



**Social Security Administration
Office of the Inspector General**



**Revised
Strategic Plan**

Fiscal Years 2003 – 2005

Achieving Excellence as “One OIG”

A MESSAGE FROM THE INSPECTOR GENERAL OF SOCIAL SECURITY

Revised Strategic Plan



Our FY 2003-2005 Strategic Plan, like all planning documents, must have two essential elements. The Plan must be flexible to reflect the changing nature and priorities of our environment and focus on achieving excellence in the areas we value as an organization: Impact, Quality, Timeliness, Value, and People. Just as we ensure the appropriateness of SSA's strategic measures and performance, we too evaluate our own strategic initiatives to promote accuracy and precision.

The revisions highlighted in this Plan focus on the metrics used to measure our successes under each of our major goals. Through a comprehensive team effort, we have refined definitions and measuring techniques to more accurately measure our accomplishments as prescribed under this Plan. Most of the revisions are minor and are merely refinements of our previous measures.

As reaction to change is compulsory, so is our commitment to achieving excellence. Working in a teamwork environment under the theme "Getting it Done as One OIG," we believe we will accomplish the goals in this Plan.

A handwritten signature in blue ink, which reads "Patrick P. O'Carroll, Jr." The signature is written in a cursive, flowing style.

Patrick P. O'Carroll, Jr.
Inspector General

Table of Contents

Executive Summary	1
Statutory Responsibilities	3
OIG Components	4
OIG Organizational Chart.....	5
Strategic Planning Process.....	6
Stakeholder Feedback	6
Internal Factors Affecting the Achievement of Strategic Goals	6
External Factors Affecting the Achievement of Strategic Goals	7
Summary of Program Evaluations.....	7
Goals, Strategies, and Measures	9

Executive Summary

This revised Strategic Plan (Plan) outlines the goals for the Office of the Inspector General (OIG) of the Social Security Administration (SSA) for Fiscal Years (FY) 2003 through 2005. This Plan conforms to the requirements established by the *Government Performance and Results Act of 1993* (GPRA). Five general goals serve as the Plan's overall framework.

The first goal relates to the **impact** we have on SSA's programs and operations. Through our investigative, audit, and legal activities, we strive to continually improve integrity, efficiency and effectiveness throughout SSA. Our second goal deals with **quality**. The products and services we deliver must be highly reliable. The third goal involves the **timeliness** of our products. We recognize the importance of timely delivery and this Plan includes strategies that involve sharing of best practices and utilizing technology and improved processes to attain this goal. Our fourth goal focuses on **value** and the need to sustain a positive return for the monies invested in this organization. The fifth goal includes strategies and self-measuring goals to enhance the work experience for the **people**, who are the foundation of the OIG organization. Our goals and strategies can be achieved only if our employees enjoy a positive and rewarding work environment.

The most important aspect of this Plan is the integrated manner in which the five goals are addressed. Specifically, the Plan recognizes that each OIG component produces data, information, and analysis of value to its peers. The strategies supporting each goal are crosscutting and consider the role each component has in affecting an outcome. For example, the Plan recognizes that data on potential SSA systems vulnerabilities maintained by the Office of Investigations (OI) will also have value to the Office of Audit's (OA) planning and analysis functions. Information sharing will better facilitate our operation as "One OIG."

Two assessment tools are introduced to assist in data gathering and performance analysis. The Quality Assessment Instrument gauges the level of user satisfaction with OIG products and services. Administered by the Office of Quality Assurance and Professional Responsibility, this tool will allow stakeholders to rate our components using a series of quality factors. The second assessment tool, the Organizational Health Assessment Instrument, will be administered by the Organizational Health Committee. It will be disseminated internally to collect the views and opinions of our employees on a variety of factors relating to the overall OIG work experience.

While this Plan reflects OIG's independence from SSA, it supports SSA's overall mission and its Strategic Plan. The Agency's Strategic Plan goals are : Service, Stewardship, Solvency and Staff. The goals, objectives and performance targets under our Plan are designed to improve SSA's management and performance. Successful achievement of our Plan will assist SSA in attaining its own desired performance levels.

Mission Statement

By conducting independent and objective audits, evaluations, and investigations, we improve the SSA programs and operations and protect them against fraud, waste, and abuse. We provide timely, useful, and reliable information and advice to Agency officials, Congress, and the public.

Vision and Values

We are agents of positive change striving for continual improvement in SSA's programs, operations, and management by proactively seeking new ways to prevent and deter fraud, waste, and abuse. We are committed to integrity and achieving excellence by supporting an environment that encourages employee development and retention and fosters diversity and innovation while providing a valuable public service.

General Goals

The FY 2003 – 2005 Strategic Plan includes five general goals, each containing a series of crosscutting strategies. We used these strategies to develop our 15 self-measuring goals. For the general goals in the following chart, the strategies and associated self-measuring goals are described beginning on page 9.

Goal	Description of General Goal
Impact	To increase our impact on the integrity, efficiency, and effectiveness of SSA programs and operations.
Quality	To provide OIG products and services of quality and value to Congress, SSA, and other key decision makers.
Timeliness	To ensure OIG products and services are issued in time to meet the needs of Congress, SSA, key decision makers, and other end users.
Value	To sustain a positive return-result for each tax dollar invested in OIG activities.
People	To promote/ensure a skilled, motivated, diverse workforce in a positive and rewarding work environment.

Statutory Responsibilities

The SSA OIG was established pursuant to Public Law 103-296 on March 31, 1995, known as the *Social Security Independence and Program Improvements Act of 1994*. General OIG authority is established under the *Inspector General Act of 1978* (IG Act), as amended, which provides statutory responsibility to protect the integrity of SSA programs and operations affecting millions of beneficiaries, and to ensure that the programs are effective and efficient.

We are an independent and objective organization within SSA and as prescribed by the *IG Act*, we will:

- Conduct and supervise audits and investigations of SSA programs and operations.
- Recommend policies to promote economy, efficiency, and effectiveness.
- Prevent and detect fraud, waste, and abuse in the SSA's programs and operations.
- Inform Congress and the Commissioner about problems and recommend corrective action.
- Investigate complaints from any person or entity, including Congress.
- Report violations of law to U.S. Attorney General offices.
- Review existing and proposed legislation and regulations.
- Protect the identity of whistleblowers.
- Submit semiannual reports to Congress and the Commissioner.

We also have significant responsibilities under the *Federal Financial Management Improvement Act of 1996*, *Government Management Reform Act of 1994*, *GPRA*, *Chief Financial Officers Act of 1990*, *Federal Managers Financial Integrity Act of 1982*, *the Federal Information Security Management Act of 2002*, and *the Social Security Protection Act of 2004*. We will fulfill these responsibilities by completing required audits of SSA's financial statements, assessing the adequacy of internal control systems, and identifying opportunities for improvement. We will also evaluate SSA's performance measures to determine their appropriateness.

OIG Components

OIG is comprised of five components: The Immediate Office of the Inspector General (IO), Office of Audit (OA), Office of Chief Counsel to the Inspector General (OCCIG), Office of Executive Operations (OEO) and the Office of Investigations (OI), .

Immediate Office of the Inspector General

IO provides the Inspector General (IG) with staff assistance on the full range of the IG's responsibilities and administers a comprehensive Professional Responsibility and Quality Assurance program that ensures the adequacy of OIG compliance with its policies and procedures, internal controls and professional standards. In addition, the IO oversees the Ombudsman program and serves as the liaison with Congress, Federal Agencies, and other public and private interest groups.

Office of Audit

OA conducts comprehensive financial, performance, and systems audits and evaluations of SSA programs and makes recommendations to ensure that program objectives are achieved. Financial audits, required by the *Chief Financial Officers Act of 1990*, assess whether SSA's financial statements fairly present the Agency's financial position, results of operations, and cash flow. Performance audits review the economy, efficiency, and effectiveness of SSA's programs. OA also conducts short-term management and program evaluations on issues of concern to SSA, Congress, and the general public. Evaluations identify and recommend ways to prevent program fraud and inefficiency.

Office of Chief Counsel to the Inspector General

OCCIG reviews and evaluates legislation, regulations, and standard operating procedures for their impact on program economy and efficiency. It also provides legal advice and counsel to the IG on various matters, including: (1) statutes, regulations, legislation, and policy directives governing the administration of SSA's programs; (2) investigative procedures and techniques; and (3) legal implications and conclusions to be drawn from audit and investigative material produced by OIG. OCCIG also administers the Civil Monetary Penalty (CMP) program, which the Commissioner of Social Security delegated to OIG. The Office of Communications within OCCIG administers OIG's public affairs, media and interagency activities and coordinates responses to congressional requests.

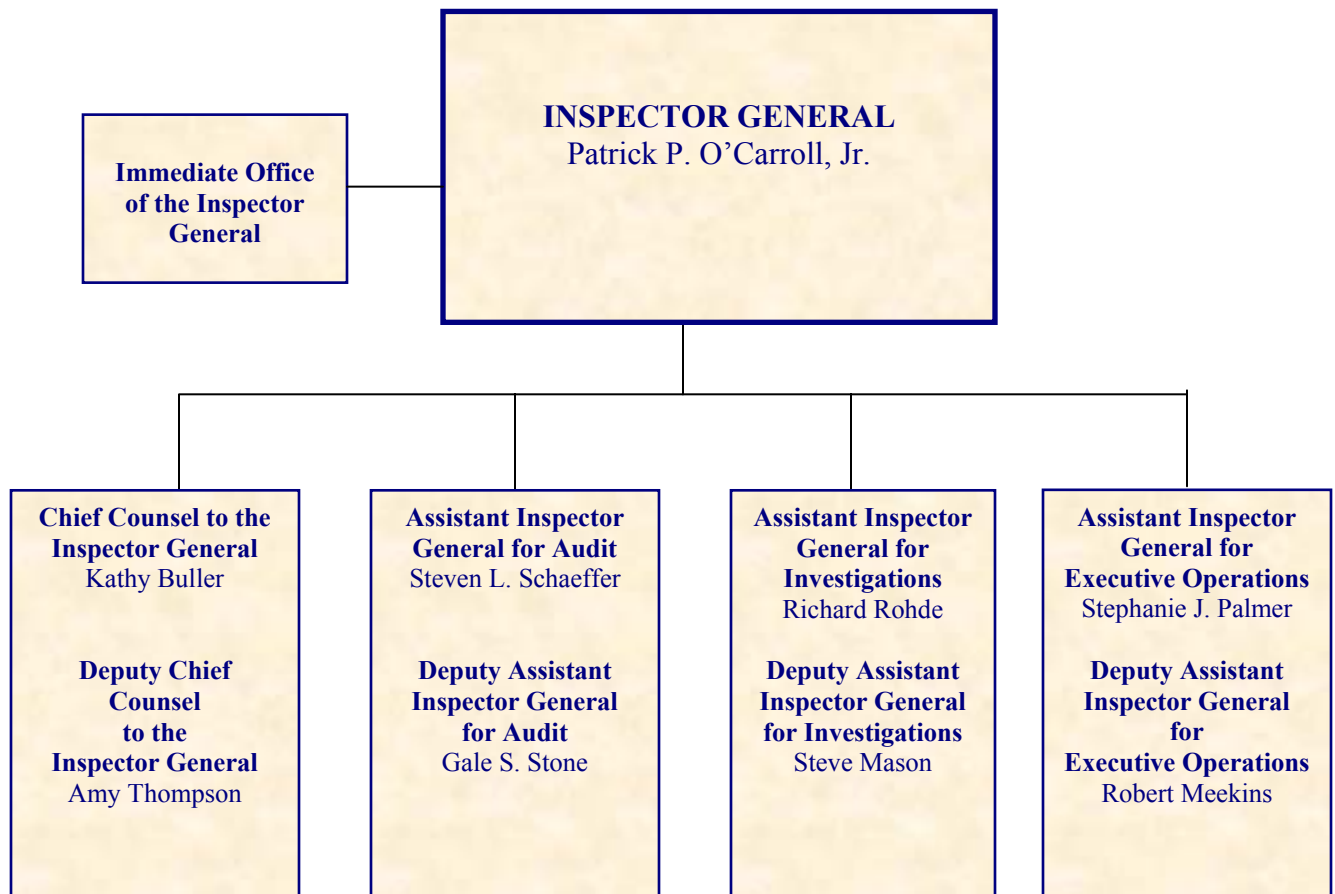
Office of Executive Operations

OEO supports OIG by providing information resource management; systems security and development; and the coordination of budget, procurement, telecommunications, facilities and equipment, and human resources. In addition, OEO prepares the Strategic Plan and develops and implements performance measures required by GPRA.

Office of Investigations

OI conducts and coordinates investigations related to fraud, waste, abuse, and mismanagement of SSA programs and operations, in accordance with the Quality Standards for Investigations published by the President's Council on Integrity and Efficiency; the SSA/OIG Special Agent Handbook; and other applicable laws, policies, and regulations. These activities include wrongdoing by applicants, beneficiaries, contractors, physicians, interpreters, representative payees, other third parties, and SSA employees. OI also conducts joint investigations with other Federal, State, and local law enforcement agencies.

OIG Organizational Chart



Strategic Planning Process

GPRA requires Federal agencies to develop goals, strategies, and performance indicators for gauging progress. A Strategic Planning Team comprised of headquarters and field personnel was established and trained to develop this Plan. The Team was chartered to develop a Plan that would be useful in every component throughout the organization.

The Team:

- Examined the prior Strategic Plan.
- Suggested new goals, indicators, and target levels of performance.
- Developed crosscutting strategies.

The Team reviewed the *IG Act*, *GPRA*, and other regulations and analyzed SSA's *Strategic Plan* and *Annual Performance Reports*. The Team:

- Evaluated other Federal OIG goals and indicators.
- Reviewed and revised a quality assessment instrument.
- Developed CMP case origination criteria.
- Examined OIG ethnic and gender diversity.
- Assessed organizational health factors and developed an assessment instrument.

Stakeholder Feedback

Stakeholders include: Congress; congressional staff; SSA's Commissioner; SSA managers and staff; President's Council on Integrity and Efficiency (PCIE) and the IG community at large; all OIG employees; Government Accountability Office; Department of Justice (DOJ) and other Federal, State, and local law enforcement agencies; the Office of Special Counsel; the Office of Government Ethics; other outside groups both public and private; the general public; and other parties interested in improving the efficiency, effectiveness, and integrity of SSA programs and operations. We meet periodically with stakeholders, particularly SSA management officials, U.S. Attorneys, and congressional representatives and staff to obtain feedback on our work.

Internal Factors Affecting the Achievement of Strategic Goals

Neither the intellectual content of the 2003 – 2005 Strategic Plan nor its insights into achieving organizational excellence may be sufficient to establish the Plan as the powerful management tool it has the potential to become. All OIG employees must embrace and commit to this Plan.

Major internal challenges include:

- Implementing unified leadership, commitment, and involvement to ensure effective execution of the Plan.
- Designing and implementing processes and technology needed to enhance information sharing.
- Coping with changing workload requirements and resource constraints.
- Acquiring relevant foreign language expertise within OIG.

External Factors Affecting the Achievement of Strategic Goals

SSA's ability to undertake the recommended changes, budget constraints, changing congressional and SSA priorities, and political mandates continues as external factors that affect the achievement of OIG strategic goals. Additional factors include:

- Redirecting resources to address national security and public safety issues.
- Contracting for outside services with regard to the integrity and reliability of external auditors and consultants.
- Preventing fraud, waste, and abuse stemming from vulnerabilities in SSA's online services.
- Competing with other organizations for skilled staff.

Summary of Program Evaluations

GPRA requires agencies to describe the program evaluations used to establish or revise general goals and objectives. Although there were no formal internal or external program evaluations of OIG to consider in developing this Plan, the Team evaluated several other sources of information to include:

- OIG Semiannual Reports
- OIG Congressional Budget Justification
- PCIE Annual Report
- Office of Audit PCIE Peer Review
- Results of Quality Assurance and Federal Managers' Financial Integrity Act Reviews
- Management information systems of individual OIG components
- SSA's Strategic Plan

The Team also compared the current Plan to other agency plans. In addition, the Team reviewed:

- Workforce composition and diversity
- CMP streamlining processes
- Revisions to an IO product-service quality assessment instrument
- Development of an organizational health assessment instrument

The Team developed new goals relating to timeliness and organizational health, and established crosscutting strategies for all five general goals.

Goals, Strategies, and Measures

Goal 1: Impact

Increase our impact on the integrity, efficiency, and effectiveness of SSA programs and operations.

STRATEGIES

1. Establish and communicate an OIG-wide process for cross-component communications on potential programmatic and operational vulnerabilities.
2. Coordinate, receive, and assess information about potential programmatic and operational vulnerabilities.
3. Focus OIG efforts on impacting congressional and SSA programmatic and operational decisions, including major budgetary decisions.
4. Reinforce OIG's role as an agent of positive change by using constructive, balanced language in presenting viable opportunities for improving SSA programs and operations.

Self-Measuring Goal 1.1

Maintain an annual acceptance rate of at least 85 percent for all recommendations through FY 2005.

Performance Measure 1.1

Title: Annual Acceptance Rate for OIG Recommendations

Revised Definition: The number of legislative, policy and regulatory recommendations accepted by SSA and/or Congress (included in proposed legislation) during the FY divided by the total number of recommendations with a management decision and legislative proposals made during the FY.

Demonstrates: Measures the office-wide ability of OIG to produce improvement ideas valued by SSA and the Congress. Recommendations are contained in OIG Audit, Evaluation, Management Advisory, legislative proposals, and Regulatory Commentary Reports.

Source: Planning Audit and Management System (PAMS) database and OCCIG's regulatory commentary database

Self-Measuring Goal 1.2

Through FY 2005, achieve a 5-year average implementation rate of 85 percent for accepted recommendations aimed at improving the integrity, efficiency and effectiveness of SSA.

Performance Measure 1.2

Title: 5-Year Implementation Rate for Accepted OIG Recommendations.

Definition: The total number of accepted recommendations implemented by SSA during the past 5 FYs divided by the total number of recommendations SSA agreed to implement during the past 5 FYs.

Demonstrates: The impact of OIG recommendations on the integrity, efficiency, and effectiveness of SSA programs and operations.

Source: PAMS database

Goal 2: Quality

Provide OIG products and services of quality and value to Congress, SSA, and other key decisionmakers.

STRATEGIES

1. Implement a product and service quality assessment instrument.
2. Develop and implement procedures and a tracking system to review and analyze internal and external feedback to maintain a focus on continuous improvement of OIG products and services.
3. Communicate OIG-wide best practices and lessons learned.

Self-Measuring Goal 2.1

Achieve a positive internal and external user assessment rating of 80 percent for product-service quality.

Performance Measure 2.1

Title: Composite User Assessment Rating of Product-Service Quality

Revised Definition: This measure is derived by using a five-tier rating scale measuring the strength of agreement with six statements about OIG product-service quality. Specifically,

during our Quality Assurance Review (QAR) process, we translate these responses into a percentage with 80 percent indicating satisfaction.

Demonstrates: The overall quality of OIG products and services as seen by their users.

Revised Source: QAR Assessment Questionnaire

Goal 3: Timeliness

Ensure OIG products and services are issued in time to meet the needs of Congress, SSA, key decisionmakers, and other end users.

STRATEGIES

1. Identify administrative and operational barriers to timely delivery of OIG products and services.
2. Identify and adopt best practices to aid the timeliness of OIG products and services.
3. Identify and use information technology investments to expedite OIG work products and service delivery.
4. Use mid-point or other early warning reports to encourage swift action on sensitive and politically controversial issues.

Self-Measuring Goal 3.1

Evaluate and respond to all allegations received within 30 days through FY 2005.

Performance Measure 3.1

Title: Average Allegation Response Time

Revised Definition: The total number of response days for all allegations closed during the FY divided by the total number of allegations closed during the FY. Response days are the elapsed days from receipt of an allegation to the date it is declined, referred to the appropriate authority, or an investigation is opened.

Demonstrates: OIG's ability to initiate timely action on allegations received.

Source: Investigative case management system

Revised Self-Measuring Goal 3.2

Complete investigative fieldwork for 80 percent of cases within 180 days through FY 2005.

Performance Measure 3.2

Title: Timely Investigative Fieldwork

Revised Definition: The total number of investigations closed or referred for judicial/SSA action during the FY where fieldwork was completed in less than 180 days divided by the total investigations closed during the FY.

Demonstrates: The ability to conduct investigations in an efficient, timely manner.

Source: Investigative case management system

Self-Measuring Goal 3.3

Respond to congressional requests within an average of 30 days through FY 2005.

Performance Measure 3.3

Title: Average Response Time per Congressional Request

Revised Definition: The total processing days for all congressional requests received during the FY divided by the total number of congressional requests received during the FY. Processing days are the days elapsed from receipt of a congressional request to the date of a final response.

Demonstrates: The ability to provide a rapid response to congressional decisionmakers.

Source: OIG control database

Revised Self-Measuring Goal 3.4

Take action on 80 percent of CMP subjects within 30 days of receipt by FY 2005.

Performance Measure 3.4

Title: Timely CMP Case Processing

Revised Definition: The total number of CMP subjects against whom action was taken within 30 days of receipt during the FY divided by the total number of CMP subjects where action was taken during the FY.

Demonstrates: The ability to identify and take timely action on CMP cases.

Source: OCCIG database

Self-Measuring Goal 3.5

Issue 70 percent of final audit reports within 1 year of the entrance conference with SSA.

Performance Measure 3.5

Title: Efficient Audit Practices

Definition: The total number of audit reports issued during the FY within 1 year of the entrance conference divided by the total number of audit reports issued during the FY.

Demonstrates: The ability to efficiently focus, plan, conduct, and report timely audit information.

Source: PAMS database

Self-Measuring Goal 3.6

Issue 95 percent of OIG products in time to meet the needs of Congress, SSA, and other key decisionmakers.

Performance Measure 3.6

Title: Percent of Timely OIG Products

Revised Definition: This measure is calculated by using a five-tier rating scale measuring the strength of agreement about the timeliness of OIG products. Specifically, during our QAR process, we translate these responses into a percentage with 95 percent indicating satisfaction.

Demonstrates: The ability to provide timely information, analysis, and recommendations to congressional, SSA, and other key decisionmakers.

Revised Source: QAR Assessment Questionnaire

Goal 4: Value

To sustain a positive return-result for each tax dollar invested in OIG activities.

STRATEGIES

1. Maintain a “positive-return” culture within OIG.
2. Provide OIG components with training and tools necessary to ensure that analytical methods for determining returns-results are consistent and appropriate.
3. Prioritize high impact investigations, audits, and counsel actions to ensure an appropriate focus on more efficient and economic SSA programs and operations.
4. Maintain an awareness of, and address, both national security and public safety issues during the course of detecting and preventing fraud, waste, and abuse.

Revised Self-Measuring Goal 4.1

Generate an annual positive return on investment.

Performance Measure 4.1

Title: OIG Return on Investment

Definition: The total amount of all OIG loss prevention-related savings identified during the FY divided by the total amount of appropriated funds during the same period.

Demonstrates: The dollar value returned for each tax dollar invested in the SSA OIG.

Revised Source: Division of Budget and Logistics files, PAMS database, and the Investigative case management system

Self-Measuring Goal 4.2

Increase the number of total judicial outcomes by at least 30 percent by FY 2005.

Performance Measure 4.2

Title: Percentage Increase in Total Judicial Outcomes

Revised Definition: The incremental increase in convictions and other judicial outcomes (excluding fugitive felon apprehensions) as reported in OIG’s semiannual reports divided by the

level of judicial outcomes (excluding fugitive felon apprehensions) taken in the base year (2002).

Demonstrates: Additional impacts of OIG activities beyond traditional financial benefits.

Source: Investigative case management system

Goal 5: People

Promote/Ensure a skilled, motivated, diverse workforce in a positive and rewarding work environment.

STRATEGIES

1. Identify underrepresented professional, technical, and managerial skills at headquarters and field locations.
2. Identify assignment interests and developmental needs of all employees.
3. Prioritize resources to address underrepresented skills, employee interests, and developmental needs.
4. Prepare a comprehensive management development program that includes: succession planning, desired core competencies, and both technical and managerial skills for specific targeted positions.
5. Develop a proactive approach in recruiting and hiring candidates to meet different needs.
6. Pilot test, refine, and implement the proposed Organizational Health Assessment Instrument.
7. Be sensitive to and target underrepresented minority groups both internally and externally in recruiting, hiring and staff development.

Self-Measuring Goal 5.1

By FY 2005, achieve an 80 percent retention rate for newly hired employees.

Performance Measure 5.1

Title: OIG Staff Retention Rate

Revised Definition: The total number of employees hired 5 years ago who are still with the OIG through the current reporting period divided by the total number of employees hired 5 years ago.

Demonstrates: The ability of OIG to provide a quality work experience that encourages staff to pursue their career goals within the SSA OIG.

Source: OEO Staffing Data

Self-Measuring Goal 5.2

By FY 2005, achieve an 80 percent positive organizational health assessment rate.

Performance Measure 5.2

Title: Office-wide Organizational Health Ratio

Definition: The total number of organizational health factors receiving a positive rating by all OIG employees divided by the total number of organizational health factors rated by employees.

Demonstrates: The ability of OIG to provide a quality work environment that is attentive to the people, technology, communications, and other human capital factors influencing the job performance of its employees.

Source: Organizational Health Assessment Instrument

Self-Measuring Goal 5.3

Ensure that 90 percent of OIG staff receives at least 40 hours annually of appropriate developmental training.

Performance Measure 5.3

Title: OIG Training - Development Hours

Definition: The total number of OIG staff receiving at least 40 hours of developmental training during the FY divided by the OIG Full-Time Equivalents for the FY.

Demonstrates: OIG's commitment to continual staff development.

Source: OEO Training Database

Self-Measuring Goal 5.4

By FY 2005, improve the overall workforce diversity with an emphasis on underrepresented groups.

Performance Measure 5.4

Title: OIG Workforce Diversity

Definition: The difference in the OIG workforce profile from the beginning of the FY compared to the end of the FY.

Demonstrates: OIG's commitment to diversity in the workforce.

Source: OIG Human Resources Division data