

# **DOI OIG Strategic Plan FY 2008 – 2012**

## **MISSION**

The mission of the Office of Inspector General is to promote excellence, accountability, and integrity in the programs, operations, and management of the Department of the Interior.

## **VALUES**

The OIG operates as an independent oversight organization responsible to the American people, the Secretary, and the Congress to independently evaluate the operations of the Department of the Interior (DOI). We must observe and exhibit high ethical standards and have the courage to tell our stakeholders what they need to know, and not that which they simply wish to hear. Our core values are:

- Honesty and Integrity
- Independence and Relevance
- Fairness and Objectivity
- Professionalism and Competence

## **GOALS**

Our goals establish the framework to position the OIG to be relevant and respected for its expertise and products in the rapidly changing world of 21<sup>st</sup> century America. We continuously strive to evaluate our efforts to assure the accountability of DOI and our responsiveness to the needs of Congress and the American people. We seek to develop and maintain an organization whose ideas and performance results make us a leader in the federal government. Specific goals to accomplish our mission are:

### **Goal 1:**

Provide timely and independent information to the Secretary and Congress regarding the effectiveness and efficiency of DOI programs to help transform the Department to meet 21<sup>st</sup> century challenges.

### **Goal 2:**

Identify waste, fraud, and mismanagement in DOI operated or funded programs. Recognize root causes of identified problems and recommend corrective action.

### **Goal 3:**

Strengthen DOI efforts to manage the natural resources of America. Practice thought-leadership by providing innovative solutions and best practices. Use rigorous processes and continuous learning to evaluate programs and their ability to achieve outcomes that the public and Congress demand.

Goal 4:

Help reduce program vulnerabilities and strengthen integrity for the Department's stewardship of programs for Indians and Insular Islands.

Goal 5:

Become an organization of choice for a diverse and talented workforce with a desire to promote effective government.

## STRATEGIES

The OIG annually identifies the top management challenges faced by DOI and conducts annual planning for projected activities to address these challenges. Additionally, we monitor and assess risk on an ongoing basis to identify those areas that warrant our attention. Tools available to address risk include:

- *Assessments – Assessments are program reviews conducted on law enforcement and security related programs by the Program Integrity Division of the Office of Investigations (OI).*
- *Audits - An audit is an independent, objective examination of an organization, system, process, project or product. Audits are performed to ascertain the validity and reliability of information, and also provide an assessment of a system's internal control. The goal of an audit is to formulate an opinion on the current status and results of operations and determine whether opportunities exist for improvements in economy, efficiency, and effectiveness. Audits endeavor to cover multiple bureaus, and include detailed review, testing, and reporting on internal controls, along with detailed review and testing of transactions designed to detect fraud and illegal acts.*
- *Best Practices – Recommendations for best practices and techniques based on bench marking and research that when implemented will reliably lead to the desired outcome or planned result.*
- *Evaluations - An evaluation is an objective, independent study and appraisal of a program's systems, records, and processes. The goal of an evaluation is to determine the significance, value and/or current operating condition of a program and determine whether opportunities exist for improvements in program operation or effectiveness. Evaluations may focus on issues such as program vulnerabilities, program effectiveness, "best practices," the appropriateness of agency policies, the efficiency of resource use, or fraud, waste, and mismanagement.*
- *Critical Point Evaluations – Critical Point Evaluations are limited scope evaluations of a planned or on-going major project or initiative to ensure that adequate management controls and oversight are in place.*

- Flash Reports – *Immediate notification to senior Department officials regarding significant audit/evaluation/inspection findings, particularly involving human health risks, security vulnerabilities, or financial fraud.*
- Inspections - *An inspection is an independent, objective review of specified program elements (such as documents, facilities, records, and any other assets) to determine compliance with specific regulations or criteria. Inspections have limited depth and breadth, relate to a single issue, and are designed to answer a specific question.*
- Investigations –*Criminal, civil, and administrative investigations are conducted involving a broad range of targeted programs and activities.*
- Management Advisories – *Management advisories are prepared to alert senior Department officials of findings discovered during an investigation that warrant management action or attention to prevent further waste, fraud, or mismanagement.*
- Management Presentations – *Management presentations are briefings for senior leadership regarding significant findings from audits, assessments, evaluations, inspections, and investigation, including recommended actions to address the findings.*
- Notice of Potential Findings and Recommendations – *NPFRs are provided during the course of an audit, evaluation or inspection to notify management of a significant potential finding that may impact the result of the engagement, and recommend corrective action that can be taken prior to completion of the engagement.*

## PERFORMANCE MEASURES

A series of organizational and individual performance metrics are used to judge progress towards achieving desired goals. Annual performance measures are established around four central outcomes: value added impact, timeliness, results, and excellence. Value added metrics relate to the usefulness and impact of our products for preventing waste, fraud, and mismanagement, correction of identified problems, and driving improvements in programs and operations. Timeliness relates to the ability to provide products and information so that they will be useful to management in the most efficient and effective manner. Results relate to the influence our work has on its intended audience(s). The metrics regarding excellence relate to the efficiency of OIG support services, and the quality of our workforce and worklife environment. Details of our annual performance measures and results can be found on our Website at <http://www.doioig.gov>.

A crosswalk of our metrics and our strategic goals is summarized as follows:

1. Value Added Products (Goals 1 – 5) – The desired outcome of our work is behavioral and operational change that corrects existing problems, prevents problems in the future, and/or improves program performance and management. We establish performance goals and track results relating to the percent of OIG products that provide best practices, benchmarking, and/or management advisories designed to assist the Department in improving its programs and operations; the scope and success of critical point evaluations that address high risk/high priority programs and initiatives; and provide real time recommendations for improved management approaches or crime prevention. If preexisting problems are discovered through our oversight we measure among other things: the percent of investigations in targeted criminal activity and the percent of investigations resulting in criminal conviction, civil or administrative action, or other appropriate resolution, the percent of audits/evaluations that are multi-bureau and/or address high-risk or high-impact areas.

2. Timeliness (Goals 1-5): Our work must be timely to have meaningful impact on the behavior of individuals and the operation of DOI programs. The efficiency of our work has a direct link to the timeliness of the Department’s correction of identified deficiencies and implementation of recommendations for improvement. We use an Activity Based Cost Management system that allows us to continuously monitor activities, timeframes, and resources used to produce our work products. We strive to complete non-judicial investigations and audits within 1 year, evaluations within 9 months, IT security evaluations within 180 days, and inspections within 90 days.

3. Results, Positive Change, and Collaboration (Goals 1 – 5) – Measurable results based on recommendations that promote positive change in Department programs and operations, enhanced ethical standards, and increased transparency and/or money savings. We measure effective collaboration among the organizations within the OIG when a wide range of disciplines is required for achieving positive results. Work ranging from legal analysis, IT support services, facilities management, and administrative support for travel contribute to successful IG efforts in the core areas of investigations, audits, evaluations and inspections.

4. Administrative Excellence (Goals 1 -5): OIG support associates contribute to a high quality work environment and provide the tools needed to complete our oversight work. These include metrics that ensure efficient administration of OIG functions, such as the completion of simplified acquisition within 9 days of request, resolution of computer support help desk items within 8 hours, providing a qualified candidate list for position vacancies to the requesting office within agreed upon timeframes, and resolution of delinquent financial accounts in less than 60 days. We strive to have all employees allocate the majority of their time to primary activities. We track our results in this area with our ABC/M system.

5. Worklife Excellence (Goal 5): To ensure high quality of worklife and high levels of job satisfaction, we recruit and reward excellence and professionalism. In the worklife

area we believe that employees must have important work related to our mission. Additional measures in the worklife arena are to achieve over 85% employee satisfaction, and to ensure that any necessary adverse actions are both timely and fair.

Specific organizational performance measures are approved by the IG annually and used to produce a performance-based budget, evaluate Senior Executive performance, and assist in strategic and tactical planning to achieve the long-term goals established in this strategic plan. This process keeps the OIG on track and focused on both long-term goals and short-term work products to meet immediate needs of our customers. We use adaptive management practices to modify our strategic and tactical planning efforts, based on our accomplishments, to continuously improve our goals and objectives.

## ANNUAL PERFORMANCE MEASURES

### Audits

#### **1. Value-Added products**

Goal: We advocate Best Practices and Benchmarking, and strive for at least 50% of Evaluations to have Best Practices or Benchmarking.

Actual:

Goal: At least 50% of Performance Audits are Multi-Bureau.

Actual:

#### **2. Timeliness**

Goal: At least 80% of Audits are completed within 12 months.

Actual:

#### **3. Results, Positive Change, and Collaboration**

Goal: At least 70% of Audits contain Notice of Potential Finding and Recommendation.

Actual:

Goal: Conduct verifications on 50% of recommendations closed in the previous two fiscal years.

Actual:

#### **4. Administrative Excellence (OIG-Wide)**

Goal: At least 75% of time allocated to primary activities.

Actual:

#### **5. Worklife Excellence (OIG-Wide)**

Goal: At least 85% Employee Satisfaction throughout the OIG.

Actual:

## **Inspections and Evaluations**

### **1. Value-Added products**

Goal: We advocate Best Practices and Benchmarking, and strive for at least 50% of Evaluations to have Best Practices or Benchmarking.

Actual:

Goal: At least 60% of Inspections and Evaluations address High Risk Areas.

Actual:

### **2. Timeliness**

Goal: At least 75% of Evaluations are completed within 9 months.

Actual:

Goal: At least 75% of Inspections are completed within 3 months.

Actual:

### **3. Results, Positive Change, and Collaboration**

Goal: At least 70% of Evaluations contain Notice of Potential Finding and Recommendation.

Actual:

### **4. Administrative Excellence (OIG-Wide)**

Goal: At least 75% of time allocated to primary activities.

Actual:

### **5. Worklife Excellence (OIG-Wide)**

Goal: At least 85% Employee Satisfaction throughout the OIG.

Actual:

## **Investigations**

### **1. Value-Added products**

Goal: At least 25% of Investigations result in Management Advisories.

Actual:

Goal: At least 75% of Investigations are in targeted categories.

Actual:

### **2 Timeliness**

Goal: At least 75% of non-judicial investigations are opened and completed within one year.

Actual:

### **3. Results, Positive Change, and Collaboration**

Goal: At least 85% of Investigations result in criminal conviction, civil or administrative action, or other appropriate resolution.

Actual:

### **4. Administrative Excellence (OIG-Wide)**

Goal: At least 75% of time allocated to primary activities.

Actual:

### **5. Worklife Excellence (OIG-Wide)**

Goal: At least 85% Employee Satisfaction throughout the OIG.

Actual:

## Office of Management

### **1. Value-Added Service**

Goal: Complete micro purchases within 6 days of request (on average).

Actual:

Goal: Complete simplified acquisition (greater than \$3,000, less than \$100,000) within 9 days of receipt of complete acquisition request package.

Actual:

### **2 Timeliness**

Goal: At least 90% of delinquent financial accounts resolved in 60 days or less.

Actual:

Goal: At least 90% of Travel Reimbursements processed for payment within 48 hours.

Actual:

### **3. Results, Positive Change, and Collaboration**

Goal: At least 90% of vacancy announcements are posted within 10 days of receipt of request.

Actual:

Goal: At least 90% of applicant certifications are issued within 30 days of vacancy closing.

Actual:

### **4. Administrative Excellence (OIG-Wide)**

Goal: At least 75% of time allocated to primary activities.

Actual:

### **5. Worklife Excellence (OIG-Wide)**

Goal: At least 85% Employee Satisfaction throughout the OIG.

Actual:

## Office of Information Technology

### **1. Value-Added products**

Goal: At least 80% of Evaluations are conducted in high risk or high impact areas.

Actual:

### **2 Timeliness**

Goal: At least 90% of IT security evaluations are completed within 180 days.

Actual:

Goal: At least 95% of all IT help-desk requests completed within 8 hours.

Actual:

### **3. Results, Positive Change, and Collaboration**

Goal: Conduct Verifications on 80% of identified Significant Recommendations Implemented.

Actual:

### **4. Administrative Excellence (OIG-Wide)**

Goal: At least 75% of time allocated to primary activities.

Actual:

### **5. Worklife Excellence (OIG-Wide)**

Goal: At least 85% Employee Satisfaction throughout the OIG.

Actual:

## Office of General Counsel

### **1. Value-Added products**

Goal: At least 25% of OGC Legal Opinions are of major significance to the final OIG product.

Actual:

### **2 Timeliness**

Goal: At least 80% of Legal Opinions are completed with 60 days of receipt.

Actual:

Goal: At least 90% of IG subpoenas are turned around in 24 hours of receipt.

Actual:

### **3. Results, Positive Change, and Collaboration**

Goal: At least 85% of OIG adverse actions are completed within 60 days.

Actual:

Goal: At least 95% of Employees receive Annual Ethics Training.

Actual:

Goal: FOIA backlog is reduced by no less than 5%.

Actual:

### **4. Administrative Excellence (OIG-Wide)**

Goal: At least 75% of time allocated to primary activities.

Actual:

### **5. Worklife Excellence (OIG-Wide)**

Goal: At least 85% Employee Satisfaction throughout the OIG.

Actual: