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