



Office of Inspector General U.S. Department of Labor

Fiscal Year 2019 Annual Performance Report & Fiscal Year 2021 Annual Performance Plan



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LETTER FROM THE INSPECTOR GENERAL AND DEPUTY INSPECTOR GENERAL

We are pleased to present the U.S. Department of Labor (DOL) Office of Inspector General's (OIG) fiscal year (FY) 2019 Annual Performance Report (APR) and FY 2021 Annual Performance Plan (APP). The results for FY 2019 demonstrate the OIG's commitment to the American people, DOL, and Congress by providing independent and objective oversight of departmental programs through our audit and investigative efforts, and by combatting the influence of labor racketeering and organized crime in the nation's labor unions.

The FY 2019 APR and FY 2021 APP presents the OIG's organizational performance results and plans based on the OIG's FY 2018 – 2022 Strategic Plan. This report highlights the OIG's strategic goals with their related strategic objectives, organizational performance results against Key Performance Indicators (KPI), and our accomplishments.

We remain committed to achieving our strategic goals, promoting internal positive change, identifying improvements to DOL programs and operations, and protecting the interests and benefits of the nation's workers and retirees.



Scott S. Dahl
Inspector General



Larry D. Turner
Deputy Inspector General

THE OIG AND FISCAL YEAR 2019 PERFORMANCE HIGHLIGHTS



DOL-OIG conducts audits to review the effectiveness, efficiency, economy, and integrity of all DOL programs and operations. The OIG also conducts investigations into alleged violations of federal laws relating to DOL programs, operations, and personnel. In addition, the OIG conducts criminal investigations to combat the influence of labor racketeering and organized crime in the nation's labor unions. The OIG also works with other law enforcement partners on human trafficking matters.

In FY 2019, the OIG:

- Issued 22 audit and other reports that resulted in \$13 million in funds put to better use.
- Reviewed 127 single audit reports covering DOL expenditures more than \$18.9 billion. We referred DOL-related recommendations from 52 audit reports to the appropriate agencies for action. Those recommendations included more than \$1.9 million in questioned costs.
- Conducted investigative work that resulted in 325 indictments, 228 convictions, and more than \$107 million in monetary accomplishments.
- Testified before Congress on work of the Council of the Inspectors General on Integrity and Efficiency's (CIGIE) Integrity Committee and CIGIE's efforts to improve transparency and accountability.¹
- Identified 14 significant concerns and 9 top management and performance challenges facing DOL.
- Developed and launched the project and performance management sub-systems of OIG's enterprise system/solution to improve our ability to monitor, measure, and report our performance against meeting our strategic goals.
- Released the *OIG Recommendation Dashboard* to provide an ongoing, public resource summarizing the details and status of OIG recommendations.²
- Introduced the *DOL-OIG Highlights* publication, which provides a bimonthly summary of select OIG accomplishments and significant concerns.
- Launched the OIG's YouTube channel to provide video summaries of select OIG reports.³
- Received multiple awards from CIGIE for exemplary work identifying fraud and weaknesses in DOL and other federal programs.
- Earned 6 awards from the Secretary of Labor for achievements in uncovering fraud and inefficiencies in DOL programs.

¹ Please see *Statement of Scott S. Dahl, Inspector General, U.S. Department of Labor, House Committee on Oversight and Reform; Subcommittee on Government Operations*, (September 18, 2019) found at <https://www.oig.dol.gov/public/testimony/20190918.pdf>

² The *OIG Recommendation Dashboard*, which includes recommendations from FY 2010 forward, is available at <https://www.oig.dol.gov/recommendationdashboard.htm>

³ *DOL-OIG Highlights* and *DOL-OIG Video Highlights* are available at <https://www.oig.dol.gov/doloighighlights.htm> and <https://www.oig.dol.gov/oigvideohighlights.htm>, respectively.

THE OIG AND FY 2019 SNAPSHOT

Figure 1: FY 2019 Office of Investigations Selected Accomplishments

Investigative recoveries, cost-efficiencies, restitutions, fines and penalties, forfeitures, and civil monetary action.....	\$107.7 million
Investigative cases opened.....	197
Investigative cases closed/reports issued.....	249
Investigative cases referred for prosecution.....	203
Investigative cases referred for administrative/civil action.....	93
Indictments.....	325
Convictions.....	228
Statutory debarments.....	20

Figure 2: FY 2019 Office of Audit Selected Accomplishments

Funds Put to Better Use ⁴	\$13 million
Audits and other reports issued.....	22
Recommendations for corrective action.....	84
Single Audits with Recommendations Referred to Department.....	52

⁴ The term “recommendation that funds be put to better use” (FPTBU) means a recommendation by the OIG that funds could be used more efficiently or achieve greater program effectiveness if management took actions to implement and complete the recommendation. This term is defined by the Inspector General Act and includes, among other things, reductions in future outlays; deobligation of funds from programs or operations; costs not incurred in the future by implementing recommended improvements related to the operations of the establishment, a contractor, or a grantee; and any other savings specifically identified, including reverting funds to the U.S. Treasury to be used for other purposes.

TOP MANAGEMENT AND PERFORMANCE CHALLENGES FOR DOL

The OIG identified the most serious management and performance challenges facing DOL.⁵ These challenges are included in DOL's "Agency Financial Report" for FY 2019. The nine challenges we identified are:

- Helping adults and youth succeed in the labor market;
- Providing a safe learning environment at Job Corps Centers;
- Protecting the safety and health of workers;
- Managing medical benefits in the Office of Workers' Compensation Programs, including opioids;
- Integrity of DOL rulemaking processes;
- Maintaining the integrity of Foreign Labor Certification Programs;
- Protecting retirement, health, and other benefit plans for workers, retirees, and their families;
- Identifying and reducing unemployment insurance improper payments; and
- Securing and managing information systems.

We summarize these challenges, significant DOL progress to date, and what remains to be done in our *Top Management and Performance Challenges Facing the Department of Labor – November 2019* report.⁶

EVIDENCE-BASED PERFORMANCE AND PROGRESS MANAGEMENT

The OIG is a performance-based organization, as defined and described by OMB's Circular A-11. A performance-based organization commits to manage towards specific, measurable goals derived from a defined mission, using performance data to enhance operations. The concept of a performance-based organization was codified in the Government Performance and Results Act of 1993 (GPRA) and updated by the Government Performance and Results Act Modernization Act in 2010 (GPRAMA).

⁵ The Reports Consolidation Act of 2000 requires OIG to identify the most serious management and performance challenges facing DOL.

⁶ For the *Top Management and Performance Challenges Facing the Department of Labor – November 2019* report, please visit our website at

<https://www.oig.dol.gov/public/topchallenges/DOL%202019%20Top%20Management%20and%20Performance%20Challenges.pdf>

The OIG complies with various laws and their implementing regulations, instructions, or information provided to agencies by the Office of Management and Budget (OMB), as well as federal law enforcement and auditing policies, guidance, and professional standards.⁷

FYs 2019 AND 2020 MEASURE CHANGES, AND FY 2021 MEASURE DEVELOPMENT

The OIG assesses the achievement of its strategic goals by leveraging Enterprise Risk Management (ERM) assessments and using KPIs for each OIG component.⁸ In collaboration with the IG, Deputy Inspector General (DIG), and the Chief Performance and Risk Management Officer (CPRMO), each Assistant Inspector General (AIG) and the Counsel to the IG defines parameters for the success criteria during the development of their component's performance measures.

The OIG continuously improves its measurement strategies by providing clear definitions for strategic objectives and performance indicators, and by leveraging verification and validation techniques. The OIG used these strategies to enhance the accuracy and data quality of performance and progress reported in this APR for FY 2019 and will continue employing these strategies in future FYs.

The OIG refined and in some cases retired measures between FYs and APRs, as well as developed new measures for FYs 2020 and 2021, to enhance organizational performance and improve the accuracy and quality of performance data and progress:

Table 1: OIG Measurement Strategy and Performance Framework

	Number of KPIs	Number of Strategic Objectives
FY 2017	56	18
FY 2018	56	13
FY 2019	56	13
FY 2020	60	13

Appendix C contains the targets and results for FYs 2016 through 2019 measures that the OIG retired in FYs 2018 through 2020.

The OIG leveraged FYs 2016 through 2019 baseline data and benchmarks to set performance targets for FYs 2020 and 2021. Going forward, the OIG may update FYs 2020 and 2021 performance indicators to incorporate risk mitigation plans, best practices, and lessons learned, as well as to improve data accuracy and quality.

⁷ Please See Appendix A for an overview of some of the statutory laws with provisions affecting the OIG's mission and work.

⁸ Please See Appendix B for OIG's organizational structure and an overview of OIG organizational components.

STRATEGIC GOALS AND OBJECTIVES

Three strategic goals guide our work and focus on ensuring sustainability, accountability, and transparency in our operations:

Table 2: OIG Strategic Goals

Strategic Goal 1	Deliver timely, relevant, and high-impact results.
Strategic Goal 2	Foster an internal OIG culture that drives high performance and engagement.
Strategic Goal 3	Promote responsible stewardship of OIG financial and non-financial resources.

STRATEGIC GOAL ALIGNMENT

The OIG strategic goals generally align with those of DOL, as indicated below:

Table 3: The OIG Goals Alignment with DOL Goals

OIG GOALS	DOL STRATEGIC GOALS ⁹			DOL MANAGEMENT GOAL
	Support the Ability of All Americans to Find Good Jobs	Promote Safe Jobs and Fair Workplaces for All Americans	Administer Strong Workers' Compensation and Benefits Programs	Optimize DOL's Enterprise Services' Opportunities
<i>Goal 1: Deliver timely, relevant, and high-impact results</i>	X	X	X	X
<i>Goal 2: Foster an internal OIG culture that drives high performance and engagement</i>	X	X	X	X
<i>Goal 3: Promote responsible stewardship of OIG financial and non-financial resources</i>				X

⁹ The OIG develops strategic plans and priorities through consultations with its stakeholders, administration officials, and Congress. For more information on the OIG's FY 2018 – 2022 Strategic Plan, please visit our website at <https://www.oig.dol.gov/public/reports/OIG%20Strategic%20Plan%202018-2022.pdf>

OVERVIEW OF FY 2019 PERFORMANCE

To present the most current information, this FY 2019 APR and FY 2020 – FY 2021 APP integrates reporting of OIG's FYs 2016 through 2019 performance with its updated performance plan for the current fiscal year (FY 2020) and next fiscal year (FY 2021). This combined approach provides a retrospective and prospective view of OIGs performance, consistent with OMB guidelines.

Table 4: Overview of the OIG FY 2019 Performance

	Missed Target	Met Target	Exceeded Target	N/A	Total KPIs for FY 2019	New FY 2020 and (Retired) FY 2019 KPIs	Total KPIs for FY 2020
Strategic Goal 1	4	2	24	1	31	3 (2)	32
<i>Objective 1.1</i>	2	1	5	0	8	0 (0)	8
<i>Objective 1.2</i>	2	1	11	1	15	3 (2)	16
<i>Objective 1.3</i>	0	0	3	0	3	0 (0)	3
<i>Objective 1.4</i>	0	0	2	0	2	0 (0)	2
<i>Objective 1.5</i>	0	0	3	0	3	0 (0)	3
Strategic Goal 2	0	0	8	0	8	5 (1)	12
<i>Objective 2.1</i>	0	0	1	0	1	0 (0)	1
<i>Objective 2.2</i>	0	0	2	0	2	1 (0)	3
<i>Objective 2.3</i>	0	0	2	0	2	4 (1)	5
<i>Objective 2.4</i>	0	0	3	0	3	0 (0)	3
Strategic Goal 3	1	1	14	1	17	2 (3)	16
<i>Objective 3.1</i>	1	0	3	0	4	0 (0)	4
<i>Objective 3.2</i>	0	0	2	0	2	1 (1)	2
<i>Objective 3.3</i>	0	0	7	0	7	1 (1)	7
<i>Objective 3.4</i>	0	1	2	1	4	0 (1)	3
Total	5	3	46	2	56	10 (6)	60

The following sections present the three OIG strategic goals with their related strategic objectives, selected accomplishments and examples of our work, organizational performance results against KPIs, and performance improvement plans for KPIs the OIG did not meet (highlighted in red):

- Strategic Goal 1—Deliver timely, relevant, and high-impact results;
- Strategic Goal 2—Foster an internal OIG culture that drives high performance and engagement; and
- Strategic Goal 3—Promote responsible stewardship of OIG financial and non-financial resources.

Appendix C contains the targets and results for FYs 2016 through 2019 measures that OIG retired from FY 2018 through 2020.

STRATEGIC GOAL 1—DELIVER TIMELY, RELEVANT, AND HIGH-IMPACT RESULTS

STRATEGIC GOAL 1

Deliver timely, relevant, and high-impact results

The OIG seeks to strengthen DOL key programs and operations through its work. The OIG does this by employing risk-based approaches to prioritize and target audits and investigations on areas that provide the greatest impact and address the highest risks. Goal 1 also includes proactively engaging key OIG stakeholders to seek their input for identifying potential audits and investigations.

GOAL 1 STRATEGIC OBJECTIVES

Table 5: Strategic Objectives for Goal 1

1.1	Strengthen DOL's key programs and operations through our work and other deliverables.
1.2	Improve our work processes to drive the timely completion of relevant and impactful audits and investigations.
1.3	Employ a risk-based approach to prioritize and target audits and investigations on areas that provide the greatest impact and address the highest risks.
1.4	Timely articulate to our external stakeholders the relevance, impact, and value of our work in each product.
1.5	Proactively engage our key stakeholders to seek their input for identifying potential audits and investigations.

GOAL 1 SELECTED ACCOMPLISHMENTS – OFFICE OF AUDIT

- The OIG identified systemic weaknesses in the Employment and Training Administration's (ETA) Technical Skills Training (TST) grant award processes, oversight, and performance measurement. The OIG determined that ETA did not provide reasonable assurance that grantees provided training that resulted in participants obtaining and retaining jobs in H-1B occupations. In addition, the OIG determined that ETA did not design the program to ensure non H-1B training provided had a clear pathway to H-1B jobs as required by the grant solicitation. Based on the results of the OIG's analysis, the OIG estimated that ETA would have put \$13 million in grant funds to better use if it had remedied systemic weaknesses. The OIG further estimated that up to 53 percent of TST grants totaling \$183 million were at risk of not meeting the intent of the TST program.¹⁰
- The OIG found that the Employee Benefits Security Administration (EBSA) did not conduct effective oversight of the federal government's Thrift Savings Plan (TSP), the largest defined contribution plan in the world with 5.1 million participants and assets over \$500 billion. ETA lacked an ongoing process for assessing changes in risks to the TSP over time, lacked transparency to provide participants and beneficiaries assurances of accountability for its oversight of the TSP, and lacked sufficient legal

¹⁰ Report Number 06-19-001-03-391, *ETA Had No Reasonable Assurance That \$183 Million in H-1B TST Grant Funds Helped Participants Get H-1B Jobs*, (September 27, 2019) found at <https://www.oig.dol.gov/publicreports/oa/2019/06-19-001-03-391.pdf>

authority to require the Federal Retirement Thrift Investment Board to act on its recommendations.¹¹

- The OIG determined that Office of Workers' Compensation Programs' (OWCP) policy on opioids was too permissive and allowed physicians to prescribe initial opioid prescriptions for up to 60 days without establishing medical necessity. In addition, OWCP did not have reliable opioid addiction information and controls to allow its management to make informed decisions and evaluate Federal Employee Compensation Act (FECA) program's performance in managing opioid dependency among FECA claimants.¹²

GOAL 1 SELECTED ACCOMPLISHMENTS – OFFICE OF INVESTIGATIONS

- Vincent Esposito was sentenced to 24 months in prison, ordered to pay more than \$3.8 million in forfeiture, and ordered to pay restitution to his victims. Esposito, over the course of more than a decade, made millions with members of the Genovese Crime Family by extorting payments, demanding kickbacks, committing fraud, and instilling fear. Esposito directed the long-running extortion of a union official for annual tribute payments of more than \$10,000. Esposito's co-conspirator, Frank Cagnetta, was sentenced to 24 months in prison for conspiring to commit racketeering offenses with members and associates of the Genovese Crime Family. Cagnetta engaged in various schemes to defraud his union by, among other things, soliciting and accepting bribes and steering union benefit plans into investments in exchange for kickbacks, which resulted in more than \$1 million in unlawful payments.¹³
- Lydia Bankhead, residing in Arizona, was sentenced to 1 year in prison followed by a 1-year period of supervised release, and ordered to pay more than \$26 million in restitution for her role to defraud the FECA program administered by OWCP. Lydia Taylor, Bankhead's niece and an unpaid intern with OWCP, was sentenced to two years of probation and ordered to pay more than \$265,000 in restitution to OWCP for her role in the scheme. Taylor pleaded guilty to failure to disclose a financial interest in Bankhead's company on her employment application, and Bankhead pleaded guilty to aiding and abetting Taylor's failure to disclose a financial interest to the government.¹⁴
- Fanny and Roger Zeleya-Mendez, siblings from Honduras, were sentenced to 24 and 48 months, respectively, in prison, followed by three years of supervised release, and ordered to forfeit over \$1.4 million and pay more than \$6.5 million in restitution to the Internal Revenue Service. The Zeleya-Mendez's pleaded guilty for their roles in a scheme to facilitate the employment of undocumented workers and to evade state and federal payroll taxes and workers' compensation laws.¹⁵

¹¹ Report Number 05-18-001-12-001, *EBSA Can Provide Greater Oversight of the Thrift Savings Plan by Strengthening its Audit Program*, (October 11, 2018) found at <https://www.oig.dol.gov/public/reports/oa/2019/05-18-001-12-001.pdf>

¹² Report Number 04-19-002-04-431, *OWCP Must Continue Strengthening Management of FECA Pharmaceuticals, Including Opioids*, (May 14, 2019) found at <https://www.oig.dol.gov/public/reports/oa/viewpdf.php?r=03-19-002-04-431&y=2019>

¹³ This was a joint investigation with investigation with the FBI, the Office of Labor-Management Standards (OLMS), and the New York City Police Department. *United States v. Esposito et al.* (S.D. New York).

¹⁴ This was a joint investigation with USPS-OIG. *United States v. Lydia Bankhead and United States v. Lydia Taylor* (N.D. Texas).

¹⁵ This was a joint investigation with HSI, IRS -Criminal Investigation, and U.S. Immigration and Customs Enforcement. *United States v. Roger Omar Zelaya-Mendez and Fanny Melina Zelaya-Mendez* (M.D. Florida).

GOAL 1 PERFORMANCE RESULTS



Table 6: Performance Results for Goal 1

Strategic Objective	FY 2019 Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2021 Targets
1.1	Percentage of audit recommendations accepted by DOL within 12-months of issuance of final audit report.	OA	90%	87%	90%	87%	90%	93%	90%	86%	90%	90%
	Percentage of audit recommendations stemming from discretionary audits that address the risks impacting DOL's missions.	OA	50%	84%	70%	91%	70%	95%	80%	89%	80%	80%
	Percentage of investigations closed in the fiscal year that resulted in a criminal, civil, administrative action, or monetary outcome.	OI	70%	53%	70%	69%	60%	67%	60%	60%	60%	60%
	Percentage of formal Congressional requests acknowledged within 5 business days.	OCPR	90%	100%	90%	100%	90%	100%	90%	100%	95%	95%
	Percentage of simple Freedom of Information Act (FOIA) and Privacy Act requests for OIG records completed within 20 working days.	OLS	90%	83%	90%	94%	90%	100%	90%	100%	90%	90%

¹⁶ OA = Office of Audit, OCPR = Office of Congressional and Public Relations, OI = Office of Investigations, OLS = Office of Legal Services, OMAP = Office of Management and Policy, and OSI = Office of Special Investigations.

Strategic Objective	FY 2019 Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2021 Targets
1.1 continued	Percentage of complex FOIA and Privacy Act requests that are acknowledged in writing while providing an anticipated completion date to the requestor within 20 working days.	OLS	90%	80%	90%	96%	90%	69%	90%	100%	90%	90%
	Percentage of audit recommendations implemented within 5 years.	OA	New FY 2019 Measure						85%	75%	85%	85%
	Reduce backlog of outstanding audit reports.	OA	New FY 2019 Measure						10%	59%	75%	75%
1.2	Percentage of audits completed within 12 months of initiation during the Fiscal Year. ¹⁷	OA	New FY 2020 Measure								70%	70%
	Provide legal guidance and assistance for routine audit and investigative requests for legal support within 20 business days from receipt of the request. ¹⁸	OLS	New FY 2020 Measure								60%	60%
	Percentage of draft audit reports approved by the Assistant Inspector General within 90 days following audit field work.	OA	75%	71%	75%	68%	75%	76%	75%	78%	75%	75%

¹⁷ Previous FYs measurement stated "...within 12 months of initiation (date of engagement letter)"; as such, prior results are not directly comparable. However, OA continues to develop Standard Operating Procedures to reduce the duration (project cycle time) of audits. Please see Appendix C for historical results of previous KPI, and applicable performance improvement plans.

¹⁸ Previous measurement stated "...or within agreed upon timelines..."; as such, prior results are not directly comparable.

Strategic Objective	FY 2019 Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2021 Targets
1.2 continued	Percentage of referrals from the OWCP Integrity Unit, the WHD and the OFLC that are reviewed, evaluated, and closed to a final disposition or converted to an investigation within 90 days of receipt by the investigating field office.	OI	New FY 2018 Measure				80%	100%	80%	94%	80%	80%
	Percentage of allegations that are either closed or converted to full investigations within 90 days of receipt.	OSI	70%	95%	88%	99%	88%	98%	88%	90%	88%	88%
	Percentage of Tier 1 investigations completed (referred for prosecution / administrative / civil proceedings) within 24 months of case opening.	OI	New FY 2018 Measure				50%	73%	50%	82%	65%	65%
	Percentage of Tier 2 investigations completed (referred for prosecution / administrative / civil proceedings) within 12 months of case opening.	OI	New FY 2018 Measure				60%	68%	60%	88%	65%	65%
	Percentage of investigations completed (referred for prosecution / administrative / civil proceedings, or closed) within 12 months of case opening.	OSI	70%	68%	70%	98%	70%	92%	80%	80%	85%	85%
	Percentage of all Hotline complaints that are reviewed and logged within 10 calendar days from receipt. ¹⁹	OI (Transferred from OLS)	90%	87%	90%	95%	90%	92%	90%	100%	90%	90%

¹⁹ Previous FYs measurement stated “10 business” days. Refinement made prior to the beginning of FY 2018, and this refinement did not affect prior FY performance results. Responsibility for Hotlines transferred from OLS to OI during the FY 2019 3rd Quarter.

Strategic Objective	FY 2019 Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2021 Targets
1.2 continued	Percentage of all Hotline complaints that are acknowledged in writing, as well as reviewed and referred to the appropriate OIG Office or DOL component within 35 calendar days. ²⁰	OI (Transferred from OLS)	90%	98%	90%	84%	90%	92%	90%	95%	90%	90%
	Percentage of subpoena requests reviewed by OLS within 3 business days.	OLS	New FY 2018 Measure				90%	97%	90%	73%	90%	90%
	Issue a biennial OMAP Customer Satisfaction Survey to seek stakeholder feedback and assess the effectiveness of mission support activities within the OIG. ²¹	OMAP	New FY 2017 Measure		30-Sep	24-Aug	N/A	N/A	30-Sep	4-April	N/A	30-Sep
	Percentage of mission support improvement activities that are completed based on OMAP's biennial customer satisfaction survey results action plan.	OMAP	New FY 2018 Measure				60%	75%	N/A	N/A	60%	N/A

²⁰ Previous FYs measurement stated “35 working days.” Refinement made prior to the beginning of FY 2018, and this refinement did not affect prior FY performance results. Responsibility for Hotlines transferred from OLS to OI during the FY 2019 3rd Quarter.

²¹ OIG introduced this KPI as an annual metric; however, OIG refined this measurement to a biennial basis (every 2 years) beginning in FY 2019.

Strategic Objective	FY 2019 Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2021 Targets
1.2 continued	Percentage of Complaints referred from the Complaint Analysis Office (CAO) that are evaluated and closed to a final disposition or converted to an investigation within 180 days of receipt by the investigating field office.	OI	New FY 2018 Measure				80%	96%	80%	90%	80%	80%
	Percentage of separating OIG employees who are provided a Records Management Exit Check List within 7 business days of the Records Management Office receiving notice of the employee's impending separation. ²²	OLS	New FY 2018 Measure				90%	75%	80%	96%	80%	80%
	Percentage of the 10 oldest FOIA requests closed during the fiscal year.	OLS	New FY 2020 Measure							60%	60%	
1.3	Percentage of discretionary audits designed to address significant risks impacting DOL's missions.	OA	75%	75%	75%	88%	75%	90%	85%	90%	85%	85%
	Percentage of new investigative cases that are considered Tier 1.	OI	New FY 2018 Measure				50%	87%	65%	81%	75%	75%
	Percentage of new investigative cases that are considered Tier 1.	OSI	New FY 2018 Measure				75%	87%	75%	94%	85%	85%

²² Previous measurement stated "...who received a Records Management Exit Check List within 72 hours ..." Refinement made prior to the beginning of FY 2018.

Strategic Objective	FY 2019 Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2021 Targets
1.4	Percentage of non-mandatory OIG publications (e.g. Investigations Newsletters, Audit Workplans, Highlights of the Semiannual Report to Congress) provided to stakeholders and made publicly available within agreed upon timeframes.	OCPR	New FY 2019 Measure						90%	100%	95%	95%
	Percentage of relevant audit reports provided to cognizant Congressional committees within one business day, and made available to the public within three business days after receiving final, approved versions.	OCPR	New FY 2019 Measure						90%	100%	95%	95%
1.5	At least one meeting with each major component within the Department to solicit ideas regarding areas of potential audit.	OA	New FY 2019 Measure						80%	82%	80%	80%
	Number of outreach, liaison, and educational sessions with internal and external stakeholders to identify areas of high risk that could lead to potential investigations.	OI	370	370	370	607	370	702	370	691	450	450
	Number of briefings and consultations per year offered to cognizant Senate and House committees regarding OIG work priorities and areas of Congressional interest.	OCPR	12	13	12	15	12	12	12	19	12	12

GOAL 1 PERFORMANCE IMPROVEMENT PLAN

Table 7: Performance Improvement Plan for Goal 1 KPIs Not Met

Strategic Objective	FY 2019 Performance Indicators	Responsible Component	FY 2019 Targets	FY 2019 Results	Performance Improvement Plan
1.1	Percentage of audit recommendations accepted by DOL within 12-months of issuance of final audit report.	OA	90%	86%	During the 4th quarter, OA refined its process for audit resolution to provide Audit Directors more control, including the authority to issue resolution memos under the Director's signature.
1.1	Percentage of audit recommendations implemented within 5 years.	OA	85%	75%	Leading up to and including the January 2020 Director's Meeting, OA will focus on resolving and closing recommendations from FY 2015 and prior.
1.2	Percentage of subpoena requests reviewed by OLS within 3 business days.	OLS	90%	73%	OLS brought a paralegal contractor on board whose responsibilities include checking the OLS intake box on a daily basis and informing the Counsel to the IG of subpoena requests to facilitate timely assignment. This critical support position remains vulnerable to loss of the contractor over time, further inhibiting the stability and optimization of the program.

STRATEGIC GOAL 2—FOSTER AN INTERNAL OIG CULTURE THAT DRIVES HIGH PERFORMANCE AND ENGAGEMENT

STRATEGIC GOAL 2

Foster an internal OIG culture that drives high performance and engagement

The OIG recognizes that a high-performing culture relies on a highly engaged workforce. The OIG is focusing on developing a culture that enables a high-performing, optimized, and mission-driven workforce, by providing developmental tools that OIG staff and leaders need to grow and succeed, and by creating an environment of openness, engagement, and collaboration. This important investment creates a workplace culture and environment that encourages enhanced employee engagement, increased employee morale and satisfaction, continuous learning and development, and shared institutional knowledge. Collectively, these efforts leverage principles of organizational development focusing on activities that will impact not only OIG staff but indirectly, all OIG stakeholders and taxpayers.

GOAL 2 STRATEGIC OBJECTIVES

Table 8: Strategic Objectives for Goal 2

2.1	Create a culture of civility, respect, and inclusiveness at all levels by fostering transparency and timely communications.
2.2	Meet current and future OIG mission needs through continuous development and professional growth.
2.3	Enhance OIG human capital by developing and implementing strategic recruitment, succession, and retention plans.
2.4	Increase management and leadership effectiveness, including seeking staff feedback.

GOAL 2 SELECTED EXAMPLES

- Developed an extensive OIG-component and OIG-wide analysis tool for the Office of Personnel Management's (OPM) Federal Employee Viewpoint Survey (FEVS) covering FY 2015 forward, and managed continuous monitoring of the OIG component-specific FEVS Action Plans and working groups in operation from FYs 2017 forward.
- Streamlined and relaunched the OIG Mentoring program to provide continuous development and professional growth opportunities for OIG employees to enhance their careers.
- Launched a new General Schedule (GS) performance management system for all OIG employees to better conform to OPM requirements and align GS manager performance plans with OIG strategic goals. These GS performance plans are results oriented and mitigate ratings inflation, as well as provide a more logical alignment of ratings.
- Formally adopted the Success Chat initiative. The initiative, led by the DIG, encourages dialogue between OIG leadership and staff members on interactive and engaging topics, while providing opportunities for staff feedback.
- Hired a Training Officer and a Diversity and Inclusion Manager to promote employee development and provide a resource to all OIG employees on equal opportunity and workforce diversity matters, respectively.

GOAL 2 PERFORMANCE RESULTS



Table 9: Performance Results for Goal 2

Strategic Objective	FY 2019 Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2021 Targets
2.1	Complete component-specific EVS action plan to increase employee engagement index scores.	OIG	New FY 2018 Measure				28-Feb	28-Feb	28-Feb	21-Jan	27-Dec	29-Dec
2.2	Percentage of both employees and supervisors participating in the OIG mentoring program. ²³	OIG	15%	13%	15%	12%	15%	6.2%	15%	20%	8%	8%
	Percentage of supervisors who initiate conversations with at least 90 percent of the employees who report to them regarding developmental opportunities for the employees.	OIG	New FY 2018 Measure				95%	99.5%	95%	96%	95%	95%
	Make hiring selections or non-selections on General Schedule certificates within 25 days.	OIG	New FY 2020 Measure								85%	85%
2.3	Percentage of Non-SES/SL vacancies filled within 90 days from posting date to selection.	OMAP	90%	61%	90%	97%	90%	95.2%	90%	100%	90%	90%
	Provide summary exit survey feedback reports to Senior Managers and Executives at least once quarterly.	OMBUDSMAN	New FY 2020 Measure								80%	80%

²³ OIG reassigned “Percentage of both employees and supervisors participating in the OIG mentoring program” from an OMAP goal to an OIG-wide goal beginning in FY 2019.

Strategic Objective	FY 2019 Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2021 Targets
2.3 continued	At least two briefings of exit survey trends provided to Senior Managers and Executives.	OMBUDSMAN	New FY 2020 Measure							90%	90%	
	Conduct a total of eight climate surveys or team building facilitations during FY 2020.	OMBUDSMAN	New FY 2020 Measure							80%	80%	
	Respond to employee inquiries within 48 hours.	OMBUDSMAN	New FY 2020 Measure							90%	90%	
2.4	Percentage of OIG supervisors with at least 6 months of supervisory tenure who complete a 360 degree evaluation or an online survey to gather feedback from staff. ²⁴	OIG	New FY 2018 Measure				80%	98.5%	80%	81%	N/A	80%
	Percentage of OIG supervisors that take supervisory training.	OIG	New FY 2018 Measure				95%	100%	95%	99%	95%	95%
	Percentage of OIG GS-14, GS-15, Senior Leaders, and Senior Executives that take Treasury Executive Institute (TEI)'s or other AIG-approved training provider's leadership development courses. ²⁵	OIG	New FY 2018 Measure				75%	77.58%	75%	83%	75%	75%

²⁴ OIG introduced this KPI as an annual metric; however, OIG refined this measurement to a biennial basis (every 2 years) beginning in FY 2019.

²⁵ Previous FYs measurement stated "IG." Refinement made to state "AIG." This refinement did not affect prior FY performance results.

STRATEGIC GOAL 3—PROMOTE RESPONSIBLE STEWARDSHIP OF OIG FINANCIAL AND NON- FINANCIAL RESOURCES

STRATEGIC GOAL 3

Promote responsible stewardship of OIG resources

The OIG strives for organizational excellence by improving efficiency and effectiveness of all activities. This includes: engaging in robust planning to anticipate future mission needs and maximize the use of limited resources; developing sound budget forecasts for audit and investigative activities; improving performance; increasing accountability; and reducing costs. The OIG leverages technology to enhance audit, investigative, and business processes in an effort to ensure the most effective use of limited resources. Good stewardship of OIG resources further enables the achievement of Goal 3, as well as other OIG strategic objectives and priorities. This allows the OIG to effectively prioritize critical work such as: auditing DOL financial statements, conducting work under the Federal Information Security Management Act (FISMA) to ensure that DOL information technology (IT) systems are secure, identifying DOL's Top Management and Performance Challenges, and helping ensure that DOL administrative processes comply with various regulations and laws.

GOAL 3 STRATEGIC OBJECTIVES

Table 10: Strategic Objectives for Goal 3

3.1	Develop an OIG budget based on strategic mission priorities, areas of risk, operational needs, and cost effectiveness.
3.2	Ensure proper oversight of resources through effective internal controls.
3.3	Improve mission achievement and increase efficiency through technology.
3.4	Enhance the effectiveness, quality, and customer service of mission support activities.

GOAL 3 SELECTED EXAMPLES

- Developed and launched the project and performance management sub-systems of OIG's enterprise system/solution to improve our ability to monitor, measure, and report our performance against meeting our strategic goals.
- Initiated the development and implementation for the risk-management subsystem of OIG's enterprise system/solution to launch in FY 2020 that will enhance our ability to identify and adapt to threats and seize opportunities that could affect OIG operations and achievement of goals.
- Increased the use of data analytics throughout OIG to improve and promote efficiency, effectiveness, and transparency in OIG operations and mission activities.
- Released OIG's Recommendations Dashboard to provide an ongoing, public resource summarizing the details and status of OIG recommendations made to DOL, including those performed by its contractors and grantees.²⁶

²⁶ The Recommendations Dashboard, which includes recommendations from FY 2010 forward, is available at <https://www.oig.dol.gov/recommendationdashboard.htm>

GOAL 3 PERFORMANCE RESULTS



Table 11: Performance Results for Goal 3

Strategic Objective	FY 2019 Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2021 Targets
3.1	Percentage of audit projects that do not exceed planned hours.	OA	80%	57%	80%	83%	80%	81%	80%	77%	80%	80%
	Percentage of employee hours charged to audit activities compared to administrative time.	OA	75%	74%	75%	79%	75%	79%	75%	77%	75%	75%
	Percentage of employee hours charged to investigative activities compared to administrative time.	OI	90%	91%	90%	93%	90%	94.64%	90%	95%	90%	90%
	Percentage of employee hours charged to investigative activities compared to administrative time.	OSI	75%	94%	95%	63%	75%	82%	75%	94%	80%	80%
3.2	Percentage of ERM mitigation plan activities completed (Tier 2).	OIG	New FY 2020 Measure								70%	70%
	Conduct internal control reviews required by OMB Circular A-123 and submit all reports within OMB and DOL prescribed timeframes, and all remedial action plans when control deficiencies are identified within 60 days of the report finding.	OMAP	New FY 2018 Measure				30-Sep	26-July	30-Sep	9-July	30-Sep	30-Sep

Strategic Objective	FY 2019 Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2021 Targets
3.3	Percentage availability during business hours of internal IT network resources such as applications, networks, email, e-OIG, remote access and servers. ²⁷	OMAP	90%	100%	Retired		90%	98.7%	90%	99%	94%	94%
	Percentage of audit projects that leverage data analytics to maximize the impact of the audit.	OA	New FY 2018 Measure				25%	36%	40%	48%	50%	50%
	Percentage of investigative requests for investigative data analytics are completed (provided to requesting party) within 25 days of the service request. ²⁸	OI	New FY 2020 Measure								85%	85%
	Percentage of investigative requests for digital evidence acquisitions are completed (processed and available for examination by requesting party) within 30 days of the forensic acquisition. ²⁹	OI	New FY 2018 Measure				85%	85.99%	85%	87%	85%	85%
	Percentage of investigative requests for digital media extractions are completed (available to requesting party) within 60 days of the service request. ³⁰	OI	New FY 2018 Measure				85%	88.89%	85%	91%	85%	85%

²⁷ OIG retired this KPI in FY 2017; however, OIG reinstated this KPI for FYs 2018 and 2019.

²⁸ Previous FYs measurement stated "...within 25 days of the service request"; as such, prior results are not directly comparable.

²⁹ Previous FYs measurement stated "forensic acquisitions..." and this refinement did not affect prior FY performance results.

³⁰ Previous FYs measurement stated "forensic examinations..." and this refinement did not affect prior FY performance results.

Strategic Objective	FY 2019 Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2021 Targets
3.3 continued	Percentage of availability of the Digital Forensic Network and its services by ensuring security protocols, redundancy, data/system backups, and load balancing are enforced through regularly scheduled maintenance.	OI	New FY 2018 Measure				85%	100%	85%	100%	85%	85%
	Percentage of requests for reports of digital media analysis are completed (available to requesting party) within 45 days.	OI	New FY 2019 Measure						85%	96%	85%	85%
3.4	Percentage of audit projects that do not exceed planned travel costs.	OA	80%	83%	80%	83%	80%	86%	80%	100%	80%	80%
	Percentage of quarterly executive budget review sessions conducted to ensure proper budget planning and expenditures tracking, including human capital, procurement, facilities and IT activities.	OMAP	New FY 2017 Measure		100%	100%	100%	100%	100%	100%	100%	100%
	OIG Financial resource utilization rate in accordance with detailed budget allocation.	OIG	New FY 2018 Measure				95%	99.9%	95%	95%	97%	97%

GOAL 3 PERFORMANCE IMPROVEMENT PLAN

Table 12: Performance Improvement Plan for Goal 3 KPIs Not Met

Strategic Objective	FY 2019 Performance Indicators	Responsible Component	FY 2019 Targets	FY 2019 Results	Performance Improvement Plan
3.1	Percentage of audit projects that do not exceed planned hours.	OA	80%	77%	During FY 2020 Administrative Huddle Meetings with Audit Directors and Managers, emphasize the procedures for requesting additional project hours ahead of time and maintaining this documentation in TeamMate.

STRATEGIC PLANNING AND ACCOUNTABILITY

OIG's FY 2018 – 2022 Strategic Plan outlines the OIG's vision for the future and provides a clear, unified, and enduring direction for all of our activities. This plan is the foundation on which we will build and measure success of our activities, and we will use this plan to align resources to accomplish our goals in the best way possible.³¹

The OIG measures its success in achieving its strategic goals in terms of how well OIG work products effect positive change. Positive change includes improving program effectiveness at DOL, reducing vulnerabilities that make programs susceptible to abuse, achieving savings, reducing criminal activity in the form of fraud and labor racketeering, and optimizing OIG's organizational performance, including the use of resources.

The OIG implemented a continuous cycle of OIG organizational performance, ERM, and other improvement activities that promote strategic management and accountability, including:

- Enhancing our performance measurement strategy and framework, including verification and validation, to measure organizational performance against strategic objectives;
- Evaluating progress towards achieving performance plans and engaging stakeholders at all levels;
- Identifying and responding to high-priority risks, including aligning resources to address risks; and
- Reporting performance information to OIG leaders and external stakeholders.

ENTERPRISE RISK MANAGEMENT

ERM has grown across the evolving landscapes of both the private and public sectors as each seeks to identify and adapt to threats and take advantage of opportunities that could affect operations and the achievement of goals. ERM refers to the culture, capabilities, and practices that organizations rely on to manage risk in creating, preserving, and realizing public value. ERM is also essential to achieving an open, efficient, resilient, and transparent government. Failure to address both simple and complex risks—exposure to uncertainty—and how these risks interact at both the component and enterprise level can have increasingly negative impacts on compliance, internal controls, operations, reporting, strategic objectives, and ultimately mission accomplishment.

The ERM approach is an important step in OIG's growth and evolution toward maturity and becoming a resilient organization that successfully addresses challenges due to an ever-changing federal landscape and also takes advantage of opportunities when presented. OMB emphasized the importance of having appropriate risk management processes and systems to identify challenges early, bring them to the attention of agency leadership, and develop solutions. By maturing our ERM program, we expect to improve mission delivery, reduce costs, and focus corrective actions towards key risks.³²

³¹ The OIG develops strategic plans and priorities through consultations with its stakeholders, administration officials, and Congress. For more information on the OIG's FY 2018 – 2022 Strategic Plan, please visit our website at <https://www.oig.dol.gov/public/reports/OIG%20Strategic%20Plan%202018-2022.pdf>

³² For more information on the OIG's Framework for ERM, please visit our website at <https://www.oig.dol.gov/public/OIG%20DOL%20ERM%20Framework.pdf>

MEASUREMENT AND VALIDATION OF OIG PERFORMANCE AND PROGRESS

The OIG monitors and evaluates performance toward its plans and commitments using ongoing, periodic, and one-time assessments, through which OIG senior leadership identifies issues, measures OIG component-specific and overall organizational health, and provides appropriate data and evidence to the IG, DIG, CPRMO, AIGs and the Counsel to the IG. The OIG uses these assessments, combined with explanations of the ratings and sources provided by each component, to review and validate each rating.

Beginning in FY 2018, the OIG internally evaluated progress towards achieving its annual performance targets each quarter using a Quarterly Performance Review (QPR) process as part of our efforts to continue optimization of our performance measurement strategy. These QPRs leveraged a traffic light rating system—green (met), yellow (in-process/on track), and red (not met) color ratings—and integrated key activities such as priority goals and risk mitigation activities.

VERIFICATION AND VALIDATION

Verification and validation of performance and progress assessments include the following:

Table 13: OIG Verification and Validation Activities

Activity	Description
Weekly Activity and Project Reports	OA provides a weekly project inventory that is distributed to the IG and all of OA. OI leverages weekly significant activities reports provided to management and leadership for internal tracking of activities. OMAP provides weekly significant activity reports outlining significant budgetary, staffing, and operational issues. Senior leadership regularly reviews activities reported.
Stakeholder Outreach and Engagement	Staff from OCPR document the number of congressional meetings and briefings, and other presentations and speeches for key mission areas, which the AIG for OCPR reviews and reports. OIG components provide travel and training data based upon selected time and effort reporting software and financial data reports. Both OA and OI track stakeholder outreach and engagement activities, and senior leadership regularly reviews activities reported. OMAP validates financial information.
OA Functions	OA leverages the TeamMate suite of modular applications for staff management, data processing, evidence collection, reference, and reporting; and to meet the U.S. Government Accountability Office’s (GAO) Government Auditing Standards (“Yellow Book”), peer review needs, and records retention requirements. OA management has ready visibility into all TeamMate project files, and regularly reviews work completed and reports produced by staff. OA management reports aggregate data for sharing with senior leadership and making critical decisions in the time and effort placed into various OA functions. For risk assessments and management planning, OA uses the Top Management and Performance Challenges reported annually in the Agency Financial Report, significant concerns reported in Semiannual Reports to Congress, and risk assessments of major DOL program areas. For audit resolution and post-report tracking, OA uses the Audit Resolution and Closure Tracking System (ARCTS).

Activity (cont'd)	Description (cont'd)
OI Functions	OI leverages data housed and reported from their Labor OIG Case Activity Tracking system (LOCATS), which OI management analyzes and reviews on a regular basis. OI investigations are prioritized based on documented criteria which includes two categories (Tier 1 and Tier 2). OI management and OIG senior officials also validate investigative priorities, and selected statistics are included in OIG's Semiannual Reports to Congress.
OMAP Functions	OMAP leverages a variety of data and reports housed in the New Core Financial Management System (NCFMS), human resource tracking databases, and centralized procurement systems. OMAP uses these sources to ensure that OIG spending is in alignment with its operating plan, to ensure compliance with the Anti-deficiency Act, and to recommend operational adjustments based on available funding and staffing levels.
OIG Quarterly Performance	The OIG internally evaluates progress towards achieving its annual performance measures on a traffic light rating system— green (met), yellow (in-process/on track), and red (not met) color ratings—and provides summary information of these quarterly results in APRs.

FY 2019 QUARTERLY PERFORMANCE REVIEW SUMMARY

The OIG measured each KPI on a cumulative, or as of, basis each quarter. Narratives supplied by each OIG component accompanied the quarterly cumulative progress for each KPI to describe achievements, challenges, and risks, as well as factors (in- and out of control) and trends for these challenges and risks.

For each KPI where an OIG component did not meet their cumulative quarterly performance progress target, AIGs and responsible OIG senior executives and senior managers submitted ongoing corrective action plans that integrated key activities such as priority goals and risk mitigation activities.

In FY 2019, the QPR process resulted in enhanced organizational performance management, refinement and in some cases retirement of existing KPIs, and development of new KPIs for FYs 2020 and 2021. In addition, our results show that in its second year of operation, the QPR process has improved our cumulative quarterly progress towards achieving annual performance targets.

OIG improved throughout FY 2019 with 71 percent of KPI cumulative quarterly targets met at the end of the first quarter to closing FY 2019 (cumulative 4 quarters) with 82 percent of KPIs exceeding annual targets.

Table 14: FY 2019 QPR Results Summary

Cumulative Rating	Quarter 1	Quarter 2	Quarter 3	Quarter 4 (FY 2019)
Exceeded (4th Quarter Only)	-	-	-	82%
Met—Green (Quarters 1 – 4)	71%	71%	77%	5%
In Process/On-Track—Yellow (Quarters 1 – 3)	9%	13%	13%	-
Not Met—Red (Quarters 1 – 4)	7%	7%	5%	9%
N/A³³ (Quarters 1 – 4)	13%	9%	5%	4%

³³ Some KPIs were N/A in FY 2019 for some quarters given pre-existing timeframes and normal lifecycles for related activities to occur. For one KPI, OIG was not able to report results because DOL did not identify the cohort of contracts to be included in the FY 2019 FPDS audit prior to the close of FY 2019.

CONCLUSION

DOL plays a vital role in the nation's economy and in the lives of American workers and retirees.

The OIG contributes significantly towards the achievement of DOL's mission and goals through improved efficiency, effectiveness, and integrity of DOL programs and operations, reduced vulnerabilities, and identified cost savings. The OIG's results for FY 2019 continue to demonstrate its commitment to the American people, DOL, and Congress by providing independent and objective oversight of DOL programs through our auditing and investigative efforts, and by combatting the influence of labor racketeering and organized crime in the nation's labor unions.

The OIG is a performance-based organization committed to managing towards specific, measurable goals derived from the OIG's mission, using performance data to continually improve operations, as well as continuing to cultivate a culture of engagement that values our employees.

Enhancing the OIG's internal capabilities and practices to proactively manage risks and create public value are of critical importance, and the OIG will continue to use and leverage ERM and emerging technologies, such as predictive data analytics, to transform the way the OIG initiates and conducts investigations and audits, focusing on high-impact issues, including existing and emerging risks facing DOL.

APPENDIX A – STATUTORY RESPONSIBILITIES AND PROFESSIONAL STANDARDS

STATUTORY RESPONSIBILITIES, REGULATORY POLICIES, AND PROFESSIONAL STANDARDS

The OIG complies with laws and their implementing regulations, instructions or information provided by OMB, as well as federal law enforcement and auditing policies, guidance, and professional standards.³⁴ The following are some of the laws and professional standards with provisions affecting the OIG's mission and work:

STATUTORY RESPONSIBILITIES

Table 15: Statutory Responsibilities

Legislation	Requirements
Inspector General Act of 1978, as amended	The IG Act established OIGs across the executive branch to conduct audits and investigations; to promote economy, efficiency, and effectiveness; and to prevent waste, fraud, and abuse. Among other things, the Act requires the Inspector General to prepare and submit to the Secretary of Labor semiannual reports summarizing our activities for the preceding six-month period, which the Secretary is required to transmit to Congress within thirty days. The OIG follows the Attorney General's Guidelines for OIGs with Statutory Law Enforcement Authority. ³⁵
Federal Managers' Financial Integrity Act of 1982	Requires Executive agencies to establish internal accounting and administrative controls which include standards to ensure the prompt resolution of all audit findings; take corresponding corrective actions, and report annually on its evaluation of such controls.
Chief Financial Officers Act of 1990	Requires IGs to annually submit to Congress, the Director of OMB, and the head of the agency an audited financial statement for the preceding fiscal year covering all account associated activities of the agency.
Government Performance and Results Act of 1993	Requires the assessment of the internal control environment over DOL's performance measures.
Government Management Reform Act of 1994	Requires an assessment and evaluation of the 1) reliability of DOL's performance data and 2) extent to which DOL's performance plan meaningfully describes its planned and actual performance.
Federal Financial Management Improvement Act of 1996	Requires the IG to evaluate DOL's financial systems compliance with federal standards.
Reports Consolidation Act of 2000	Requires the IG to provide a summary and assessment of the most serious management and performance challenges facing federal agencies and their progress in addressing them.
Federal Information Security Management Act of 2002	Requires the IG to evaluate the effectiveness of DOL's overall information security program and practices.
Digital Accountability and Transparency Act of 2014	Requires detailed disclosure on agency websites of funds made available to an agency, and amounts expended. Requires the Inspector General to (1) review a statistically valid sampling of the spending data submitted under this Act by DOL; and (2) submit to Congress and make publicly available a report assessing the completeness, timeliness, quality, and accuracy of the data sampled and the implementation and use of data standards by DOL.

³⁴ For more information on IGs in the federal government, please visit the CIGIE website at: <https://www.ignet.gov/> and <https://www.oversight.gov/>

³⁵ These guidelines are required by section 6(e)(4) of the IG Act, as amended, and govern the exercise of law enforcement authorities for those OIGs that have been granted statutory law enforcement authorities pursuant to that Act.

Legislation (cont'd)	Requirements (cont'd)
<p>Improper Payments Information Act of 2002 (IPIA), as amended by the Improper Payments Elimination and Recovery Act of 2010 and the Improper Payments Elimination and Recovery Improvement Act of 2012, including Executive Order 13520</p>	<p>Requires agencies to conduct a risk assessment and identify programs having a significant risk of improper payments, as well as develop corrective action plans for reducing estimated improper payments based on root causes identified. In addition, requires agencies to report, on a quarterly basis, (1) the total amount of high-dollar overpayments made by the agency, (2) any actions the agency has taken or plans to take to recover high-dollar overpayments, and (3) any actions the agency will make to prevent overpayments from occurring in the future.</p> <p>Requires the IG to review the reports provided by the agencies. The Inspector General shall assess the level of risk associated with the applicable programs, determine the extent of oversight warranted, and provide the agency head with recommendations. The IG will determine whether the agencies complied with IPIA, as amended, and may also evaluate the accuracy and completeness of reporting and performance in reducing and recapturing improper payments.</p>
<p>Death in Custody Reporting Act (DCRA) of 2013</p>	<p>Requires the head of each Federal law enforcement agency to report to the Attorney General on an annual basis information regarding the death of any person who is (1) detained, under arrest, or is in the process of being arrested by any officer of such Federal law enforcement agency; (2) en route to be incarcerated or detained, or is incarcerated or detained at any facility (including any immigration or juvenile facility) pursuant to a contract with such Federal law enforcement agency; or any State or local government facility used by such Federal law enforcement agency; or (3) incarcerated in any Federal correctional facility or Federal pre-trial detention facility located within the United States.</p>
<p>Foundations for Evidence-Based Policymaking Act of 2018 (“Evidence Act”)</p>	<p>Mandates Federal evidence-building activities, open government data, and confidential information protection and statistical efficiency. Requires agencies to make any data asset maintained by the agency available, upon request, to any statistical agency or unit for purposes of developing evidence.³⁶</p>

REGULATORY POLICIES

Table 16: Regulatory Policies

Regulatory Policies	Requirements
<p>OMB Circular No. A-123</p>	<p>Defines management's responsibility for enterprise risk management and internal control in federal agencies. Provides guidance to Federal managers on improving the accountability and effectiveness of Federal programs and operations by establishing, assessing, correcting, and reporting on internal control.</p> <p>Provides specific requirements for assessing and reporting on controls in the federal government.</p>
<p>OMB Circular No. A-11, Part 6</p>	<p>Requires agencies are required to submit strategic plans, annual performance budgets, and annual program performance reports to the President, Congress, and OMB.</p>
<p>Special Deputation Agreement with the United States Department of Justice and the Federal Bureau of Investigation</p>	<p>Gives the OIG the authority to investigate Organized Crime/Labor Racketeering cases and labor trafficking cases.³⁷</p>

³⁶ The Evidence Act broadly defines “evidence” and includes four interdependent components of evidence: foundational fact finding, performance measurement, policy analysis, and program evaluation.

³⁷ The authority derived from the Agreement is different than, and in addition to, the authority derived from the IG Act, as amended. The agreement is not public.

PROFESSIONAL STANDARDS

Table 17: Professional Standards

Professional Standards	Requirements
GAO, Government Auditing Standards (“Yellow Book”) (“Generally Accepted Government Auditing Standards”) ³⁸	Provides a framework for conducting high quality audits with competence, integrity, objectivity, and independence. Provides uniform rules and standards for federal government audits.
GAO, Standards for Internal Control in the Federal Government (“Green Book”)	Provides the standards for an effective internal control system for federal agencies. Provides the overall framework for designing, implementing, and operating an effective internal control system.
CIGIE, Quality Standards for Inspection and Evaluation (“Blue Book”)	Establishes standards for inspections and evaluations conducted by federal agencies.
CIGIE, Quality Standards for Federal Offices of Inspector General (“Silver Book”)	Provides the overall quality framework for managing, operating, and conducting the work of IGs.

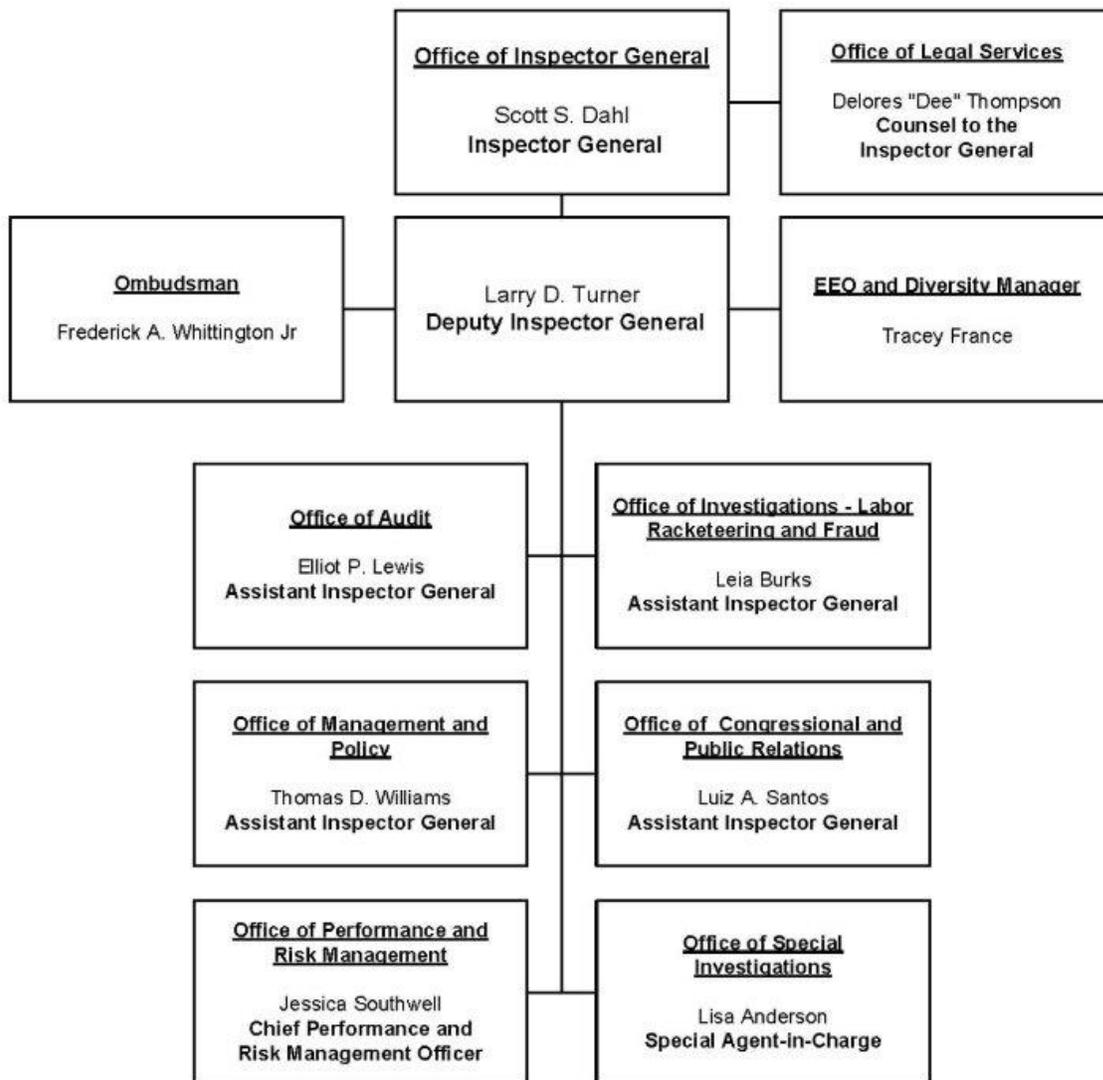
³⁸ For more information on the GAO, please visit GAO’s website at www.gao.gov/

APPENDIX B – OIG ORGANIZATIONAL STRUCTURE AND COMPONENTS

OIG ORGANIZATIONAL STRUCTURE

The OIG offices are located in Washington, D.C. (Headquarters), and several field and regional locations across the United States and Puerto Rico.

Figure 3: OIG Organization Chart



The OIG workforce is comprised of more than 300 employees with expertise in accounting, auditing, criminal justice, economics, finance, information technology, law, public and business administration, and social and physical sciences, among other fields.

OIG COMPONENTS

In carrying out its statutory responsibility to conduct and supervise audits and investigations relating to the programs and operations of the DOL, the IG provides program direction over: the Office of Audit, the Office of Investigations, and the Executive Direction and Management function.

OFFICE OF AUDIT

The Office of Audit is responsible for conducting and supervising audits and other reviews relating to the Department's programs and operations; recommending policies for activities designed to promote economy, efficiency, and effectiveness in the administration of the Department's programs and operations preventing and detecting fraud, waste, abuse, and mismanagement in these programs and operations.

OFFICE OF INVESTIGATIONS - LABOR RACKETEERING AND FRAUD

The Office of Investigations – Labor Racketeering and Fraud is responsible for conducting criminal, civil, and administrative investigations relating to violations of Federal laws, rules, or regulations as they pertain to DOL programs, grants, contracts, and operations, as well as allegations of criminal activity and serious misconduct on the part of DOL employees. In addition, the Office of Investigations has the responsibility to investigate labor racketeering and organized crime influence involving unions, employee benefit plans, and labor-management relations.

EXECUTIVE DIRECTION AND MANAGEMENT

This function provides the overall direction, planning, management, administration, and inspections necessary to independently carry out the OIG's nationwide mission, supplying centralized management of OIG headquarters and regional staff. The major components of the Executive Direction and Management function include:

EQUAL EMPLOYMENT OPPORTUNITY AND DIVERSITY

The Equal Employment Opportunity (EEO) and Diversity Manager is an advisor to the Office of Audit, the Office of Investigations, and the Executive Direction and Management functions, and a resource to all OIG employees on equal opportunity and workforce diversity matters. Works throughout OIG to provide training and promote the understanding of rights and responsibilities in the EEO process, facilitate early resolution of EEO complaints, and evaluate the diversity impact of workforce planning and other human resource decisions.

OFFICE OF CONGRESSIONAL AND PUBLIC RELATIONS

The Office of Congressional and Public Relations carries out liaison functions with respect to Congress, the media, other governmental agencies, the public, DOL, and internally within the OIG; prepares statutorily mandated reports such as the Semiannual Report to Congress; and coordinates all legislative review activities.

OFFICE OF LEGAL SERVICES

The Office of Legal Services provides legal services and guidance to the IG and to all other OIG employees, and represents the OIG and its employees in litigation and related matters. The Office is also responsible for DOL Whistleblower Protection (WBP) program, the OIG information disclosure (FOIA and Privacy Act) program, and the OIG Records Management program.

OFFICE OF MANAGEMENT AND POLICY

The Office of Management and Policy provides for overall direction, planning, management, and administration necessary to carry out the nationwide responsibilities of the OIG. This includes providing the full range of human resources, information technology, budget, and procurement services.

OFFICE OF PERFORMANCE AND RISK MANAGEMENT

The Office of Performance and Risk Management conducts a variety of organizational performance and risk management activities across the OIG, working closely with the AIGs and senior leadership to improve how OIG manages performance and risks to the OIG mission.

OFFICE OF SPECIAL INVESTIGATIONS

The Office of Special Investigations conducts employee integrity investigations involving allegations of fraud and wrongdoing by OIG employees and high-level DOL employees.

OMBUDSMAN

The Ombudsman is an independent, neutral, confidential, and informal resource to all OIG employees. Increases organizational focus on mission critical activities by helping senior leaders, managers, supervisors, and staff minimize unwarranted distractions in the workplace, increase employee engagement, and address individual and organizational matters.

APPENDIX C – MEASURES RETIRED IN FYs 2016 THROUGH 2019

MEASURES RETIRED IN FYs 2016 THROUGH 2019

The OIG retired strategic objectives and KPIs between fiscal years and APRs to enhance organizational performance and the accuracy and data quality of performance and progress.³⁹ KPI changes may include text edits that while minor, may constitute material modifications to performance measurement. Finally, KPI may also be retired due to comprising activities being completed within one fiscal year.

FYs 2016 - 2019 TARGETS AND RESULTS FOR RETIRED KPIS

For those KPIs that the OIG presented as consolidated summaries with OIG component detail, the OIG provides solely the detail for each OIG component below in Table 18.

Missed Target	Met Target	Exceeded Target
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Table 18: Performance Results for FYs 2016 through 2019 Retired KPIs

Strategic Objective	Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results
1.2	Percentage of audits completed within 12 months of initiation, or as prescribed by OIG leadership.	OA	70%	59%	70%	61%	70%	68%	Retired	
	Percentage of audits completed within 12 months of initiation (date of engagement letter). ⁴⁰	OA	New FY 2019 Measure						70%	48%
	Percentage of allegations that are either closed or converted to a full investigation within 90 days of receipt.	OI	70%	79%	65%	94%	Retired			
	Percentage of Priority 1 and 2 investigations completed (referred for prosecution / administrative / civil proceedings) within 12 months of case opening.	OI	New FY 2017 Measure		50%	46%	Retired			

³⁹ Please also see the 2018 APR at https://www.oig.dol.gov/public/reports/FY_2018_Annual_Performance_Report.pdf for additional information and details.

⁴⁰ Previous FYs measurement stated "...or as prescribed by OIG leadership ..."; as such, prior results are not directly comparable. However, OA is in the process of developing Standard Operating Procedures to reduce the duration (project cycle time) of audits.

Strategic Objective	Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results
1.2 continued	Percentage of Priority 3 investigations completed (referred for prosecution / administrative / civil proceedings) within 12 months of case opening.	OI	New FY 2017 Measure		75%	81%	Retired			
	Percentage of OMAP IG Directives that are updated to reflect current regulations, and operational mission requirements.	OMAP	New FY 2017 Measure		50%	64%	Retired			
	Number of internal policies, including Inspector General Directives that are updated to reflect current law, regulation, and operational mission requirements.	O CPR	New FY 2018 Measure				1	1	Retired	
		OI	New FY 2018 Measure				4	4	Retired	
		OLS	New FY 2018 Measure				2	4	Retired	
		OMAP	New FY 2018 Measure				10	28	Retired	
	Percentage of OIG new hires trained on employee records management requirements within 45 days of their onboarding with the OIG. ⁴¹	OLS	New FY 2018 Measure				90%	32%	Retired	
Provide legal guidance and assistance for routine audit and investigative requests for legal support within 20 business days from receipt of the request, or within agreed upon timelines. ⁴²	OLS	90%	90%	Retired				70%	98%	
1.3	Percentage completion of a new, repeatable audit workplan process that leverages the use of survey instruments to key stakeholders.	OA	New FY 2017 Measure		100%	100%	Retired			
	Percentage of new cases that are considered Critical Risk (priority 1) or High Risk (priority 2).	OI	75%	88%	75%	88%	Retired			

⁴¹ Training slides are provided by OMAP rendering this KPI redundant for FY 2019.

⁴² OIG retired this KPI in FY 2017; however, OIG reinstated this KPI for FY 2019.

Strategic Objective	Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results
1.3 continued	Percentage of new investigative cases that are considered Critical Risk (priority 1), or High Risk (priority 2) due to potential impact to the DOL.	OSI	75%	71%	75%	87%	Retired			
	Adopt and build on the existing risk-based annual workplan development process within the TeamRisk module of TeamMate.	OA	New FY 2018 Measure				8/31/2018	6/28/2018	Retired	
1.4	Percentage of congressionally-mandated OIG reports, including the Semiannual Reports to Congress, provided to stakeholders within statutory or agreed upon timeframes.	OCPR	100%	100%	100%	100%	100%	100%	Retired	
	Percentage of relevant audit reports provided to cognizant Congressional committees within one business day, and made available to the public within two business days after receiving final, approved versions.	OCPR	90%	100%	90%	100%	90%	100%	Retired	
1.5	Number of meetings or focus groups with DOL or OIG community regarding areas of potential audit risks.	OA	32	31	32	32	32	82	Retired	
2.1	Complete an OMAP EVS action plan to increase employee engagement index scores in 2017, with a focus on increasing "Leaders Lead", "Supervisors" and "Intrinsic Work Experience" subfactors.	OMAP	New FY 2017 Measure		February 2017	February 2017	Retired			
	Complete an OI EVS action plan to increase employee engagement index scores in 2017, with a focus on increasing "Leaders Lead", "Supervisors" and "Intrinsic Work Experience" subfactors	OI	New FY 2017 Measure		February 2017	February 2017	Retired			

Strategic Objective	Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results
2.1 continued	Complete an OA EVS action plan to increase engagement index scores in 2017, with a focus on increasing "Leaders Lead", "Supervisors" and "Intrinsic Work Experience" subfactors.	OA	New FY 2017 Measure		February 2017	February 2017	Retired			
2.2	Percentage of OIG training funds obligated.	OIG (Reported by OMAP)	95%	94%	95%	95.5%	90%	79%	Retired	
2.3	Develop a framework for an "OIG Strategic Human Capital Plan" that includes strategies for recruitment, talent development, and succession planning.	OMAP	New FY 2017 Measure		Sep 2017	July 2017	Retired			
	Percentage of departing employees who complete exit interviews.	OMBUDSMAN	65%	18%	65%	17%	65%	52%	Retired	
	Percentage of departing employees informed of the exit survey.	OMBUDSMAN	New FY 2019 Measure						90%	100%
2.5	Percentage of auditors in compliance with mandatory professional training within prescribed timelines.	OA	100%	100%	100%	100%	Retired			
	Percentage of investigators completing mandatory professional training within prescribed timelines.	OI	100%	100%	100%	100%	Retired			
	Percentage of investigators completing mandatory professional training within prescribed timelines.	OSI	100%	100%	100%	100%	Retired			
	Percentage of OA employees who have employee development plans.	OA	100%	100%	100%	100%	Retired			
	Percentage of OI employees who have employee development plans.	OI	70%	45%	70%	78%	Retired			

Strategic Objective	Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results
2.5 continued	Percentage of OSI employees who have employee development plans.	OSI	70%	50%	70%	75%				Retired
	Percentage of OMAP employees who have employee development plans.	OMAP	70%	0%	70%	51%				Retired
	Percentage of OLS employees who have employee development plans.	OLS	70%	70%	70%	0%				Retired
	Percentage of OCPR employees who have employee development plans.	OCPR	70%	100%	70%	100%				Retired
2.7	Percentage of OMAP supervisors with at least 6 months of supervisory tenure who complete a 360 degree evaluation or an online survey to gather feedback from staff.	OMAP	100%	100%	100%	100%				Retired
	Percentage of OA supervisors with at least 6 months of supervisory tenure who complete a 360 degree evaluation or an online survey to gather feedback from staff.	OA	100%	100%	100%	100%				Retired
	Percentage of OI supervisors with at least 6 months of supervisory tenure who complete a 360 degree evaluation or an online survey to gather feedback from staff.	OI	100%	100%	100%	100%				Retired
	Percentage of OSI supervisors with at least 6 months of supervisory tenure who complete a 360 degree evaluation or an online survey to gather feedback from staff.	OSI	100%	Result Not Received	100%	0%				Retired
	Percentage of OLS supervisors with at least 6 months of supervisory tenure who complete a 360 degree evaluation or an online survey to gather feedback from staff.	OLS	100%	100%	100%	100%				Retired

Strategic Objective	Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results
2.7 continued	Percentage of OCPR supervisors with at least 6 months of supervisory tenure who complete a 360 degree evaluation or an online survey to gather feedback from staff.	OCPR	100%	0%	100%	100%	Retired			
2.8	Percentage completion of OIG-wide mandatory on-line annual training.	OMAP	90%	100%	100%	94%	Retired			
3.2	Develop action plans to mitigate highest organizational risks as identified in OIG's Enterprise Risk Management process.	OA	New FY 2018 Measure			9/30/2018	April 2018	Retired		
		OCPR	New FY 2018 Measure			9/30/2018	9/30/2018	Retired		
		OI	New FY 2018 Measure			9/30/2018	9/30/2018	Retired		
		OLS	New FY 2018 Measure			9/30/2018	9/30/2018	Retired		
		OMAP	New FY 2018 Measure			9/30/2018	9/19/2018	Retired		
		OSI	New FY 2018 Measure			9/30/2018	9/30/2018	Retired		
		Percentage completion of planned milestones to re-engineer the Audit Work plan Development process based on a risk-informed methodology.	OA	New FY 2017 Measure		100%	100%	Retired		
		Percentage completion of an OA-specific risk inventory based on OIG's ERM Framework.	OA	New FY 2017 Measure		100%	100%	Retired		
		Percentage completion of an OI-specific risk inventory based on OIG's ERM Framework.	OI	New FY 2017 Measure		100%	100%	Retired		
		Percentage completion of an OMAP-specific risk inventory based on OIG's ERM Framework.	OMAP	New FY 2017 Measure		100%	100%	Retired		
		Percentage of ERM mitigation plan activities completed (Tier 1).	OIG	New FY 2019 Measure					70%	90%

Strategic Objective	Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results
3.3	Percentage of investigative requests for investigative data analytics are completed (provided to requesting party) within 30 days of the service request. ⁴³	OI	New FY 2018 Measure				85%	94.93%	85%	91%
3.4	Develop an "OIG IT Strategic Plan" that provides a roadmap to use IT strategically to optimize capabilities, adapt to change, and support initiatives that demonstrably support the OIG mission and improve IT performance.	OMAP	New FY 2017 Measure	Sep 2017	July 2017	Retired				
	Ensure at least 90 percent integrity and accuracy of acquisition data submitted to the Federal Procurement Data System (FPDS) through the results of the FPDS system.	OMAP	New FY 2018 Measure				100%	N/A ⁴⁴	100%	N/A

PERFORMANCE IMPROVEMENT PLAN FOR RETIRED FY 2019 KPIS NOT MET

Table 19: Performance Improvement Plan for Retired FY 2019 KPIS Not Met

Strategic Objective	FY 2019 Performance Indicators	Responsible Component	FY 2019 Targets	FY 2019 Results	Performance Improvement Plan
1.2	Percentage of audits completed within 12 months of initiation (date of engagement letter).	OA	70%	48%	Cycle time will reduce as OA develops and use new SOPs and as OA continues to mature in its use of recently developed SOPs. Also, the addition of two new writer/editors will help to shorten the report writing process.

⁴³ OIG refined this KPI to define "completed."

⁴⁴ DOL did not identify the cohort of contracts to be included in the FY 2019 FPDS audit prior to the close of FY 2019.

OIG HOTLINE

The OIG operates a hotline to receive and process allegations of fraud, waste, and abuse concerning DOL grants, contracts, programs and operations. The OIG also addresses allegations of criminal activity and serious misconduct involving DOL employees. Moreover, the OIG has jurisdiction to investigate allegations of labor racketeering and organized crime influence in the workplace, including the misuse of union benefit plan assets or power, labor-management relations, and internal union affairs.

TO REPORT FRAUD, WASTE, OR ABUSE, PLEASE CONTACT:

Online: <https://www.oig.dol.gov/hotline.htm>

Telephone: 1-800-347-3756
202-693-6999

Fax: 202-693-7020

Address: Office of Inspector General
U.S. Department of Labor
200 Constitution Avenue, N.W.
ATTN: Hotline Program
Washington, D.C. 20210