STRATEGIC GOAL SEVEN:

Ensure Excellence, Accountability and Integrity in the Management and Conduct of Department of Justice Programs

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Although the plan's primary focus is on the programmatic goals related to carrying out the Department's mission, achieving these goals depends upon strong and effective management practices. This section addresses the departmental management priorities for the year ahead. These Department-wide priorities cut across all functional and organizational boundaries and address such fundamental issues as integrity and accountability, planning, evaluation, financial management, information technology and human resources.

MANAGEMENT CHALLENGES

The Department has two material weaknesses in this area:

Computer Security - This has been designated a material weakness since 1991. DOJ increasingly relies on interconnected computer systems and electronic data to achieve its mission. Since the Department's computer systems now hold a majority of sensitive information used in the course of Department business, controls must be in place to ensure that the data are not destroyed, altered, or disclosed to unauthorized persons and that the integrity and reliability of our computerized systems are not compromised.

Financial Management - Components still have material weaknesses due to noncompliance with federal accounting standards. Financial statement preparation continues to be a weakness in some components. Importantly, several components have financial systems that are noncompliant with OMB Circular A-127 and other federal systems standards, or are technologically obsolete and do not meet mission needs. As a result, every DOJ component has major accounting system enhancement or replacement projects either underway, planned, or in the final phases of implementation. All components continue to place major emphasis on addressing the accounting and internal control weaknesses cited in the financial statement audit reports so that timely and accurate financial information can be delivered to the Department's program managers.

Departmental Response to Terrorism - In recognition of the increased threat of terrorist attacks against the United States, the OIG plans to perform an audit of the effectiveness of the domestic preparedness support the Department provides to state and local governments. The OIG will assess the readiness of selected state and local emergency response agencies that receive Department funding and will determine whether grant funds are being used for their intended purpose. (STRATEGIC GOAL ONE: Keep America Safe by Enforcing Federal Criminal Laws, addresses the OIG's concern about the linkage of government-wide anti-terrorism resources to a national anti-terrorism strategy.)

The DOJ Office of the Inspector General (OIG) includes both of the above issues in its December 2000 list of the ten most serious management challenges facing the DOJ. In addition, the OIG lists three other issues as serious management challenges in this area:

Human Capital - The OIG indicates a concern in attracting and retaining INS Border Patrol agents, information technology professionals, and BOP correctional officers and staff.

Grant Management - The OIG states that the Department's grant programs have a high risk for fraud given the large amount of money involved and the tens of thousands of grantees. Due to DOJ grant programs averaging slightly more than $900 million per year, the OIG highlights the need for proper dispensation and monitoring of funds, including complete on-site monitoring reviews; grantee compliance with reporting rules; and appropriate methodologies for compensating applicants for grants.

Information Systems Planning and Implementation - The OIG focuses mainly on INS information systems management, and, therefore, the more detailed discussion of this management challenge is in STRATEGIC GOAL FOUR: Fairly and Effectively Administer the Immigration and Naturalization Laws of the United States.

This chapter, however, addresses the Department's general approach to managing major mission-critical information systems, both across the Department and within components.

In addition, FY 2002 goals and measures have been established for each of the Administration's management reform initiatives. These include delayering management levels to streamline our organizations, making better use of performance based contracts, expanding the application of on-line procurement and other e-government services and information, and expanding Office of Management and Budget Circular A-76 competitions and more accurate FAIR Act inventories.

Performance measures related to these material weaknesses and management challenges are noted.

PROGRAM EVALUATIONS

No FY 2002 program evaluations are planned at this time.

STRATEGIC OBJECTIVE 7.1:   INTEGRITY
Foster integrity, strengthen accountability, and promote efficiency and effectiveness to ensure public trust and confidence in Department of Justice programs.

Annual Goal 7.1: Ensure departmental integrity and professional oversight

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STRATEGIES

Focus audit, inspections, and other evaluative efforts on Department programs and expenditures in order to strengthen accountability and performance.
Use investigative resources to pursue allegations of fraud, waste, and abuse against Department personnel, contractors, and grantees.

In FY 2002, through the Office of the Inspector General (OIG) and the Office of Professional Responsibility (OPR), the Department will strengthen program accountability and performance and pursue allegations of fraud, waste, and abuse. These priorities are Department-wide.

MEANS – Annual Goal 7.1

Dollars/FTE

Appropriation	FY 2000 Obligated		FY 2001 Enacted		FY 2002 Requested	
	$ mil	FTE	$ mil	FTE	$ mil	FTE
Office of the Pardon Attorney	2	15	2	15	2	15
Office of the Inspector General	40	379	41	369	45	370
General Administration	21	145	23	216	23	216
Independent Counsel	29	0	9	0	10	0
TOTAL	*92*	*539*	*75*	*600*	*80*	*601*

Skills

OPR requires experienced attorneys familiar with the Model Rules of Professional Conduct and State bar rules, Federal Criminal Code and Rules of Procedure, Federal Rules of Civil Procedure, and DOJ procedural and ethical guidelines, as well as paralegals and program analysts. Skilled investigators, auditors, program analysts, attorneys, and support staff are required for the mission of the OIG. Required skills include interviewing and interrogation techniques, research and analytical skills, report writing, statistical sampling, and computer skills. In addition, criminal investigators require expertise in legal and statutory elements of crime, firearms, and physical training.

Information
Technology

OPR uses the Bibliograhic Retrieval System case tracking system. The OIG relies upon the Investigations Data Management System (IDMS) which consists of eight computer-based and four paper-based systems; through which the OIG Investigations Division records and monitors the status of allegations and the progress of investigations. The OIG Investigations Division Monthly Investigative Activity Report provides information that is not tracked in IDMS, such as types and amount of seizures, integrity briefing activity, etc. The OIG Investigations Division Administrative Database tracks the distribution and receipt of customer surveys on completed investigative reports. The OIG Audit Division Management System consists of information that the regional Audit offices provide to headquarters on the status of assignments and the number of workdays expended monthly. The OIG Inspections

7.1A   Ensure Departmental Integrity

Background/Program Objectives:
In order for its programs and activities to be effective, all Department personnel, contractors, and grantees must conduct themselves in accordance with the highest standards of integrity, accountability, and efficiency. The OIG was established to detect and prevent misconduct and mismanagement on the part of the Department's personnel and programs. OIG investigates alleged violations of criminal and civil laws, regulations, and ethical standards arising from the conduct of the Department's employees in their numerous and diverse activities. OIG provides leadership and assists management in promoting integrity, economy, efficiency, and effectiveness within the Department and in its financial, contractual, and grant relationships with others using the coordinated efforts of OIG's investigative, audit, and inspection resources.

FY 2000 Actual Performance:
Performance Measure: Investigations of Fraud, Bribery, Rights and Drug Violation, and Sex Crimes – Discontinued Measure
> *Target:* 494 Opened   440 Closed
> *Actual:* 384 Opened   394 Closed
> *Discussion:* Targets were not met, primarily because OIG underwent a major downsizing that included a hiring freeze, early retirement options, and directed reassignments of personnel from OIG to other Department components. OIG targets resources on allegations that relate to the priority investigations (Fraud, Bribery, Rights and Drug Violations, and Sex crimes). This is still a valid strategy.   However, beginning in FY 2002, OIG will transition from cases opened and cases closed to investigations closed.   This measure will project the number of completed investigations (based on prior year workload data) and will report the actual number of cases substantiated at the close of the fiscal year. Those cases that are substantiated are considered to be those resulting in criminal or civil action, or referral to management for administrative action. With this data we will be able to establish a trend line for the Department and identify areas requiring focus.
> *Public Benefit:* The benefit to the public is the detection and deterrence of misconduct in programs and operations within or financed by the Department.
> *FY 2001 Performance Plan Evaluation:* Based on program performance in FY 2000, the corresponding FY 2001 targets have been adjusted downward to reflect reduction in personnel discussed above.

Data Definition: Cases that are substantiated are considered to be those resulting in criminal or civil action, or referral to management for administrative action.

Data Collection and Storage: The OIG uses the Investigations Data Management System (IDMS) to collect data and track progress. IDMS consists of eight computer-based and four paper-based systems through which the Investigations Division records and monitors the status of allegations and the progress of investigations.

Data Validation and Verification: The Investigation Division is responsible for maintaining IDMS and ensuring accuracy and reliability through a semi-annual review of the information collected during that period.

Data Limitations: The IDMS lacks central indexing, which hampers data collection and analysis as the multiple systems require duplicate data entry and information is not cross referenced between systems. This can result in inaccurate or incomplete analysis.

Strategies and Initiatives to Achieve the FY 2002 Goal:

In FY 2002, the Department, through its independent OIG, will continue to support efforts to strengthen integrity in DOJ programs and operations. In FY 2002, OIG will investigate allegations of bribery, fraud, abuse, civil rights violations, and violations of other laws and procedures that govern Department employees, contractors, and grantees, and will develop cases for criminal prosecution and civil and administrative action. OIG will use its audit and inspections resources to review Department programs or activities identified as high priority areas in the Department's strategic plan and devote resources to review of the OIG Top Ten management issues.

Crosscutting Activities:

These measures are largely internal to DOJ and are administered by OIG.

Background/ Program Objectives:
In FY 2002, the Department through its Office of Professional Responsibility (OPR) will continue to ensure that Department attorneys meet and maintain the high ethical standards expected of the nation's principal law enforcement agency. Specifically, OPR reviews and investigates allegations of misconduct by Department attorneys that relate to the exercise of their authority to investigate, litigate, or provide legal advice. Through the performance of OPR, the Department seeks to ensure that Department attorneys comply with obligations to standards imposed by law, applicable rule of professional conduct, or Department regulations or policy, and that instances of failure to comply with those standards are identified and appropriately disciplined.

FY 2000 Actual Performance:
Performance Measure: Investigations of Alleged Professional Misconduct by DOJ Attorneys
　　　Target: 80 Investigations Completed *Actual:* 78
　　　Discussion: OPR attributes its inability to reach the target to the staffing shortages experienced during this fiscal year. Despite fluctuating staff levels caused by unexpected turnover, the office achieved 97% of the target by closing 78 investigations. In addition, OPR formalized basic standards for the framework for analyzing alleged misconduct investigations. OPR further assures that all judicial criticism of Department attorneys was reviewed by OPR through conducting routine targeted searches on a legal resource database and monitored the actions of other DOJ components based on OPR's findings. Given the current level of resources, this strategy remains valid. OPR will continue to recruit aggressively to maintain the highest possible staffing levels and pursue training programs that will enhance the experience level of the entire staff.
　　　Public Benefit: By expeditiously and thoroughly executing investigations of alleged misconduct, the Department ensures public confidence in the integrity of Department attorneys and maintains peak awareness of professional standards.
　　　FY 2001 Performance Plan Evaluation: Based on program performance in FY 2000, we expect to achieve the corresponding FY 2001 goal.

Data Collection and Storage: OPR uses the Bibliograhic Retrieval System database system to preserve information on allegations received, matters in which inquiries or full investigations are conducted. Initial data is entered by OPR management analysts based on their analysis of incoming matters. Entries regarding OPR's findings and conclusions in a matter are made based on information provided by OPR attorneys assigned to the matter.

Data Validation and Verification: The data in the table were verified by senior OPR attorneys and were reported in OPR's Annual Report to the Attorney General for the years indicated.

Data Limitations: None known at this time.

Strategies and Initiatives to Achieve the FY 2002 Goal:
OPR will continue to review allegations of professional misconduct to determine whether they are within OPR's jurisdiction, and to conduct such investigations as are warranted to determine whether professional misconduct occurred. In addition, OPR will electronically search court decisions published in electronic databases in order to ensure that instances of serious judicial criticism and judicial findings of misconduct are referred to, and reviewed by, OPR. In matters where full investigations are conducted, OPR will continue to seek to resolve those matters within one year of initiation of the investigation. At the conclusion of the investigation, OPR will provide a report of investigation containing its findings and conclusions to the head of the Department component involved. The number of matters in which OPR found professional misconduct has remained fairly consistent in recent years. Thus, OPR projects no significant change in that number in FY 2002. While the number of findings of professional misconduct appears likely to remain fairly level, OPR's investigations ensure that matters presenting even the appearance of impropriety receive close review. OPR will periodically review allegations received in order to identify trends and bring such trends to the attention of the Attorney General or the appropriate component head.

Crosscutting Activities:
These measures are largely internal to DOJ and are administered by OPR.

STRATEGIC OBJECTIVE 7.2   FINANCIAL MANAGEMENT
Improve the effectiveness of Department of Justice operations by strengthening and enforcing controls over assets, improving the usefulness and reliability of financial data for planning and reporting, and maximizing the use of available resources in accomplishing programmatic

Annual Goal 7.2: Achieve a Department-wide Unqualified Audit Opinion and Ensure Effective Management of Grants and Counterterrorism Efforts and Promote Government Reform Initiatives in the Department

STRATEGIES

Ensure sound and effective financial management policies and practices.

In FY 2002, the Department and its components will focus on continuing substantive progress in resolving major problems in the areas of financial management and information technology management.   As a part of this effort, departmental components will continue to enhance, implement, and maintain financial management systems which substantially comply with federal financial management system requirements, applicable federal accounting standards, and the U.S. Standard General Ledger at the transaction level. In FY 2002, components will continue to focus on ensuring that all financial systems meet federal standards, and that the weaknesses in accounting and reporting practices disclosed in the financial audits are addressed.   The Department will also place emphasis on building stronger linkages among planning, budgeting, and resource allocation processes; establishing improved management and performance data systems; and evaluating and assessing priority programs and operations.

The Department will continue to aggressively monitor progress in responding to all management weaknesses identified by GAO and others. Those weaknesses continuing into FY 2002 are discussed briefly in each strategic goal under the section titled, "Management Challenges."

MEANS – Annual Goal 7.2

Dollars/FTE

Appropriation	FY 2000 Obligated		FY 2001 Enacted		FY 2002 Requested	
	$ mil	FTE	$ mil	FTE	$ mil	FTE
General Administration	4	45	5	44	5	44

Skills

This goal requires the skills of accountants, financial, budget, program, and system analysts. Procurement personnel must be skilled in Performance Based Contracting; the preparation of a statement of work and Quality Assurance Plan; and developing effective positive and negative performance incentives. Personnel involved in coordinating FAIR Act inventories within their components must understand the provisions of the Act and must have an understanding of the nature of positions, functions, and activities in their organizations. Employees responsible for making cost comparisons for decision-makers regarding

Information
Technology

Modern financial systems are required to meet federal financial systems requirements. Components of the Department are in the process of implementing new financial systems or enhancing existing systems. The Federal Data Procurement System is used to track the volume of contract activity and the Organizational Structure and Manpower Analysis Report

7.2A   Achieve a Department-wide Unqualified Audit Opinion (Management Challenge)

Background/ Program Objectives:
Our continuing goal is to maintain financial operations and practices which meet or exceed Federal accounting standards, and maintain financial management systems which comply with Federal systems requirements, accounting standards, and the U.S. Standard General Ledger at the transaction level.   Additionally, the Department will produce timely and accurate financial reports in compliance with those standards and requirements, and achieve an unqualified opinion on the Department's consolidated audited financial statements.   An unqualified audit opinion, accompanied by the reduction in weaknesses cited in the audit reports, are reliable measures of the Department's financial management performance and soundness of its financial management systems.

The audit opinion for the Department's consolidated statements is largely dependent upon the audit opinions given to each of the ten component financial statements in the Department. The following reporting entities of the Department issue audited financial statements: Justice Management Division (for the Offices, Boards and Divisions); Assets Forfeiture Fund and Seized Asset Deposit Fund; Working Capital Fund; Federal Bureau of Investigation; Drug Enforcement Administration; Immigration and Naturalization Service; Office of Justice Programs; U.S. Marshals Service; Bureau of Prisons; and Federal Prison Industries (FPI), Inc.

In accordance with OMB's Form and Content guidance for agency financial statements, the Department and each component are required to produce six different financial statements. It is the Department's goal, and each component's goal, to earn unqualified opinions across-the-board, on all statements.   The foundation for achieving this objective was established in FY 2001 with the attainment of the Department's first unqualified consolidated balance sheet opinion.   Additionally, the Department will continue to focus on addressing the accounting practice, reporting, and systems weaknesses cited in the audit reports.

FY 2000 Actual Performance:
Performance Measure: Unqualified Opinion Earned on all Consolidated Department Statements
   Target: Unqualified Opinion on all Consolidated Statements (6 statements)
   Actual: Unqualified Opinion on 2 statements (Balance Sheet and Statement of Custodial Activity), Qualified Opinion on 4 statements
Performance Measure: % of Components with an Unqualified Opinion on Financial Statements
   Target: 100% **Actual:** 80%
   (8 Components earned Unqualified opinions on all statements, 1 Component earned an Unqualified Balance Sheet only, and 1 Component earned an overall Qualified Opinion
   Discussion: For FY 2000, DOJ earned an unqualified (clean) opinion on its consolidated Balance Sheet and the Statement of Custodial Activity. The Statements of Net Cost, Changes in Net Position, and

Opinions Earned on Consolidated Statements		
Fiscal Year	Goal (all statements)	Actual
2002	Unqualified	
2001	Unqualified	
2000	Unqualified	Unqualified on Balance Sheet and Statement of Custodial Activity; Qualified on remaining statements.
1999	Unqualified	Qualified on all statements
1998	Unqualified	Disclaimer on all statements

Combined Statements of Financing and Budgetary Resources, were "qualified" because of the carryover effect of INS's FY 1999 qualification on its deferred revenue from citizenship and other application fees. Importantly, during FY 2000, INS was able to fully substantiate its number of pending citizenship applications, thus enabling INS (and the Department) to earn an unqualified opinion on its Balance Sheet for FY 2000. FY 2000 marked

the first year in which the Department achieved an unqualified balance sheet opinion, a major milestone which sets the stage for across-the-board clean opinions for FY 2001 and beyond.

While the overall opinion status for the Department improved in FY 2000, at the component level, eight out of ten components received across-the-board unqualified opinions, compared with nine out of ten for FY 1999. INS achieved an unqualified opinion on the Balance Sheet only. Federal Prison Industries (FPI), one of our smaller components, received a qualified opinion on all its statements due to inaccuracies in reported inventory values. In prior years, FPI received unqualified opinions. FPI's qualification was primarily related to difficulties encountered when implementing a new Commercial-Off-The-Shelf financial system.

The INS should receive an across-the-board unqualified opinion for FY 2001 with the correction of the unearned deferred revenue weakness during FY 2000, as described above. FPI is working with its contractors to correct the inventory issue and achieve a totally unqualified opinion for FY 2001. All other components are prepared to earn across-the-board clean opinions in FY 2001.

Public Benefit: Reducing internal control weaknesses and achieving across-the-board unqualified audit opinions on the Department financial statements will demonstrate the soundness and reliability of the Department's financial operations and reporting, thus increasing the public's confidence in the Department's financial management. Moreover, the Department's mission performance will improve as we provide more timely and accurate financial information to the Department's program managers, enabling more effective use of the public's funds.

Data Collection and Storage: The information for the indicator is obtained from the report of the auditors of the financial statements.

Data Validation and Verification: The information for the indicator is obtained from the report of the auditors of the financial statements.

Data Limitations: None known at this time.

FY 2001 Performance Plan Evaluation: Based on the improved audit results from FY 2000, and action plans for FY 2001, we expect to achieve the clean opinion goal for FY 2001.

Strategies and Initiatives to Achieve the FY 2002 Goal:
In FY 2002, the Department and its components will focus on continuing substantive progress in improving financial operations and financial systems. The Chief Financial Officer will continue to closely measure component progress in reducing internal control weaknesses and in making improvements to financial systems. In particular, the systems improvements are critical at the Department given that all ten components have major accounting system enhancement or replacement projects either underway, planned, or in the final phases of implementation. Until significant system improvements can be implemented, the Department will continue to expend additional resources in its accounting operations to compensate for system deficiencies.

Crosscutting Activities:
The Justice Management Division will continue to coordinate meetings of the Department-wide financial statements working group, Department Financial Managers Council, and OBD Financial Managers Council. The financial statement working group, which includes representatives from the Bureaus and OIG, develops policy and resolves issues in regard to financial statements.

The Department will continue to participate in the development of Government-wide financial policy and standards through attendance at both the Financial Accounting Standards Advisory Board and U.S. Government Standard General Ledger Board meetings. Departmental representatives actively participate in the Standard General Ledger Issues Resolution Committee and Government-wide task force subgroups. Senior management also participates in the government-wide Chief Financial Officers Council and the Federal Financial Managers Council. Additionally, the Department also provides comments on accounting concept statements and statements of recommended accounting standards circulated by the Financial Accounting Standards Advisory Board.

| 7.2B   Achieve Effective Grant Management (Management Challenge) |

Background/ Program Objectives:

The Office of Justice Programs is the primary grant-making component within the Department of Justice. Since the 1990's, OJP has experienced large increases in its funding due to the passage of the Violent Crime Control and Law Enforcement Act of 1994 (the Crime Act), the Violence Against Women Acts I & II, and other significant legislation. Since enactment of the Crime Act, OJP's annual budget, which includes funding for the Public Safety Officers' Death Benefits and the Crime Victims Fund, grew from $1.1 billion in FY 1995 to approximately $5 billion in FY 2001, making grants management increasingly complex. The need for comprehensive grant monitoring and financial management is essential to ensure the proper administration of programs and reduce the opportunity for misuse of the Department's funds.

In FY 1999, OJP began implementation of the Grants Management System (GMS). Although still in its initial implementation stage, when fully operational, this system will allow OJP to electronically track and process grants from initial application to closeout. This paperless system will allow grantees to receive and submit applications and receive awards electronically which will reduce the paperwork required by grantees and standardize the process within OJP's program offices. GMS will assist OJP in setting priorities for program monitoring and facilitate timely program and financial reports from grantees.

Each year, the Office of Justice Programs' Office of the Comptroller develops a risk-based monitoring plan which takes into consideration inherent programmatic and recipient risks, including the amount of funding at risk, known problems, special requests and a random sample of the entire active award universe. OJP currently reaches an average of 7% of its active grant universe each year. As a result, OJP has achieved a reputation for having few reportable problems with respect to its grant programs and is known for quality customer service and financial technical assistance. When rare instances of waste, fraud, or abuse are reported, OJP quickly responds with direct technical assistance to the recipients to correct serious problems or to the investigators in bringing about appropriate criminal prosecutions. In addition, financial monitoring, independent of program offices, provides our financial auditors assurance with regard to safeguarding agency assets and the accuracy of recipient-reported expenditures and related expenditure accrual, one of the largest components of our audited financial statements. Following financial review, OJP staff continually follow-up and provide technical assistance on the recommendations made as a result of a review until the grantee has demonstrated that all recommendations have been implemented. Once the Office of the Comptroller determines that the grantee has sufficiently addressed all issues, the review is officially closed in writing.

OJP invests resources in preventive monitoring and training provided to grantees, law enforcement officers, OJP program monitors and grant administrators, and Office of the Comptroller (OC) staff in order to avoid problems and public scandal. OJP continuously communicates the results of its financial monitoring to the respective Program Offices for their use in directing grant programs. In addition, the results of financial monitoring are used in OJP's nationwide Regional Financial Management Training Seminars, as well as in the grant course offered to state and local law enforcement officers at the FBI National Academy.

OJP's State Criminal Alien Assistance Program (SCAAP) provides formula based assistance to states based on their submission of empirical data related to specified costs, facility, and inmate data associated with housing undocumented criminal aliens. In FY 2000, OJP redesigned the payment program from being paper-based, sequential, and aggregate data driven to the current Internet-based, paperless system. The new application ensures a transactional audit trail for applicant and program office staff actions, including an electronic discussion feature and tracking of this correspondence. All data are transmitted and archived, and thoroughly reviewed by OJP for completeness as well as compliance with program requirements, prior to submission to INS. Upon returning inmate data to OJP for payment, INS must account for each inmate file sent to them by OJP, and provide all inmate data to support its aggregate returns of confirmed inmates, unknowns, and not eligible on a per application basis. This has ensured overpayment issues that once occurred at the agency level no longer occur. OJP recognizes that overpayments related to inaccurate inmate records, costs, and facility data at the local level will remain a risk which is best protected against through yearly on-site audit practices conducted by IT and financial auditors.

Strategies and Initiatives to Achieve the FY 2002 Goal:
In FY 2002, OJP will continue to demonstrate continued progress towards full implementation of the Grants Management System as a way of standardizing and streamlining the grant processes within OJP. Additionally, OJP will explore ways to increase the availability of our Regional Financial Management Training Seminars to recipients via teleconferencing and/or web casting. In FY 2002, SCAAP will allow for ad-hoc queries from recipients through the new system. This will better facilitate application reviews and improve reporting, as well as enhance internal data management by promoting information exchange.

Data Collection and Storage: Data will be obtained through customer satisfaction surveys at the conclusion of training sessions.

Data Validation and Verification: OC closely analyzes and tracks surveys received. The results of the surveys are summarized in monthly reports. OC currently finds a satisfaction-level score of a "5" on a "6" point scale acceptable.

Data Limitations: The survey is voluntary. It is tracked and used internally to make formal management decisions such as effectiveness of instructors and the usefulness of the training topic.

Data Collection and Storage: SCAAP data will be collected from the Internet system where data are transmitted and archived.

Data Validation and Verification: The new application ensures a transactional audit trail for applicant and program office staff actions including an electronic discussion feature and a date stamping mechanism which tracks correspondence.

Data Limitations: None at this time.

Crosscutting Activities:
OC works with internal program offices as well as with the General Accounting Office and the OIG. OJP also coordinates with the INS to monitor application of program guidance affecting determination of inmate eligibility under SCAAP.

| **7.2C** | **Effectively Manage Counterterrorism Efforts (Management Challenge)** |

Background/Program Objectives:
The mission of the Office of Justice Programs' Office for State and Local Domestic Preparedness Support (OSLDPS) is to assist state and local emergency response agencies (law enforcement, fire, hazardous materials, emergency medical services, emergency management, and public health) to enhance their capabilities to respond to the threat posed by terrorist uses of weapons of mass destruction. OSLDPS accomplished this by providing state and local agencies with grant funding and needed services to acquire specialized response equipment and other OSLDPS support which includes the delivery of first responder training and technical assistance, as well as domestic preparedness exercises and evaluations.

States were provided with a three-component assessment tool (Tier-Level Capability Assessment) in FY 1999 consisting of three components: threat and vulnerability assessment; public health capabilities assessment; and agency-level first response needs and capabilities assessment. This assessment, which was developed by OSLDPS in cooperation with the Federal Bureau of Investigation and Center for Disease Control and Prevention, assesses statewide terrorist incident threats, risks, and vulnerabilities for all jurisdictions, as well as identifies needs and capabilities of state and local first responder agencies to respond to a terrorist incident. By requiring states to conduct threat, risk, and capability assessments, states can then base funding requests and decisions on how to allocate these funds in their states on assessment results. OJP is therefore ensuring monies are being distributed to states for equipment and added training and exercise support based upon actual need. The three-year strategic plan is vital to the states to clearly plot their path to adequately prepare for terrorist events and to ensure funds are being targeted where they will provide the most benefit. States that received funds in 1999 are not eligible to apply for second-year funding until the statewide assessment and strategic plan has been submitted and approved by OSLDPS. Site monitoring visits and technical assistance services are also used to verify state and local resource needs and funding allocations.

Strategies and Initiatives to Achieve the FY 2002 Goal:
In FY 2002, OSLDPS will continue to provide targeted assistance to states through on-site monitoring based on the specific needs identified within each state's plan. In addition, OSLDPS will continue interacting with states prior to the distribution of grant funding to verify resource allocations, funding projections, and the delivery of services it provides. OSLDPS anticipates that all states will have their plans submitted by the second quarter of FY 2002 and that all plans will be reviewed and approved by the end of FY 2002.

Data Collection and Storage: Currently OSLDPS tracks the number of monitoring visits using monthly reports on a simplified computer-based system.

Data Validation and Verification: Grant monitors perform on-site monitoring of grantee compliance and performance. Compliance monitoring reports are reviewed annually by OSLDPS' staff.

Data Limitations: None known at this time.

Crosscutting Activities:
Duplication of services are minimized because OSLDPS is coordinating the exchange of information of its domestic preparedness grant programs and the services it provides with the FBI's National Domestic Preparedness Office to ensure that other federal agencies who are similarly engaged in counter-terrorism and/or domestic preparedness activities are cognizant of OSLDPS programs. OSLDPS has also consulted, met with, trained and/or worked collaboratively with the following agencies: the Center for Disease Control and Prevention, the Federal Emergency Management Agency, the Department of Health and Human Services, the Department of Defense, the National Guard Bureau, the Department of Energy, the Environmental Protection Agency, and State and local authorities. In addition, OSLDPS attends quarterly meetings with other agencies who have a stake in domestic preparedness where topics of course development for training sessions, course review to ensure cutting edge topics are being addressed, and training certification requirements are reviewed and discussed. All material that is developed as a result of these meetings is developed jointly and shared among agencies.

Background/ Program Objectives:
There are two government-wide procurement initiatives underway within DOJ. The first is to encourage the use of performance-based contracts. In FY 2002, DOJ will promote the use of performance-based service contracts (PBSC), where solicitations are structured around the purpose of the work to be performed, rather than the manner in which it is to be performed. Department leadership will encourage contracts that are designed to ensure that contractors are given freedom to determine how to meet the Government's performance objectives, that appropriate performance quality levels are achieved, and that payment is made only for services that meet these levels. When used appropriately, these methods should lead to more costeffective acquisitions, better value, and greater competition. As a result, the government should experience fewer cost overruns, schedule delays, and performance problems.

The second initiative will be to expand the application of on-line procurement and other E-Government services and information. In FY 2002, DOJ will complete its integration with the government-wide point-of-entry (proposed as www.FedBizOpps.gov) where Government business opportunities greater than $25,000, including synopses of proposed contract actions, solicitations, and associated information, can be accessed electronically by the public.

Strategies and Initiatives to Achieve the FY 2002 Goal:
To encourage the use of performance-based contracts, DOJ will provide information to program and contract personnel that includes how to write work statements and quality assurance plans for performance-based contracts, and identify and target the types of contracts which are most amenable to PBSC techniques. To expand the application of on-line procurement, we will provide instructions and guidance to procurement offices regarding integration with government-wide point-of-entry, and provide assistance to components not yet utilizing online procurement.

Crosscutting Activities:
This activity is largely internal to DOJ.

Data Collection and Storage: Data is collected from the Federal Data Procurement System and FEDBizOpps.

Data Validation and Verification: Data is verified through year-end reviews of the Federal Data Procurement System and FEDBizOpps.

Data Limitations: None known at this time.

7.2E   Promote the Conduct A-76 Program Competitions and Accurate FAIR Act Inventories

Background/ Program Objectives:
In FY 2002, DOJ will strive to conduct accurate FAIR Act inventories that reflect closer scrutiny of functions performed within the Department to determine those that are commercial in nature. Additionally, as appropriate, the Department will conduct A-76 competitions to achieve economies and enhance productivity.

Strategies and Initiatives to Achieve the FY 2002 Goal:
DOJ will demonstrate top-level support for an accurate inventory of DOJ positions against the FAIR Act criteria. To promote a renewed focus, we will provide new instructions and stronger guidance to personnel responsible for conducting FAIR Act inventories. We will also conduct updated FAIR Act inventories within the components, targeting selected functions for comparison among the organizations, in order to determine whether they are all engaged in the same functions and should be similarly classified. As appropriate, identify and train a study team to ensure that cost comparisons are fair and result in the best value to the government.

During FY 2002, the Department will complete public-private or direct conversion competitions on not less than five percent (approximately 60) of the FTE contained in its FAIR Act inventory. The specific function and location to be targeted will be determined upon completion of the Department's new inventory, which is due June 30, 2001.

Data Collection and Storage: Data is drawn from the DOJ Annual Fair Act Inventory.

Data Validation and Verification: Data verification is accomplished through review of competitions conducted as compared with FAIR Act Inventory.

Data Limitations: None known at this time.

Crosscutting Activities:
This activity is largely internal to DOJ.

STRATEGIC OBJECTIVE 7.3:   INFORMATION TECHNOLOGY

Annual Goal 7.3: Expand electronic access and dissemination of information while ensuring IT security and cost effective IT investments meet programmatic and customer needs.

STRATEGIES

Develop and implement information systems that improve access to information across the Department of Justice and other federal, state, and local legal and law enforcement entities.
Increase the ability to provide information to the public electronically.
Enhance security and reliability of information systems to ensure systems are available to support core mission functions.
Implement a systematic process for selection, controlling, and evaluating IT investments to protect taxpayer dollars.

The Department has a strong commitment to the Administration's efforts to provide the public with efficient and secure electronic access to government services. Information technology (IT) is a catalyst that will transform the way departmental components perform business functions, interact with other government agencies, and deliver services to the public.

Currently, there are several initiatives underway in the Department to develop and extend e-government services and information. An excellent example is the Office of Justice Programs' (OJP) successful implementation of its electronic grant application and review processes. OJP expects to provide state, local,

and tribal government agencies the ability to complete all of their transactions with OJP electronically. Also, the Immigration and Naturalization Service (INS) is assessing all of its business processes and has laid out plans to automate a large number of transactions with its customers. Most of INS' plans will take several years to complete.

This ongoing commitment to electronic government while maintaining current IT capabilities, without significant growth in resources, places increased importance on capital investment, architecture, and security in FY 2002. Sound IT capital programming processes will help to ensure a clear focus on service and performance in terms of timely investment in new technologies and wise management of legacy systems. The developing enterprise architecture will complement capital programming with a business framework for IT technical infrastructure. Finally, redoubled commitment to security is necessary to protect information and infrastructure by thwarting computer intrusions, protecting individual privacy, and combating cybercrime.

MEANS – Annual Goal 7.3

Dollars/FTE

Appropriation	FY 2000 Obligated		FY 2001 Enacted		FY 2002 Requested	
	$ mil	FTE	$ mil	FTE	$ mil	FTE
General Administration	5	36	4	41	6	48
Joint Automated Booking System	2	0	16	2	16	4
Narrowband Communications	98	6	205	12	105	12
Legal Activities Office Automation	23	0	19	0	19	0
TOTAL	*128*	*42*	*244*	*55*	*146*	*64*

Skills

Program management and system engineering skills as well as network management, Internet, and security skills are needed in all Department components. IT staff must demonstrate expertise in current and emerging technologies and be capable of preparing business justifications and managing technology development and maintenance.

Information **Technology**

Computer laboratories must be funded and maintained to evaluate new technologies and products before wide-scale deployment. Help desk and operations staff will provide support services to ensure availability of office automation technologies to all users. There is increasing use of web technology for information access and dissemination.

7.3A   Ensure IT investments are cost effective and meet programmatic and customer needs.

Background/ Program Objectives:
Under the direction of the DOJ Chief Information Officer, the Department provides leadership and policy direction to IT programs in over 30 component organizations with widely divergent missions and funding. Cost-effective maintenance of current technology and timely adoption of new technology across the Department increasingly requires coordinated management of technical, budgetary, and programmatic issues that impact IT investment.

In FY 2002, we will continue to invest in an IT management framework built around a capital programming process closely aligned to an enterprise architecture. We believe that this approach will assure that component organizations have the technical and management information needed to achieve departmental goals for electronic government without sacrificing important security protections when exchanging information within the Department, with other government agencies, the private sector, and the public.

FY 2000 Actual Performance:
Performance Measure: Percent of Justice Consolidated Network II (JCONII) Desktops Deployed to Staff
        Target: 34%   *Actual:* 34%
        Discussion: The continued deployment of JCON desktops to staff in the senior management offices and litigating divisions proceeded on schedule in FY 2000 including the necessary expansion of system administration and help desk services.
        Public Benefit: Standardizing desktop services contributes to employee productivity through simplified procedures and reduced training time as well as reducing system administration costs.

Performance Measure: Percent of total information bandwidth transitioned to Justice Consolidated Network (JCN)
        Target: 90%   *Actual:* 27%
        Discussion: Since the submission of the FY 2001 Plan, the original bandwidth requirements have approximately doubled for JCN, primarily due to the scope of the FBI's new Trilogy program. In addition, the JCN implementation schedule has been compromised by delays in funding approval for Trilogy, delays in the rollout of DEA's Firebird system, and delays in conversion by the U.S. Marshal's Service.   Based on the newly defined bandwidth requirements, we have extended the transition period by one year to FY 2003 and modified the FY 2001 and FY 2002 target performance levels to reflect this extension.
        Public Benefit: A single backbone, centrally administered, will provide significantly increased capabilities for transmission of graphic data such as pictures and fingerprints, video-teleconferencing services, and faster access speeds to support the web-based IT investment.

Data Collection and Storage: Performance data for the JCON II indicator is based on contractor billings and on project management office statistics. Data for JCN is based on the revised bandwidth estimates from components.

Data Validation and Verification: Data is validated monthly as part of ongoing project management activities.

Data Limitations: If additional bandwidth is identified during the implementation, JMD will have to reassess the validity of the annual targets.

Performance Measure: IT Investment Approval Requests subject to IT Board Assessment Criteria - Discontinued Measure

> **Target:** 40   **Actual:** 8

> **Discussion:** In FY 1997, the DOJ established a departmental investment management process and IT Investment Board headed by the Deputy Attorney General and composed of the head or principal deputy from law enforcement, legal, and administrative components and the senior management offices. In FY 2000, the plan to expand the scope to 40 investment approval requests was deferred in favor of a complete re-assessment of the current process and the number of projects subject to review was limited to 8 high profile, major investments. A new performance indicator, "Major IT Investment Portfolio Systems Achieving 90% of Cost and Schedule Goals," is in place for FY 2002.

> **Public Benefit:** Improvements in IT investment management will assure that technology investments are appropriately aligned to policy and program goals and managed to meet targeted cost and schedule goals and ensure public funds are expended wisely.

> **FY 2001 Performance Plan Evaluation:** In FY 2001, the Department will establish the baseline data for two new FY 2002 performance measures in the areas of IT investment and customer satisfaction with JCON II. We will continue to implement the JCN across all components and expect to meet the revised target performance of 42% conversion by the end of FY 2001. The JCON II deployment is proceeding on schedule in FY 2001 with standard desktop deployments to U.S. Attorneys offices around the country. In addition, the Department will continue throughout FY 2001 to build an enterprise architecture incorporating both business and technical information technology views.

Strategies and Initiatives to Achieve the FY 2002 Goal:
The IT capital programming process assures that major investments in IT contribute to departmental goals and objectives, satisfy budget and procurement requirements, comply with the architecture, and provide the necessary baseline data for management of IT projects and operation of IT systems. In FY 2002, we will streamline the investment review processes that foster cross-cutting program initiatives and hold DOJ component organizations accountable for decision-making. In FY 2001, we expect to formally appoint CIOs in the largest components. Our target for FY 2002 is to ensure that 75% of the major information systems in our departmental IT investment portfolio will achieve 90% of baseline cost and schedule goals without compromising the performance goals of the acquisition or operational system.

Data Collection and Storage: Performance data for the JCON II indicator is based on contractor billings and on project management office statistics. Data for JCN is based on the existing bandwidth identified during the JCN requirement analysis.

Data Validation and Verification: Data is validated monthly as part of ongoing project management activities.

Data Limitations: Performance data for JCN is based on the existing bandwidth identified during the JCN requirement analysis. If additional bandwidth is identified during the implementation, JMD will have to re-asses the validity of the annual targets.

Data Collection and Storage: Performance data for this indicator will be drawn from the A-11 Exhibit 300 B which is submitted to OMB annually as part of the budget.

Data Validation and Verification: Data is reviewed by component and departmental managers.

Data Limitations: Potential comparability issues across components.

An important measure of our success is how well newly deployed major information systems meet programmatic needs and the expectations of our customers. The JCON II, which connects over 20% of department staff, will become fully operational in FY 2002. User satisfaction with the JCON II services and desktop tools will directly impact how those resources are used to carry out the missions of the agency and how easily employees can exchange information with each other, other government personnel, business partners, and the public. To ensure that this investment meets programmatic and user needs at an acceptable level of satisfaction, we will pilot a JCON II customer satisfaction survey in FY 2001. In FY 2002 we will carry

out a follow-up survey with JCON II users to determine the change in satisfaction levels and identify opportunities for improvements. Our target is to increase user satisfaction with JCON II by at least 8% in FY 2002.

In addition, the Department will continue to develop and implement an enterprise architecture that will serve as a foundation for a phased and controlled migration to a secure, interoperable computer and communications environment. Connectivity, office automation, and analytical capability at the desktop are critical to expanding accessible electronic information services. No less important, the enterprise architecture will offer new opportunities for web-based computing services and cost-effective management of the DOJ infrastructure.

Data Collection and Storage: Performance data for this indicator will be drawn from the survey results.

Data Validation and Verification: Data verified and validated during the data analysis phase of the survey project.

Data Limitations: Data limitations are most likely to derive from the survey design or data collection methodology.

Crosscutting Activities:
JMD manages the JCN and JCON II projects with guidance from two boards of directors composed of component representatives. Component working groups have been actively involved in formulating recommendations to the boards of directors for both projects. The views of the CIO Council, composed of the senior Information Resource Manager in each component, are obtained prior to any major policy or resource decision.

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Background/ Program Objectives:
Trust in security of information in the custody of the Department is basic to current operations and a minimum requirement for future system deployments. The Department has revitalized its security certification accreditation program to ensure that components carry out comprehensive security planning, risk assessment, and contingency planning for all information systems. In addition, a penetration testing program was initiated two years ago to identify weaknesses, use those results to frustrate and thwart unauthorized access to our systems, and to ensure that timely corrective action is taken by the system owner(s).

FY 2000 Actual Performance:
Performance Measure: % of Information Systems Certified and Accredited by the Component
   Target: 100% of mission critical systems in the five Bureaus   *Actual:* 28%
   Discussion: The certification and accreditation of systems proceeded slowly and we did not meet our FY 2000 goal. However, we worked to put the program back on track with a one year extension, established revised goals for FY 2001 and FY 2002, and contracted with an independent reviewer to provide independent verification and validation services as needed to ensure the quality as well as the timeliness of the component certifications.
   Public Benefit: This program is central to assuring the public's trust that information and IT systems in the Department of Justice are adequately protected against unauthorized access and use.
   FY 2001 Performance Plan Evaluation: In FY 2001, the Department's security focus is on meeting an ongoing requirement to certify and accredit our networks and systems. Recognizing that this requirement is an identified management issue, we believe that the management structure, attention, and resources are in place to complete our efforts on mission critical systems as well as achieve our target goal in FY 2001 and full compliance by components in FY 2002.

Strategies and Initiatives to Achieve the FY 2002 Goal:
Increased access to interconnected systems demands vigilance across components to ensure the security of our computer systems and network infrastructure – even systems that are fully certified and accredited by the component head may be vulnerable to attack in today's world. As web-based access to information and interactive information systems becomes more common across the Department, we will continually assess the vulnerability of our systems to unauthorized access. In FY 2001, our ongoing "penetration" testing program will target selected networks and systems for testing and provide the findings and recommendations to components. In FY 2002, we will retest selected networks and systems to determine if the recommended corrective actions have been taken by the component and if these actions have produce the expected result. Through this two-prong approach, we expect to reduce the average percent of "High Risk" findings by 10% in FY 2002.

Data Collection and Storage: Performance data for this component certifications and accreditation indicator is based on project oversight statistics. The performance data is maintained and updated in a central database.

Data Validation and Verification: Project oversight statistics are based on component self-reporting. An outside contractor will ensure the certification results through independent verification and validation.

Data Limitations: DOJ is revalidating the universe of systems to ensure comprehensive coverage of the certifications and accreditation project. Consequently, the FY 1999 percent reported on the accompanying chart may be based on an overlapping, but slightly different universe of systems.

Data Collection and Storage: Data is collected and stored as part of the testing protocols.

Data Validation and Verification: Data is reviewed by component technical and management staff before it is finalized.

Data Limitations: Potential comparability issues across years.

Crosscutting Activities:

The Information Technology Security Officers Working Group made up of component security staff meets monthly to address security issues of common concern in the areas of security policy and operations, technical issues, and security awareness.

Background/ Program Objectives:
The technology for e-government is here and the demand for e-government services is growing much faster than the demand for traditional IT products and services. Internet access through interconnected systems makes possible electronic dissemination of information, electronic access to products and services, and on-line business transactions. At the same time, during this transition period, we must ensure that the services offered online are appropriate to the needs of citizens and business users. For example, we cannot bypass the needs of users who are geographically isolated from technology, have language or educational barriers to using the services offered electronically, or face financial hardship in securing necessary hardware, software, or communications services.

We believe that our Government Paperwork Elimination Act (GPEA) Plan is a realistic assessment of the Department business functions involving the public that can be converted to electronic operations over the next several years. It includes the following initiatives.

- The Drug Enforcement Administration's (DEA) Office of Diversion Control plans to eliminate the paperwork burden imposed on the regulated pharmaceutical and chemical industries. In 2001, DEA will begin to make re-registration with DEA an electronic option for these industries. In 2002, physicians and pharmacies will be able to electronically exchange controlled substance prescriptions, and the drug industry, including manufacturers, wholesale distributors and pharmacies, will be able to electronically process controlled substance orders and subsequently report them to DEA.
- The Bureau of Prisons will provide a fully electronic option for its inmate locator service consistent with applicable privacy and other legal requirements.
- The Federal Bureau of Investigation will enable city, county, state and federal law enforcement agencies to provide information for the Uniform Crime Reporting Program electronically.
- The Executive Office for United States Attorneys is developing the Victim Notification System to provide information electronically to victims of federal crimes.

Strategies and Initiatives to Achieve the FY 2002 Goal:
In early FY 2001, we published the final GPEA plan, which requires all federal agencies to provide the public an option for electronic transactions and the use of electronic signatures where practicable. This plan, inclusive of all component organizations, contains a prioritized schedule for accomplishing the planned transition to a paperless environment by the end of fiscal year 2003. Relying on this plan as a baseline for moving the Department toward doing business electronically as a standard practice, we will measure the percent of information collections under the Paperwork Reduction Act (PRA) that are converted to electronic format on or before the scheduled FY 2002 completion date. This approach allows us to focus initially on decreasing the public's paperwork burden while we expand the use of web-enabled systems and ensure that DOJ employees who need the Internet to collect and disseminate information electronically are provided with access at the desktop.

Data Collection and Storage: Data will be collected and stored centrally and consolidated annually for this report.

Data Validation and Verification: Data will be reviewed at the component and department level.

Data Limitations: As this tracking requirement is new, there may be initial data limitations, as well as potential comparability issues across components.

Crosscutting Activities:
The development and implementation of the GPEA plan is a collaborative effort between the litigating divisions, the Justice Management Division and other component organizations. This significant level of crosscutting activity is due to the range of legal, privacy, political and technical issues that will have to be addressed over the next three years to meet the challenge of shifting from primarily paper-based transactions with other government agencies and the public to primarily electronic transactions; while continuing to provide adequate levels of

privacy, security and access to all including individuals with disabilities.

Annual Goal 7.4: Increase hiring and retention in key positions, the quality of new hires, and employee satisfaction.

STRATEGIES

Continue to meet the needs and expectations of Department of Justice employees by providing opportunities for training and career development, offering a range of worklife options, fostering diversity, and other means. Develop and implement a plan of action to insure critical skills needs are met.

Current assessment of recruitment and retention issues in the Department indicates that recent efforts to attract and retain qualified Border Patrol Agents have been successful.

As a result of initiatives implemented in FY 2000, the INS has been able to overcome difficulties in hiring Border Patrol Agents. Through the use of 200 trained Border Patrol Agents, an ad campaign, hiring bonuses, and reducing the length of the pre-employment process, INS attracted over 91,000 qualified applicants. As a result, the hiring register was closed on October 26, 2000, to allow INS to process the applicants. We anticipate opening the register three times a year, with the next open period projected in April 2001.

The Department will also focus on increasing the quality of new hires. Since the Department has lost top candidates to other organizations due to a lengthy recruitment process, we will focus our efforts to reduce the time by two weeks. The Department will develop an Internet recruitment tool. This will expand the focus from component specific to Department-wide. This recruitment tool is designed to be especially attractive to those in the IT field, providing information on top DOJ IT projects at the FBI, DEA, etc. It will also have general applications to anyone interested in other employment opportunities. Additionally, the information will be transferable to CD-ROM and brochures for other recruitment efforts, such as job fairs. Also in FY 2002, the Department will survey employees on select key areas.

MEANS – Annual Goal 7.4

Dollars/FTE

Appropriation	FY 2000 Obligated		FY 2001 Enacted		FY 2002 Requested	
	$ mil	FTE	$ mil	FTE	$ mil	FTE
General Administration	54	481	48	424	50	424
Working Capital Fund	0	623	0	723	0	723
TOTAL	*54*	*1104*	*48*	*1147*	*50*	*1147*

Skills

Personnel skilled in recruitment are needed as well as analysts. Personnel involved in reviews and studies attempting to identify opportunities for streamlining and delayering should be competent in business process re-engineering principles and practices, organizational theory, work process flow analysis, group dynamics, work teams and existing personnel rules and regulations.

Information Technology

INS relies upon the National Payroll Center, a centralized processing center where INS employee payroll is processed. JMD will rely on the National Finance Center, the payroll/personnel system for

7.4A   Increase Hiring and Retention in Key Positions (Management Challenge)

Background/ Program Objectives:
The OIG identified human capital as one the ten most serious management challenges facing DOJ. Attracting and retaining information technology professionals, INS Border Patrol agents, and BOP correctional officers and staff was specifically mentioned.

The most recent data on attrition in informational technology (IT) positions within the Department of Justice (DOJ) has shown attrition hovering around the top of the normal attrition rates for Federal positions (8 percent). Effective January 14, 2000, special pay rates went into effect for IT occupations assigned to GS-5/7/9/11/12 positions in the following General Schedule series: GS-334 (Computer Specialist), GS-854 (Computer Engineer), and GS-1550 (Computer Scientist). The pay increases range from 3 to 33 percent, and vary by geographic "cluster" and grade level. These pay increases are predicted to decrease attrition rates (which are reported to be much higher in other parts of the Federal government than in the DOJ) as well as make us far more competitive when recruiting new IT employees. As we are within the normal range for attrition and expect additional improvement, there is no targeted performance indicator; rather, we will continue to monitor our performance making sure that recruitment and retention remains within acceptable levels.

We have given priority attention to the recruitment of Border Patrol Agents and have been quite successful. INS will continue improvements in this area through the implementation of the following five initiatives: (1) increase the Internet recruiting system that involves twelve different sites; (2) establish overseas testing involving military bases around the world; (3) develop the capacity to conduct walk-in testing or mobile testing; (4) revise the compressed testing process to allow on-site drug testing; and (5) initiate an integrity interview and full field investigation prior to the oral board. By utilizing the Internet and conducting walk-in testing, valuable staff hours and resources will be saved. In addition, through the implementation of an integrity interview process, $2,700 per applicant will be saved by the early identification of non-qualifying recruits.

In addition, BOP constantly monitors inmate to correctional staff ratios to ensure adequate numbers of correctional staff are available for existing facilities and planned expansion.   Adequate staffing levels are maintained through a strong emphasis on effective recruitment, affirmative action initiatives, equality of developmental opportunities for staff, training opportunities, employee benefits, and succession planning. BOP also monitors vacancies for all disciplines to ensure that sufficient pools of qualified staff are available to fill vacant positions.

FY 2000 Actual Performance:
Performance Measure: Border Patrol Agents On-Board
       Target: 9,377   *Actual:* 9,181
       Discussion: Although we did not reach the target, extensive effort placed on hiring in FY 2000 resulted in 830 new Border Patrol Agents coming on board in FY 2000. The INS set records in FY 2000 for the number of qualified applicants and the number passing the required test.   For the full year, over 90,000 qualified applicants signed up to take the Border Patrol exam, an increase of 73% over FY 1999.
       Public Benefit: The ability of the INS to hire up to the full complement of Border Patrol Agents (and other

Data Collection and Storage: Data is collected by the National Payroll Center in a centralized processing center where INS employee payroll is processed.

Data Validation and Verification: To measure the number of agents on-board, INS produces a monthly INS training report categorized by pay periods during the FY. The total number of agents on-board are aggregated each pay period and reported by the Office of Human Resources and Budget. The data is reconciled each pay period through payroll data at the National Payroll Center to ensure consistency.

Data Limitations: None known at this time.

occupations) that are authorized and funded by Congress means that the mission of the INS can expand as intended.

FY 2001 Performance Plan Evaluation: Based on program performance in FY 2000, we expect to achieve the corresponding goal in FY 2001.

Performance Measure: New BOP Correctional Staff On-Board [BOP]

      Target: Not projected – New measure

      Actual: 3,221

      Discussion: The actual number of new hires was required to staff the new institutions during FY 2000, as well as to maintain a balance through attrition. Approximately 70% of the correctional staff are Correctional Officers.

      Public Benefit: The Federal Bureau of Prisons employs qualified personnel to carry out its mission to confine inmates in correctional institutions and community-based facilities that are safe, humane, secure, and provides work and other opportunities for self-improvement to assist offenders in becoming law-abiding citizens. We recognize the advantage of maintaining a staff complement that is not only representative of the inmate population, but also reflective of our society as a whole.

      FY 2001 Performance Plan Evaluation: Based on program performance in FY 2000, we expect to achieve the corresponding goal in FY 2001.

Data Collection and Storage: Personnel data is collected from the National Finance Center (NFC) database, Human Resource Management Information System (HRMIS), and from field locations reporting on a regular basis.

Data Validation and Verification: Within BOP Headquarters, staff in different divisions retrieve and verify data on a daily basis, analyze it, and formulate reports and projections.

Data Limitations: Due to the unpredictable environment in prisons and other external factors, there may often be discrepancies between projected and actual numbers contained in the performance graphs. Most plans are developed based upon historical data, new activations, past experience, and joint agency efforts to project for the future.

Strategies and Initiatives to Achieve the FY 2002 Goal:
In FY 2002, INS projects that new Border Patrol Agents will be deployed in key operational zones along the Southwest border an at Northern border sites. The National Hiring Center (NHC) will continue as the centralized processing facility for entry-level hiring for Border Patrol Agents. The NHC assumes full responsibility for the Border Patrol Registry, oral board scheduling, pre-appointment processing, entry-on-duty and attendance at the Border Patrol Academy, and the Border Patrol Reinstatement Program. Several initiatives (discussed above) are underway to increase interest in qualified applicants and shorten the hiring process.

BOP continues to take a pro-active approach to recruitment and will administer a recruitment program that focuses on increased recruitment outreach and networking with colleges, universities and other organizations. The agency continues to monitor internal and external movement in hard-to-fill and wage grade positions, to ensure the continuation of a qualified workforce. These efforts will ensure the BOP has a competent and representative workforce, meeting the organization's needs, up to and beyond FY 2002.

Crosscutting Activities:
INS coordinates with the Office of Personnel Management to maximize recruitment and retention of Border Patrol Agents.

7.4B   Streamline Organizations within the Department of Justice by Delayering Management Levels (Management Challenge)

Background/ Program Objectives:

In FY 2002, the Department will identify opportunities for eliminating unnecessary management layers within its component organizations. The Department is awaiting further guidance from OMB regarding the specific types of initiatives to be pursued, but it will begin by focusing on restructuring INS and State and local assistance programs. Results to be sought will include flatter, more efficient, and more effective programs and activities.

Strategies and Initiatives to Achieve the FY 2002 Goal:

To accomplish this objective the DOJ will demonstrate top-level support for streamlining organizations and delayering management levels within the Department. The Department will restructure INS by splitting it into two components with separate chains of command and accountability, reporting to a single policy official within the Department. One component will be structured to deal more effectively with border protection and interior enforcement, and the other will be structured to improve service functions related to all immigration applications and petitions.

The Department will consider alternatives for improving the efficiency and effectiveness of State and local assistance programs. These may include merging COPS' program and administrative offices into OJP and additional streamlining of OJP's organizational structure.

Crosscutting Activities:

This activity is largely internal to DOJ.

Delayering Milestones [JMD]	Target Date
Develop a plan to restructure INS	9/30/02
Develop a plan to restructure state and local assistance programs	9/30/02

Data Collection and Storage: Data is collected from the National Finance Center, which provides support for the Department's personnel/payroll system.

Background/ Program Objectives:

Data show that DOJ top candidates are lost to organizations that make quick, legitimate and final employment offers. It takes an average of 200 days (40% to 60% consumed by background investigations) to fill one job anywhere in the Department.   However, the human resources offices have little or no control over the investigation process.   The manual review of all of the documentation submitted by the applicant to determine the applicant's eligibility for consideration and rating those applicants against the established rating criteria is also a time consuming process. This process is the second largest consumer of the time associated with the agency's ability to make timely employment offers. Our goal will be to automate this process, thereby reducing the total processing time.

Strategies and Initiatives to Achieve the FY 2002 Goal:

The DOJ recruitment strategy is primarily aimed at reducing the cycle time and improving the ability to find and hire qualified candidates. DOJ will subscribe to an extranet provider for the use of a recruitment system that automates much of the recruitment process. It will provide for the intake, rating, ranking and referral of applicants. Each position will be dynamically built and edited in the system, and when approved for recruitment, the position vacancy will be automatically posted to a centralized web recruitment page. The system will build a custom job application based on the specific requirements of the position which applicants will complete online and submit for rating and ranking. Based on the information applicants provide, the system will automatically review all applicants as submissions are made and produce a list of qualified applicants. Applicants will be able to monitor the status of their applications online, receive e-mail notifications, and store their applications in a centralized database. This system will allow human resource staff or management to retrieve lists and supporting documents online, reducing the recruitment time to the amount of time it would take to build the position request and the required posting time.

Data Collection and Storage: Data will be collected via the Coho Casting recruitment tracking system.

Data Validation and Verification: As this is a new system, the methodology for data validation and verification has not yet been developed.

Data Limitations: This measure is limited in that it does not directly identify an increase in the quality of candidates, merely the reduction in processing time. In addition, this system does not capture Department-wide data, requiring some data to be generated manually.

Crosscutting Activities:

Coordination will be required with all DOJ components to maximize recruitment efforts when utilizing the Internet recruitment tool and streamlining background checks.

7.4C	Increase Employee Satisfaction

Background/ Program Objectives:
Since 1998, the National Partnership for Reinventing Government and the Office of Personnel Management have conducted annual employee surveys to assess employee satisfaction with working in the federal sector. The survey responses are to be used by Agencies to develop strategies to make positive changes in the way the agencies, and the Federal Government as a whole, work. These changes would also work to assist agencies in attracting and retaining the talent for which they are in competition to retain. The Department has chosen to concentrate on two of those areas. In the 2000 survey, 53% of the DOJ employees who responded to the survey question, "Has your organization streamlined the process for hiring employees?" gave unfavorable responses. In addition, 44% of DOJ employees also responded unfavorably to the statement, "Corrective actions are taken when employees do not meet performance standards."

Strategies and Initiatives to Achieve the FY 2002 Goal:
Communication with employees is key to assessing and getting their input to any strategy designed to improve employee satisfaction with their work environment. To improve communication in DOJ, we are implementing a mechanism to communicate the Employee Satisfaction results to Department of Justice employees and to solicit employee feedback. This is necessary as the surveys themselves do not tell us why the employees responded in the manner that they did. To do this, we plan to post the results on the DOJ Intranet and to send a memorandum to employees communicating the results and requesting their feedback on why they responded the way they did. The 2000 survey indicated that employees did not believe that the Department has streamlined the hiring process or dealt with poor performers. There are several initiatives underway within DOJ that address these issues. We plan to make employees aware of those initiatives by posting information including the progress on the implementation of these efforts on the DOJ Personnel Staff Homepage each quarter. In FY 2002, we will conduct a follow-up survey to determine if employee satisfaction has increased in these areas.

Data Collection and Storage: The data form the NPR and OPM survey will be used to establish the baseline. Although firm decisions have not been made it is anticipated that survey data will be collected via online mechanisms and manually analyzed.

Data Validation and Verification: Not yet determined.

Data Limitations: Data may not be representative of the total Department.

Crosscutting Activities:
DOJ component cooperation will be required for the dissemination and collection of data.