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OFFICE OF INSPECTOR GENERAL

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# ACTION PLAN

# FY 2013

★ July 25, 2012 ★

**OIG**  
PROJECT  
**5.0**

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U.S. DEPARTMENT OF COMMERCE

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**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, 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.

Clear guidance to staff on how we accomplish our mission.

*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.

**GOAL #2: ATTRACT AND RETAIN A HIGHLY MOTIVATED, 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*

Hire or contract for additional HR resources.

Develop and implement a strategic staffing plan and succession plan.

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

Define career ladders and succession plans.

Create and reinforce an OIG culture that drives high performance.

**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.

*Strategies*

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

**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.  
Institute better systems for identifying/prioritizing requirements and rolling out new elements.

**OIG FY 2013  
STRATEGIC  
DELIVERABLES**

**STRATEGIC DELIVERABLE**

**LEAD**

**CROSS-CUTTING INITIATIVES**

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|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------|
| <p><b>1.</b> Strengthen OIG’s relationship with the Department by developing a liaison matrix, performing a gap analysis, and identifying resources where OIG can build upon and improve its interactions with the Department.</p> | Justin Marsico                     |
| <p><b>2.</b> Develop a series of management improvement courses related to employee relations, among other pertinent management topics, offering a course every 6 weeks, in furtherance of last year’s pilot program.</p>          | Wade Green                         |
| <p><b>3.</b> Implement the Office of Counsel HR Toolbox, which will include drafting sample documents, uploading to the Intranet, and training staff on a quarterly basis.</p>                                                     | Wade Green                         |
| <p><b>4.</b> Use social media including Facebook and Twitter to communicate to stakeholders and the public.</p>                                                                                                                    | Ben Bergersen<br>Ann Carper        |
| <p><b>5.</b> Establish an OIG Administrative Guide for administrative processes and budget execution, incorporating internal controls, applicable appropriations, and federal acquisition laws.</p>                                | Gelitza Reyes<br>Rick Dubik        |
| <p><b>6.</b> Submit SES recertification package in FY 2013 in advance of the expiration of the existing SES certification under the old performance system.</p>                                                                    | Sue Braunstein                     |
| <p><b>7.</b> Continue efforts to plan, select, and implement a new electronic case management system.</p>                                                                                                                          | Ben Bergersen<br>Kristine Leiphart |

OIG FY 2013 STRATEGIC DELIVERABLES	STRATEGIC DELIVERABLE	LEAD
AUDIT AND EVALUATION	8. Build capacity to allow COTRs and task monitors to manage current and future OAE contracts.	Andrew Katsaros
	9. Establish process to implement audit peer review recommendations.	Jane Mintz
	10. Produce quarterly executive-level internal report on recommendations, trends, and Commerce meeting topics.	Ann Eilers

**OIG FY 2013  
STRATEGIC  
DELIVERABLES**

**STRATEGIC DELIVERABLE**

**LEAD**

**INVESTIGATIONS**

**11.** Strengthen OI policy and procedures on distribution and handling of Reports of Investigation involving employee misconduct.

Dustin Wright

**12.** Increase awareness of OIG's mission and whistleblower protections by developing a multi-media presentation to be distributed Department-wide and an accompanying outreach strategy.

Jennifer Nobles

**13.** Reduce the backlog of outstanding hotline complaints assigned to Commerce bureaus for resolution.

Jennifer Nobles

**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.