counseling |
| <u>0</u> | Federal employee issued oral warning |
| <u>1</u> | Federal employee demoted |
| <u>1</u> | Federal employee transferred |
| <u>6</u> | Formal loss recovery plan agreed to |
| <u>0</u> | Extra duty (military) |
| <u>14</u> | Employee resigned pending dismissal |
| <u>0</u> | Other |
| <u>0</u> | Unknown |

12. Types of administrative action taken against non-Federal government organizations (contractors, corporations, non-profit organizations, state and local governments, etc.) or individuals. ^{a/}

| | |
|------------|--|
| <u>12</u> | Suspended from doing business with the Federal Government |
| <u>0</u> | Debarred from doing business with the Federal Government |
| <u>7</u> | Contract/grant cancelled |
| <u>5</u> | Issued warning and they agreed to take corrective action |
| <u>540</u> | Formal loss recovery plan agreed to |
| <u>835</u> | No action taken |
| <u>58</u> | Negotiating reimbursement |
| <u>62</u> | Declared ineligible for program participation under status claimed |
| <u>0</u> | Employee/enlistee dismissed; employment/enlistment denied |
| <u>75</u> | Other |
| <u>33</u> | Unknown |

13. Type of legal action or prosecution taken.

| | |
|-----------|--------------------------------|
| <u>5</u> | Civil prosecution |
| <u>87</u> | Criminal prosecution |
| <u>0</u> | Civil and criminal prosecution |
| <u>55</u> | Pre-trial diversion |
| <u>0</u> | Court martial |

14. Outcome of civil proceedings.

| | |
|----------|----------------------------|
| <u>5</u> | Judgment for plaintiff |
| <u>0</u> | Judgment for the defendant |
| <u>0</u> | Unknown |

15. Outcome of criminal prosecution. (Excludes court martials)

| | |
|-----------|---|
| <u>0</u> | Acquittal |
| <u>81</u> | Conviction (guilty plea, nolo contendere) |
| <u>0</u> | Other |

^{a/} In many cases, Federal agencies took more than one type administrative action against those who commit fraud or other illegal acts. All actions taken are recorded here.

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