

VIII

STRATEGIC GOAL EIGHT:

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

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 Departmentwide 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 six specific material weaknesses in three general areas:

Automation Management:

Computer Security. This has been designated a material weakness since 1991. DOJ is increasingly dependent on automated information systems and their interconnections to achieve its mission. Since DOJ's computer systems and networks now collect, process, store, and transmit most of the sensitive and classified information used in almost every aspect of the Department, controls must be in place to ensure the availability, integrity, and confidentiality of this information and the reliability of DOJ's computer systems and networks.

Financial Management:

Financial Systems Compliance. (Material non-conformance) The DOJ audit report on the FY 2000 consolidated financial statements identified the INS, FBI, DEA, USMS, and the Federal Prison Industries (FPI) as not meeting federal accounting standards or systems requirements, and having material weaknesses in system controls/security. Almost every DOJ component needs to either implement a new system or is in the final phases of implementing a new system.

FPI Adherence to Accounting Standards and Financial Management System Requirements. (Material non-conformance) Although the FPI implemented Millennium in May 2000, it does not yet meet all the financial management requirements of OMB Circular A-127. System general reports require thorough review, analysis, and frequent corrections. There are weaknesses in controls over inventories and accounts receivable and in the financial statement preparation process.

DEA Adherence to Accounting Standards and Financial Management System Requirements. (Material non-conformance) DEA's system does not accurately and completely account for property and equipment; clear fund balances with the U.S. Treasury; properly perform quarterly certifications of open obligations; or charge full cost for Controlled Substance Act Registration Fees. DEA also needs to improve its financial reporting process and its automated security.

INS Deferred Revenue. (Material non-conformance) Systems and management controls used for processing applications for immigration and naturalization benefits do not ensure applications are adequately controlled or provide reliable data on the status of applications; thus, INS is not able to accurately determine deferred and earned revenue without relying on an extensive servicewide manual application count.

Organizational Structure and Management:

INS Organizational and Management Issues. In 1997 the General Accounting Office (GAO) found that the INS needed to take steps to resolve management problems, including establishing roles and

responsibilities, clarifying lines of communication, and disseminating organizational policies and guidelines. This issue is covered under DOJ Organizational Structure below.

The DOJ OIG includes the above material weaknesses in its December 2001 list of the top ten management challenges facing the Department. In addition, the OIG lists four other issues as serious management challenges in this area:

Information Systems Planning and Implementation. Many mission-critical computer systems in the Department are poorly planned; experience long delays in implementation; or do not provide timely, useful, and reliable data. In addition, the Department has spent vast sums of money developing and deploying these systems. (This issue is also addressed under Strategic Goal V.)

Grant Management. In recent years, the Department has become a grant-making agency that has disbursed billions of dollars to grantees for initiatives such as community policing, drug treatment programs, reimbursement to states for incarcerating illegal aliens, and counterterrorism preparedness. Overall, OIG reviews have found that many grantees do not submit required program monitoring and financial reports and that program officials' on-site monitoring reviews do not consistently address all grant conditions.

Performance Based Management. In a Department that has grown so rapidly over the past decade, linking credible performance measures to budget development and allocation of resources is a significant challenge. DOJ must ensure, through performance based management, that its programs are achieving their intended purposes.

DOJ Organizational Structure. Three DOJ components are addressing some long-standing organizational problems. The INS has proposed reorganizing itself into two separate but connected bureaus, one to handle enforcement of immigration laws and one to provide services and benefits to immigrants. OJP is reorganizing to reduce duplication in grant programs and improve efficiency. The FBI is reorganizing its operations and reevaluating its mission in light of the September 11 attacks and its new priority to prevent acts of terrorism. Department managers must ensure that these reorganizations accomplish their intended purposes, as well as ensure that the Department's interconnected programs and functions are not adversely impacted by the changes.

In August 2001, the White House released "The President's Management Agenda." It consists of five Governmentwide initiatives and one program initiative that affect the Department. Two of the Governmentwide initiatives, Improved Financial Performance and Budget and Performance Integration relate to material weaknesses or management challenges already described. DOJ has established goals and measures for the other three, Strategic Management of Human Capital, Competitive Sourcing, and Expanded Electronic Government, as well as for the Faith-Based and Community Initiative.

In November 2001, the Attorney General announced his top ten management priorities to meet the Department's counterterrorism mission. They are: 1) Develop Performance-Based, Mission-Focused Leadership; 2) Streamline, Eliminate or Consolidate Duplicative Functions; 3) Focus Resources on Front-Line Positions; 4) Reform the FBI; 5) Restructure the INS and the Executive Office for Immigration Review; 6) Restructure the OJP and Reform Grant Management; 7) Coordinate Internal and External Communications and Outreach; 8) Improve Departmentwide Financial Performance; 9) Strengthen Hiring, Training, and Diversity Policies; and 10) Utilize Technology to Improve Government. This Performance Plan addresses each of these under this Strategic Goal.

Performance measures related to these material weaknesses, management challenges, and Presidential and Attorney General initiatives are noted.

PROGRAM EVALUATIONS

There are no FY 2003 program evaluations planned at this time.

STRATEGIC OBJECTIVE 8.1: INTEGRITY AND PROFESSIONALISM
Promote integrity and professionalism to ensure the fair and impartial administration of justice

Annual Goal 8.1: Promote integrity and professionalism to ensure the fair and impartial administration of justice

STRATEGIES

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

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 Departmentwide.

MEANS – Annual Goal 8.1

Dollars/FTE

Appropriation	FY 2001 Actual		FY 2002 Enacted		FY 2003 Requested	
	FTE	\$ mill	FTE	\$ mill	FTE	\$ mill
General Administration	201	22	227	23	227	24
Independent Counsel	0	14	0	9	0	9
Office of the Inspector General	351	42	402	51	446	64
Office of the Pardon Attorney	14	1	15	2	15	2
Subtotal	566	\$79	644	\$85	688	\$99

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 Bibliographic 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 Division Management Tracking System consolidates biweekly and monthly reports submitted to senior management.

PERFORMANCE ASSESSMENT – Annual Goal 8.1

8.1A 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.

Performance:

Performance Measure: Investigations Closed

FY 2001 Target: 608 cases closed

FY 2001 Actual: 590 cases closed
157 substantiated

Discussion: The OIG achieved 97% of its target of 608 closed investigations, despite a reduction in staff. It received 8,484 complaints, opened 691 investigations, and closed 590. OIG agents made 162 arrests involving 73 Department employees, 76 civilians, and 12 Department contract personnel. Convictions resulted in 101 individuals receiving sentences and \$947,743 in fines, recoveries, and orders of restitution. As a result of OIG investigations, 61 employees, 24 contract employees, and one contractor received disciplinary action, including 53 terminations.

FY 2002 Performance Plan Evaluation: Based on program performance in FY 2001, the OIG expects to meet the FY 2002 target of 600 investigations. The number of substantiated cases are not targeted.

FY 2003 Performance Target: 600

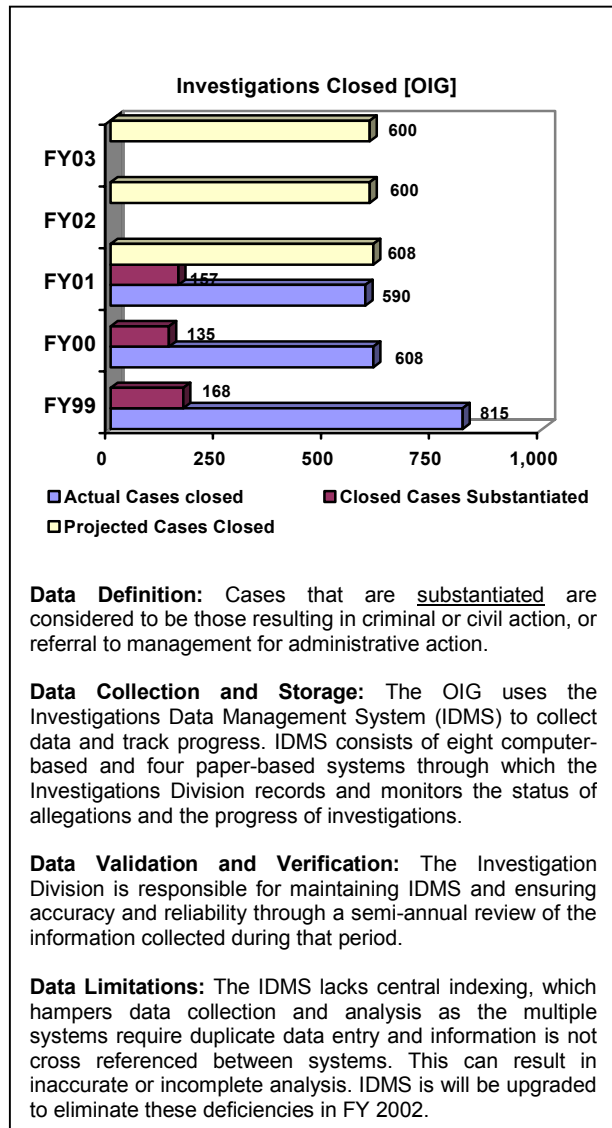
Public Benefit: Fostering public confidence in the Department's ability to maintain the highest levels of integrity and efficiency in its programs and personnel.

Strategies to Achieve the FY 2003 Goal:

The Department, through its independent OIG, will continue to support efforts to strengthen integrity in DOJ programs and operations. In FY 2003, the 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 the OIG.



8.1B Provide Professional Oversight

Background/ Program Objectives:

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 rules of professional conduct, or Department regulations or policy, and that instances of failure to comply with those standards are identified and attorneys appropriately disciplined.

Performance:

Performance Measure: Investigations of Alleged Professional Misconduct by DOJ Attorneys

FY 2001 Target: 80 investigations

FY 2001 Actual: 83 investigations

21 findings of professional misconduct

Discussion: OPR exceeded its target of investigations completed. Substantiated cases increased considerably above prior year actuals. OPR is currently in the process evaluating this data to identify any trends that warrant corrective training or other actions to ensure that the Department maintains the highest professional standards.

FY 2002 Performance Plan Evaluation:

Based on program performance in FY 2001, OPR expects to meet the FY 2002 target of 80 investigations. Professional Misconduct Found is not targeted.

FY 2003 Performance Target: 80

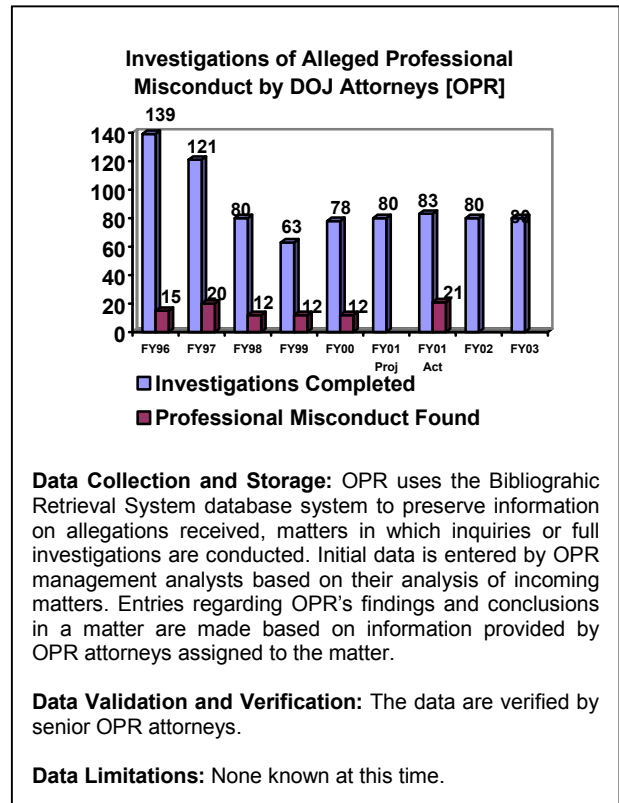
Public Benefit: By expeditiously and thoroughly executing investigations of alleged misconduct, the Department ensures public confidence in the integrity of Department attorneys and maintains peak awareness of professional standards among Department attorneys.

Strategies to Achieve the FY 2003 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. OPR's investigations ensure that matters presenting even the appearance of impropriety receive close scrutiny. 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 so that corrective training or other action can be taken to ensure that Department attorneys maintain the highest ethical standards.

Crosscutting Activities:

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



(This page intentionally blank.)

STRATEGIC OBJECTIVE 8.2 FINANCIAL MANAGEMENT

Strengthen internal financial systems and promote the efficient and effective use of resources to ensure public trust and confidence

Annual Goal 8.2: Strengthen internal financial systems and promote the efficient and effective use of resources to ensure public trust and confidence

STRATEGIES

- ◆ Ensure sound and effective financial management policies and practices.
- ◆ Implement a systematic process for selecting, controlling, and evaluating information technology investments to protect taxpayer dollars.

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.

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.

MEANS – Annual Goal 8.2

Dollars/FTE

Appropriation	FY 2001 Actual		FY 2002 Enacted		FY 2003 Requested	
	FTE	\$ mill	FTE	\$ mill	FTE	\$ mill
General Administration	39	4	44	5	44	15
Working Capital Fund	216	0	228	0	228	0
Subtotal	255	\$4	272	\$5	272	\$15

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 a 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 outsourcing must understand the elements of the work to be performed as well as cost-benefit analysis.

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 is used to determine characteristics of on-board employees.

PERFORMANCE ASSESSMENT – Annual Goal 8.2

8.2A Obtain a Department-wide Unqualified Audit Opinion and Resolve Financial Management Weaknesses (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. The Department received its first fully unqualified audit opinion on the financial statements for Fiscal Year 2001. However, the Department’s 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. Also, every DOJ component needs either to implement a new system, or is in the final phases of implementing a new system, or was in the beginning stage of acquiring a new system. Components continue to address these noncompliances and are placing 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. To facilitate achievement of the Department’s financial management goals, a unified financial system will be implemented to replace three systems currently requiring replacement and replace the other systems as new systems are required.

A reduction in weaknesses and an unqualified audit opinion 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 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.

Refined Measure:		
Opinion Earned - Financial System Material Weaknesses Resolved		
FY	Goals	Actual
2003	Unqualified Opinion - all statements Correct 6 of 12 Material Weaknesses	
2002	Unqualified Opinion - all statements Correct 1 of 13 Material Weaknesses	
2001	Unqualified Opinion - all statements Correct 1 of 15 Material Weaknesses	Unqualified Opinion – all statements Corrected 2 of 15 Material Weaknesses
2000	Unqualified Opinion - all statements Material Weaknesses - Baseline Year	Unqualified on Balance Sheet and Statement of Custodial Activity; Qualified on remaining statements 15 Material Weaknesses
<p>Data Collection and Storage: The information for the indicator is obtained from the report of the auditors of the financial statements.</p> <p>Data Validation and Verification: The information for the indicator is obtained from the report of the auditors of the financial statements.</p> <p>Data Limitations: None known at this time.</p>		

Performance:

Performance Measure: Opinion Earned -Financial System Material Weaknesses Resolved

FY 2001 Target: Unqualified Opinion - all statements and Resolve 1 Material Weakness

FY 2001 Actual: Unqualified Opinion – all statements. Three material weaknesses were corrected and the auditors reported one new Material Weakness leaving 13 Material Weaknesses remaining.

Discussion: During FY 2002, the Department received its first fully unqualified audit opinion on all six of the financial statements for FY 2001. FPI corrected one material weakness and implemented improvements that resulted in two material weaknesses being reclassified as nonmaterial. One new material weakness is being reported for the FBI.

FY 2002 Performance Plan Evaluation: We expect to achieve the FY 2002 target of achieving an unqualified opinion and resolving 1 material weakness.

FY 2003 Performance Target: Achieve an unqualified opinion and resolve 6 material weaknesses

Public Benefit: Reducing financial system weaknesses and achieving across-the-board unqualified audit opinions on 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, 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.

Strategies to Achieve the FY 2003 Goal:

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. To facilitate achievement of the Department's goal, a unified financial system will be implemented to replace three systems currently requiring replacement and replace the other systems when new systems are required. Until significant system improvements can be implemented, the Department will continue to expend additional resources in its accounting operations to compensate for system deficiencies.

The three Department components that have the most immediate need for replacement will be replaced first. This presents an ideal opportunity to work on the consolidation of these component requirements toward the ultimate replacement of the Department's multiple core financial systems with a single, commercial-off-the-shelf system agency-wide. While the remaining Department components have systems that are serviceable for the present, these systems will ultimately require replacement as technology demands refreshment.

Crosscutting Activities:

The Justice Management Division (JMD) established a working group comprised of liaisons from the Department components to assist in identifying requirements for the new Unified Financial Management System. JMD 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. 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.

8.2B Achieve Procurement Reform

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 2003, DOJ will promote the use of performance-based service contracts, 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 contractors are given freedom to determine how to meet the Government's performance objectives, appropriate performance quality levels are achieved, and payment is made only for services that meet these levels. When used appropriately, these methods should lead to more cost-effective acquisitions, better value, and greater competition. As a result, the government should experience fewer cost overruns, schedule delays, and performance problems.

The second, the Central Contractor Registration database, will be established in FY 2003. This is an online database serving as the governmentwide single point of vendor registration, the single validated source data on vendors doing business with the government.

Performance:

Performance Measure: % of Eligible Contracts Using Performance Based Contracting

FY 2001 Target: NA

FY 2001 Actual: NA

FY 2002 Performance Plan Evaluation: We expect to meet the FY 2002 performance target of 20%.

FY 2003 Performance Target: 30%

Performance Measure: % of Synopsis and Solicitations for Contracts \$25,000+ Posted Online

FY 2001 Target: NA

FY 2001 Actual: NA

FY 2002 Performance Plan Evaluation: We expect to meet the FY 2002 performance target of 100%.

FY 2003 Performance Target: NA

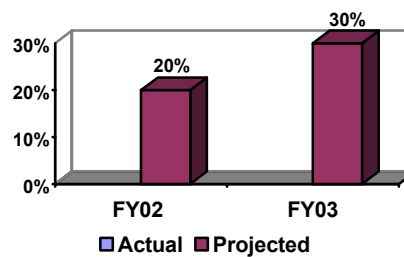
Strategies to Achieve the FY 2003 Goal:

To encourage the use of performance-based contracts, DOJ will provide information to program and contract personnel including 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 performance-based service contracts techniques. In FY 2003, DOJ will use the Central Contractor Registration as its source of data on vendors doing business with the government and will cease to collect the Standard Form 129 known as the Soliciting Mailing List Application. To expand the application of on-line procurement, we will provide instructions, guidance, and assistance to procurement offices regarding use and integration with the Central Contractor Registration.

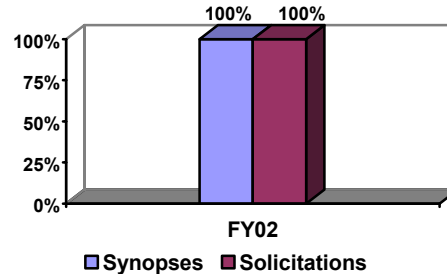
Crosscutting Activities:

This activity is largely internal to DOJ.

% of Eligible Contracts Using Performance Based Contracting [JMD]



% of Synopsis and Solicitations for Contracts \$25,000+ Posted Online [JMD]



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.

8.2C Conduct A-76 Program Competitions and Accurate FAIR Act Inventories (Management Challenge)

Background/ Program Objectives:

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.

Performance:

Performance Measure: Complete Public-Private or Direct Conversion Competitions

FY 2001 Target: NA

FY 2001 Actual: NA

FY 2002 Performance Plan Evaluation: We expect to meet the FY 2002 performance target of 5%.

FY 2003 Performance Target: 15%

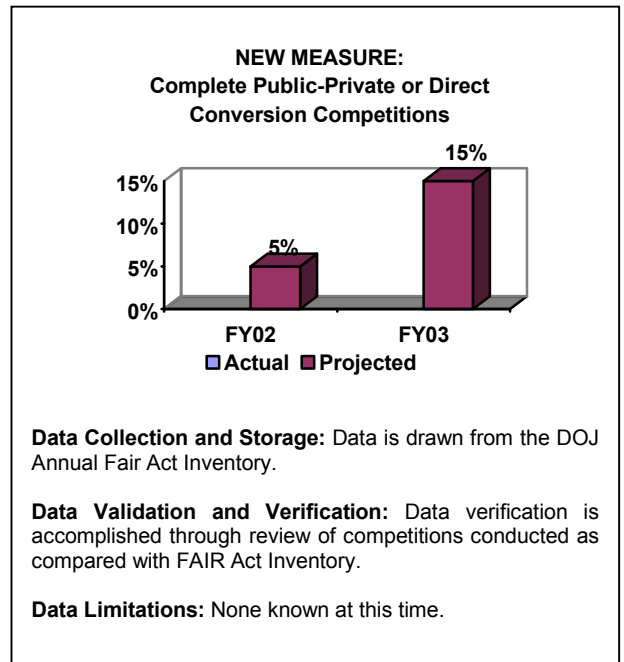
Strategies to Achieve the FY 2003 Goal:

DOJ will demonstrate top-level support for an accurate inventory of DOJ positions against the FAIR Act criteria. We will continue to provide instructions and guidance to personnel responsible for conducting FAIR Act inventories. We will also update FAIR Act inventories, 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 personnel to ensure that cost comparisons are fair and result in the best value to the government.

During FY 2003, the Department will identify an additional 10 percent of the FTE on the 2001 inventory to be studied or directly converted to contract.

Crosscutting Activities:

This activity is largely internal to DOJ.



8.2D Budget and Performance Integration (Management Challenge)

Background/ Program Objectives:

One of the Attorney General’s goals and management initiatives includes revising the Department of Justice Performance Plan to include clear, consistent performance measures that support the Department’s Strategic Plan. The Department will focus on revising its plan and on improving the linkages between resources and outputs/outcomes in budget formulation and execution. In addition, the Department will demonstrate how performance influences budget decisions.

Performance:

Performance Measure: Budget and Performance Integration

FY 2001 Target: NA – New Measure

FY 2001 Actual: NA

FY 2002 Performance Plan Evaluation: We expect to meet the FY 2002 milestones.

FY 2003 Performance Target: see table.

Strategies to Achieve the FY 2003 Goal: Senior leadership, through the Strategic Management Council developed a new Strategic Plan and streamlined the performance plan to focus on key measure of program effectiveness. With this foundation, linkages will be tightened between resources and performance. In addition, linkage will be created between individual evaluations and program and organizational performance.

Budget and Performance Integration Milestones		
FY	Goals	Actual
FY 2003	<ul style="list-style-type: none"> ▪ Select and implement a unified cost accounting system with a core requirement to charge full budgetary costs to mission accounts and activities. ▪ Complete realignment of budget Decision Units for inclusion in the FY 2004 budget. 	
FY 2002	<ul style="list-style-type: none"> ▪ Establish Quarterly Monitoring of Performance by Senior Leadership. ▪ Establish a clear link between individual performance reviews and program accomplishment. ▪ Begin realignment of budget Decision Units to support achieving program targets. ▪ Refine the budget process to ensure that program performance information is a key element in budget decisions. 	

Data Collection and Storage: Data is collected and maintained in office files.

Data Validation and Verification: Data verification is accomplished through review by senior officials in the Department, to include the Controller.

Data Limitations: None known at this time.

Representatives from program, finance, and budget offices will work together to create and integrated system of program planning, performance evaluation, linking resources directly to program activities. One key element in the successful accomplishment of that objective is the development and implementation of a unified cost accounting system. Decision units will be reviewed and realigned to support achieving program targets and the budget process will be refined to ensure that program performance information is a prominent component in decision making.

Crosscutting Activities:

This activity is largely internal to DOJ.

STRATEGIC OBJECTIVE 8.3: GRANT MANAGEMENT**Develop and maintain grant management accountability mechanisms to ensure proper dispensation and monitoring of funds****Annual Goal 8.3 Develop and maintain grant management accountability mechanisms to ensure proper dispensation and monitoring of funds****STRATEGIES**

- ◆ Standardize and streamline the grants management process.
- ◆ Reduce waste, fraud, and abuse through financial monitoring and training.
- ◆ Eliminate overpayment at the agency level and ensure a transactional audit trail for actions related to the State Criminal Alien Assistance Program.

The Office of Justice Programs (OJP) and the Office of Community Oriented Policing Services (COPS) are the primary grant-making components within the Department of Justice. Since the 1990's the Department has experienced large increases in its grant 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. Comprehensive grant management and monitoring is essential to ensure the proper

administration of programs and reduce the opportunity for fraud, waste and abuse of Departmental funds. During FY 2000, OJP began electronically certifying awards through the Grants Management System, consistent with Public Law 106-107, the federal Financial Assistance Management Improvement Act of 1999, to ease public access to Federal grant programs and reduce the flow of paper award packages. The Department will strengthen accountability mechanisms through the continued improvements to the automated Grants Management System and continue to ensure proper disbursement and monitoring of funds through audits, training, site visits, and technical assistance.

MEANS – Annual Goal 8.3**Dollars/FTE**

Appropriation	FY 2001 Actual		FY 2002 Enacted		FY 2003 Requested	
	FTE	\$ mill	FTE	\$ mill	FTE	\$ mill
Community Oriented Policing Services	46	8	50	7	50	6
Office of Justice Programs	36	28	36	31	31	32
Subtotal	82	\$36	86	\$38	81	\$38

Skills

This strategic objective requires the skills of accountants, financial, budget, program, management, and system analysts

Information Technology

OJP's Integrated Financial Management Information System (IFMIS) is the official system of record for all OJP funding, commitments, obligations, expenditures, and payments OJP's Grant Management System (GMS) and IFMIS enable end-to-end Internet based grant application, award, and payment for the Local Law Enforcement Block Grant (LLEBG) and State Criminal Alien Assistance Program (SCAAP).

The COPS Office uses its COPS Management System (CMS) to track grants from application receipt to closeout. This system includes the Issue Resolution Module, which tracks compliance issues from discovery to resolution, and the Audit Management System, which tracks audit milestones from inception through closure. In FY 2002, the COPS Office will migrate to the new Financial Management Information Systems 2 (FMIS 2).

PERFORMANCE ASSESSMENT – Annual Goal 8.3

8.3A Achieve Effective Grant Management (Management Challenge)

Background/ Program Objectives:

The Department has been moving toward implementation of an automated Grants Management System (GMS) since FY 1999. Although still in its initial implementation stage, when fully operational, this system will allow the Department to fully administer all grants through a centralized, paperless system and electronically processing and tracking grants from application to closeout. This will allow grantees to receive and submit applications and receive awards electronically and reduce the paperwork required by grantees and standardize the process within program offices. In addition, GMS will assist in setting priorities for program monitoring and facilitate timely program and financial reports from grantees.

Each year, the Office of Justice Programs develops a risk-based monitoring plan that considers inherent programmatic and recipient risks, including the amount of funding at risk, known problems, special requests and a random sample of active awards. OJP currently initiates financial monitoring (covering both OJP and COPS grant programs) and has achieved a reputation for having few reportable problems. 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. Financial monitoring 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's staff provides technical assistance on the recommendations made until all recommendations have been implemented. Once it has been determined that the grantee has sufficiently addressed all issues, the review is officially closed in writing.

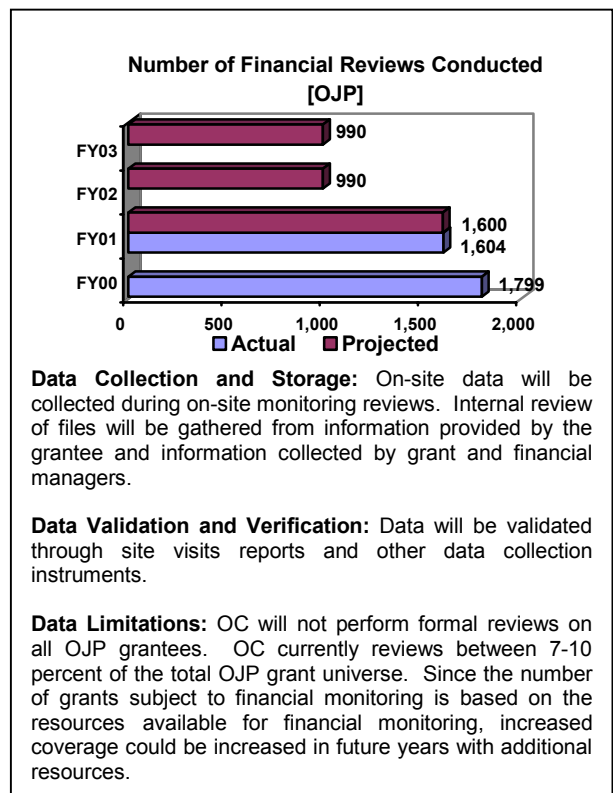
The COPS monitoring program has several elements, which allows COPS to assess how grantees are using federal funds, determine to what extent grantees are implementing community policing, and identify potential compliance issues. COPS develops and then shares its site visit monitoring plan with the Office of the Inspector General (OIG), which also selects a number of COPS grantees for review. Site visits yield detailed documentation of how COPS funds are being used, allow COPS to observe the implementation of COPS grants, and reveal the level to which individual jurisdictions have adopted the community policing philosophy in field activities. The agency complements site visits with office-based grant reviews, which begin with an internal review of grant documentation followed by direct contact with the grantee and the collection of additional and/or supporting documentation demonstrating compliance with grant requirements. The COPS Office has centralized its compliance resolution process and developed the Issue Resolution Module, a COPS-wide automated system that allows for the identification and status tracking of specific grantee issues.

Performance:

Performance Measure: Number of Financial Reviews Conducted [OJP]

FY 2001 Target: 1,600

FY 2001 Actual: 1,604



Discussion: The FY 2001 target was exceeded due to the following: (1) an annual financial monitoring plan, with monthly targets, that addressed agency risk factors was developed; (2) staff was systematically assigned to conduct financial monitoring, in coordination with program offices, according to the plan; (3) full-time staff was devoted to conducting financial monitoring; and (4) actual monitoring performance was compared against targeted numbers monthly.

FY 2002 Performance Plan Evaluation: We are revising the FY 2002 target to 990 financial reviews due to the fact that travel time has increased significantly due to additional security at airports. More time traveling results in less time available for monitoring. Also, current staffing levels are below the previous year levels due to vacancies that cannot be filled as a result of an OJP-wide hiring freeze. Should the freeze be lifted in FY 2002, it is possible that additional reviews can/will be conducted.

FY 2003 Performance Target: 990

Performance Measure: Measure Refined: % of Grants Administered Through a Centralized Paperless System (OJP Bureau and Program Offices) [OJP]

FY 2001 Target: NA – Measure Revised

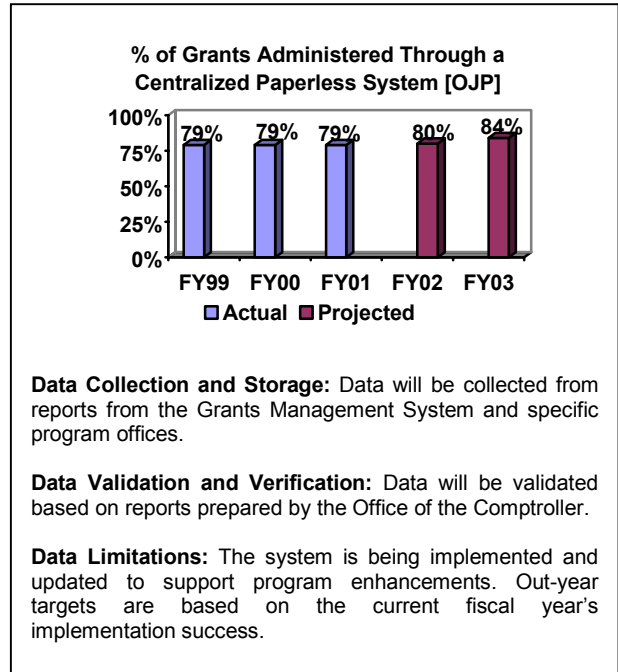
FY 2001 Actual: 79%

Discussion: In FY 2001, OJP required that program office solicitations (Weed and Seed, Violence Against Women, Drug Court Program, Domestic Preparedness, and the Bureau of Justice Assistance Gun Solicitation) be posted and managed through the Grants Management System. Additionally, this measure includes grants processed for the Local Law Enforcement Block Grants, the State Criminal Alien Assistance Program, as well as the Bullet Proof Vest program.

FY 2002 Performance Plan Evaluation Based on FY 2001 performance, we expect to meet the FY 2002 performance target to 80%.

FY 2003 Performance Target: 84%

Public Benefit: When fully operational, this system will reduce the paperwork burden of grantees and allow a single, auditable, easily accessible, electronic, standardized paperless system for grant applications.



Strategies to Achieve the FY 2003 Goal:

In FY 2003, we will continue to demonstrate continued progress towards full implementation of the Grants Management System as a way of standardizing and streamlining the grant processes.

Crosscutting Activities:

The Office of the Comptroller works with internal program offices as well as with the General Accounting Office and the OIG.

STRATEGIC OBJECTIVE 8.4: INFORMATION TECHNOLOGY**Improve the integrity and security of computer systems and make more effective use of information technology****Annual Goal 8.4: Improve the integrity and security of computer systems and make more effective use of information technology****STRATEGIES**

- ◆ Enhance the security and reliability of information systems to ensure systems are available to support core mission functions.
- ◆ 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.

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 8.4**Dollars/FTE**

Appropriation	FY 2001 Actual		FY 2002 Enacted		FY 2003 Requested	
	FTE	\$ mill	FTE	\$ mill	FTE	\$ mill
General Administration	37	5	35	4	35	5
Working Capital Fund	284	0	306	0	306	0
Joint Automated Booking System	3	4	4	1	9	24
Legal Activities Office Automation	0	15	0	16	0	16
Narrowband Communications	7	107	12	94	12	149
Subtotal	331	\$131	357	\$115	362	\$194

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.

PERFORMANCE ASSESSMENT – Annual Goal 8.4

8.4A Ensure IT investments are cost effective and meet programmatic and customer needs (Management Challenge)

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.

Given the critical role that the Department's mission-critical computer systems play in our operational and administration programs – not to mention the vast sums of money spent on developing and deploying these systems – information systems planning and implementation remains a key priority for the Department. In FY 2001, we issued an information technology investment management policy and guide that established a sound disciplined management process that guide information systems planning and implementation. We are currently revising the system development life cycle methodology to align with the information technology investment management process. The process ensures that long-range planning and a disciplined budget decision-making approach is the foundation for managing information technology portfolios of assets to meet performance goals and objectives with minimal risk, lowered life-cycled costs and results in greater benefits to the Department's overall business needs.

Performance:

Performance Measure: DOJ IT Investments Managed Through the Approved ITIM Processes (Former Title: Major IT Investment Portfolio Systems Achieving 90% of Cost and Schedule Goals)

FY 2001 Target: NA

Discussion: NA

FY 2002 Performance Plan Evaluation: The FY 2002 target has been revised to 50%.

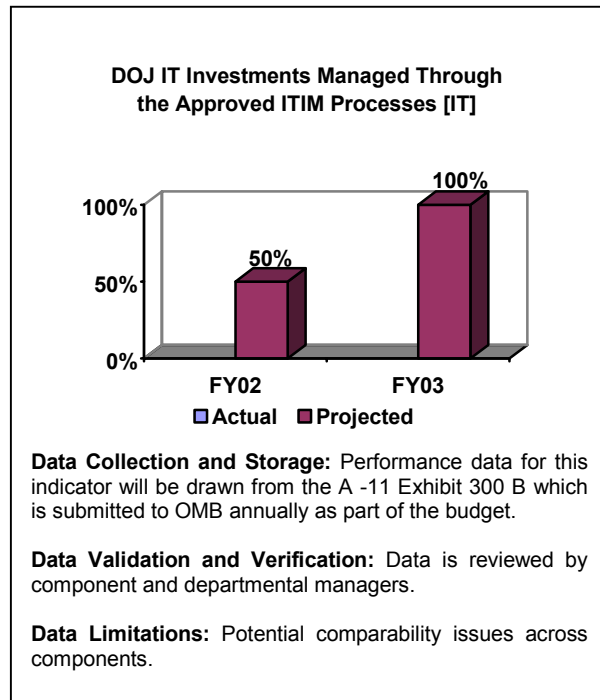
FY 2003 Performance Target: 100%

Public Benefit: Improvement 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.

Strategies to Achieve the FY 2003 Goal:

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.

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 objective is to ensure the major information systems in our departmental IT investment portfolio will be managed under an approved capital planning or IT investment



management process. Investment management process functioning as part of DOJ component IT management will ensure cost effective systems.

Crosscutting Activities:

The views of the Chief Information Officer Council, composed of the senior Information Resource Manager in each component, are obtained prior to any major policy or resource decision.

8.4B Ensure Information Technology Security (Management Challenge)

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 to specific systems and networks. JMD ensures timely corrective action is taken by system owners to thwart unauthorized access to our systems.

The Department acknowledges the need to improve its information technology (IT) security program. Although progress has been made, much more needs to be done. To this end, the Department has submitted the required critical infrastructure protection plan, issued a new IT Security Policy, continues to verify and accredit our systems, and has integrated IT security into the capital planning and investment controls process. Specifically, the Department will: (1) continue to conduct an aggressive program of penetration tests and independent assessments and to carefully follow-up on the results, (2) continue to certify and accredit systems and monitor corrective action plans to address the vulnerabilities of these systems, (3) develop remedial action plans for identifying vulnerabilities, and (4) reevaluate and assess the Departments' critical infrastructure and planning initiatives based upon the recent events of September 11, 2001.

Performance:

Performance Measure: % of Information Systems Certified and Accredited by the Component

FY 2001 Target: 100%

FY 2001 Actual: 83%

Discussion: The target was not met due to resource constraints in two bureaus. IT security will remain an explicit element of all DOJ IT planning and management security activities. The Department continues to carefully monitor the identification and implementation of corrective actions to address deficiencies identified in penetration testing and compliance reviews. This performance will ensure the effectiveness of the overall security program at the Department and/or component level.

FY 2002 Performance Plan Evaluation: Based on FY 2001 performance, we have decreased the corresponding FY 2002 to 90%.

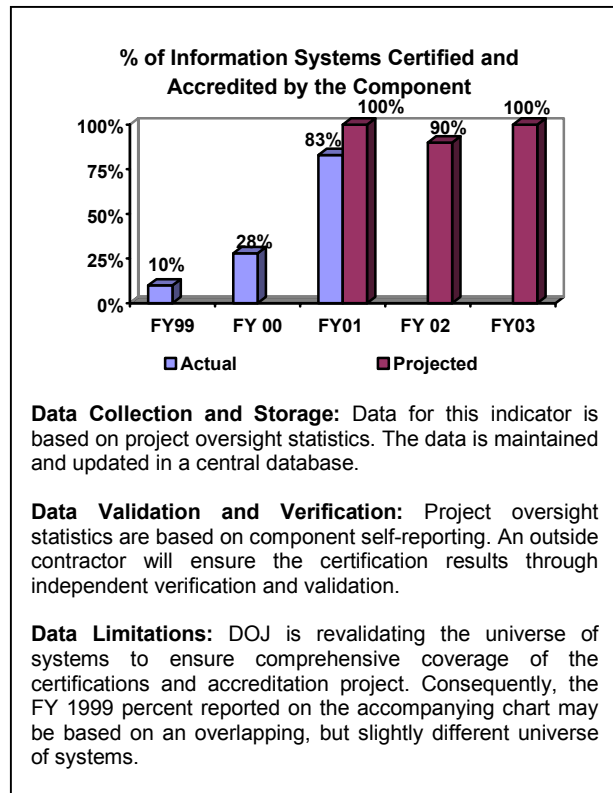
FY 2003 Performance Target: 100%

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.

Performance Measure: NOTE: % Reduction in High Risk Findings has been replaced with the New Measure: % of Major Systems with Tested Contingency Plan due to strategy changes in the Department

FY 2001 Target: No targets established.

Discussion: By establishing a performance measure in this area of IT security, the Department will ensure all IT systems have contingency/disaster recovery plans established. Backup storage sites and alternate sites are geographically removed from primary sites to physically protect information and provide the need for recoverability during disruptions or catastrophic events.



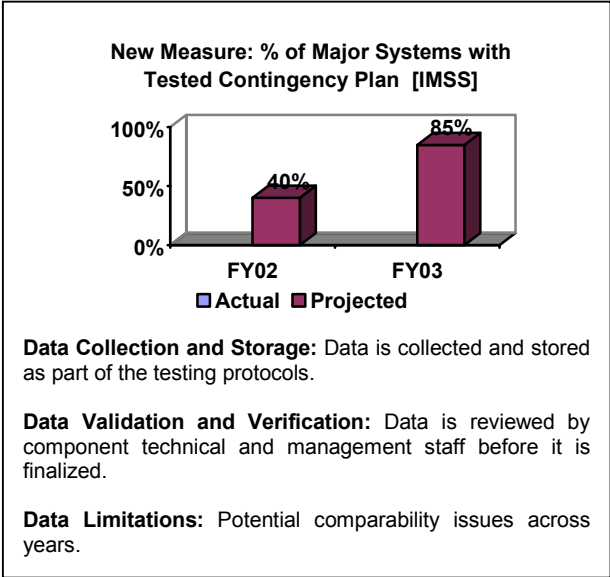
FY 2002 Performance Plan Evaluation: We expect to meet the FY 2002 target of 40% of major systems with tested contingency plans.

FY 2003 Performance Target: 85%

Public Benefit: Systems in place with tested contingency plans are much more likely to react quickly and positively to interruptions caused by natural events or deliberate attempts to disrupt service.

Strategies to Achieve the FY 2003 Goal:

The events of September 11, 2001 changed the nature of cyber threats, and the subsequent developments in the area of homeland security are making significant changes in the way security planning and implementation are done across the government and private sectors. We must look very closely at issues such as whether a contingency plan addressing a relatively minor disruption in service would be adequate in the event of catastrophic events. The Department will continue to make certification and accreditation the keystone of its security program. New guidelines will be issued to insure the utility of the certification and accreditation process and instill greater accountability. There will be an emphasis on developing corrective action plans and tracking their implementation. The Department will also continue to conduct penetration testing and to follow up on the findings and recommendations provided. Special emphasis will be placed on contingency plans during review and validation of certification packages. Review of packages will ensure that plans are comprehensive and that they have been thoroughly tested.



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.

8.4C Expand Electronic Access and Dissemination of Department Information (Management Challenge)

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.

Performance:

Performance Measure: % of Information Collections Under the Paper Reduction Act (PRA) Converted to Electronic Format [IMSS]

NOTE: Data has been modified to reflect the current inventory and projections for conversion.

FY 2001 Target: 37%

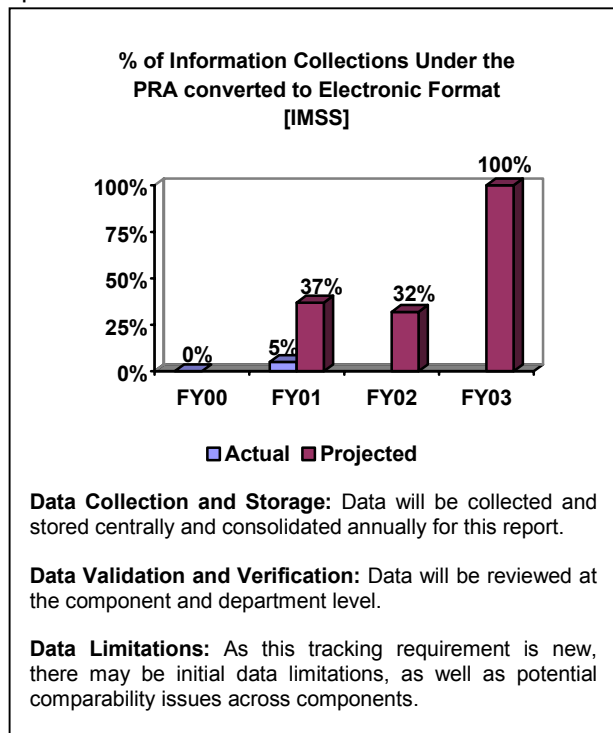
FY 2001 Actual: 5%

Discussion: Although the total number of PRA collections was 266, based on the FY 2001 budget priorities and realignment of IT systems that support them, we did not meet our target. We plan to revise component GPEA plans to align with the GPEA implementation goal for October 2003.

FY 2002 Performance Plan Evaluation: Based on FY 2001 performance and the strategic goal alignment in response to the September 11, 2001 terrorist attacks, we have revised our FY 2002 target downward to 32%.

FY 2003 Performance Target: Although the requirement for GPEA implementation is to be 100% complete in FY 2003, our current projection is 40%.

Public Benefit: The public benefits of converting information collections to an electronic format include minimizing the federal paperwork burden for individuals, small businesses, educational and nonprofit institutions, federal contractors, state, local and tribal governments, and others outside the Federal



Government. It also maximizes the utility to the public of information created, collected, maintained, used, shared and disseminated by or for the Federal Government.

Strategies to Achieve the FY 2003 Goal:

The DOJ GPEA Plan contains a prioritized schedule for accomplishing the planned transition to a paperless environment. 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 that are converted to electronic format on or before the scheduled completion date. The Department will continue to monitor this effort and make adjustments for the outlying years.

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.

STRATEGIC OBJECTIVE 8.5: HUMAN RESOURCES

Strengthen human resource recruitment, and retention and performance to ensure a workforce that is skilled, diverse and committed to excellence

Annual Goal 8.5: Strengthen human resource recruitment, and retention and performance to ensure a workforce that is skilled, diverse and committed to excellence

STRATEGIES

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

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 trained Border Patrol Agents, an advertising 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.

MEANS – Annual Goal 8.5

Dollars/FTE

Appropriation	FY 2001 Actual		FY 2002 Enacted		FY 2003 Requested	
	FTE	\$ mill	FTE	\$ mill	FTE	\$ mill
General Administration	390	50	419	50	438	54
Working Capital Fund	126	0	189	0	189	0
Subtotal	516	50	608	50	627	54
TOTAL	124,174	\$24,754	135,770	\$27,849	141,276	\$26,950

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 the Department, to access information needed to assess workforce-related issues.

PERFORMANCE ASSESSMENT – Annual Goal 8.5

8.5A Increase Hiring and Retention in Key Positions (Management Challenge)

Background/ Program Objectives:

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. Valuable staff hours and resources will be saved by utilizing the Internet and walk-in testing.

Performance:

Performance Measure: Border Patrol Agents On-Board

FY 2001 Target: 9,807

FY 2001 Actual: 9,859

Discussion: INS exceeded the target for Border Patrol Agents on-board.

FY 2002 Performance Plan Evaluation: Based on program performance in FY 2001, we expect to meet the FY 2002 target of 10,377 border patrol agents on-board.

FY 2003 Performance Target: 10,974 agents on-board

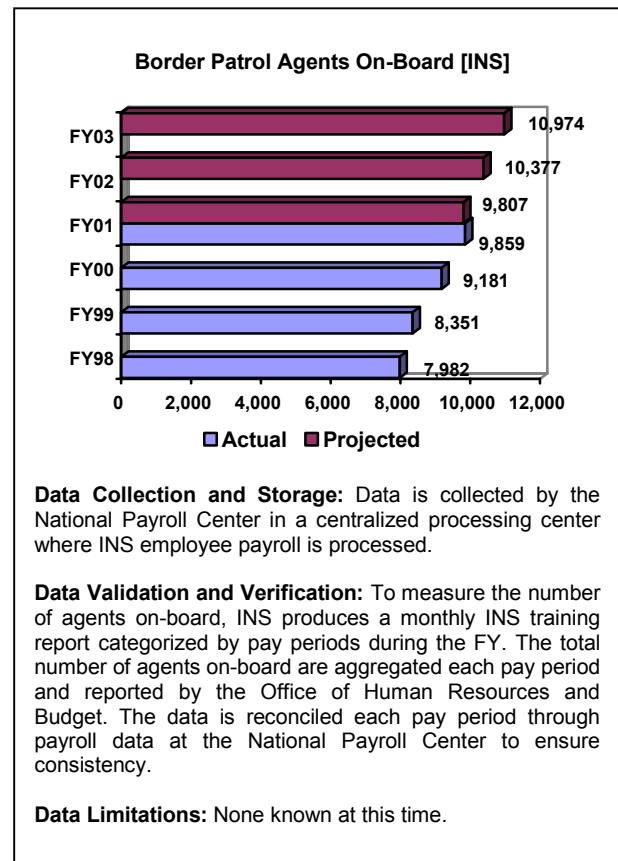
Public Benefit: The ability of INS to hire up to the full complement of Border Patrol Agents (and other occupations) that are authorized and funded by Congress means that the mission of the INS can expand as intended.

Strategies to Achieve the FY 2003 Goal:

INS projects that new Border Patrol Agents will be deployed in key operational zones along the Southwest border and 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.

Crosscutting Activities:

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



8.5B Streamline Organizations within the Department of Justice by Delaying Management Levels (Management Challenge)

Background/ Program Objectives:

The President announced in his FY 2002 budget that his first priority for Government reform was to make the Federal Government citizen-centered. This means ensuring that there is as little distance as possible between the citizens and decision-makers by flattening the Federal hierarchy, reducing the number of layers, and using workforce planning to help agencies redistribute higher-level positions to front-line, service-delivery positions that interact with citizens. As a follow-up to this, OMB issued Bulletin 01-07, "Workforce Planning and Restructuring," which instructed agencies to 1) submit a workforce analysis to OMB, and 2) develop restructuring plans in the context of FY 2003 budget requests and annual performance plans.

The Department has three specific restructuring proposals. The first will address systemic problems related to INS' dual missions of service and enforcement by creating two separate chains of command and accountability, reporting to a single policy leader. INS' restructuring will also address the need to streamline the organization to emphasize front-line enforcement and service delivery functions. The second proposal addresses FBI restructuring to better allocate resources for the war on terrorism. The third proposal will consider alternatives for improving the efficiency and effectiveness of state and local assistance programs.

Performance:

Performance Measure: Department of Justice Delaying Milestones

FY 2001 Target: NA

Discussion: NA

FY 2003 Performance Target:

Public Benefit: Having more federal employees on the front lines will provide U.S. citizens with easier and quicker access to information about federal programs and benefit services. Fewer layers will allow those front-line employees to provide more efficient service to the public when the required information or service requires more research or unique decision-making.

Strategies to Achieve the FY 2003 Goal:

In FY 2003, the Department will assess supervisory ratios in DOJ components and explore options for improvement in this area. The Strategic Management Council, established in FY 2001 under Attorney General Ashcroft; serves as the formal board within the Department to provide direction and leadership on long-range planning and initiatives. This council will oversee and manage the workforce restructuring issues included in the 5-year plan. It will review potential selected consolidations of small field offices, including overseas offices. Throughout this effort the Committee will evaluate the emerging issues in the agent workforce that may affect the make-up of our law enforcement personnel. Additionally, DOJ will begin to identify component initiatives that might be able to share administrative functions, and use Geographic Information Systems (GIS) capability to support DOJ policy-level workforce reallocations.

Department of Justice Delaying Milestones [JMD]		
Restructure INS and FBI	Restructure State & Local Assistance Programs	Target Date
Develop a plan	Develop a plan	FY 2002
Begin Implementation	Begin Implementation	FY 2002
Continue Implementation	TBD	FY 2003
Complete restructuring	TBD	FY2004

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

Data Validation and Verification: Assessments of position allocation and distribution.

Data Limitations: None known at this time.

Crosscutting Activities:

This activity is largely internal to DOJ.