
THREE-YEAR STRATEGIC BUSINESS PLAN

ACTION PLAN FY 2012

★ July 29, 2011 ★

OIG
PROJECT
5.0

U.S. Department of Commerce
Office of Inspector General

MISSION

To improve the programs and operations of the Department of Commerce through independent and objective oversight.

CORE VALUES

INTEGRITY

We are honest, ethical, and objective.

We hold ourselves to high standards and are willing to take tough stands.

We honor our commitments to each other and our stakeholders.

EXCELLENCE

We are forward-looking and seize opportunities to improve the Department's performance.

We deliver timely, relevant, and high-impact products and services.

We encourage risk-taking that leads to new ideas and innovative solutions.

ACCOUNTABILITY

We operate as independent, transparent, and trusted brokers serving our stakeholders.

We are passionate about delivering results that drive positive change.

We are trustworthy and can be counted on to do what we say.

VISION

We work as a seamless integrated team delivering valuable products to serve the public and to support decision-makers in the Department of Commerce, OMB, and Congress.

We are a trusted broker to our stakeholders.

We are catalysts for positive change throughout the Department.

We are fully staffed and have the resources to get the job done.

We have a diverse, competent, enthusiastic, and productive workforce and a cadre of effective managers at every level of the organization.

We execute risk assessment processes to drive strategic and operational plans, priorities, and programs.

We have efficient, effective processes and a state-of-the-art infrastructure.

We have performance metrics to drive high performance and accountability.

STRATEGIC GOALS

Deliver timely, relevant, and high-impact OIG products.

Attract and retain a highly motivated, diverse, and multidisciplinary workforce.

Institute effective processes for planning and prioritizing work.

Develop a robust infrastructure to support a high-performing OIG.

GOAL #1

Deliver timely, relevant, and high-impact OIG products

Timely delivery of OIG products.

Valuable, high-quality information is available to stakeholders.

Strategies

Identify requirements and establish effective, efficient processes for audits, evaluations, investigations, and support functions.

Engage stakeholders in the design and roll-out of key processes.

Communicate and train staff on relevant processes.

Establish performance metrics and tracking system to monitor results.

Formalize consultative and legislative outreach function.

GOAL #2

Attract and retain a highly motivated, diverse, and multidisciplinary workforce

OIG is fully staffed with capable people.

Workforce is truly integrated across headquarters and regions.

Cadre of strong managers and supervisors at every level of the organization.

High-performance culture in place.

Strategies

Establish and communicate transparent and effective mechanisms for recruiting, developing, managing, promoting, and rewarding staff.

Create and reinforce an OIG culture that drives high performance.

Establish a human capital framework and process.

Establish a competency model for executives and develop employee relations training.

GOAL #3

Institute effective processes for planning and prioritizing work

Risk-based audit and evaluation work plan.

Process in place to rapidly deploy investigative resources when needed.

Staff understands strategic direction and alignment of their work.

Methodologies in place to identify and prioritize highest-value work.

OIG plans and programs are transparent to stakeholders.

Clear guidance to staff on how we accomplish our mission.

Strategies

Benchmark the time it takes to complete audits to calibrate expectations.

Enhance risk assessment methodology and plan.

Engage key agency officials to incorporate their input into risk assessment plan.

Map investigation process and institutionalize mechanism for effectively responding to investigation requirements.

Develop internal and external communications plan.

Deploy an effective matter management system for the front office.

GOAL #4

Develop a robust infrastructure to support a high-performing OIG

Stable funding to support mission accomplishment.

Efficient and effective workspace that supports expansion of workforce, collaboration, and high performance.

Electronic document management/records management across all units.

Regular program in place to refresh and upgrade IT hardware and software.

Strategies

Develop budget based on strategic and operational plans and priorities.

Explore flexible work arrangements, alternative workspace options, etc.

Automate request and approval process using automated forms.

Create a multi-year planning tool for the office level and OIG wide.

Identify, prioritize, and implement a defined set of IT upgrades and improvements.

Enhance systems and processes for identifying OIG IT requirements.

OIG FY 2012 STRATEGIC DELIVERABLES

	STRATEGIC DELIVERABLE	LEAD
FRONT OFFICE AND COUNSEL	1. Develop an internal and external communication plan for the front office. <i>The front office will develop a communications plan for both its internal and external stakeholders.</i>	Rick Dubik
	2. Deploy an effective matter management tracking system for the front office. <i>The front office will develop a sustainable IT solution for matter management.</i>	Scott Dahl
	3. Formalize consultative and legislative outreach function. <i>OC and L/PA will work to effectively communicate Congressional requests to the appropriate staff while tracking all relevant inquiries and requests.</i>	Randall Popelka Wade Green

OIG FY 2012 STRATEGIC DELIVERABLES

	STRATEGIC DELIVERABLE	LEAD
ADMINISTRATION	<p>4. Automate request and approval process with automated forms. <i>OA will create e-forms for procurement requests, maintenance orders, equipment transfers, photographic services, and printing services as well as add a self-service feature for HR functions.</i></p>	John Webb
	<p>5. Identify, prioritize, and implement a defined set of IT upgrades and improvements. <i>OCIO will work with OIG and its management to identify the most critical IT infrastructure upgrades and applications for implementation, while establishing a transparent mechanism to track the status of IT improvements.</i></p>	Ben Bergersen
	<p>6. Create a multi-year planning tool for the office level and OIG wide. <i>Budget will create office-level and OIG-wide spreadsheets to model cost-of-hiring scenarios.</i></p>	John Webb
	<p>7. Establish a competency model for executives and develop employee relations training. <i>HR will address requirements for supervisory training, professional certification, and skill maintenance.</i></p>	Kay Dalton
	<p>8. Establish a human capital framework and process. <i>HR will develop succession and retirement plan strategies.</i></p>	Kay Dalton

OIG FY 2012 STRATEGIC DELIVERABLES

AUDIT AND EVALUATION	STRATEGIC DELIVERABLE	LEAD
	<p>9. Develop and implement a staff scheduling plan. <i>OAE will develop a staffing schedule that shows to which jobs employees will be assigned, while tracking the resources devoted to each project.</i></p>	<p>Ann Eilers</p>
	<p>10. Develop and execute a strategy to ensure comprehensive oversight for the life of the BTOP program. <i>OAE will develop a risk-based audit approach of BTOP activities to include program office operations, grant recipient activities, and investigations. The approach will factor in OIG-appropriated funds and their expiration.</i></p>	<p>Katie McKeveitt Chris Rose</p>
	<p>11. Develop and implement OAE communications strategy. <i>The strategy will focus on both communicating relevant events with OAE staff, as well as soliciting their suggestions for improving operations, while increasing coordination with OI, utilizing collaborative tools.</i></p>	<p>Ann Eilers</p>
	<p>12. Revisit OAE Balanced Scorecard metrics to better capture results. <i>OAE will refine its performance metrics for more comprehensive coverage of its work.</i></p>	<p>Jane Mintz</p>

OIG FY 2012 STRATEGIC DELIVERABLES

INVESTIGATIONS	STRATEGIC DELIVERABLE	LEAD
	<p>13. Establish and implement an effective case management process. <i>OI will develop parameters for case management to ensure timely case progression and completion.</i></p>	Rick Beitel
	<p>14. Develop a plan for a new case management system and successful transition to the new system. <i>OI will develop a plan for a new database system for case management that meets the need of its users while providing useful tracking and reporting for managers.</i></p>	Rick Beitel
	<p>15. Establish and implement a plan to target investigative resources to grant and contract fraud, including the use of data analytics. <i>OI will assess risks in Commerce contract and financial assistance programs and develop approaches to preventing and detecting fraud, including comprehensive outreach and data analytics functions.</i></p>	Rick Beitel
	<p>16. Implement peer review recommendations. <i>As a follow-on to the FY 2011 peer review results, develop and implement actions to address recommendations.</i></p>	Rick Beitel

OIG SENIOR LEADERSHIP TEAM OPERATING AGREEMENT

Focus and Planning

We maintain a collective focus on the strategic business plan.

We support the plan and communicate results on IG Eye and in OIG forums, staff meetings, etc.

We all look for opportunities to contribute to the plan, even though there are identified leads.

We incorporate elements of the plan into our annual operating plans and individual performance plans.

Communication and Teamwork

We work to eliminate barriers and stovepipes in headquarters and the regions.

We assume good intent on the team.

We work issues openly, honestly, and directly with one another.

We learn from our mistakes — and we forgive each other's mistakes.

We ask for help and “jump in” to help each other get results.

Accountability

We all take full ownership for achieving the OIG mission, vision, and goals.

We are willing to make the hard choices and tough decisions.

We regularly monitor our action plans in staff meetings.

We convene periodic check-ups to ensure we are moving forward.

We hold each other accountable for results.

We recognize those who contribute to the success of the plan.

We celebrate our successes.