

Office of Inspector General
National Aeronautics and Space Administration

STRATEGIC PLAN RESULTS REPORT

Fiscal Year 2008



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Inspector General

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EXECUTIVE SUMMARY

The Inspector General Act of 1978 established Offices of Inspectors General (OIGs) to promote economy, efficiency, and effectiveness and to detect fraud, waste, and abuse in federal programs and operations. The NASA OIG Strategic Plan for Fiscal Year 2005 (Plan) set forth goals and objectives designed to assist and support NASA in achieving its mission, including the goals outlined in the President's Vision for Space Exploration. The Plan also identified the specific data points we would use to track our activities and to ensure the efficient and effective management of our resources. We will continuously reevaluate our strategic direction and associated goals and data points.

The first Results Report (Report) issued under the Plan established the baseline from which we will measure our progress. The Table of Fiscal Year (FY) 2008 Strategic Goals, Objectives, and Data Points, beginning on page 3, presents our strategic goals and objectives, as well as their corresponding data points. A summary of our FY 2008 reportable data points may be found beginning on page 5.

MISSION

In accordance with the Inspector General Act, we conduct objective oversight of NASA programs and operations and independently report to the Administrator, Congress, and the public to further the Agency's accomplishment of its mission.

ACCOMPLISHING THE MISSION

NASA OIG is comprised of four Offices—Audits, Investigations, Counsel, and Management and Planning—which implement and further the OIG mission as described below:

THE OFFICE OF AUDITS (OA) is responsible for conducting independent and objective audits, reviews, and other examinations to improve the economy, efficiency, and effectiveness of NASA programs, projects, operations, and contractor activities. In addition, OA oversees the work of the independent public accounting firm that is under contract by the OIG to conduct the annual audit of NASA's financial statements.

THE OFFICE OF INVESTIGATIONS (OI) investigates allegations of crime, cybercrime, fraud, waste, abuse, and misconduct that could have an impact on NASA programs, projects, operations, and resources. OI refers its findings either to the Department of Justice for criminal prosecution and civil litigation or to NASA management for administrative action. Through its investigations, OI identifies crime indicators and recommends measures for NASA management that are designed to reduce NASA's vulnerability to criminal activity.

COUNSEL TO THE INSPECTOR GENERAL provides advice and assistance on a variety of legal issues and matters relating to OIG review of NASA's programs and operations. The legal staff reviews legislation, regulations, Freedom of Information Act requests, and congressional matters that require OIG attention. Additionally, the staff provides advice and assistance on legal matters to OIG senior management, auditors, and investigators and serves as counsel in administrative litigation in which the OIG is a party or

has a substantial interest. The legal staff also assists the Department of Justice in litigation in which the OIG participates as part of the prosecution or civil team or in which the OIG is a witness or defendant.

THE OFFICE OF MANAGEMENT AND PLANNING (OMP) provides financial, procurement, human resources, administrative, and information technology (IT) services support to the OIG staff. The OMP develops, executes, and controls the OIG budget; acquires supplies and services through NASA contracting officers; and provides personnel services that include recruitment, performance management, qualifications and classification, and employee-relations functions. The OMP provides state-of-the-art IT capabilities for the NASA OIG and two external OIG customers and coordinates the preparation of the strategic plan and the OIG Semiannual Report to Congress.

At FY 2008 end, the NASA OIG consisted of 186 auditors, analysts, specialists, investigators, and support staff at NASA Headquarters in Washington, DC, and NASA Centers throughout the United States.

GUIDING PRINCIPLES

We maintain a workforce committed to performance, excellence, and accountability by working together to ensure that:

- our activities result in needed change and are responsive to customer needs;
- our opinions and products are independent, objective, and accurate;
- our workforce is highly competent and seeks opportunities for continual improvement; and
- we act with professionalism, integrity, and transparency.

Table of FY 2008 Strategic Goals, Objectives, and Data Points

Strategic Goal	Objective	Data Point
Goal 1. Maximize Value to NASA's Programs and Operations	Objective 1. Provide quality products and services that are clear, accurate, timely, relevant, and responsive to NASA decision-makers, Congress, and other stakeholders	Results from Customer Feedback Quality Surveys for all audits focusing on whether: (1) OIG work products were meaningful/important, (2) OIG results were provided in a timely manner, (3) OIG deliverable/services were useful, and (4) OIG staff conducted themselves in a professional manner.
		Results from closed audit recommendations resulting in: programmatic/policy/regulatory change, questioned costs, and funds put to better use.
	Objective 2. Target resources to address NASA's most important activities including the program issues identified in the Most Serious Management and Performance Challenges Report, the U.S. Government Accountability Office's High Risk List, and the President's Management Agenda and Vision for Space Exploration	Results from closed investigations resulting in: receivables and recoveries, indictments/informations, successful prosecutions, successful civil actions, personnel actions/disciplinary actions, and suspensions/debarments.
		OIG resources used to evaluate/investigate high-impact areas
		Source of OIG work by OIG Office

Table of FY 2008 Strategic Goals, Objectives, and Data Points

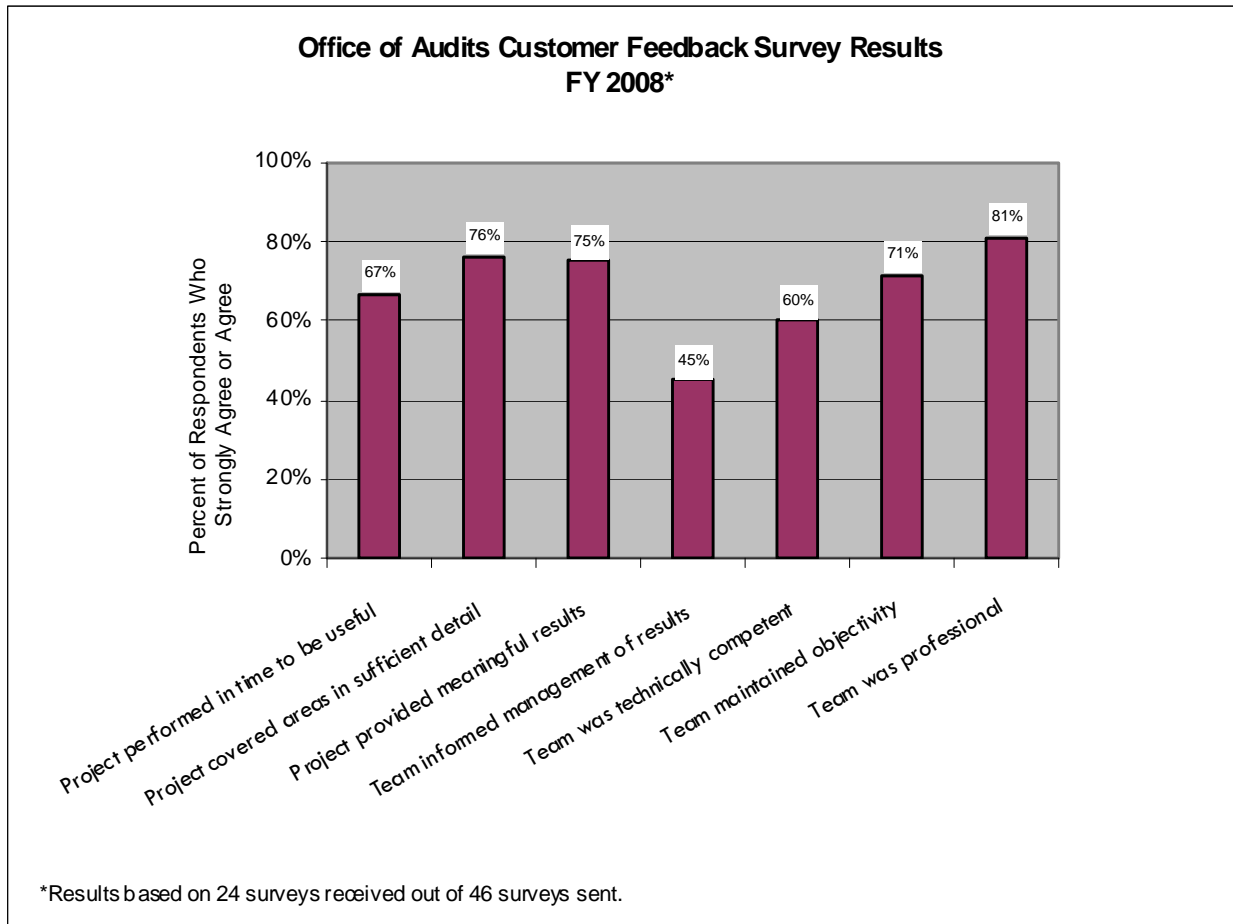
Strategic Goal	Objective	Data Point
Goal 2. Efficiently Provide Independent Products and Services	Objective 1. Adhere to established quality standards as well as statutory, regulatory, and administrative requirements	Results of external and internal program reviews
	Objective 2. Continuously assess OIG work processes and products to identify needed efficiencies	Time to complete audits/investigations
		Costs of audits/investigations
	Objective 3. Improve communication and information sharing within the OIG	Noteworthy joint activities within the OIG
Goal 3. Manage Resources and Services for Optimal Results	Objective 1. Efficiently and effectively employ public assets and resources	Results attained with OIG budget
		Percentage of staff with completed performance appraisals, core competencies worksheets and related discussions, and individual development plans (IDPs)
		Percentage of staff receiving awards and recognition for their contributions
		Percentage of staff failing, meeting/exceeding, and significantly exceeding performance standards
		Staff on board at end of fiscal year versus authorized level
		OIG employee average grade by fiscal year
		OIG attrition rates
		Periodic employee surveys to evaluate workplace excellence
	Objective 2. Ensure the OIG has appropriate skill mix to meet customer needs and to maximize staff performance	Employee skill mix

FY 2008 Reportable Data Points

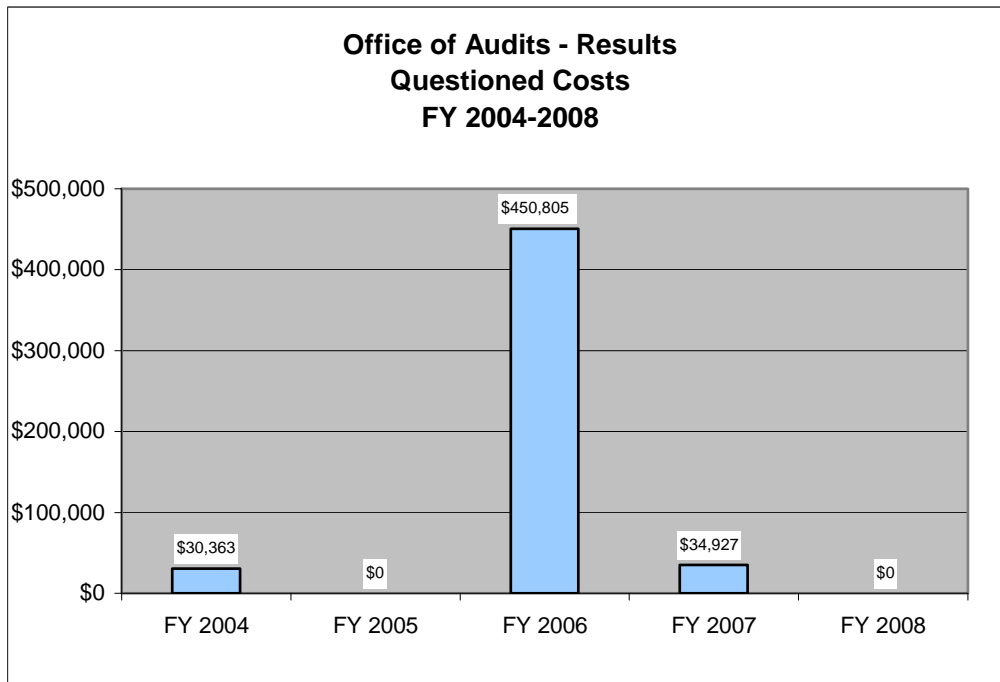
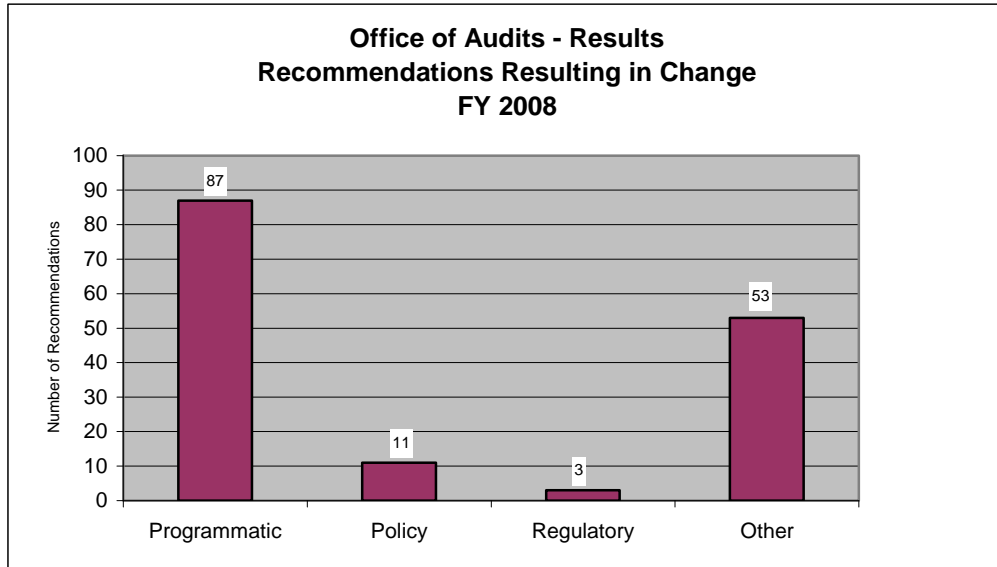
STRATEGIC GOAL 1: MAXIMIZE VALUE TO NASA'S PROGRAMS AND OPERATIONS

OBJECTIVE 1: Provide quality products and services that are clear, accurate, timely, relevant, and responsive to NASA decision-makers, Congress, and other stakeholders

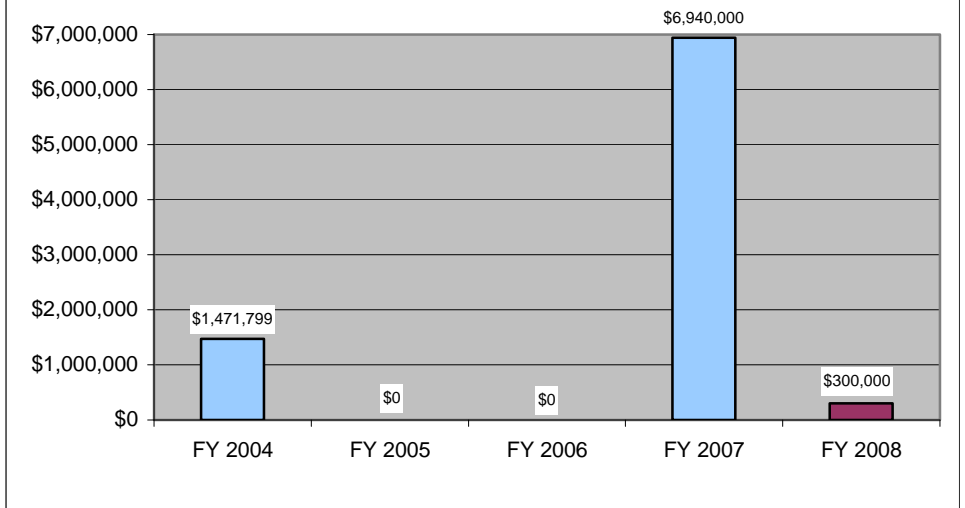
DATA POINT: Results from Customer Feedback Quality Surveys for all audits



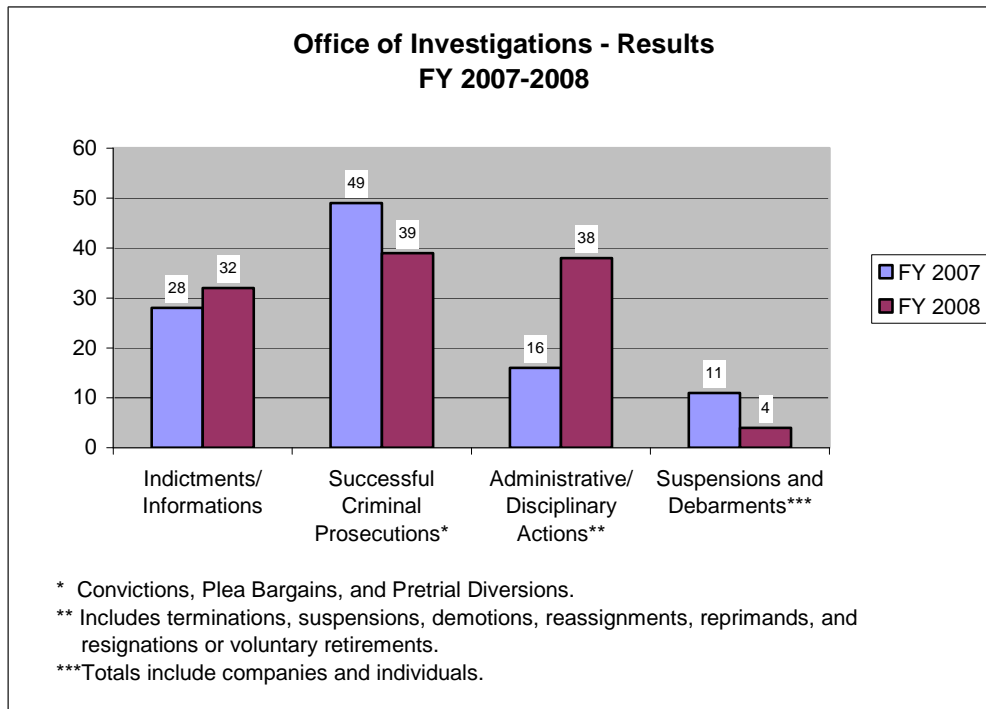
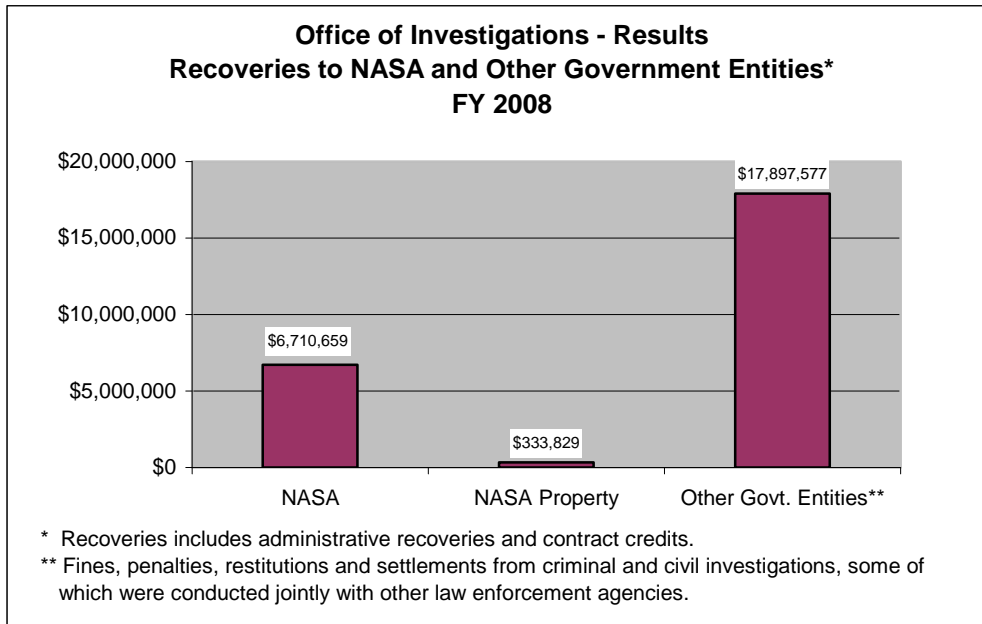
DATA POINT: Results from closed audit recommendations resulting in: programmatic/policy/regulatory change, questioned costs, and funds put to better use



**Office of Audits - Results
Funds Put to Better Use
FY 2004-2008**

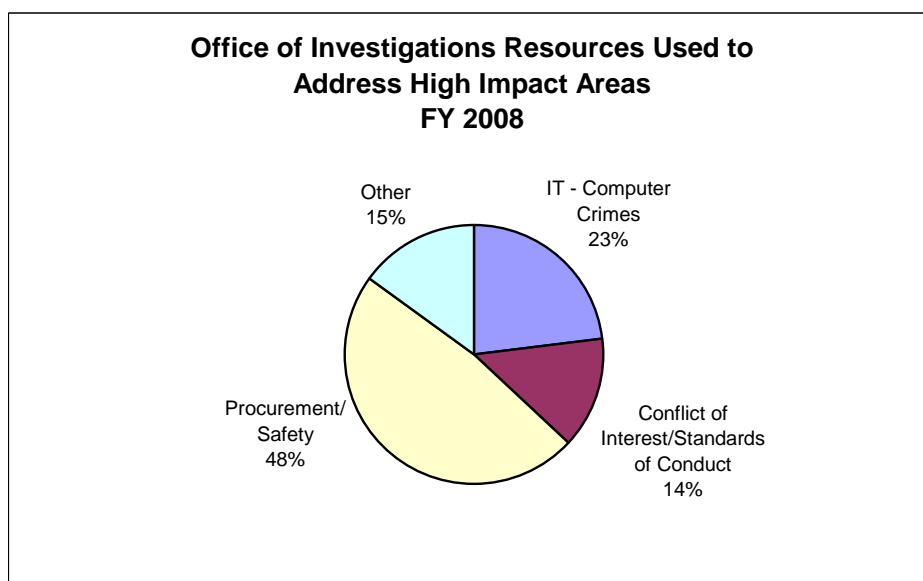
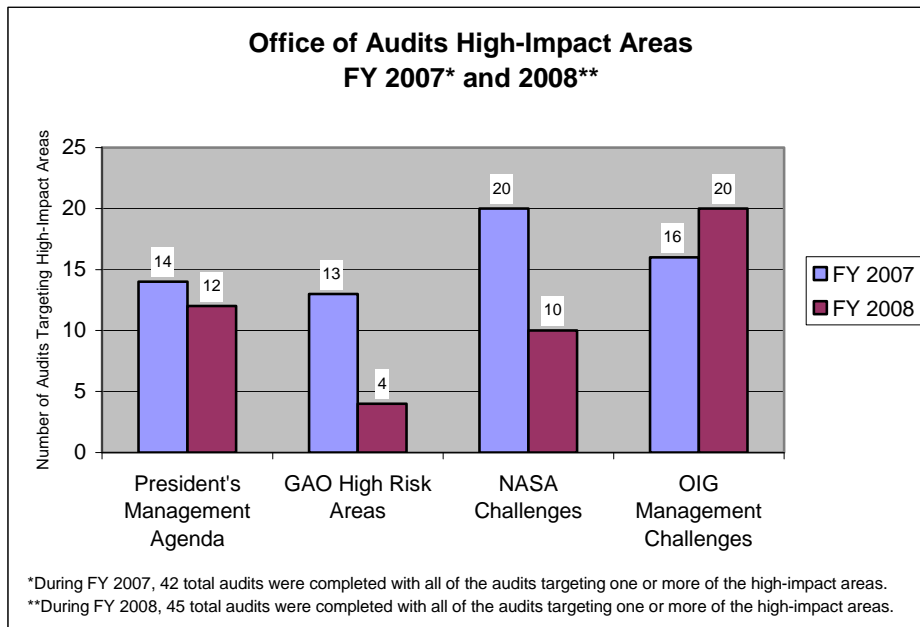


DATA POINT: Results from closed investigations resulting in: receivables and recoveries, indictments/informations, successful prosecutions, successful civil actions, personnel actions/disciplinary actions, and suspensions/debarments

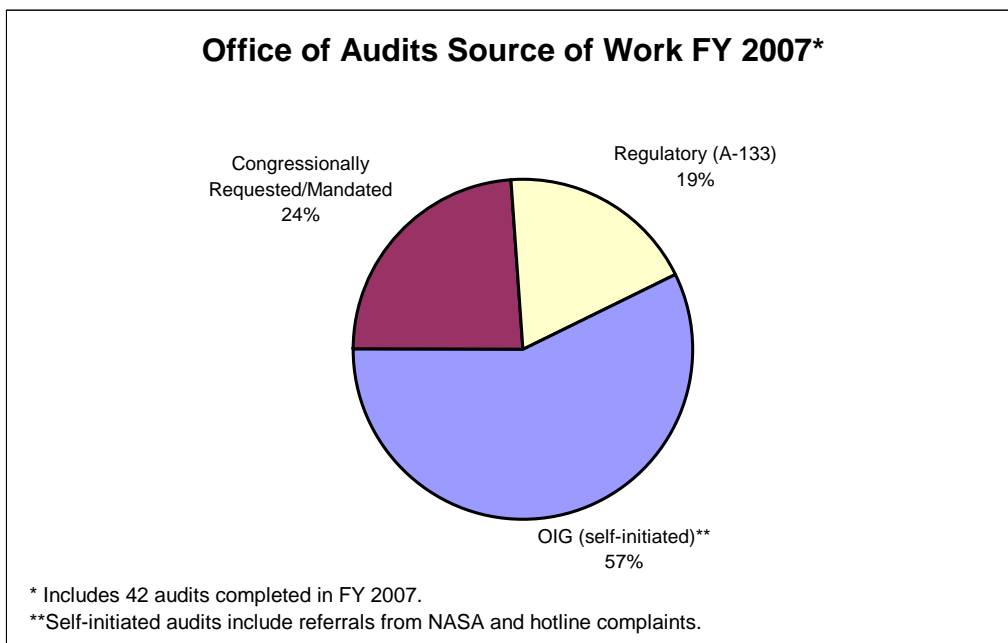
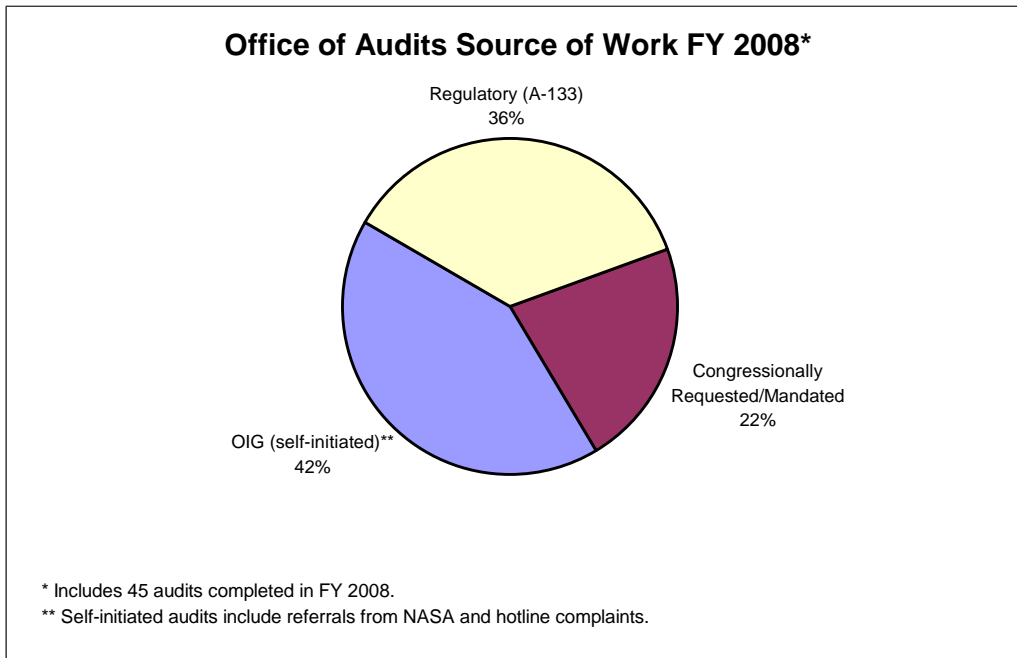


OBJECTIVE 2: Target resources to address NASA's most important activities including the program issues identified in the Most Serious Management and Performance Challenges Report, the U.S. Government Accountability Office's High Risk List, and the President's Management Agenda and Vision for Space Exploration

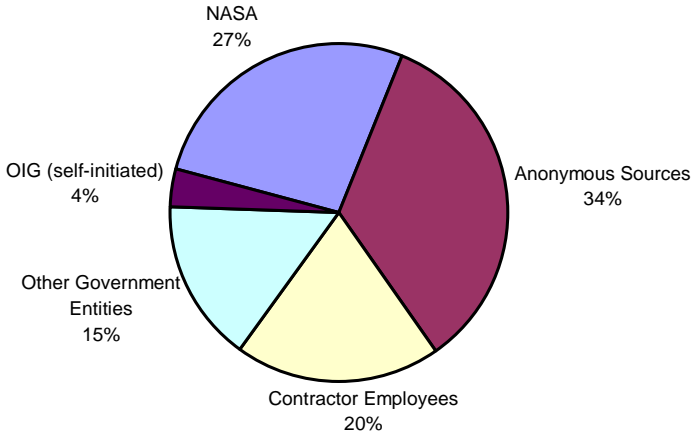
DATA POINT: OIG resources used to evaluate/investigate high-impact areas



DATA POINT: Source of OIG work by OIG Office

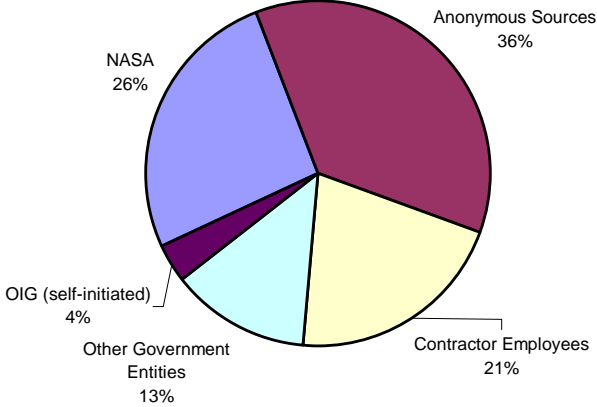


Office of Investigations Source of Work FY 2008*



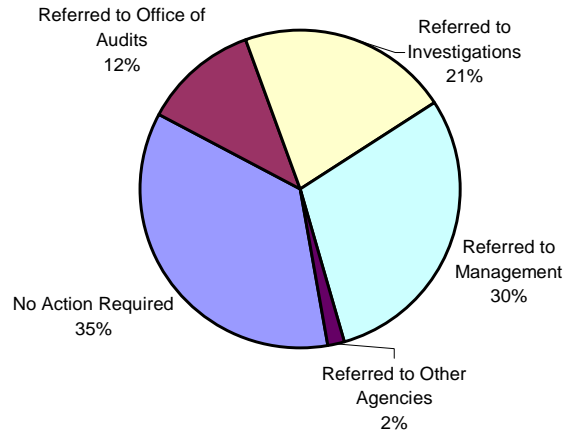
*Includes 247 cases opened (preliminary, administrative and full investigations) in FY 2008.

Office of Investigations Source of Work FY 2007*



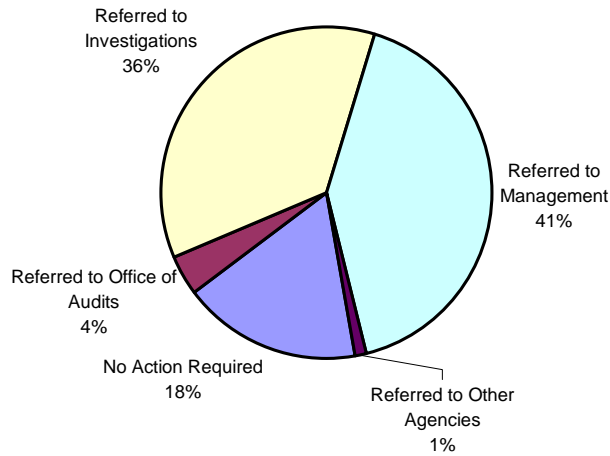
*Includes 297 cases opened (preliminary, administrative and full investigations) in FY 2007.

**Office of Investigations
Dispositioning of FY 2008 Hotline Complaints***



*169 Hotline complaints received in FY 2008.

**Office of Investigations
Dispositioning of FY 2007 Hotline Complaints***



*160 Hotline complaints received in FY 2007.

STRATEGIC GOAL 2: EFFICIENTLY PROVIDE INDEPENDENT PRODUCTS AND SERVICES

OBJECTIVE 1: Adhere to established quality standards as well as statutory, regulatory, and administrative requirements

DATA POINT: Results of external and internal program reviews

OFFICE OF AUDITS INTERNAL REVIEW

The Office of Audits conducted an internal review during this period to identify the strengths and areas for improvement.

The internal review found that the audit teams typically conducted audits in accordance with Generally Accepted Government Auditing Standards (GAGAS). Overall, OIG audit teams collectively possessed the professional proficiency, knowledge, and training necessary for conducting their assigned projects. Audit reports contained relevant information presented in a clear, concise manner. However, the following areas need improvement:

- Audit teams did not always follow internal policies and procedures for preparing audit programs, ensuring the validity and reliability of evidence used to support findings and conclusions, and independently referencing reports before issuance.
- Supervisors did not always review and approve working papers and supporting documentation in a timely manner.

These areas continue to receive emphasis in current audit assignments and are evaluated as part of employees' annual performance reviews.

OFFICE OF AUDITS EXTERNAL PEER REVIEW

General Services Administration OIG conducted an external peer review in 2007, and we received an "unmodified" (clean) opinion. However, they reported two findings of non-compliance with our policies and made two recommendations. As a result of the external review, the Assistant Inspector General for Auditing notified all Office of Audits staff of the peer review conclusions, findings, and recommendations and cited the need to follow specific GAGAS and NASA OIG policies. The Office of Audits also implemented revised employees' annual performance evaluation plans that included performance standards with measurements related to the audit process and procedures.

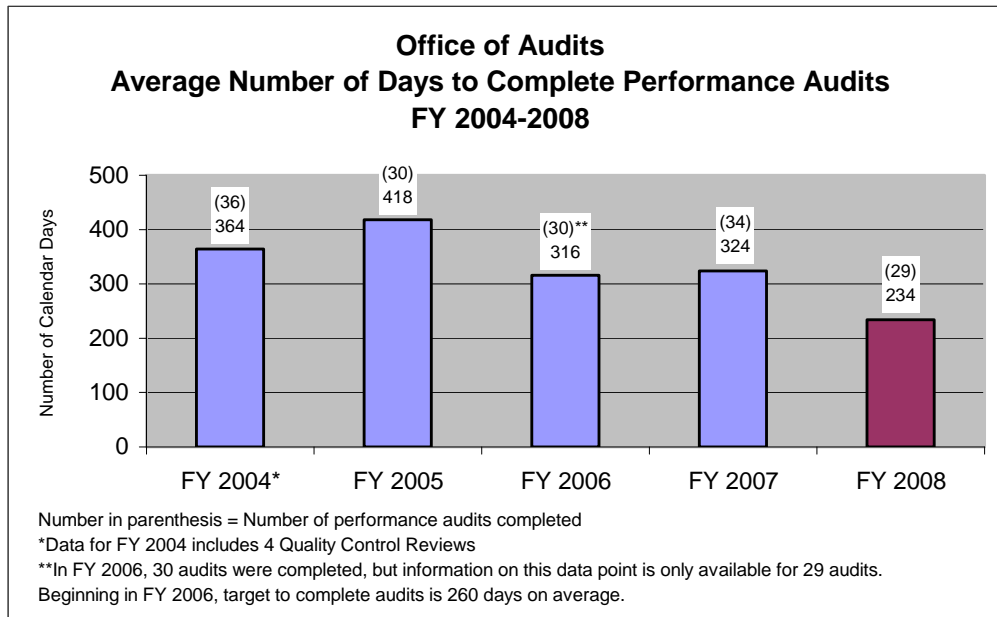
OFFICE OF INVESTIGATIONS EXTERNAL PEER REVIEW

An external peer review was conducted in 2008 by the Department of Veterans Affairs OIG. They found that our system of safeguards and management procedures fully comply with quality standards of the President's Council on Integrity and Efficiency, and guidelines of the Attorney General. In addition, they provided five recommendations for improving processes and programs within the Office of Investigations. As a result of the external review, the Office of Investigations is considering the following suggested improvements:

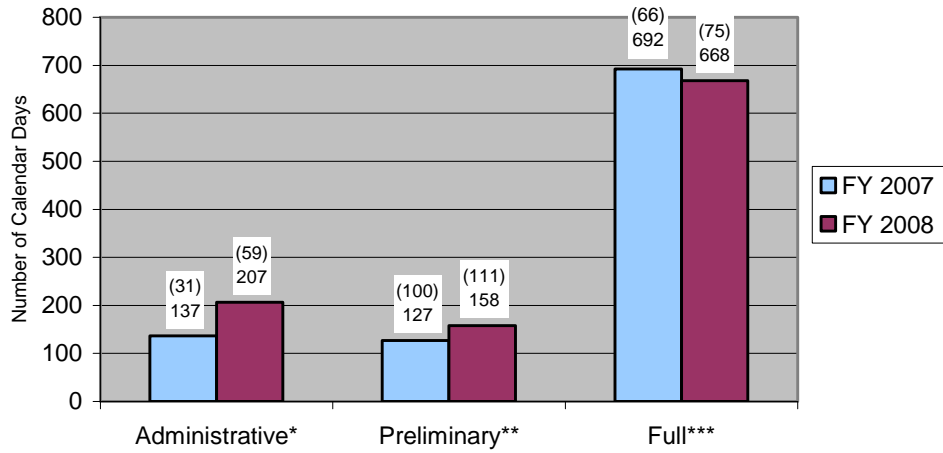
- Re-examining the Office of Investigations' quality assurance program to ensure full policy compliance.
- Ensuring semiannual property inventories include sensitive law enforcement equipment as well as other accountable property and computers.
- Adapting the management information system to run various periodic training reports that will allow field and Headquarters managers to more efficiently and effectively track employee training inventories.
- Revising Office of Investigations' policy manual Chapter 27 on training and career development for special agents to standardize training and documentation.
- Consider requiring special agents to file annual certifications attesting that they comply with all requirements in the Lautenberg Amendment, and requiring them to have annual National Crime Information Center checks.

OBJECTIVE 2: Continuously assess OIG work processes and products to identify needed efficiencies

DATA POINT: Time to complete audits/investigations



**Office of Investigations
Median Number of Days to Complete Investigations
FY 2007-2008**



Number in parentheses = Number of investigations closed

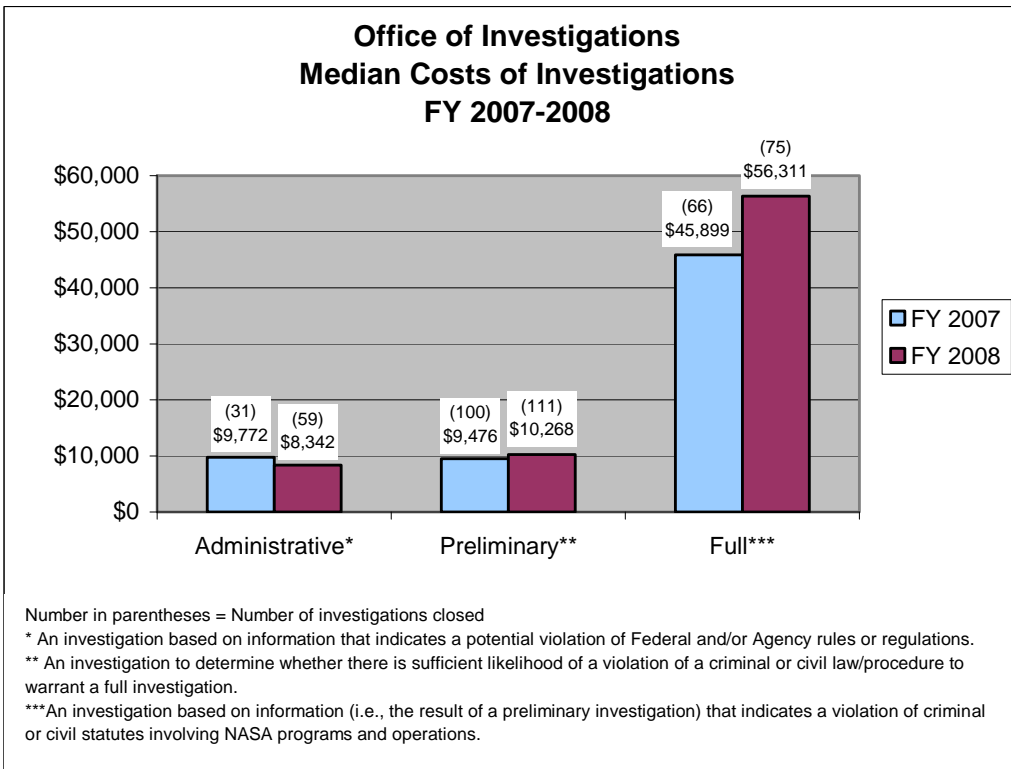
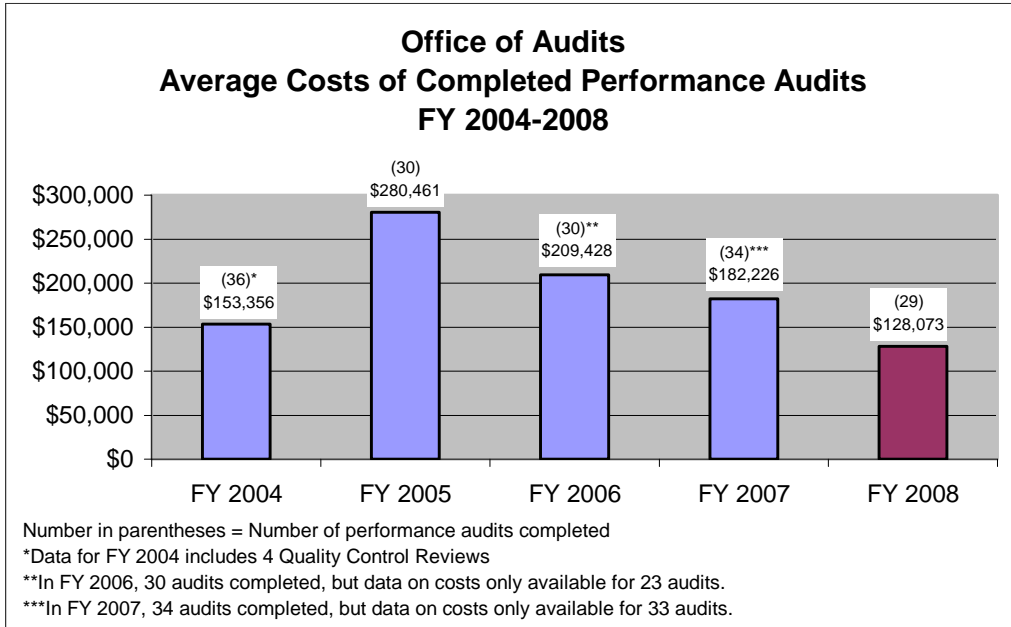
* An investigation based on information that indicates a potential violation of Federal and/or Agency rules or regulations.

** An investigation to determine whether there is sufficient likelihood of a violation of a criminal or civil law/procedure to warrant a full investigation.

*** An investigation based on information (i.e., the result of a preliminary investigation) that indicates a violation of criminal or civil statutes involving NASA programs and operations.

Note: Target to complete administrative investigations is 90 days and preliminary investigations is 180 days.

DATA POINT: Costs of audits/investigations



OBJECTIVE 3: Improve communication and information sharing within the OIG

DATA POINT: Noteworthy joint activities within the OIG

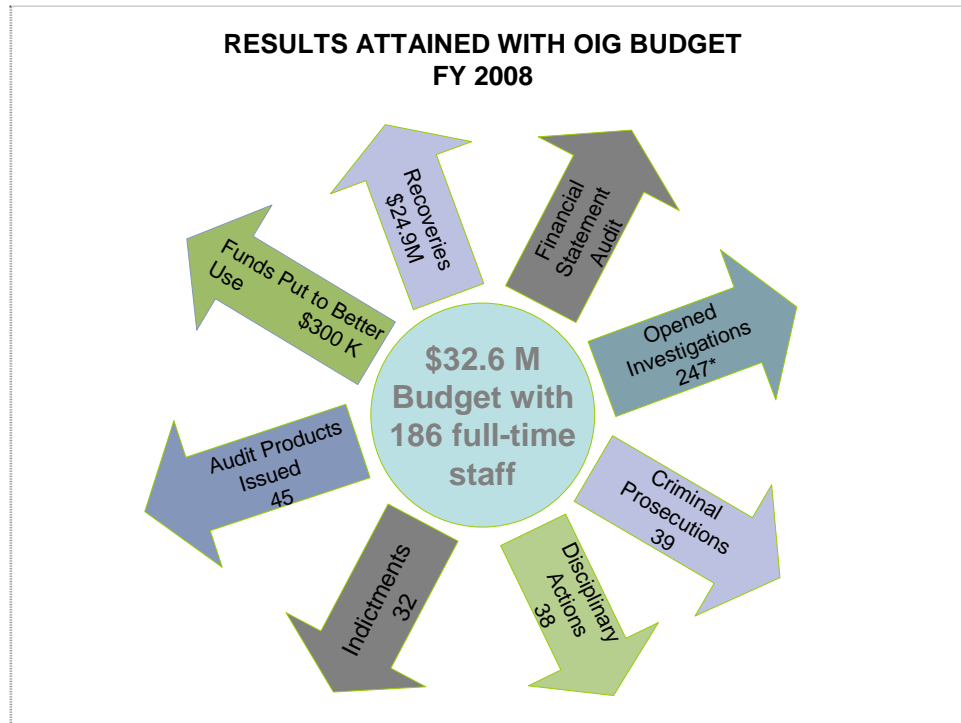
The following FY 2008 accomplishments reflect the positive impact our collaborative, interdisciplinary efforts have on combating fraud, waste, abuse, and mismanagement at NASA and improving Agency programs and processes:

- Each year, the Office of Audits, Office of Investigations, and Counsel to the Inspector General work collectively to report on *NASA's Most Serious Management and Performance Challenges*, as required by the Reports Consolidation Act of 2000, and *NASA's Compliance with Federal Export Control Laws and Risks Associated with the Illegal Transfer or Theft of Sensitive Technologies*, as required by Public Law 106-391, National Aeronautics and Space Administration Authorization Act of 2000. In addition, the three offices coordinate at the start of audit projects, and the Counsel to the Inspector General plays a vital role in ensuring fullest possible release of information while protecting NASA and contractor information as appropriate by providing timely Freedom of Information Act reviews of published material.
- The Office of Audits released its report, *Final Memorandum on the Standing Review Board for the Orion Crew Exploration Vehicle Project*, concerning conflicts of interest that the audit team found to exist for certain advisory board members and NASA's failure to organize the board in accordance with the Federal Advisory Committee Act (FACA). Specifically, the audit team found that the Orion Standing Review Board (SRB) was not established in accordance with Federal law or NASA guidance. Although the Orion SRB met the definition of an advisory committee given in Title 5, United States Code Appendix, Sections 1-16, the Agency did not establish the SRB in accordance with the Act. As a result, the 19 SRB members were selected without being evaluated in accordance with NASA's ethics process, which resulted in the board including 6 members (32 percent) with organizational conflicts of interest. The Counsel to the Inspector General played a significant role during the course of the audit, providing support, assistance, and advice in researching the case law supporting the applicability of FACA to the SRB and concerning the applicability of the Federal Acquisition Regulation in relation to SRB members' organizational conflicts of interest.
- The Office of Investigations released its report, *Investigative Summary Regarding Allegations that NASA Suppressed Climate Change Science and Denied Media Access to Dr. James E. Hansen, a NASA Scientist*, in response to a request for investigation from 14 United States Senators. In essential part, the investigation found that, "during the fall of 2004 through early 2006, the NASA Headquarters Office of Public Affairs managed the topic of climate change in a manner that reduced, marginalized, or mischaracterized climate change science made available to the general public..." During the course of the investigation, the Office of Investigations received support, assistance, and advice from the Counsel to the Inspector General, to include research into the applicability of the Space Act, participation in witness interviews, and drafting of significant portions of the report.
- The Office of Investigations submitted a Management Referral to the NASA Chief Financial Officer concerning the use of Mission Management Aircraft by a former NASA Administrator. Based on the investigation conducted by the Office of Investigations and the Office of Audits, it was found that two trips taken by the former Administrator appeared to not comply with then existing NASA regulations governing the use of the aircraft. The referral was made to NASA management for possible collection of funds from the former Administrator under the Federal Claims Collection Act. NASA responded to this referral with its decision not to pursue any actions in this matter.

STRATEGIC GOAL 3: MANAGE RESOURCES AND SERVICES FOR OPTIMAL RESULTS

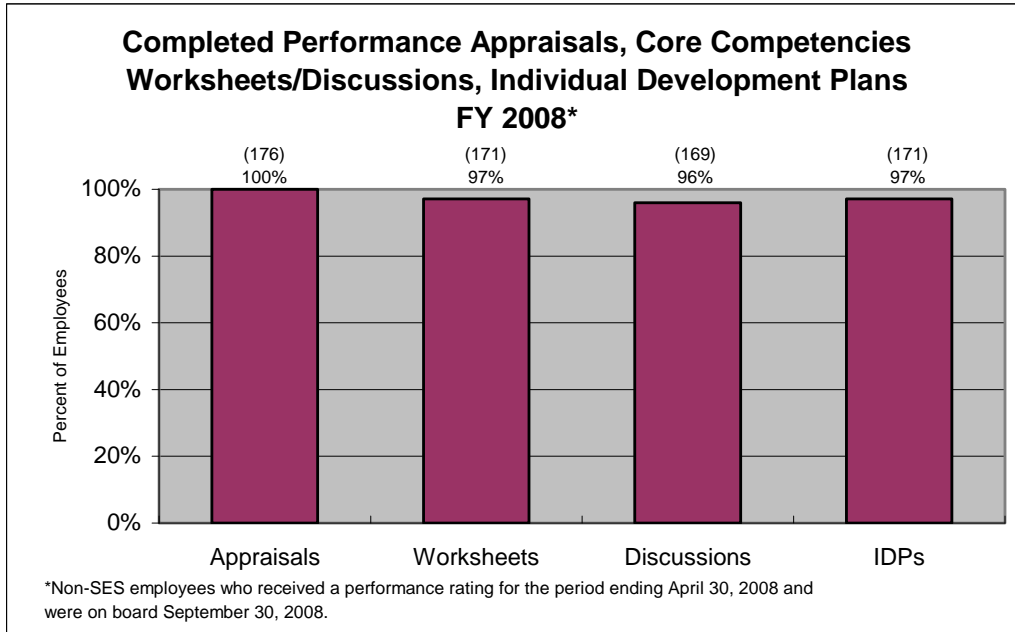
OBJECTIVE 1: Efficiently and effectively employ public assets and resources

DATA POINT: Percentage of staff receiving awards and recognition for their contributions

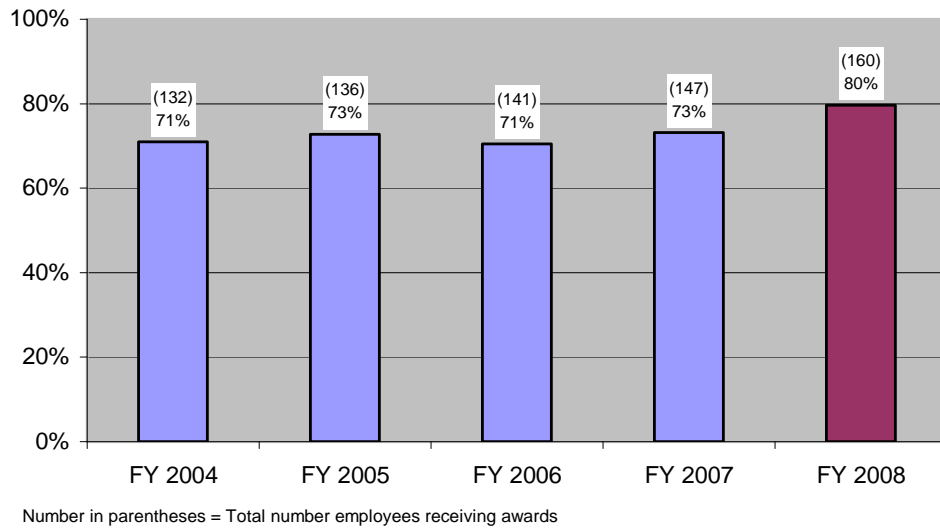


* Includes all cases opened (preliminary, administrative and full investigations).

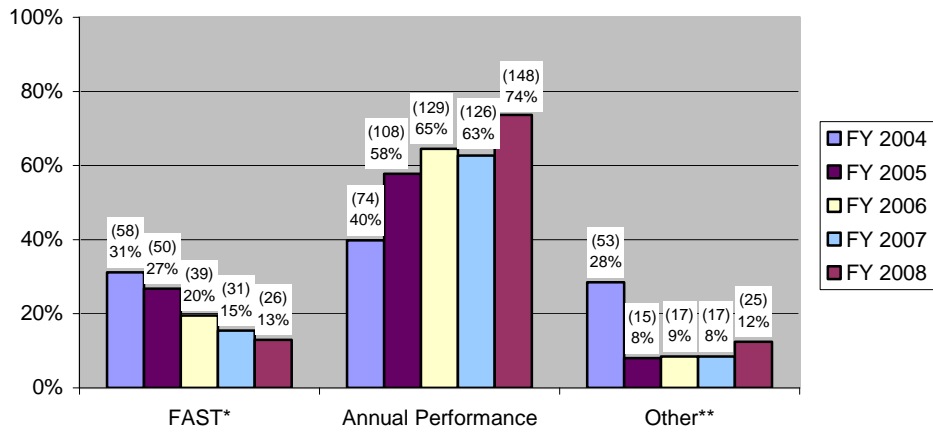
DATA POINT: Percentage of staff with completed performance appraisals, core competencies worksheets and related discussions, and individual development plans (IDPs)



Percentage of OIG Staff Receiving Awards FY 2004-2008



Percentage of OIG Employees Receiving Awards by Type FY 2004-2008

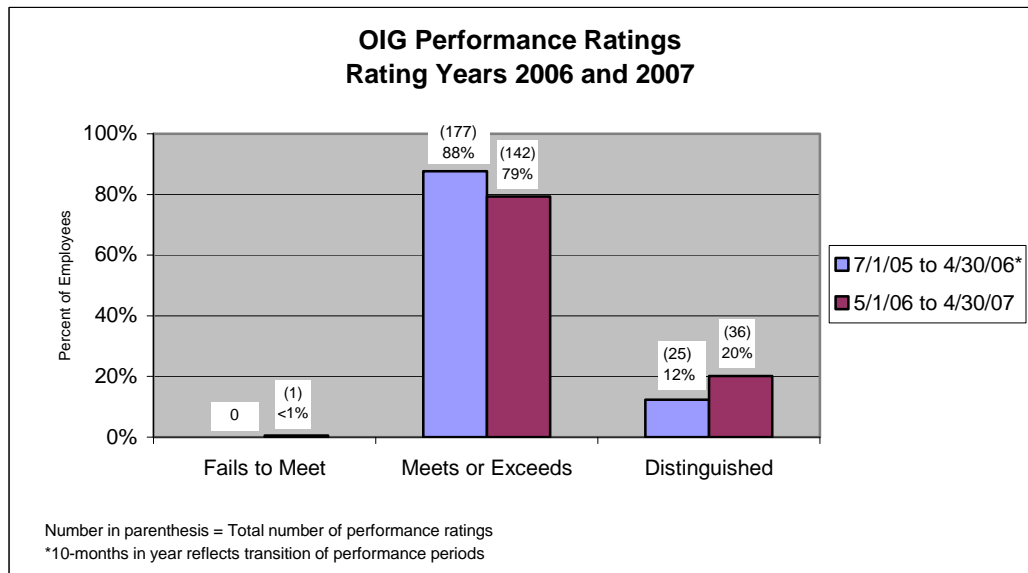
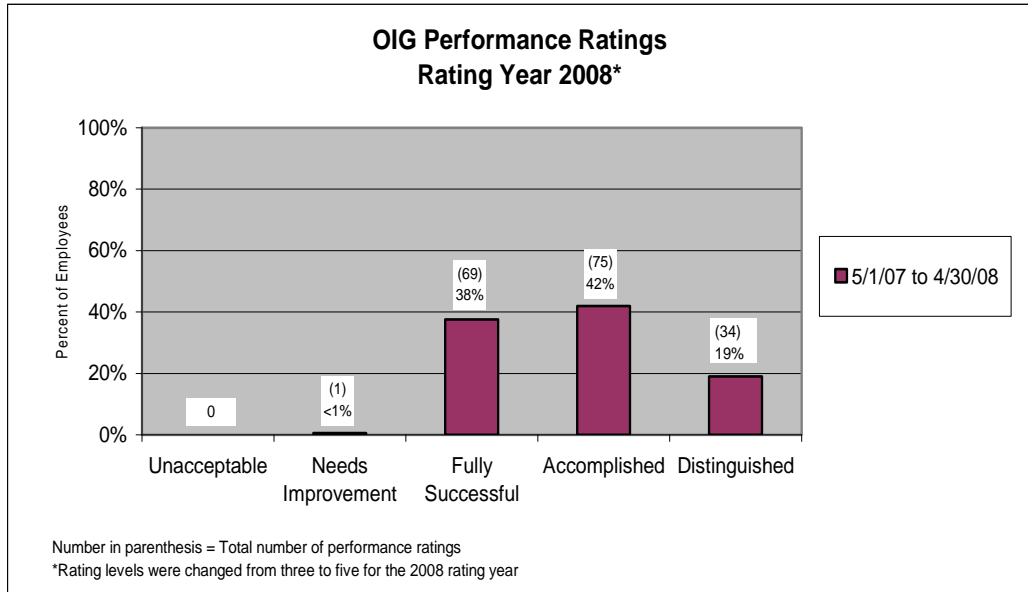


*FAST = Award for a special task

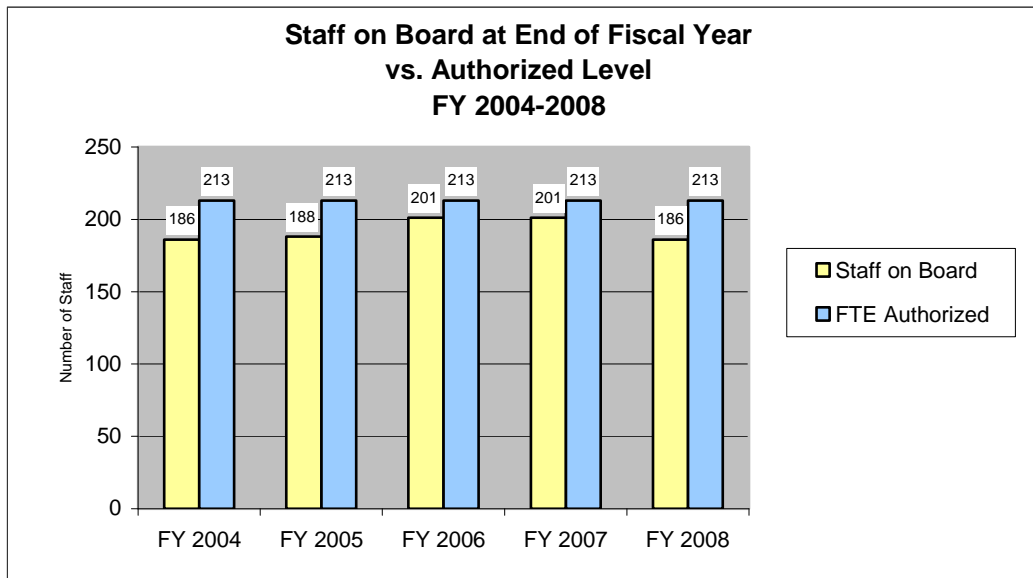
**Other = Special Act, Quality Step Increase, Time Off awards

Number in parentheses = Total number of employees receiving awards

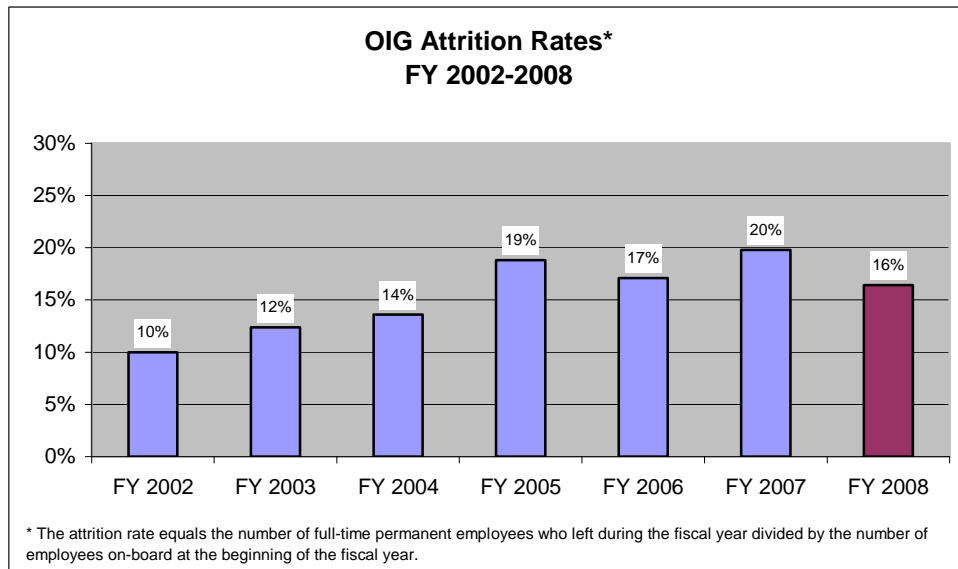
DATA POINT: Percentage of staff failing, meeting/exceeding, and significantly exceeding performance standards



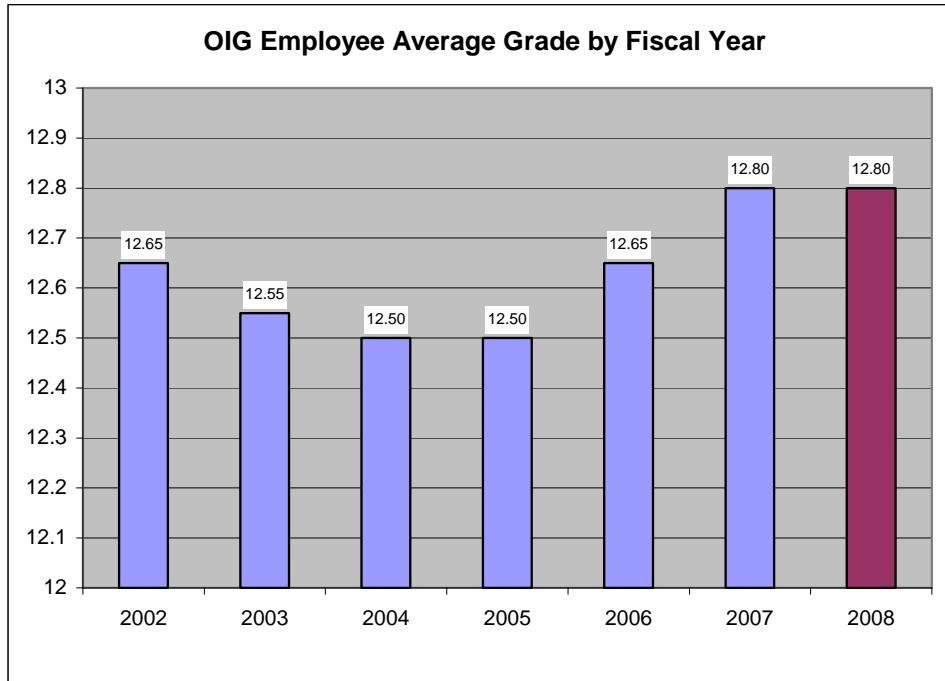
DATA POINT: Staff on board at end of fiscal year versus authorized level



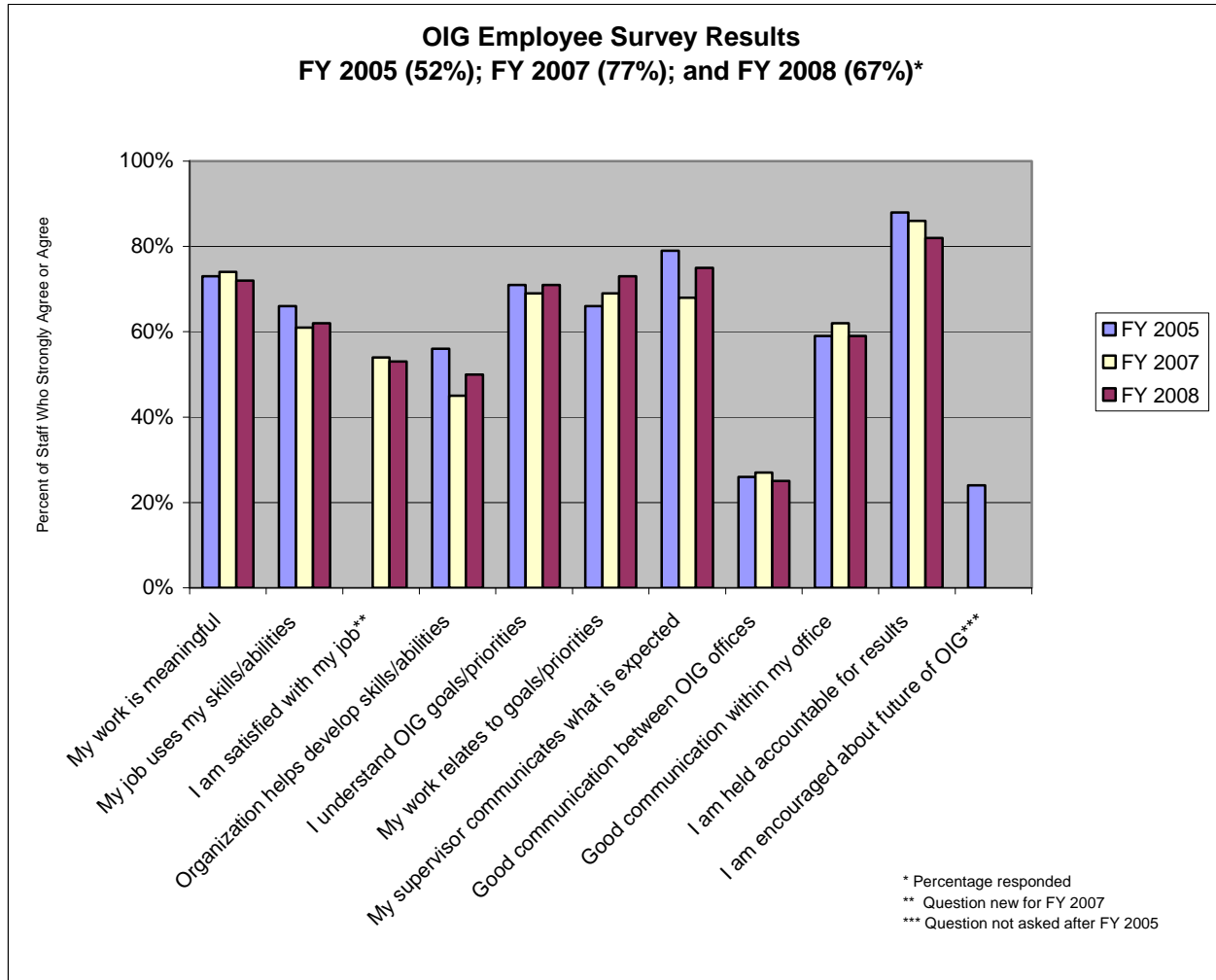
DATA POINT: OIG attrition rates



DATA POINT: OIG Employee average grade by fiscal year



DATA POINT: Periodic employee surveys to evaluate workplace excellence



OBJECTIVE 2: Ensure the OIG has appropriate skill mix to meet customer needs and to maximize staff performance

DATA POINT: Employee Skill Mix

