



Strategic Plan

Office of Inspector General

U.S. Department of Labor

Fiscal Years 2015 2019

MISSION

We serve the American Workforce, the Department of Labor, and the Congress by providing independent and objective oversight of Departmental programs through audits and investigations, and by combatting the influence of labor racketeering in the workplace.

VISION

We strive to:

- *Enhance through our oversight the Department of Labor's ability to address emerging workforce challenges; and*
- *Foster a thriving work environment that values employees as our greatest asset.*

CORE VALUES

Excellence

- *We deliver relevant, quality, timely, high-impact products and services, through a workforce committed to accountability and the highest professional standards.*

Integrity

- *We adhere to the highest ethical principles, and perform our work in an honest and trustworthy manner.*

Independence

- *We are committed to being free of conflicts of interest through objectivity and impartiality.*

Service

- *We are a unified team, vigilant to duty through dedicated public service.*

Transparency

- *We promote an environment of open communication through information sharing, accountability and accurate reporting.*

Strategic Goals

STRATEGIC GOAL 1:

Deliver timely, relevant, and high-impact results.

STRATEGIES:

- Strengthen the Department of Labor’s key programs and operations through our work.
- Improve our work processes to drive the timely completion of audits and investigations.
- Employ a risk-based approach to prioritize and target audits and investigations on areas that provide the greatest impact and address the highest risks.
- Clearly articulate the relevance and impact of our work in each product.
- Pro-actively engage our key stakeholders to seek their input for identifying potential audits and investigations.

PERFORMANCE MEASURES:

- Percentage of OIG products completed within prescribed timelines.
- Percentage of audits and investigations that address significant risks to the Department.
- Number of outreach sessions conducted with internal and external stakeholders.

- Amount of monetary results from investigations.
- Amount of questioned costs, funds put to better use, and other cost savings identified in our audits.
- Percentage of recommendations implemented.

STRATEGIC GOAL 2:

Combat the influence of transnational and national organized criminal enterprises, labor racketeering, and workforce exploitation in the American workplace.

STRATEGIES:

- Conduct law enforcement work to prevent and safeguard unions, labor organizations, and benefit funds from the influence of organized criminal enterprises and labor racketeering.
- Build strong relationships with internal and external partners and stakeholders to identify emerging trends of corrupt organized activity that adversely affects the American workforce.
- Conduct effective external outreach to educate groups and the public about the value of our work to protect the American workforce.

PERFORMANCE MEASURES:

- Number of intelligence sources developed in industries controlled or influenced by organized criminal enterprises and labor racketeering.
- Number of cases opened focused on emerging trends.
- Number of briefings, presentations, and speeches delivered to key external groups.
- Percentage of investigations resulting in a positive outcome involving:
 - a. transnational and national organized criminal enterprises in unions, labor organizations, and benefit funds;
 - b. labor racketeering in unions, labor organizations and benefit funds and the American workforce; and
 - c. exploitation in the American workforce.

STRATEGIC GOAL 3:

Foster an internal OIG culture that drives high performance and engagement.

STRATEGIES:

- Promote transparent and timely communications that foster civility, respect, and inclusiveness at all levels.
- Establish and implement transparent and effective policies and processes for promoting and rewarding staff, including clearly defined career ladders.

- Develop and implement strategic recruitment, succession, and retention plans.
- Develop and implement a formal mentoring program.
- Require managers to provide each employee with an opportunity to develop an employee development plan and encourage all employees to participate.
- Develop an objective exit interview process.
- Increase use of mechanisms for obtaining employee feedback, such as 360 degree evaluations and one-on-one sessions.
- Develop an annual action plan with performance measures, targets, and deliverables with specific deadlines.
- Ensure that performance standards include meaningful measures that cascade down throughout the OIG and drive high performance.

PERFORMANCE MEASURES:

- Percentage of employee satisfaction in annual employee surveys.
- Percentage of managers who use feedback mechanisms, such as 360 degree evaluations.

- Percentage of departing employees who submit to exit interviews.
- Number of days key positions vacant.
- Percentage of staff in compliance with professional/industry training standards.
- Percentage of employees who complete employee development plans.

STRATEGIC GOAL 4:

Promote responsible stewardship of OIG's financial and non-financial resources.

STRATEGIES:

- Develop a sound budget based on operational needs and priorities.
- Institute better processes for identifying and prioritizing requirements.
- Engage in robust planning to anticipate and prepare for future needs and expenses.
- Manage workload to adapt quickly to changing and emerging resource requirements.
- Engage in outreach to the Department, the Congress, and OMB to demonstrate the value of our work.
- Leverage OIG technology to enhance audit, investigative, and administrative processes and deliverables.

- Ensure travel funds are monitored and used in a cost-efficient manner.
- Ensure training funds are used to maximize employee development.

PERFORMANCE MEASURES:

- Ratio of employee hours charged to audits and investigations compared to administrative time.
- Ratio of actual hours worked on an audit compared to hours budgeted.
- Percentage of audit products that address issues identified in Top Management Challenges.
- Average travel funds expended per audit or investigation.
- Percentage of employees who received training agreed to in employee development plans.



Addendum to Strategic Plan Fiscal Years 2015 – 2019

Purpose:

The purpose of this addendum is to make changes the Office of Inspector General’s Strategic Plan in an effort to optimize our performance measurement strategy, and meet the requirements set forth in the Government Performance and Results Act, Modernization Act of 2010. Changes include adjusting the Strategic Plan’s coverage periods, deletion of one strategic goal, changes to performance indicators, and minor text changes.

All of the adjustments to the Strategic Plan are included in this addendum and in effect as of FY 2016. The original issued Strategic Plan and this addendum constitutes the agency’s complete Strategic Plan. For the convenience of the reader, we have **bolded** the text changes and additions, and ~~struck through~~ deletions in the Strategic Plan.

Changes:

STRATEGIC PLAN FISCAL YEARS 2015-~~2019~~ **2018**

STRATEGIC GOAL 1: Deliver timely, relevant, and high-impact results.

~~STRATEGIES:~~

Strategic Objective 1.1: Strengthen the Department of Labor’s key programs and operations through our work **and other deliverables**.

Performance Indicators:

- **Percentage of audit recommendations accepted by DOL within 12-months of issuance of final audit report**
- **Percentage of audit recommendations that address the most significant challenges and risks impacting DOL's mission**
- **Percentage of investigations closed in the fiscal year that resulted in a criminal, civil, administrative action, or monetary outcome**
- **Percentage of routine Freedom of Information Act (FOIA) and Privacy Act requests for OIG documentation completed within 20 working days**
- **Percentage of non-routine FOIA and Privacy Act requests that are acknowledged in writing while providing an anticipated completion date to the requestor within 20 working days**

Strategic Objective 1.2: Improve our work processes to drive the timely completion of **relevant and impactful** audits and investigations.

Performance Indicators:

- Percentage of audits completed within 12 months of initiation, or as prescribed by OIG leadership
- Percentage of draft audit reports accepted by the Assistant Inspector General within 90 days following audit field work
- Percentage of allegations that are either closed or converted to full investigations within 90 days of receipt
- Percentage of investigations completed (referred for prosecution, administrative/civil proceedings, or closed) within 12 months of case opening
- Percentage of all Hotline complaints that are reviewed and logged within 10 business days from receipt
- 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 30 business days
- Provide legal guidance and assistance for audit and investigative activities within 10 working days from receipt of a request, or within agreed upon timelines¹

Strategic Objective 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.

Performance Indicators:

- Percentage of audit products that address significant risks impacting DOL's missions
- Percentage of new cases that are considered Critical Risk (priority 1), or High Risk (priority 2)

Strategic Objective 1.4: ~~Clearly~~ **Timely** articulate **to our external stakeholders** the relevance and impact of our work in each product.

Performance Indicators:

- Percentage of OIG's Semiannual Reports to Congress, DOL's Top Management Challenges, and other reports and documents provided to stakeholders within statutory or agreed upon timeframes

¹ Indicator may be retired in FY2017

- **Percentage of relevant audit reports provided to cognizant Congressional committees within one business day, and made available to the public within two business day after receiving final, approved versions**

Strategic Objective 1.5: Proactively engage our key stakeholders to seek their input for identifying potential audits and investigations.

Performance Indicators:

- **Number of meetings or focus groups with DOL or OIG community regarding areas of potential audits**
- **Number of outreach, liaison, and educational sessions with internal and external stakeholders to identify areas of high risk that could lead to potential investigations**
- **Number of briefings and consultations per year offered to cognizant Senate and House committees regarding OIG work priorities and areas of Congressional interest**

Performance Measures:

- ~~Percentage of OIG products completed within prescribed timelines.~~
- ~~Percentage of audits and investigations that address significant risks to the Department.~~
- ~~Number of outreach sessions conducted with internal and external stakeholders.~~
- ~~Amount of monetary results from investigations.~~
- ~~Amount of questioned costs, funds put to better use, and other cost savings identified in our audits.~~
- ~~Percentage of recommendations implemented.~~

~~STRATEGIC GOAL 2: Combat the influence of transnational and national organized criminal enterprises, labor racketeering, and workforce exploitation in the American workplace.~~

~~STRATEGIES: • Conduct law enforcement work to prevent and safeguard unions, labor organizations, and benefit funds from the influence of organized criminal enterprises and labor racketeering.~~

- ~~Build strong relationships with internal and external partners and stakeholders to identify emerging trends of corrupt organized activity that adversely affects the American workforce.~~
- ~~Conduct effective external outreach to educate groups and the public about the value of our work to protect the American workforce.~~

~~PERFORMANCE MEASURES:~~

- ~~• Number of intelligence sources developed in industries controlled or influenced by organized criminal enterprises and labor racketeering.~~
- ~~• Number of cases opened focused on emerging trends.~~
- ~~• Number of briefings, presentations, and speeches delivered to key external groups.~~
- ~~• Percentage of investigations resulting in a positive outcome involving: a. transnational and national organized criminal enterprises in unions, labor organizations, and benefit funds; b. labor racketeering in unions, labor organizations and benefit funds and the American workforce; and c. exploitation in the American workforce.~~

STRATEGIC GOAL 2 3: FOSTER AN INTERNAL OIG CULTURE THAT DRIVES HIGH PERFORMANCE AND ENGAGEMENT.

STRATEGIES **Strategic Objective 2.1:** Promote transparent and timely communications that foster civility, respect, and inclusiveness at all levels.

Performance Indicator:

- Complete a EVS action plans for each component agency to increase employee engagement index scores in 2017, with a focus on increasing "Leaders Lead", "Supervisors" and "Intrinsic Work Experience" sub factors²

Strategic Objective 2.2: Establish and implement transparent and effective policies and processes for promoting and rewarding staff, including clearly defined career ladders.

Performance Indicators:

- Percentage OIG increase on the annual EVS "Results-Oriented Performance Culture Index" score³
- Develop a framework for an "OIG Strategic Human Capital Plan" that includes strategies for recruitment, talent development, and succession planning⁴

Strategic Objective 2.3: Develop and implement strategic recruitment, succession, and retention plans.

Performance Indicator:

- Percentage of vacancies filled within 90 days from posting date to selection

² New indicator for FY 2017

³ Indicator being retired in FY 2017

⁴ New indicator for FY 2017

Strategic Objective 2.4: Develop and implement a formal mentoring program.

Performance Indicator:

- **Percentage of both employees and supervisors participating in the OIG mentoring program**

Strategic Objective 2.5: ~~Require managers to p~~ Provide each employee with an opportunity to develop an employee development plan and encourage all employees to participate.

Performance Indicators:

- **Percentage of auditors in compliance with mandatory professional training within prescribed timelines**
- **Percentage of investigators completing mandatory professional training within prescribed timelines**
- **Percentage of employees who have employee development plans**

Strategic Objective 2.6: Develop an objective exit interview process

Performance Indicator:

- **Percentage of departing employees who complete exit interviews**

Strategic Objective 2.7: Increase use of mechanisms for obtaining employee feedback, such as 360-degree evaluations and one-on-one sessions.

Performance Indicator:

- **Percentage of supervisors with at least 6 months of supervisory tenure who complete a 360 degree evaluation or an online survey to gather feedback from staff**

Strategic Objective 2.8: Ensure training funds are used to maximize employee development.

Performance Indicators:

- **Percentage of OIG training funds obligated**
- **Percentage completion of OIG-wide mandatory on-line annual training**

~~Develop an annual action plan with performance measures, targets, and deliverables with specific deadlines.~~

~~Ensure that performance standards include meaningful measures that cascade down throughout the OIG and drive high performance.~~

~~PERFORMANCE MEASURES:~~

- ~~• Percentage of employee satisfaction in annual employee surveys~~

- ~~Percentage of managers who use feedback mechanisms, such as 360 degree evaluations~~
- ~~Percentage of departing employees who submit to exit interviews~~
- ~~Number of days key positions vacant~~
- ~~Percentage of staff in compliance with professional/industry training standards~~
- ~~Percentage of employees who complete employee development plans~~

STRATEGIC GOAL **3-4**: PROMOTE RESPONSIBLE STEWARDSHIP OF OIG'S FINANCIAL AND NON-FINANCIAL RESOURCES.

~~STRATEGIES~~ **Strategic Objective 3.1**: Develop a sound budget based on operational needs and priorities.

Performance Indicators:

- **Percentage of employee hours charged to investigative activities compared to administrative time**

Strategic Objective 3.2: Manage workload to adapt quickly to changing and emerging resource requirements.

Performance Indicators:

- **Percentage of records management inventory completed to ensure an accurate consolidated records schedule of all OIG records⁵**
- **Percentage completion of planned milestones to re-engineer the Audit Work plan Development process based on a risk-informed methodology⁶**
- **Percentage completion of each component agency's specific risk inventory based on OIG's ERM Framework⁷**

Strategic Objective 3.3: Engage in outreach to the Department, the Congress, and OMB to demonstrate the value of our work.

Performance Indicator:

- **Percentage of formal Congressional requests acknowledged within 5 business days**

⁵ Performance Indicator being retired in FY 2017

⁶ New Performance Indicator for FY 2017

⁷ New Performance Indicator for FY 2017

Strategic Objective 3.4: Leverage OIG technology to enhance audit, investigative, and administrative processes and deliverables.

Performance Indicators:

- **Percentage implementation of an updated automated case management system to track the referral and disposition of all Hotline complaints, including referrals to OI, OA and DOL program agencies⁸**
- **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 performance⁹**
- **Percentage availability during business hours of internal IT network resources such as applications, networks, email, e-OIG, remote access and servers¹⁰**
- **Percentage of PIV-enabled access for privileged users¹¹**
- **Percentage of PIV-enabled access for non-privileged users¹²**

Strategic Objective 3.5: Ensure funds are monitored and used in a cost-efficient manner.

Performance Indicators:

- **Percentage of audit projects that do not exceed planned travel costs**
- **Percentage of OIG Offices that conduct quarterly budget review process to ensure that expenditures do not exceed budget allocations for the fiscal year¹³**
- **Percentage of quarterly executive budget review sessions conducted to ensure proper budget planning and expenditures tracking, including human capital, procurement, facilities and IT activities¹⁴**
- **Percentage of procurement actions that meet agreed-upon requirements, including timeliness, efficiency and compliance with all applicable laws and regulations through established internal controls¹⁵**
- ~~Institute better processes for identifying and prioritizing requirements.~~
- ~~Engage in robust planning to anticipate and prepare for future needs and expenses.~~
- ~~Ensure travel funds are monitored and used in a cost-efficient manner.~~

⁸ Performance Indicator being retired in FY 2017

⁹ New Performance Indicator for FY 2017

¹⁰ Performance Indicator being retired in FY 2017

¹¹ Performance Indicator being retired in FY 2017

¹² Performance Indicator being retired in FY 2017

¹³ Performance Indicator being retired in FY17

¹⁴ New Performance Indicator for FY 2017

¹⁵ Performance Indicator being retired in FY 2017

- ~~Ensure training funds are used to maximize employee development.~~

PERFORMANCE MEASURES:

~~Ratio of employee hours charged to audits and investigations compared to administrative time~~

~~Ratio of actual hours worked on an audit compared to hours budgeted~~

~~Percentage of audit products that address issues identified in Top Management Challenges~~

~~Average travel funds expended per audit or investigation~~

~~Percentage of employees who received training agreed to in employee development plans~~