

# Archived Information

## Office of the Inspector General (OIG) - 2002

### Goal 8: FY 2002 OIG Performance Report

**Objective 8.1 of 2: To Improve the Department's Programs and Operations.**

#### Indicator 8.1.1 of 5: Percentage of OIG Work Plan Goal 1 assignments initiated

Targets and Performance Data			Assessment of Progress	Sources and Data Quality					
<i>% of first year Work Plan assignments initiated coinciding with the Performance Report</i>			<b>Status: Target not met</b>  <b>Explanation:</b> This is a new measure. While the target was substantially met, we will assess over time the appropriate target level.	<b>Additional Source Information:</b> OIG Time and Travel Reporting System  <b>Frequency:</b> Annually. <b>Collection Period:</b> 2003 <b>Data Available:</b> November 2003 Information is validated internally.					
					<table border="1"> <thead> <tr> <th>Year</th> <th>Actual Performance</th> <th>Performance Targets</th> </tr> </thead> <tbody> <tr> <td></td> <td style="text-align: center;">%</td> <td style="text-align: center;">%</td> </tr> <tr> <td style="text-align: center;">2002</td> <td style="text-align: center;">62</td> <td style="text-align: center;">65</td> </tr> </tbody> </table>	Year	Actual Performance	Performance Targets	
Year	Actual Performance	Performance Targets							
	%	%							
2002	62	65							

#### Indicator 8.1.2 of 5: Percentage of OIG Work Plan Goal 1 assignments that yield significant recommendations.

Targets and Performance Data			Assessment of Progress	Sources and Data Quality					
<i>% of first year Work Plan assignments initiated coinciding with the Performance Report producing significant recommendations.</i>			<b>Status: Target exceeded</b>  <b>Explanation:</b> Significant monetary recommendation is defined as recovering monetary amounts of questioned, unsupported, or other dollars of \$300,000 or more. It also includes the associated recommendation to establish/implement control techniques to prevent recurrence of the condition that results in the monetary finding or better use of funds of \$500,000 or more. Significant nonmonetary recommendation is a recommendation to establish/implement procedures or control techniques to (1) improve the effective or efficient delivery of program services; (2) safeguard assets or prevent fraud, waste, or abuse; or (3) improve the integrity, accuracy, and completeness of management data involving a program, or a significant component of any program, funded at \$500,000 or more annually	<b>Additional Source Information:</b> OIG Audit and Analysis and Inspection Reports  <b>Frequency:</b> Other. <b>Collection Period:</b> 2002 - 2003 <b>Data Available:</b> November 2003 Validation done internally.  <b>Limitations:</b> The measure includes only recommendations from audit and inspection reports. Significant recommendations from other OIG services, such as quick response projects and advice and technical assistance are not included in this measure.					
					<table border="1"> <thead> <tr> <th>Year</th> <th>Actual Performance</th> <th>Performance Targets</th> </tr> </thead> <tbody> <tr> <td></td> <td style="text-align: center;">%</td> <td style="text-align: center;">%</td> </tr> <tr> <td style="text-align: center;">2002</td> <td style="text-align: center;">76</td> <td style="text-align: center;">75</td> </tr> </tbody> </table>	Year	Actual Performance	Performance Targets	
Year	Actual Performance	Performance Targets							
	%	%							
2002	76	75							

#### Indicator 8.1.3 of 5: The number and percentage of significant recommendations from OIG products that the Department accepted during the current fiscal year.

Targets and Performance Data			Assessment of Progress	Sources and Data Quality
<i>Significant recommendations accepted during the FY that coinciding with Report time frame. Accepted recommendations can be from OIG work in the current or a</i>			<b>Status: Target exceeded</b>  <b>Progress:</b>	<b>Additional Source Information:</b> OIG audit and inspection reports.

<i>previous fiscal year.</i>			<b>269 recommendations</b>	<b>Frequency:</b> Annually. <b>Collection Period:</b> 2002 - 2003 <b>Data Available:</b> November 2003 Internal OIG validation  <b>Limitations:</b> Based on self-reported data generated by ED staff
Year	Actual Performance	Performance Targets		
	%	%		
<b>2002</b>	99	80		

**Indicator 8.1.4 of 5: The number and percentage of significant recommendations implemented within one year of acceptance by the Department.**

Targets and Performance Data			Assessment of Progress	Sources and Data Quality
<i>.The significant recommendations implemented during the FY.</i>			<b>Status: Target exceeded</b>  <b>Progress:</b>  <b>220 implemented</b>	<b>Additional Source Information:</b> OIG audit and inspection records  <b>Frequency:</b> Annually. <b>Collection Period:</b> 2002 - 2003 <b>Data Available:</b> November 2003 Validated by OIOG personnel
Year	Actual Performance	Performance Targets		
	%	%		
<b>2002</b>	82	70		

**Indicator 8.1.5 of 5: Percentage of respondents indicating that OIG Goal 1 activity had a favorable impact in improving Departmental programs and operations.**

Targets and Performance Data			Assessment of Progress	Sources and Data Quality
<i>Response from surveyed program officials, senior managers, and selected members of Congress.</i>			<b>Status: Unable to judge</b>  <b>Progress:</b> New survey under development  <b>Explanation:</b> The OIG is developing a more comprehensive survey, which is designed to provide information about OIG performance in a number of areas instead of the one overall impact measure.	<b>Additional Source Information:</b> Annual survey
Year	Actual Performance	Performance Targets		
	%	%		
<b>2002</b>		75		

**Objective 8.2 of 2: To Protect the Integrity of the Department's Programs and Operations.**

**Indicator 8.2.1 of 9: Percentage of OIG Work Plan Goal 2 assignments initiated.**

Targets and Performance Data			Assessment of Progress	Sources and Data Quality
<i>Percentage of first year Work Plan assignments initiated.</i>			<b>Status: Target exceeded</b>  <b>Progress:</b>  <b>287 cases</b>	<b>Additional Source Information:</b> OIG Time and Travel Reporting System  <b>Frequency:</b> Annually. <b>Collection Period:</b> 2002 - 2003 <b>Data Available:</b> November 2003 Data is validated
Year	Actual Performance	Performance Targets		
<b>2002</b>	67	65		

			internally									
<b>Indicator 8.2.2 of 9: Percentage of OIG Work Plan Goal 2 assignments that yield significant recommendations.</b>												
Targets and Performance Data		Assessment of Progress	Sources and Data Quality									
<i>The percentage of first year Work Plan assignments completed for the FY that produced significant recommendations</i> <table border="1"> <thead> <tr> <th>Year</th> <th>Actual Performance</th> <th>Performance Targets</th> </tr> </thead> <tbody> <tr> <td></td> <td>%</td> <td>%</td> </tr> <tr> <td>2002</td> <td>50</td> <td>75</td> </tr> </tbody> </table>		Year	Actual Performance	Performance Targets		%	%	2002	50	75	<b>Status: Target not met</b>  <b>Explanation:</b> Number of goal 2 recommendations insufficient (1 of 2) for statistical significance	<b>Additional Source Information:</b> OIG audits and inspections  <b>Frequency:</b> Annually. <b>Collection Period:</b> 2002 - 2003 <b>Data Available:</b> November 2003 Data validated internally.  <b>Limitations:</b> The measure includes only recommendations from audit and inspection reports. Significant recommendations from other OIG services, such as quick response projects and advice and technical assistance are not included in this measure.
Year	Actual Performance	Performance Targets										
	%	%										
2002	50	75										
<b>Indicator 8.2.3 of 9: The number and percentage of investigations that are referred for criminal, civil, or administrative actions.</b>												
Targets and Performance Data		Assessment of Progress	Sources and Data Quality									
<i>Referrals during the FY</i> <table border="1"> <thead> <tr> <th>Year</th> <th>Actual Performance</th> <th>Performance Targets</th> </tr> </thead> <tbody> <tr> <td></td> <td>%</td> <td>%</td> </tr> <tr> <td>2002</td> <td>83</td> <td>75</td> </tr> </tbody> </table>		Year	Actual Performance	Performance Targets		%	%	2002	83	75	<b>Status: Target exceeded</b>  <b>Progress:</b>  287 cases	<b>Additional Source Information:</b> OIG Investigative Case Tracking System  <b>Frequency:</b> Annually. <b>Collection Period:</b> 2002 - 2003 <b>Data Available:</b> November 2003 Information is validated internally
Year	Actual Performance	Performance Targets										
	%	%										
2002	83	75										
<b>Indicator 8.2.4 of 9: The number and percentage of investigations that are referred for criminal, civil, or administrative actions that are accepted.</b>												
Targets and Performance Data		Assessment of Progress	Sources and Data Quality									
<i>Measures, as based on close case universe</i> <table border="1"> <thead> <tr> <th>Year</th> <th>Actual Performance</th> <th>Performance Targets</th> </tr> </thead> <tbody> <tr> <td></td> <td>%</td> <td>%</td> </tr> <tr> <td>2002</td> <td>68</td> <td>85</td> </tr> </tbody> </table>		Year	Actual Performance	Performance Targets		%	%	2002	68	85	<b>Status: Target not met</b>  <b>Progress:</b> There was a methodology change in how the statistic was derived. It is now based on the closed case universe that coincides with the Performance Report timelines. This is our baseline data and we will determine over time the	<b>Additional Source Information:</b> OIG Investigative Case Tracking System  <b>Frequency:</b> Annually. <b>Collection Period:</b> 2002 - 2003 <b>Data Available:</b> November 2003
Year	Actual Performance	Performance Targets										
	%	%										
2002	68	85										

	appropriate annual target.	Data is validated internally
<b>Indicator 8.2.5 of 9: The number and percentage of accepted cases that result in judicial actions (e.g. indictments, civil filings, convictions, adverse personnel actions, and suspensions and debarments).</b>		
Targets and Performance Data	Assessment of Progress	Sources and Data Quality
<i>Measure, as based on close case universe</i>	<b>Status: Target exceeded</b>	<b>Additional Source Information:</b> OIG Investigative Case Tracking System
<b>Year</b>	<b>Actual Performance</b>	<b>Performance Targets</b>
	%	%
<b>2002</b>	83	80
		<b>Frequency:</b> Annually. <b>Collection Period:</b> 2002 - 2003 <b>Data Available:</b> November 2003 Data is validated internally
<b>Indicator 8.2.6 of 9: Amount of monetary penalties, settlements, and recoveries.</b>		
Targets and Performance Data	Assessment of Progress	Sources and Data Quality
<i>Amount of court-ordered or administrative penalties/settlements and actual monetary recoveries from investigations.</i>	<b>Explanation:</b> Given the nature of our investigative work, this indicator must be used judiciously and in conjunction with other indicators. Criminal prosecution is not undertaken primarily to recover money. We have deleted performance targets for monetary recoveries to avoid the appearance of a lack of objectivity.	<b>Additional Source Information:</b> Semi-annual Report to Congress (Audit Tracking System, Investigative Case Tracking System, Common Audit Resolution System, and Department of Justice).
<b>Year</b>	<b>Actual Performance</b>	<b>Performance Targets</b>
	Millions	No Target
<b>2002</b>	34.38	
		<b>Frequency:</b> Annually. <b>Collection Period:</b> 2002 - 2003 <b>Data Available:</b> November 2003 <b>Validated By:</b> Federal Statistical Agencies. Numbers are validated internally and by the department of Justice.
<b>Indicator 8.2.7 of 9: The number and percentage of significant compliance recommendations from OIG products that are accepted by the Department during the current fiscal year.</b>		
Targets and Performance Data	Assessment of Progress	Sources and Data Quality
<i>significant recommendations accepted during FY 2002. Accepted recommendations can be from OIG work in the current or a previous fiscal year</i>	<b>Status: Target exceeded</b>	<b>Additional Source Information:</b> OIG audits and inspections
<b>Year</b>	<b>Actual Performance</b>	<b>Performance Targets</b>
	%	%
<b>2002</b>	68	80
	<b>Progress:</b>  68 recommendations	<b>Frequency:</b> Annually. <b>Collection Period:</b> 2002 - 2003 <b>Data Available:</b> November 2003 Data is validated internally

Indicator 8.2.8 of 9: The number and percentage of significant monetary recommendations Implemented.				
Targets and Performance Data		Assessment of Progress	Sources and Data Quality	
<i>monetary compliance recommendations implemented</i>		<b>Status: Target exceeded</b>  <b>Progress:</b>  <b>3 recommendations</b>	<b>Additional Source Information:</b> OIG audit and inspection reports  <b>Frequency:</b> Annually. <b>Collection Period:</b> 2002 - 2003 <b>Data Available:</b> November 2003 Information is validated internally  <b>Limitations:</b> Not a statistically significant number of recommendations.	
Year	Actual Performance			Performance Targets
	%			%
2002	100			80
Indicator 8.2.9 of 9: Percentage of respondents indicating that OIG Goal 2 activity had a favorable impact in protecting the integrity of the Department's programs and operations.				
Targets and Performance Data		Assessment of Progress	Sources and Data Quality	
<i>% of surveyed program officials, senior managers, selected members of Congress and their staffs.</i>		<b>Status: Unable to judge</b>  <b>Progress:</b> New survey is being developed.  <b>Explanation:</b> The OIG is developing a more comprehensive survey, which is designed to provide information about OIG performance in a number of areas instead of the one overall impact measure.	<b>Additional Source Information:</b> survey results  <b>Frequency:</b> Annually. <b>Collection Period:</b> 2002 - 2003 <b>Data Available:</b> November 2003	
Year	Actual Performance			Performance Targets
	%			%
2002				75