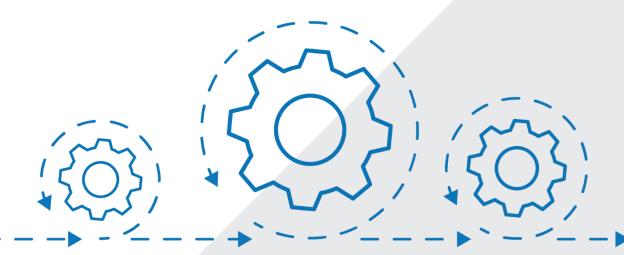# Agile Oversight in a Time of Crisis

Lessons learned and best practices in conducting oversight during the COVID-19 pandemic

March 5, 2024

CONTENTS

What Is Agile Oversight?

Agile oversight is an efficient and innovative approach to transparency and accountability. It highlights issues and provides timely information about high-risk areas or high priority topics and programs.

Who Should Read This Report?

Federal, state, and local oversight professionals interested in learning more about the leading agile practices in use across our oversight community.

Our fast-paced world with its complex and evolving problems makes it important to get information into the hands of government decision-makers in real time. An agile approach to oversight is results oriented, responsive, and reflective so we can learn, adjust, and move forward in a more positive direction. The agile oversight process provides stakeholders with access to information quickly so decisions can be made to increase program integrity.

Recognizing the importance of an agile process, the Pandemic Response Accountability Committee (PRAC), in coordination with the Council of the Inspectors General on Integrity and Efficiency (CIGIE), hosted an Agile Oversight Forum (Forum) in January 2023. This report captures the lessons learned and best practices shared by oversight experts from around the country at the Forum. Four topics drove the Forum's focus and conversation:

1. Incorporating enterprise risk management and risk-based planning
2. Embracing the flexibility of oversight standards
3. Sharing and integrating information and data
4. Communicating to help people better understand your agile products

When used in tandem with our previously issued Agile Products Toolkit, this report can help oversight organizations better determine how to adopt agile practices to keep our community's work relevant and timely.

Background

After the publication of our Agile Products Toolkit in November 2020, our partners in the oversight community were interested in learning more about how to implement agile oversight in their organizations. We decided to examine this issue in the first-ever Agile Oversight Forum.

The Forum featured a "Fireside Chat" with four prominent oversight leaders who continue to emphasize the need for agile approaches in their own organizations and across the broader oversight and accountability community. In addition, the Forum included four panels that examined important aspects of implementing an agile oversight approach (see Appendix B for full list of Forum participants).

"Moving more broadly into an agile posture is a shift in culture, and this takes time."

-- Inspector General Christi Grimm, Department of Health and Human Services

Fireside Chat Highlights | Leading an Organization with an Agile Mindset

Gene Dodaro, Comptroller General, Government Accountability Office (GAO)
Michael Horowitz, Department of Justice (DOJ) Inspector General; PRAC Chair
Christi Grimm, Department of Health and Human Services (HHS) Inspector General
Mike Ware, Small Business Administration (SBA) Inspector General
Matt Winchell, Associate Program Analyst, PRAC (Moderator)

The Comptroller General and the three Inspectors General began their discussion with the importance of embracing an "agile mindset." They emphasized that this takes commitment from the top as well as at all levels of the organization. This is consistent with the GAO "Green Book" on internal controls, which states that leaders should set the "tone at the top" for their organization by demonstrating their values, philosophy, and operating style.

These speakers noted that to become more agile, leadership plays a key role in setting the vision and creating the infrastructure and opportunities for agile oversight processes. They discussed the importance of developing and fostering a culture that can respond quickly to "meet the moment." Panelists spoke about other essential leadership actions, such as:

✓ Being open and accepting of new ideas and possibilities.

✓ Encouraging innovation by seeking diversity of thought and taking risks with experimenting with new ideas.

✓ Investing in resources, data analytics, and subject matter experts.

✓ Cultivating a talented and motivated workforce that works well together and leverages their strengths.

✓ Prioritizing continuous learning.

✓ Sharing stories and leadership practices to inspire teams.

✓ Celebrating the value and impact this work creates.

Panel Highlights | Enterprise Risk Management and Risk-Based Planning Enhance Oversight Agility

The Forum's first panel titled, "How Enterprise Risk Management and Risk-Based Planning Enhance Oversight Agility," focused on using ERM and risk planning to help oversight entities be agile. For more information about the panelists, see Appendix B.

What is Enterprise Risk Management (ERM)?

In the *Enterprise Risk Management Practitioner's Guide for Offices of Inspectors General*, ERM is defined as a process "applied in strategy settings across an entity, designed to identify potential events that may affect the organization, and to manage risks within the organization's risk appetite to provide assurance regarding the achievement of entity objectives." [1]

How Does ERM Relate to Agile Oversight?

ERM can be applied in both "operational risk" and "oversight activity risk" planning and can help to identify the highest oversight priorities and to adjust those priorities as new risks emerge. When incorporating ERM into oversight work, our panelists recommended that organizations focus on the following:

1. Creating a culture that considers and measures risk.
2. Using data to assess risks.
3. Understanding emerging risks.

Creating a Culture that Considers and Measures Risk

Strong support from senior leaders for a risk-planning approach can be key to an organization's risk identification and response. Planning should happen collaboratively, so staff **see** the value that ERM provides, not just **hear** about it. Panelists identified the following best practices for creating a culture of risk planning:

Operational Risk | Identifying and preparing for risks that could impact the organizational health.

Oversight Activity Risk | Assessing the associated risk of inaccurate or ineffective oversight results for an area or program.

Risk Planning | Identifying, prioritizing, and managing risk.

✓ Understand that processes and culture are related, but distinct. They **should** work in tandem.

✓ Give concrete examples of how incorporating ERM during oversight planning adds value so staff understand the purpose of ERM strategies.

✓ Provide opportunities for staff to be part of the decision-making processes.

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[1] Risk appetite can be qualitative or quantitative and describes the amount and type of risk an organization chooses to accept to achieve its mission and vision. The appetite is established by senior leadership and serves as the guidepost in setting strategic goals and objectives. Descriptions of risk appetite should reflect your culture.

"While leaders may understand the importance of agile work, due to their visibility on key issues, it is critical to provide necessary context and need for shifts to agile to their broader staff to continue to engrain the mindset into the work the organization is doing."

Inspector General Michael Horowitz, Department of Justice and PRAC Chair

Including staff in the ERM process gets more buy-in and creates a culture focused on risk planning. When staff are brought together to understand and participate in the process, they take ownership and may incorporate risk assessment into their work. As a result, ERM processes are strengthened and solidified within the office culture, increasing the likelihood that ERM strategies are applied to future work.

Using Data to Assess Risks

Data is critical to informing agencies of their highest risks and oversight entities' subsequent responses. Once identified, risks can then impact the plan, timing, and scope of oversight work. When using data to assess risk and inform planning, organizations should consider:

✓ Mapping key risks and developing composite risk scores to identify the highest risk programs.

✓ Developing a *predictive* analytics model to identify emerging risks.

✓ Using identified risks and risk scores to adjust models and mappings.

✓ Promoting data sharing and data accessibility.

While data sharing across agencies is improving, data availability challenges remain that should inform the risk assessment process (discussed in How We Can Share and Integrate Information to Perform Agile Work). Offices may consider promoting data sharing capabilities, such as identifying needed data sources in advance and using standardized security agreements.
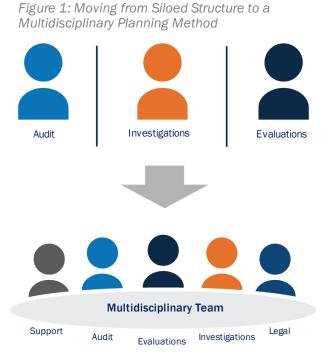
The Importance of Data Access for Assessing Risk

The Department of Labor (DOL) Office of the Inspector General (OIG) had trouble assessing risk in pandemic unemployment insurance programs because they did not have regular access to state workforce data. DOL OIG used their legal authority to obtain the data and once they had access determined that their analysis needed to be released quickly. They adjusted their work accordingly and released an Alert Memorandum that identified one of the largest estimates of potential fraud in the history of the DOL OIG (more detail in Agile Oversight in Practice – U.S. Department Of Labor).

Multidisciplinary Structure Helps Inform Emerging Risks

Awareness of emerging risks, and the ability to respond to them, are critical components of ERM. An office's understanding of emerging risks will significantly impact its oversight plan and work. To see the entire risk picture, our panelists suggested shifting from disparate work streams to a more holistic, cross-cutting approach using a multidisciplinary team (Figure 1). Multidisciplinary structures bring together subject matter experts from multiple mission areas. Collaboration between these cross-cutting teams can avoid silos, ensure proper communication between stakeholders, and ensure the most pressing work is addressed in a timely manner.

Figure 1: Moving from Siloed Structure to a Multidisciplinary Planning Method

Agile Oversight in Practice | DOL OIG

Why Agile | The OIG determined that the unprecedented infusion of federal funds into DOL's unemployment insurance programs, in addition to the limited controls protecting these funds, created a high-value target and "perfect storm" for individuals and organized crime to exploit. The OIG determined they should use a collaborative, agile approach in their audits and investigations. This collaboration allowed the agile team to report results and recommendations quicker. Through its analysis of data from all 54 state workforce agencies the OIG was able to identify four common, high-risk areas related to the unemployment insurance programs. Using an Alert Memorandum, DOL OIG shortened the project timeline to 4.5 months, compared to its normal 12-month timeline.

Best Practices or Lessons Learned

- ✓ Increase collaboration and connection across directorates and between the OIG and the agency to assure agile product timelines can be met.

- ✓ Leverage data analytics to assess risk and use throughout the project's lifecycle.

- ✓ Use new ways of approaching issues and be creative in how information is presented. For example, one of DOL OIG's alert memos was completed using subpoenaed data from state workforce agencies, which required the use of their Audit Business Intelligence Unit to help analyze and present the data.

- ✓ Shorten the review phase to align with the agile approach.

- ✓ Conduct frequent meetings with internal stakeholders to reach consensus on conclusions and recommendations.

Watch | DOL OIG - Agile Oversight in Practice - YouTube

Agile Product | Potentially Fraudulent Unemployment Insurance Payments in High-Risk Areas Increased to $45.6 Billion

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Agile Oversight in Practice | U.S. Agency for International Development (USAID) OIG

Why Agile | The OIG issued an advisory product on USAID's $4 million in direct support to the Ukrainian government. This agile approach was inspired by a 2021 memo issued by the Office of Management and Budget that promoted accountability and cooperation between the OIG and its agency by sharing risks and challenges at the outset rather than in retrospect. The advisory product highlighted key considerations to inform the agency's Ukraine response based on lessons from prior oversight work examining other complex emergencies.

Best Practices or Lessons Learned

- ✓ Leverage insights from previous work to connect issues and identify risks.

- ✓ Budget time for changing circumstances as rapidly changing events mean rapidly changing facts and figures.

- ✓ Develop a reporting template to ensure the report is succinct, messaged appropriately, and includes high-level and impactful findings.

- ✓ Develop an effective communication process to increase the speed of development and support the product's overall impact.

- ✓ Draw upon staff experience across the organization.

Watch | USAID OIG - Agile Oversight in Practice - YouTube

Agile Product | Advisory Notice - Key Considerations to Inform USAID's Response in Ukraine

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Agile Oversight in Practice | California State Auditor's Office

Why Agile | Due to the amount of funding, changes to program eligibility, and the rapid nature of allocations, the California State Auditor's Office designated pandemic programs as high-risk. This designation allowed the Auditor's Office to respond to programs that needed immediate attention. The California State Auditor's Office issued 12 pandemic-related audit reports between November 2020 and November 2021. Findings resulted in bipartisan legislation to better prevent and detect fraud. This legislation not only assisted the state workforce agency during the pandemic, but it also supported fraud prevention and detection post-pandemic.

Best Practices or Lessons Learned

- ✓ Consider emerging risks and the impact each government program has on the broader population when identifying what issues need to be addressed first.

- ✓ Determine availability of staff and other resources during planning to inform how many programs and state agencies can be reviewed.

- ✓ Adjust processes as needed to expedite work.

- ✓ Find opportunities to leverage different types of products depending on overall goals.

- ✓ Time and sequence final products to coincide with key decision-making processes in case recommendations require shifts in funding to help administer the program or changes to legislation.

Watch | California State Auditor – Agile Oversight in Practice - YouTube

Report | State High Risk State Management of Federal COVID-19 Funding

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Panel Highlights | Embracing Professional Standards to Increase Innovation, Collaboration, and Opportunities in Agile Work

The Forum's second panel titled, "Agile Products and Professional Standards Increase Innovation, Collaboration, and Opportunities," focused on conducting agile work in alignment with quality assurance standards. For more information about the panelists, see Appendix B.

All agile oversight work can meet professional standards with the proper design and scope. The purpose and urgency of the project should drive which standards are necessary and appropriate. As discussed in the Agile Products Toolkit, the professional standards of independence, due professional care, and quality assurance are vital to ensure integrity and must be present in all oversight entities' work. To move towards agile principles in organizational processes, sharing, learning, and adapting are essential. The three broad concepts below are designed to help organizations think through incorporating agile processes into their operations while meeting standards and increasing innovation and collaboration.

Organize and Design

Planning is an essential piece of all oversight products and is even more significant when conducting agile work. Planning for agile products from the beginning can help your office better align resources, strategize intentionally, and determine how to apply relevant standards. Our panelists shared ideas for organizing and designing agile oversight work:

✓ Keep an open mind on how to apply professional standards to agile work.

✓ Understand when the use of agile products is most appropriate and impactful.

✓ Focus on the impact, timeframes, and appropriate standards to reach intended goals. Revisit as necessary.

✓ Coordinate early with partners and stakeholders.

✓ Leverage data analytics to focus scope and methodology.

✓ Communicate early to the subject(s) being reviewed about the processes and product.

> *"The concepts of agile and standards are not in conflict if you have the right mindset and approach...There is nothing in the [yellow] book that says the longer you take, the higher the quality of work."*
>
> Comptroller General Gene Dodaro, Government Accountability Office

Adapt Internal Processes to Agile

In an agile approach, the focus should be on exploring efficient and creative ways to understand the objective and quickly identify issues. Embracing agile disciplines is important to cultivate continuous learning and innovation. Additionally, an agile approach can refine processes to help highlight and report on risks and issues in a timely manner. In more traditional oversight, auditors and evaluators tend to establish procedures to review and test widely. Below are techniques identified by our panelists to *adapt* internal processes to agile:

✓ Be flexible to adapt quickly to program and operational changes.

✓ Break down procedures into smaller increments to help prioritize and stay focused on the objective(s).

✓ Establish a risk matrix, or other risk assessment methodologies, at the beginning of oversight work. Later, this may help determine if results are significant or critical enough to warrant separate reporting.

✓ Capture observations via photography, video, or audio to help augment the message and impact.

✓ Schedule multidisciplinary team meetings to discuss progress, results, and refinements.

✓ Use technology to streamline the review process.

✓ Develop iterative processes and feedback to continuously improve the oversight approach.

Quality Assurance

All oversight standards provide a framework for performing high quality, accurate, and supported oversight. At its core, the quality control function does not differ between traditional and agile products. The minimum standards of independence, quality assurance, and due professional care provide reasonable assurance that the oversight is conducted in an objective and accurate manner. In addition, professional judgment is a powerful concept engrained in all independent oversight standards and provides the flexibility for determining how to apply the standards. According to our panelists, the following considerations may help with maintaining quality assurance processes in your agile products:

✓ Develop guidance that integrates the minimum internal processes and standards required for completion, and identifies expectations for determining whether evidence is sufficient, valid, and reliable.

✓ Focus on support needed to demonstrate ineffective controls, needed improvements, and risk areas instead of completing a full sample review.

✓ Document the techniques and methodologies used to determine the level of evidence required to support findings or conclusions to help facilitate the independent verification process, e.g., referencing.

✓ Due to the significance of risk or urgency of the communication, it may be appropriate to index and reference only critical facts or conclusions or incorporate tracing and verifying techniques throughout the review.

Agile Oversight in Practice | Department of the Interior (DOI) OIG

Why Agile | The Infrastructure Investment and Jobs Act authorized nearly $4.7 billion to reclaim and plug inoperable and noncompliant wells, known as orphaned wells, on federal, state, Tribal and private lands. The amount of funding made it necessary for DOI to quickly identify how it planned to use the funding and the OIG determined that an informational flash report was the best approach to quickly provide information to stakeholders about the agency's plans. The agile process laid the groundwork for additional flash reports and the use of video in future reports. Constant communication built strong working relationships with stakeholders. The team shared their fieldwork success with the entire DOI OIG.

Best Practices or Lessons Learned

✓ Plan what you want your report to look like early after considering the audience, messaging, branding, and graphics.

✓ Coordinate with all parties involved in the project; be open-minded to all ideas.

✓ Conduct fieldwork and onsite visits to gather compelling observations, visual, and evidence-based insights with the final report structure in mind.

✓ Be clear about the type of product being issued. Stakeholders should understand the standards being followed during the information gathering process.

✓ Bring team members to site visits to learn about the assignment and help document observations to include in the report.

Agile Product | Infrastructure Investment and Jobs Act, Orphaned Wells Programs

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Agile Oversight in Practice | King County, WA Auditor's Office

Why Agile | In 2020, Washington state expanded eligibility for property tax exemptions. However, the move to telework and changes in processes led to a 19-month backlog in property tax exemption applications. The King County Auditor's Office needed to provide timely and independent analyses to stakeholders reviewing the Assessor's budget for resource considerations. The Auditor's Office produced an agile report on systems that process property tax exemptions. The Department of Assessments concurred with all 12 recommendations in the report and quickly began to execute corrective actions. The recommendations focused on developing or improving processes to help with program execution, to comply with state rules for exemption renewals, and to meet increased demand for exemptions.

Best Practices or Lessons Learned

✓ All performance audits can benefit from agile practices. King County has taken an agile approach for 10 years and has high rates of recommendation concurrence and compliance.

✓ Audit plans do not need to be fully developed all at once. They can change. Though it may be difficult at first, being agile means adapting internal processes to start with a broad plan and refine along the way.

✓ Develop goals and deliverables for established sprint-based time frames.

✓ Document meeting minutes to support compliance with standards and for peer reviews.

> **Sprint |** A short, time-boxed period when the team works to complete a set amount of work.

✓ Use tools, such as a researchable questions matrix, to help apply the agile process to meet standards. Use this tool to map out the sub-questions from the objectives, sources of information, criteria, scope and methodology, issues and limitations, and impact for each or grouping of standards.

Watch | King County, Washington – Agile Oversight in Practice - YouTube

Agile Product | Property Tax Exemptions: Stronger Systems Needed to Meet Demand - King County

Panel Highlights | We Can Share and Integrate Information to Perform Agile Work

The Forum's third panel titled, "How We Can Share and Integrate Information to Perform Agile Work," focused on sharing information and working with data to be agile. For more information about the panelists, see Appendix B.

Accurate, complete, and relevant data is essential to oversight. Understanding the data is equally important to ensure quality and preserve credibility so that recommendations are taken seriously and acted upon. Sharing and integrating data into agile processes can result in more efficient analyses that create risk-based products and support timely decision-making. The panelists discussed best practices for incorporating data into agile methods and products.

Early Identification of Needed Data

Obtaining the data can often be the most difficult and time-consuming activity, and the panelists encouraged offices to identify the necessary data as early as possible. To do this, create a flexible roadmap that the team can use to plan out major activities and data requirements.

Legal Requirements for Data Access

Access to data is governed by existing legal requirements, such as System of Records Notices, and obtaining the appropriate legal rights to the data can add time to the process and even impact how the data can be used. The panelists suggested leveraging already approved language by your own legal counsel and/or by other agencies for data sharing agreements and using an established precedent to expedite the legal process. It's important to note that time spent coordinating with legal counsel may require changes to a project's schedule. Be ready and flexible to reallocate resources to other projects to minimize time spent on projects that are not ready to begin.

Activities While Awaiting Access to the Data

Coordinating with legal counsel may take some time, so obtaining a copy of the data dictionary can help analysts plan next steps once the data is available. The agency furnishing the data should share the data dictionary and send the requesting agency the methodology for cleaning, or "normalizing," the data so the requestor can begin to understand it. Also, sending sample data will help the receiving agency understand and test the import process.

Data Validation

Once you have the data, it is important to take time to validate it to reasonably ensure that the information is complete and accurate. This is an essential process because it helps avoid using invalid data for testing, resulting in inaccurate conclusions that can threaten the accuracy and integrity of the report.

Collaboration

Sharing experiences and best practices with partners is key to data sharing, data integration, and developing standards for common data points across different datasets. As lessons are learned about data, document and share them.

Create an Enterprise Data Management Structure

Review memoranda of understanding for data use and sharing, data use agreements, and other documents for common attributes, and build an inventory of data acquired. Maintaining an inventory of the data use attributes can help better plan work, timing, and data disposition. The panelists stated that common attributes may include:

- ✓ Privacy Level: Is the data public, nonpublic, or shareable across agencies?
- ✓ Data Use: Can the data only be used for a specific project or activity?
- ✓ Data Records Disposal: Once the project is complete, do you need to delete the data?

Using Data to Improve Internal Processes

One OIG's data analytics office built an application that allows OIG staff who need access to a system or data to make the requests directly in the system. This not only helped to track overall requests and response times, but also helped to identify common requests and streamline processes through the creation of self-service data tools available to staff. This streamlining helped to free resources for more complex work.

Agile Oversight in Practice | SBA OIG

Why Agile | The urgency of getting COVID-19 assistance to businesses required the OIG to apply agile oversight methodologies. The OIG's preliminary review and investigative findings identified weak internal controls and red flag indicators of potential fraud in both the Paycheck Protection Program (PPP) and the COVID-19 Economic Injury Disaster Loan program. The OIG issued two reports in the first 30 days after the passage of the CARES Act to provide guidance to stakeholders before the first PPP loans were issued. Two weeks after the first loan was approved, the OIG issued another report that resulted in legislative and program changes.

Best Practices or Lessons Learned

- ✓ Collaborate with different groups and subject matter experts. For example, the OIG and the Department of the Treasury's Do Not Pay staff held multiple meetings to develop data exchange agreements.
- ✓ Hone your emotional intelligence and have courage, patience, and grace as obstacles are encountered.
- ✓ Design timely feedback loops to verify data matches to drive process improvements.

✓ Perform continuous monitoring and use "boots on the ground" reviews to identify effective controls.
✓ Utilize your existing body of work to report on items requiring immediate attention.

Watch | SBA OIG – Agile Oversight in Practice – YouTube

Agile Products | PPP Loan Recipients on the Department of Treasury's Do No Pay List, and COVID-19 EIDL Program Recipients on the Department of Treasury's Do No Pay List

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Agile Oversight in Practice | Office of the New York State Comptroller

Why Agile | In a changing world with big challenges facing the nation, organizations able to successfully readjust are, by definition, resilient. The Office of the New York State Comptroller's development of Smart Audit—their approach to digital transformation—combined investments in staff and strategic partnerships, with investment in high-end analytic tools and technologies. This approach produced speedier results leading to more informed and smarter decisions that give rise to greater return on investment of taxpayer dollars. Investing in human and technological infrastructure has driven innovation and led to impactful audits that save taxpayers money and improve New Yorkers' lives.

Best Practices or Lessons Learned

✓ Allow staff proficient in data to serve as data consultants to help teams access and understand public data sources, identify the appropriate analytic tool for each project, and coach staff on using these tools.
✓ Take an inventory of staff's technical skills and interests and create rotational opportunities for staff to work on data intensive projects to sharpen their skills.
✓ Establish an Audit Innovation Unit that evaluates new technology and helps data consultants roll out analytic solutions.
✓ Conduct contests to engage staff in the creation of high-impact product ideas.
✓ Focus on developing the right data visualizations and provide staff with the tools, trainings, and templates to communicate the work most effectively.
✓ Incorporate artificial intelligence into your business processes.

Watch | New York State Comptroller – Agile Oversight in Practice - YouTube

Agile Products | *Department of Health: Use, Collection, and Reporting of Infection Control Data*, March 2022 Report; and *Department of Environmental Conservation: Oversight of New York State Forest Tax Programs*, Aprill 2022 Report and Accompanying Story Map

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Panel Highlights | How to Communicate Agile Work

The Forum's final panel titled, "How to Communicate Agile Work," focused on different approaches to messaging and highlighting agile work. For more information about the panelists, see Appendix B.

Agile products allow oversight agencies to effectively communicate important information to stakeholders about emerging issues in an easily digestible and timely manner. Communication can take many forms, including snapshots, advisories, reports, or web products. Many agile products consolidate the results of lessons learned from previous work to address current events, thereby giving agencies and policymakers information to facilitate decision making. When thoughtfully designed, such products can accelerate agency and policymaker decision making by condensing complex ideas into digestible narratives and providing a quick understanding of program risks.

Agile Product Types and Designs

Oversight agencies should know their audience and design agile products accordingly. The content, findings, and intended audience should drive the final product choice and design (see the Agile Products Toolkit for more information). The panelists shared tips and best practices for designing and communicating final products:

- ✓ Consider whether the product is intended to reach a broader audience, such as the public, or to inform specific policymakers about an emerging issue. This will help drive the structure.

- ✓ Be clear, brief, and visually appealing so that busy stakeholders receive a product that informs them to make better, more timely decisions about key issues.

- ✓ Use innovative techniques such as linking to videos, visual cues, and using sidebars to tie contextual information to other oversight products.

- ✓ Consistently and clearly communicate agile product results to subject matter experts responsible for this information.

- ✓ Conduct a fatal flaw review before releasing the agile product to ensure the accuracy of all information.

- ✓ Have stakeholders conduct a final review to ensure the report has the most up-to-date data and milestones.

Different Types of Agile Products

Panelists highlighted the following agile products during the Forum as innovative product types and designs:

- GAO Snapshot, Electricity Grid Resilience
- DOI OIG Web Product, DOI Pandemic Response Spending: Where's the Money

Agency and Stakeholder Reception

Agile products have received very positive feedback from agencies and external stakeholders. According to our panelists, a short, story-telling approach offers stakeholders a quick education and minimizes the time your office needs to do a press release for the media. The brevity, clarity, and timeliness of agile products have assisted policymakers in quickly digesting information about ongoing or significant issues and aided in discussions with federal agencies.

Appendix A | Acronyms

CIGIE	Council of the Inspectors General for Integrity and Efficiency
DNP	U.S. Department of the Treasury's Do Not Pay Business Center
DOJ	U.S. Department of Justice
DOL	U.S. Department of Labor
DOI	U.S. Department of the Interior
EIN	Employer Identification Number
ERM	Enterprise Risk Management
FDIC	Federal Deposit Insurance Corporation
GAO	U.S. Government Accountability Office
HHS	U.S. Department of Health and Human Services
HUD	U.S. Department of Housing and Urban Development
OIG	Office of Inspector General
PPP	Paycheck Protection Program
PRAC	Pandemic Response Accountability Committee
SBA	U.S. Small Business Administration
USAID	U.S. Agency for International Development

Appendix B | Document Preparation and Agile Oversight Forum Credits

Preparation of this Report

The PRAC, in coordination with CIGIE, hosted an Agile Oversight Forum (Forum) on January 25, 2023. The PRAC's Audit, Inspection, and Evaluation Subcommittee coordinated with CIGIE's Audit Committee and the CIGIE Enterprise Risk Management Work Group to organize and conduct the Forum. The day-long, virtual event featured experts from federal, state, and local oversight offices and brought together more than 1,500 professionals from across the country who were eager to learn more about agile practices and approaches. In addition to highlighting several specific examples of agile oversight in practice (highlighted in call out boxes below and also posted on the PRAC's YouTube page), Forum presenters shared their thoughts and insights on what we can do now as an oversight community to start performing with an agile mindset. After the Forum, PRAC staff compiled and synthesized all the insights and information shared by the panelists and presenters to create this agile oversight product. The product is intended to be a starting point for offices and is not a standard for conducting oversight work. This product aims to capture the lessons learned and best practices shared by oversight experts throughout the Forum.

DISCLAIMER

Emergent issues requiring a rapid response, as determined by an oversight entity, may also involve full audits, inspections, or evaluations. These will follow all applicable standards as well as all relevant oversight entity-specific policy and guidance and are not covered by this product.

Agile Oversight Forum Panelists and Moderators

Many thanks to the wonderful presenters and organizers who provided great insights and discussions about how the oversight community can be more agile in our processes and products. Their efforts in designing, developing, and executing their sessions were invaluable.

Introductory Fireside Chat on Agile Oversight

Gene Dodaro, Comptroller General, GAO
Michael Horowitz, DOJ Inspector General; PRAC Chair
Christi Grimm, HHS Inspector General
Mike Ware, SBA Inspector General
Matt Winchell, Associate Program Analyst, PRAC (Moderator)

How Enterprise Risk Management and Risk-Based Planning Enhance Oversight Agility

Jason Malmstrom, Assistant Inspector General for Audit, DOJ OIG
Jonna Mueller, Oversight Planning Program Manager, HUD OIG
Laura Nicolosi, Deputy Assistant Inspector General for Audit, DOL OIG
Jessica Southwell, Chief Performance and Risk Management Officer, DOL OIG (Moderator)

Agile Oversight in Practice Vignettes

Carolyn Hantz, Assistant Inspector General for Audit, DOL OIG
Marc Meyer, Assistant Inspector General for Investigations, USAID OIG
Elaine Howle, Special Advisor for State, Local, Tribal, and Territorial Oversight, PRAC and former California State Auditor

Agile Products and Professional Standards Increase Innovation, Collaboration, and Opportunities

Andrea Deadwyler, Assistant Inspector General for Audits, SBA OIG
Luke Itnyre, Audit and Evaluation Manager, Federal Deposit Insurance Corporation (FDIC) OIG
Heather (Phoenix) Atkins, Operations Research Analyst, DOL OIG
Michael Frickel, Operations Research Analyst, DOL OIG
Marcos Contreras, Chief Management Officer, PRAC (Moderator)

Agile Oversight in Practice Vignettes

Kymber Waltmunson, King County, Washington Auditor
Eric Atkinson, Supervisory Auditor, DOI OIG

How We Can Share and Integrate Information to Perform Agile Work

Hong "Jo" Zhou, Analytics and Data Science Lead, PRAC
Tim Eagle, Director of Division of Analysis and Analytics, DOL OIG
Jennifer Wagner, Assistant Director for Office of the Chief Data Officer, HHS OIG
Kaitlyn Braswell, Management Analyst, HHS OIG (Moderator)

Agile Oversight in Practice Vignettes

Jeff Brindle, Director of Information Technology and Financial Management, SBA OIG
Tina Kim, Deputy Comptroller, Office of the New York State Comptroller

How to Communicate Agile Work

Cardell Johnson, Senior Executive for Office of Natural Resources and Environment, GAO
Hannah Maloney, Director of Audit Support Division, USAID OIG
Troy Dopke, Supervisory Auditor, DOI OIG
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