

EEOC AND CAROI

A PROMISING BEGINNING



**US EQUAL EMPLOYMENT OPPORTUNITY COMMISSION
OFFICE OF INSPECTOR GENERAL**

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SUMMARY

- EEOC's Office of Inspector General (OIG) piloted CAROI in 2012 because of its inherent advantages:
 - Not rigid
 - Strategic
- Early results are promising:
 - The auditee crafted a well structured corrective action plan
 - The customer is pleased with CAROI
 - Communication and understanding with our auditees improved significantly
- We plan to expand the use of CAROI

WHY CAROI?

- EEOC leader committed to reducing open recommendations
- We found there were many open recommendations from “old” reports, therefore, we needed:
 - more meaningful communication with auditees regarding audit resolution
 - More clarity in the audit resolution process,
 - and audit close out was not always timely or well communicated
- In short, we needed a new approach, a proven mechanism
- CAROI is a **strategic**, rather than a tactical, approach
- CAROI is **not rigid**—how, when, and where are up to the participants

GOALS OF THE PILOT

- Overarching goal—to obtain fundamental knowledge of CAROI and whether it would:
 - help the auditee improve its experience with the audit resolution process
 - improve overall audit resolution program efficiency and effectiveness

THE PILOT CASE

- Corrective action plan was MIA
- The evaluation contained nine recommendations for improvements in effectiveness and efficiency, but no hard deadlines=low risk
- CAROI allowed us to invest a little with great potential upside

CAROI: WE DID IT OUR WAY

- First, we met with the customer, simply introducing CAROI and defining the goals for our CAROI
- We provided assistance and practical advice for without compromising our independence
- By not rushing, neither we nor the customer felt overly pressured
- Therefore, both parties had time to reflect and communicate

EARLY RESULTS ARE PROMISING

- The auditee crafted a well structured corrective action plan—this took several iterations, and in that process **valuable communication** occurred
- The recommendations were closed in a timely and effective fashion
- Communication and understanding with our auditee improved significantly
- We and the auditee (our customer) are pleased with CAROI and favor using CAROI on an ongoing basis

OTHER BENEFITS

- CAROI is also a valuable tool in identifying and solving problems in an organization's audit follow-up and resolution process
- CAROI can be applied as needed—we plan to continue and expand our use of CAROI