VII Core function seven:
Management

Although the primary focus of the FY 2001 Summary Performance Plan is on the programmatic goals related to carrying out the Department's mission, achieving these goals is dependent upon strong and effective management practices. This Core Function includes 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 ISSUES

There are two management issues identified for this core function; computer security and the application of accrual-based accounting. To address the issue of computer security, the Department is conducting a certification program to ensure that proper security program and planning activities occur throughout all system's life cycles and that all sensitive, unclassified systems comply with OMB Circular A-130 and other policies. The Chief of Information Officer made this his highest priority, setting December 31, 2000, as the deadline to complete reviews and certifications.

With regard to financial systems, significant improvements have been made, however, at the close of FY 1999, INS and USMS still did not have policies and procedures in place to ensure the recording of all accrual transactions according to federal accounting standards. Both agencies are requesting funds to implement new accounting systems.

Performance indicators relating to both of these management issues are noted.

PROGRAM EVALUATION

No FY 2001 program evaluations are planned at this time.

Strategic Goal 7.1: Strengthen oversight and integrity programs, ensure consistent accountability.

Annual Goal 7.1: Ensure departmental integrity; and Ensure professional oversight

STRATEGIES

(Use training and other communication vehicles to reinforce employee adherence to the highest ethical standards of conduct.

(Focus audit, inspection and other evaluative efforts on ways in which overall program accountability and performance can be strengthened

In FY 2001, through the Office of Inspector General (OIG) and the Office of Professional Responsibility (OPR), the Department will reinforce employee adherence to the highest ethical standards of conduct and strengthen program accountability and performance. These priorities are Department-wide, and address the fundamental issues of integrity and accountability.

MEANS - Annual Goal 7.1

Dollars/FTE

FY 1999		FY 2000		FY 2001	
$65 M	803	$68 M	861	$ 72 M	880

Skills

OPR requires experienced attorneys familiar with the Model Rules of Professional Conduct, Federal Criminal Code and Rules of Procedure, Federal Rules of Civil Procedure, and DOJ procedural and ethical guidelines as well as paralegals and analysts. OIG investigators must be skilled in interviewing, interrogating; financial analysis, legal and statutory analysis of the elements of a crime, firearms, and the use of a data management system.
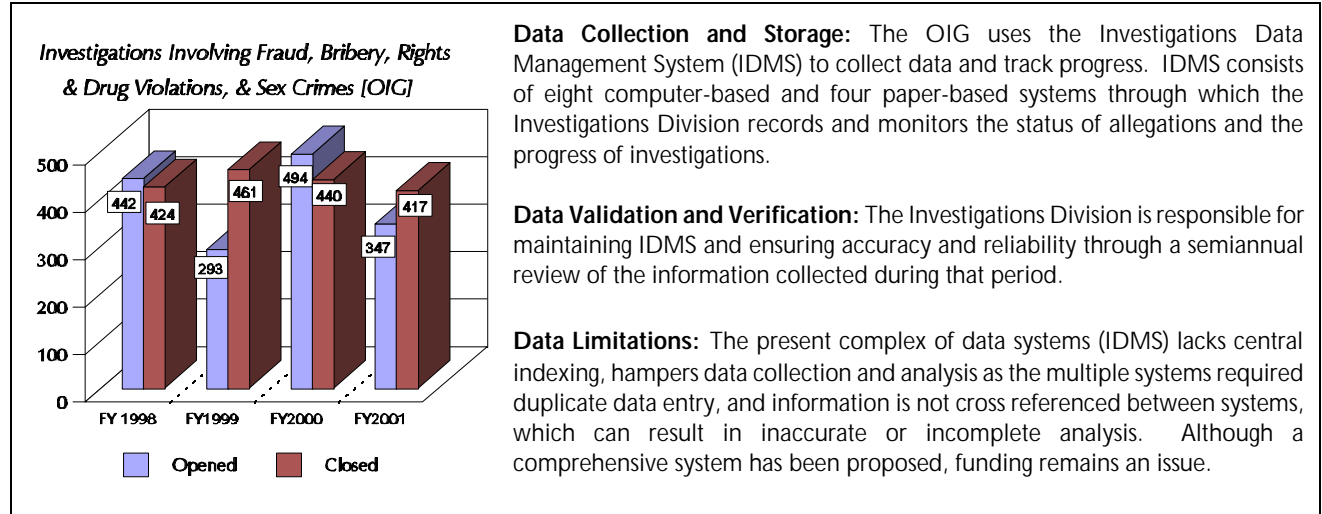
Information Technology

OPR uses the BRS case tracking system. OIG relies upon the Investigations Data Management System (IDMS) which consists of eight computer-based and four paper-based systems used to record and monitor the status of allegations and the investigation process.

PERFORMANCE ASSESSMENT - Annual Goal 7.1 (indicators 7.1A-7.1B)

7.1A   Ensure Departmental Integrity

In FY 2001, the Department, through its independent Office of the Inspector General (OIG) will continue to support efforts to ensure integrity in DOJ programs and operations. It is noted however, that enhancements requested in FY 2000, and FY2001 did not materialize. Thus, FY 2001 targets have been adjusted downward accordingly and FY 2000 goals are considered beyond the capability of the existing staff given current workload levels and priorities.
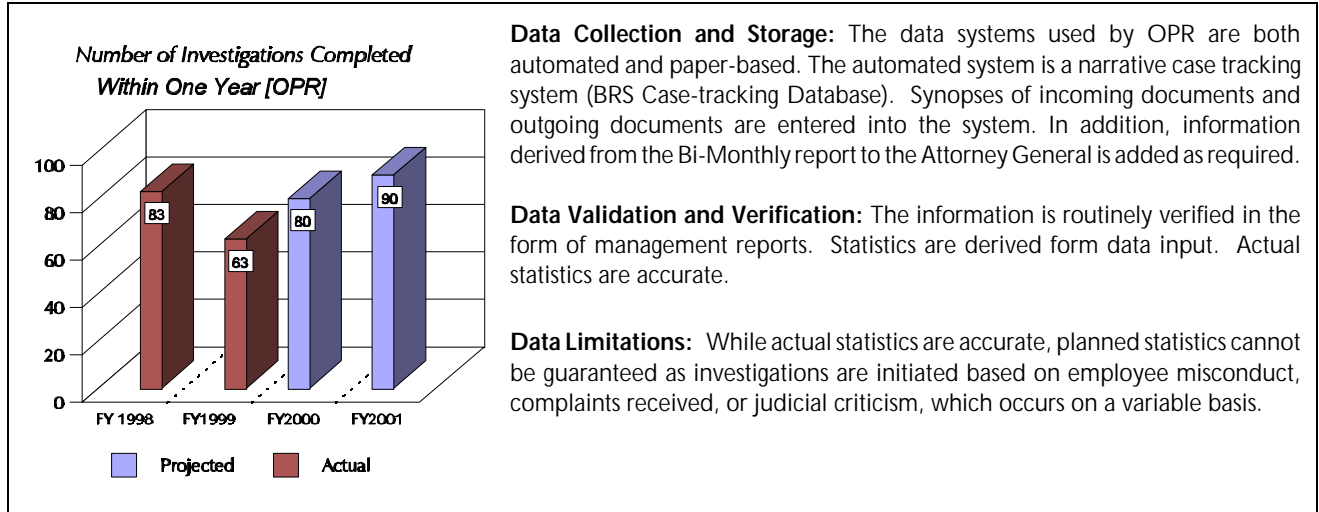

Investigations Involving Fraud, Bribery, Rights & Drug Violations, & Sex Crimes [OIG]

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 Investigations Division is responsible for maintaining IDMS and ensuring accuracy and reliability through a semiannual review of the information collected during that period.

Data Limitations: The present complex of data systems (IDMS) lacks central indexing, hampers data collection and analysis as the multiple systems required duplicate data entry, and information is not cross referenced between systems, which can result in inaccurate or incomplete analysis.   Although a comprehensive system has been proposed, funding remains an issue.

Crosscutting Activities:

These measures are largely internal to DOJ and are administered by the Office of Inspector General (OIG) and the Office of Professional Responsibility (OPR).

7.1B   Ensure Professional Oversight

In FY 2001, the Office of Professional Responsibility will continue to ensure that full investigation of allegations are conducted against departmental attorneys, including United States Attorneys, Assistant United States Attorneys, and criminal investigators involving violations of standards of conduct, law or departmental regulations as required.

Number of Investigations Completed Within One Year [OPR]

Data Collection and Storage: The data systems used by OPR are both automated and paper-based. The automated system is a narrative case tracking system (BRS Case-tracking Database). Synopses of incoming documents and outgoing documents are entered into the system. In addition, information derived from the Bi-Monthly report to the Attorney General is added as required.

Data Validation and Verification: The information is routinely verified in the form of management reports. Statistics are derived form data input. Actual statistics are accurate.

Data Limitations: While actual statistics are accurate, planned statistics cannot be guaranteed as investigations are initiated based on employee misconduct, complaints received, or judicial criticism, which occurs on a variable basis.

Crosscutting Activities:

These measures are largely internal to DOJ and are administered by the Office of Inspector General (OIG) and the Office of Professional Responsibility (OPR).

Strategic Goal 7.2: Meet or exceed the expectations of our customers

(Develop customer service plans and standards, monitor their implementation, and solicit customer feedback.
(Provide information to the public and to stakeholders in an open, timely and complete manner, as appropriate.

Strategic Goal 7.2 is not included in the FY 2001 Performance Plan, as this goal constitutes a means to achieving most DOJ goals, not necessarily a goal in itself. Much of the efforts in this area are reflected in the cross cutting activities (both internal and external).

Strategic Goal 7.3: Achieve excellence in management practices.

Annual Goal 7.3: Achieve a Departmentwide unqualified audit opinion

STRATEGIES

(Ensure effective management of Department resources.

(Streamline and modernize operational and support processes.

(Provide timely, useful and reliable budget, accounting and performance data to support decision making.

(Integrate planning, reporting and processes, including those for human resources, budget, financial management, and program performance.

(Ensure sound and effective financial management policies and practices.

(Effectively manage assets seized and forfeited.

(Reassess and, if necessary, eliminate or restructure functions that are not vital to our core missions.

In FY 2001, 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 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 2001, emphasis will also be placed 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.

In addition, the Department will continue to aggressively monitor progress in responding to all management weaknesses identified by GAO and others. Those weaknesses continuing into FY 2001 are discussed briefly in each core functions under the section titled, "Management Issues."

MEANS - Annual Goal 7.3

Dollars/FTE	FY 1999		FY 2000		FY 2001	
	$54M	686	$ 52M	729	$ 54 M	717

Skills

This goal requires the skills of accountants, financial, budget , and systems analysts.
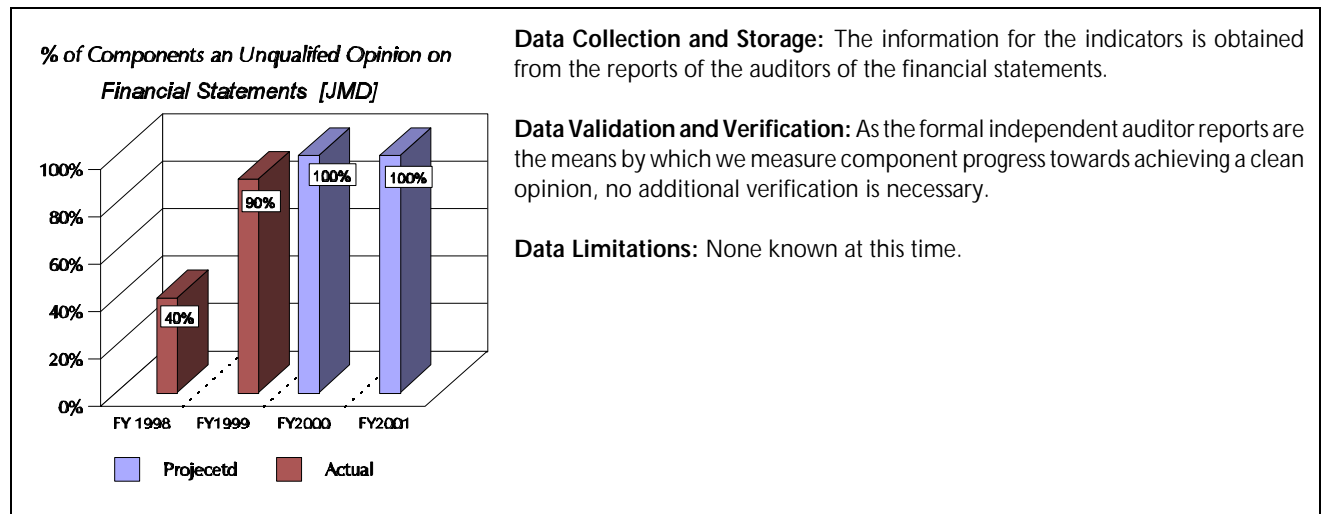
Information Technology

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. This will continue through FY 2001.

PERFORMANCE ASSESSMENT - Annual Goal 7.3 (indicator 7.3A)

Performance Goal 7.3A: Achieve a Department-wide Unqualified Audit Opinion *(Management Issue)*

For FY 2001, a continuing goal is to maintain financial management systems which comply with Federal financial management systems requirements, applicable Federal accounting standards and the U.S. Standard General Ledger at the transaction level, and as a result, receive an unqualified opinion on the Department's audited financial statements. The ability of management to obtain an unqualified audit opinion on each component's financial statements is a reliable overall measure of the Department's success in developing its financial management systems. The Department will receive either a qualified or unqualified audit opinion in FY 1999 and plans to receive an unqualified opinion for FY 2000 and beyond. The audit opinion for the Department's consolidated statements is dependent upon the audit opinions of the financial statements of reporting entities of 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.

There is tremendous financial systems change occurring at the Department. Every Justice component with responsibility for maintaining an official financial system is either implementing a new system, in the final phases of implementing a new system, or beginning the planning to identify and acquire a new system. While such sweeping change presents significant challenges for Departmental financial management, Justice components have continued to achieve significant successes in their systems efforts, and are committed to improving the overall quality of Justice financial services and information.

% of Components an Unqualifed Opinion on Financial Statements [JMD]

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

Data Validation and Verification: As the formal independent auditor reports are the means by which we measure component progress towards achieving a clean opinion, no additional verification is necessary.

Data Limitations: None known at this time.

Crosscutting Activities:

The Justice Management Division (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 Office of Inspector General, develops policy and resolves issues in regard to financial statements. The Department's Financial Managers Council, which includes financial managers from the bureaus, discusses and resolves financial management issues of the Department.

Strategic Goal 7.4: Make effective use of information technology (IT).

Annual Goal 7.4: Ensure IT enterprise integration and security

STRATEGIES

(Ensure development and implementation of secure, interoperable information systems and improve information sharing across local, state, and Federal governments and across the entire criminal justice community.

(Develop a Departmentwide standards-based IT architecture and provide a policy framework for building a technical infrastructure that will enable the Department to deploy information systems around the world at lower cost and in shorter time frames.

(Implement a systematic process for selecting, controlling and evaluating major IT investments in order to improve program performance, manage risk, and control costs.

(Ensure information systems protect sensitive data and operate in accordance with Federal requirements and departmental policy.

In FY 2001, components will rely on the IT architecture to ensure the cost-effective and secure integration of information systems across Department programs. To achieve this goal, we must build a technical infrastructure to support interoperable systems that satisfy the current requirements and anticipated needs of law enforcement, attorney, and administrative staff serving in locations around the world.

The requirement to adequately protect the security of information in the custody of the Department will continue to have high priority in FY 2001. The accelerating threats of cybercrime place new importance on risk assessment and mitigation for all major information systems. Finally, we are committed to moving toward full implementation of IT investment criteria that afford a balanced, programmatic and technical assessment of proposed investments in IT. The IT investment process provides a balanced input to the Chief Information Officer (CIO) and the AG on major investments that may impact overall Department operations and costs.

MEANS - Annual Goal 7.4

Dollars/FTE	FY 1999		FY 2000		FY 2001	
	$6M	77	$119M	101	$ 229 M	102

Skills	System engineers, computer scientists, as well as computer specialists are required to be skilled in complex computer systems, communications, and security systems. In addition, IT staff must demonstrate expertise in current and emerging technologies.

| Information Technology	A computer security laboratory is funded and maintained to test new technologies and products before widescale deployment. The JCON II help desk and operations staff provide support services to ensure availability of office automation technologies to all users. The penetration testing program provides ongoing information on the system's vulnerabilities.

PERFORMANCE ASSESSMENT - Annual Goal 7.4 (indicators 7.4A-7.4B)

7.4A   Ensure IT Enterprise Integration

The IT Investment Board reviews criteria and assesses proposed investments in IT from an enterprise perspective. The criteria address the strategic goals of the Department and the governmentwide goals of the Clinger-Cohen legislation. The Department will complete a reassessment of the review process in FY 2000 to improve the alignment of IT to mission and to enssure that projects meet cost, schedule, and performance goals with manageable risk. Our focus will be on leveraging IT investment decisions with ongoing architecture and security initiatives to maintain an effective and responsive IT program in FY 2001 and beyond.

In FY 2001 the Department will continue a phased and controlled migration to a secure, interoperable computer and communications environment that will offer new opportunities for cost-effective management of DOJ programs. The Justice Communications Network (JCN) will consolidate multiple telecommunications networks into a single communications backbone to provide connectivity across the Department. The Justice Consolidated Office Network (JCON II) will provide critical office automation tools to analysts, attorneys, and managers in the JMD, the litigating divisions, and the senior management offices.

IT Investment Approval Requests Subject to IT Board Assessment Criteria
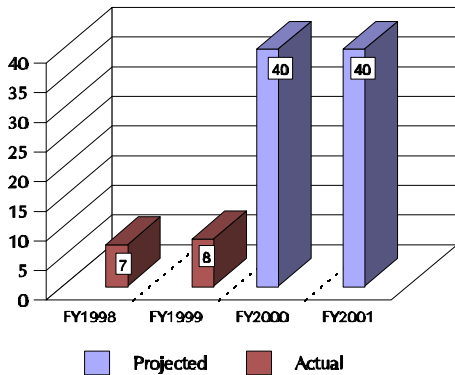
Data Collection and Storage: Performance data for the JCON II indicator is based on contractor billings and on project management office statistics. Performance data for JCN indicator is based on the existing bandwidth identified during the JCN requirements analysis.   If additional existing bandwidth is identified during implementation, JMD will have to re-assess the validity of the annual progress indicators. Performance data for the Capital Planning indicator is tracked centrally, maintained electronically, updated monthly, and will provide a reliable indicator of actual performance.
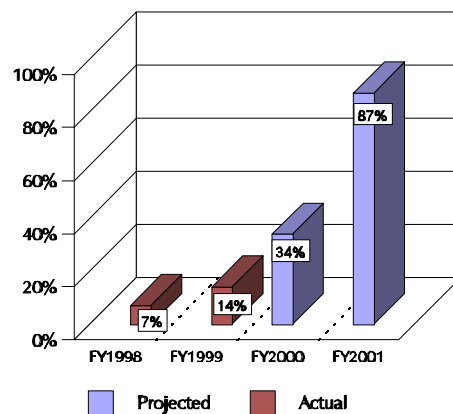
Data Validation and Verification: Data is validated monthly as part of ongoing project management activities.

Data Limitations: Performance data for JCN is based on the existing bandwidth identified during the JCN requirement analysis.

% of Total Information Bandwith Transitioned to JCN
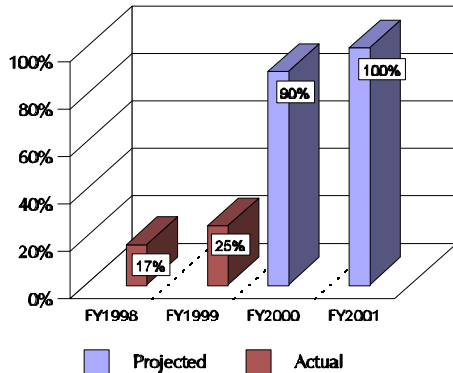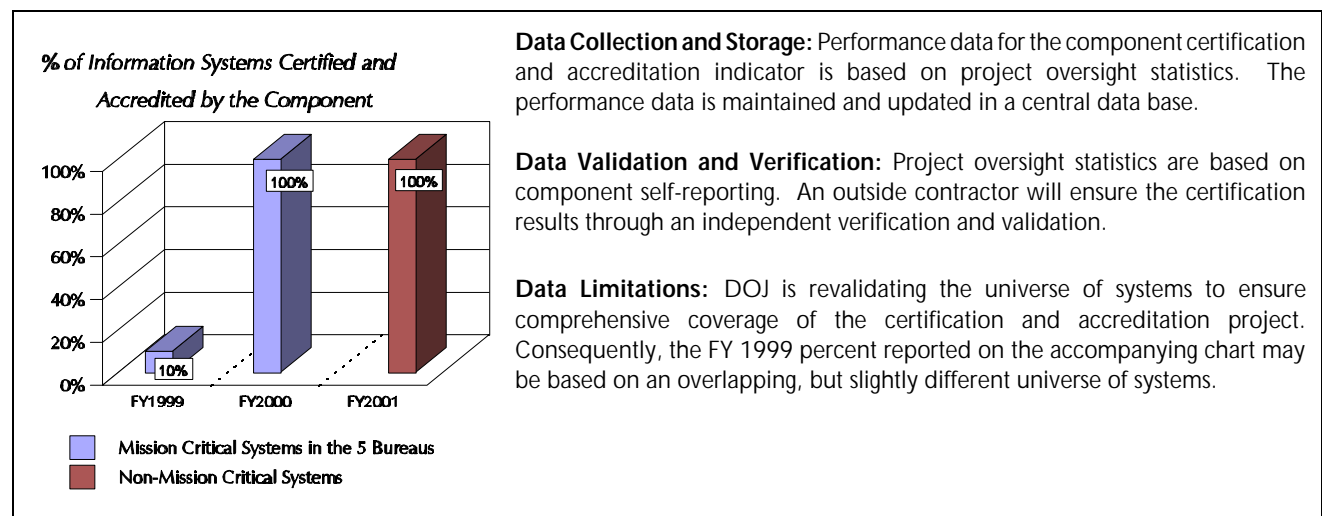

% of JCON II Desktops Deployed to Staff

Crosscutting Activities:

JMD manages the JCON 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 IRM Council, composed of the senior IRM official in each component, are obtained prior to any major policy or resource decision.

7.4B   Ensure IT Security *(Management Issue)*

Trust in the security of information in the custody of the Department is basic to current operations and a minimum requirement for future systems deployments. The Department is revitalizing its security certification and accreditation program to ensure that components carry out comprehensive security planning, risk assessment, and contingency planning. In FY 2001, components will complete the certification and accreditation of information systems.

% of Information Systems Certified and Accredited by the Component

Mission Critical Systems in the 5 Bureaus
Non-Mission Critical Systems

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

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

Data Limitations: DOJ is revalidating the universe of systems to ensure comprehensive coverage of the certification 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.

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.

Strategic Goal 7.5: Strengthen human resource recruitment and retention efforts, providing for a workforce that is well-trained and diverse.

Annual Goal 7.5: Increase border patrol agents on-board

STRATEGIES
(Provide training and career development opportunities.
(Promote a diverse workforce at all levels, including managerial and supervisory positions.
(Offer a range of progressive work life options that help employees balance professional and personal demands.
(Provide a safe and healthful workplace.
(Provide work spaces where employees can perform their jobs effectively, efficiently, and safely.

Current assessment of recruitment and retention issues in the Department indicate that efforts to attract and retain qualified border patrol agents will continue to warrant departmental oversight into FY 2001. Therefore, in FY 2001, the Immigration and Naturalization Service (INS) will continue emphasis in this area by deploying new Border Patrol Agents in accordance with the Attorney General's border management initiative and in support of the INS Border Patrol Strategic Plan. The following initiatives are intended to increase Border Patrol sector's involvement in the recruitment process and increase interest in the Border Patrol: training over 200 Border Patrol agents as recruiters; establishing a recruitment coordinators in each sector; establishing a toll-free job information hotline; and considering future recruitment bonuses. The hiring initiatives include a goal to reduce the length of INS' overall standard hiring process by at least one to two months. Thus, an applicant could move through the application process in four to five months provided that no issues complicate the applicant's medical examination or background investigation.

In addition to its standard hiring processes, INS is now offering "compressed testing" to reduce the time it takes to hire an agent. INS is conducting compressed testing at six locations, five of which are near the southwest border. They collectively account for more than half of the past Border Patrol applicants. Compressed testing will allow the written examination and interview to take place independent of each other at these locations in two week intervals. Compressed testing should reduce the entire hiring process to three to four months in cases where there are no issues complicating the applicant's medical examination or background investigation. Since compressed testing has exceeded expectations, INS has added a seventh compressed testing location in Miami. With the addition of the Miami site, compressed testing will be conducted in the top five markets where roughly sixty percent of all qualified applicants were selected in FY 1999.

MEANS - Annual Goal 7.5

Dollars/FTE*
* Dollars and FTE are included with other INS resources under Core Function 4.

Skills

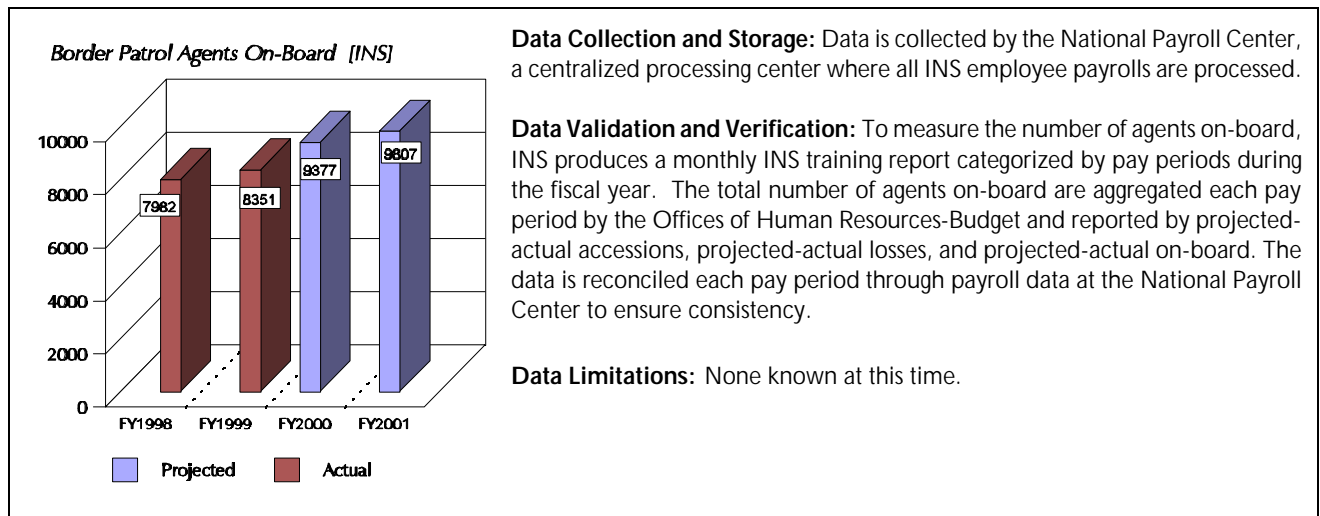Personnel skilled in recruitment are needed as well as analysts.

Information Technology

INS relies upon the National Payroll Center, a centralized processing where all INS employees payrolls are processed.

7.5A   Increase Border Patrol agents on-board

In FY 2001, INS projects that 430 new agents will be deployed in key operational zones along the South West 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 Register, 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.

Border Patrol Agents On-Board [INS]

Data Collection and Storage: Data is collected by the National Payroll Center, a centralized processing center where all INS employee payrolls are 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 fiscal year. The total number of agents on-board are aggregated each pay period by the Offices of Human Resources-Budget and reported by projected-actual accessions, projected-actual losses, and projected-actual on-board. 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.

Crosscutting Activities:

INS coordinates with the Office of Personnel Management (OPM) to maximize recruitment and retention of Border Patrol agents.