

*The Library of Congress
Office of the Inspector General*



*Strategic Plan
Fiscal Years 2005–2008*



The Library of Congress Office of the Inspector General

Strategic Plan

Introduction

The Inspector General concept in part dates back 225 years to the Continental Army's custom of having someone independently review the readiness of combat troops. The first modern offices of inspector general were established in federal agencies 25 years ago with the authority and responsibility to be independent voices for economy, efficiency, and effectiveness. The Library of Congress Office of Inspector General (OIG) serves as an independent advisor to the Librarian of Congress by conducting audits, investigations, and other types of reviews, and reports semiannually to the Congress. The OIG also operates a hotline that anyone can use to report suspected fraud, waste, abuse, or mismanagement in Library programs and operations.



The Library of Congress is the research and information arm of the national legislature and the world's largest storehouse of knowledge. The Library's mission is to make its resources available and useful to the Congress and the American people and to sustain and preserve a universal collection of knowledge and creativity for future generations. The mission is accomplished through its more than 4,000 employees and \$750 million in annual appropriated funds and other revenues. The Library developed a strategic plan for fiscal years 2004–2008 that documents its mission, vision, and values along with 18 goals that are supported by expected outcomes and objectives.

The OIG oversees all Library of Congress programs and operations and has the independence to decide which Library activities to review. This plan was developed to document the process the OIG will follow to ensure that its reviews are highly credible, useful, timely, and focused on the Library's strategic plan.

Vision

To conduct accountability reviews and make recommendations that contributes substantially to the effective management of the Library of Congress and helps establish it as a model agency for continuous improvement.

Mission

To serve as an independent advisor to the Librarian of Congress in the promotion of economy, efficiency, and effectiveness by detecting and preventing fraud, waste, abuse, and mismanagement in Library programs and operations.

Core Values

The Library's values as stated in its strategic plan are: *service* to its customers; *quality, effectiveness, and excellence* in every aspect of business activities; *innovation* through creative methods; *fairness* in treating staff and customers; *participation* by all stakeholders in planning and improving activities; and *communication* that is clear, consistent, open, and timely.

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To support the Library's values and impart integrity in our reviews, the OIG will ensure:

- independence and objectivity
- accountability
- the public interest
- timely, high quality work
- compliance with laws and regulations
- cooperation and openness
- job satisfaction for OIG staff

Goal 1: Focus on the Library's Most Important Programs and Operations.

Objective: Identify and select activities for review that best support the Library's mission.

Strategies

Establish and maintain an annual planning cycle and revise plans and priorities throughout the year as additional information is obtained and new issues emerge.

Consult with the Librarian, Deputy Librarian, and other Executive Committee members annually to help identify the top management challenges to the Library's mission, especially those that (1) are complex, (2) involve sizable funding, or (3) require significant management improvement.

Identify available time and resources to perform reviews.

Performance Indicators/Measures

At the beginning of each fiscal year, prepare a comprehensive work plan that identifies the high-priority issues for OIG review. Link the objectives of each OIG review to the Library's strategic goals and objectives.

At least 75 percent of OIG reviews address the Library's top management challenges. (Some OIG reviews, however, are mandatory or requested and may not address the top management challenges, such as financial statements audits).

Goal 2: Perform High Quality, Useful, and Timely Reviews.

Objective 1: Ensure reviews are timely and add value to the Library of Congress.

Strategies

Identify economy and efficiency in operations and make recommendations to improve Library management. For example, identify to the extent possible funds to be put to better use in Library programs and operations.

Communicate results of reviews verbally and/or in preliminary/draft form promptly so corrective action can be initiated as soon as possible (before formal reports are issued).

Performance Indicators/Measures

Obtain management acceptance of at least 85 percent of recommendations.

Issue notifications of findings and recommendations (preliminary results of reviews) by the end of fieldwork and no later than 21 weeks after beginning a comprehensive review.

Objective 2: Conduct reviews that comply with applicable professional standards and result in high quality analyses and reports.

Strategies

Maintain comprehensive and current OIG policy for conducting audits, investigations, and other types of reviews.

Comply with current federal and OIG audit and investigations policy.

Implement checklists for reviewing documentation, complying with audit and investigation standards, and independently validating evidence that supports OIG conclusions.

Utilize the OIG's new structured project planning and management process.

Ensure clear and concise written products by utilizing the new OIG report writing guidelines and checklist, and providing formal training to ensure high-quality written communication.

Document supervision of all work to ensure that reported conclusions are sufficiently supported with relevant and competent evidence and that Auditors/Investigators comply with all professional standards.

Develop standards for and conduct internal quality reviews.

Performance Indicators/Measures

Subject each audit and investigation (before reports are issued) to a comprehensive independent evaluation of the evidence by an Auditor/Investigator who was not involved in the review. Any discrepancy will be resolved before reports are issued. There will be no errors, inconsistencies, omissions, or any other quality issues in OIG reports.

Conduct and document at least two thorough internal quality reviews of audit/investigation supervision annually. Any discrepancies will be used as the basis for modifying policies/procedures, providing training to staff members, or improving supervision.

Obtain a comprehensive peer review at least every three years of the quality of OIG audits that results in an unqualified “clean” opinion. The peer review will be conducted by another federal Inspector General as chosen by the President’s Council on Integrity and Efficiency.

Review annually OIG policies and procedures for conducting reviews and revise if needed.

Goal 3: Sustain A High Quality Workforce and Work Environment.

Objective 1: Foster mutual respect and open communication.

Strategies

Identify and provide needed resources (time, travel funds, experts and consultants, etc.) to conduct comprehensive reviews.

Using a variety of channels, ensure that employees are aware of OIG expectations and policies and are able to provide input.

Keep staff informed about management issues and major activities that may impact the Library's management challenges and OIG reviews.

Performance Indicators/Measures

Review employee performance plans (with employee input) and reevaluate their accuracy every two years (even-numbered years).
Revise if needed.

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Objective 2: Maintain sufficient staffing, diversity, and high levels of performance and conduct.

Strategies

Maintain sufficient staffing to address the Library's most significant management challenges.

Take proactive steps to recruit and hire a diverse workforce by identifying areas of under-representation and conducting effective targeted recruitment and outreach efforts in order to ensure a robust applicant pool for vacancies.

Promote awareness of and skills in communication, cultural diversity, and interpersonal relations.

Reward staff members for productivity and high quality work and effectively address conduct and performance issues.

Performance Indicators/Measures

Maintain staffing at no less than 90 percent of FTE ceiling, or at least 90 percent of the OIG budget for salaries and benefits.

Take corrective action for less-than-satisfactory performance or conduct, and encourage those who exceed expectations with awards and/or monetary or time-off rewards.

Objective 3: *Provide time and funds for staff development.*

Strategies

Make training and infrastructure a high funding priority.

Enhance performance through innovative processes and technology.

Implement Individual Development Plans (IDPs) for all OIG staff members.

Provide appropriate training in management skills and techniques.

Provide appropriate training to improve oral communication skills.

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Performance Indicators/Measures

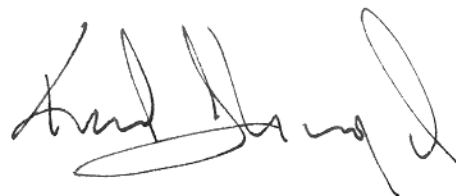
Provide at least 80 hours of management training for the Assistant Inspectors General by the end of fiscal year 2005. Provide at least 80 hours of continuing professional education every two years to all staff performing audits and investigations (20 hours minimum per year). At least 24 of the 80 hours will be in a subject matter directly related to government audits or investigations, the government environment, or the Library's specific or unique environment (such as digital media, copyright, federal research, etc.).

Prepare annual IDPs for all staff so that specialized training for upcoming reviews can be taken into consideration. IDPs will be developed in conjunction with the annual audit planning cycle described under Goal 1.

Moving Forward

This plan was developed to complement the Library's Planning, Programming, Budgeting, Execution, and Evaluation System (PPBEES), an evolving management system to accomplish the Library's goals and objectives. Part of the PPBEES process is the development of Annual Program Performance Plans (AP3s) with program-focused annual goals and targets. Performance indicators/measures in this plan will be tracked via the AP3s beginning in fiscal year 2006. The AP3 process will entail quarterly reporting toward the accomplishment of goals and targets, and annual assessments.

This strategic plan will be reassessed at the end of fiscal year 2006 to coincide with the Library's reassessment of its strategic plan, and adjusted if needed.



Karl W. Schornagel
Inspector General

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