



UNITED STATES GOVERNMENT
FEDERAL COMMUNICATIONS COMMISSION
OFFICE OF INSPECTOR GENERAL

MEMORANDUM

DATE: May 15, 2020

TO: Bureau Chief, Consumer and Governmental Affairs Bureau
Deputy Bureau Chief, Consumer and Governmental Affairs Bureau

FROM: Inspector General *for RM, AIEA*

SUBJECT: Audit of the Consumer and Governmental Affairs Bureau's Risk Management Strategy for Processing of Informal Consumer Complaints (Report No. 18-AUD-12-08).

The Office of Inspector General (OIG) submits the attached report on the Audit of Risk Management Strategy for the Consumer and Governmental Affairs Bureau's (CGB) Processing of Informal Consumer Complaints. Lani Eko & Company (LEC), the OIG's contracted auditors, conducted this audit consistent with the OIG's authority under the Inspector General Act of 1978, as amended, including but not limited to sections 2(1)(2) and 4(a)(1). The audit is not intended as a substitute for any agency regulatory compliance review or regulatory compliance audit.

LEC conducted this audit in accordance with generally accepted government auditing standards. Those standards require that the auditors plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for their findings and conclusions based on the audit objectives. The objective of the performance audit was to evaluate CGB's management of risk related to processing informal consumer complaints. The audit covered the period from October 1, 2016, through September 30, 2018.

The attached audit report, dated May 15, 2020, includes 4 findings and 13 recommendations. LEC's audit report includes the following findings:

- CGB's risk management strategy was not effective in meeting the FCC's strategic goal and objective of protecting consumers, including providing freedom from unwanted and intrusive communications.
- All informal consumer complaints under FCC jurisdiction were not resolved, by either forwarding them to service providers for investigation or in another manner.

- The performance achievements for processing informal complaints were not based on the actual time required to process the complaints.
- CGB should improve the training for the staff that process informal consumer complaints.

CGB management did not concur with 2 of the 13 report recommendations. CGB's full management response is included in Appendix B of the audit report.

LEC is wholly responsible for the audit report and the conclusions expressed therein. The OIG monitored LEC's performance throughout the audit and reviewed LEC's audit report and related audit documentation. Our review did not disclose any instances where LEC did not comply in all material respects with generally accepted government auditing standards.

Questions regarding this report may be directed to Sophie Jones, Deputy Assistant Inspector General for Audit, at (202) 418-1655 or sophila.jones@fcc.gov; or Robert McGriff, Assistant Inspector General for Audit, at (202) 418-0483 or robert.mcgriff@fcc.gov.

Attachment

cc: Managing Director
Chief of Staff, Office of Managing Director
Chief, Consumer Inquiries & Complaints Division
Chief Financial Officer