



GOAL EIGHT

Ensure Professionalism,
Excellence, Accountability,
and Integrity in the
Management and Conduct
of Department of Justice
Activities and Programs

VIII

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Ensure Professionalism, Excellence, Accountability, and Integrity in the Management and Conduct of Department of Justice Activities and Programs



Achieving our strategic goals and objectives depends greatly on how well we manage and implement our programs. The Department's mission ... to enforce the law and defend the interests of the United States ... to ensure fair and impartial administration of justice for all Americans ... establishes unequivocally a mandate that requires a professional workforce. Exemplary service to the public and maintenance of the public's trust is, therefore, inherent in every aspect of the Department's work. It is critical that positions are filled and responsibilities carried out by the best and most qualified talent available, with a workforce representative of the nation we serve. Because of the priority we attach to good management, we have established a separate goal within our strategic plan to highlight corporate-level objectives and strategies that cut across component boundaries and that are key to mission accomplishment. Our aim is to create a Department of Justice that is regarded by the public and by our stakeholders as an exemplar of integrity, efficient stewardship, and managerial excellence.

STRATEGIC OBJECTIVE 8.1

INTEGRITY AND PROFESSIONALISM

Promote integrity and professionalism to ensure the fair and impartial administration of justice.

In order to be effective and to engender public trust in the Department's programs and activities, Department personnel, whether employees, contractors, or grantees, must be held accountable for their actions. This objective is crucial to ensure that the affairs of the Department are managed and conducted according to the highest standards of integrity, accountability, and efficiency.

The Department's Office of the Inspector General (OIG) and Office of Professional Responsibility (OPR) were established to detect and prevent misconduct and mismanagement on the part of Department personnel and programs. Specifically, the OIG investigates alleged violations of criminal and civil laws, regulations, and ethical standards arising from the conduct of the Department's employees in their diverse activities. Using the coordinated efforts of its investigative, audit, and inspection resources, the OIG provides leadership and assists management in promoting integrity, economy, efficiency, and effectiveness both within the Department and in its financial, contractual, and grant relationships with others. OPR is responsible for investigating allegations that Department of Justice attorneys have engaged in misconduct in connection with their duties to investigate, represent the Government in litigation, or provide legal advice. In

addition, OPR has jurisdiction to investigate allegations of misconduct by law enforcement personnel when such allegations are related to allegations of attorney misconduct within the jurisdiction of OPR.

Strategies to Achieve the Objective

Public trust and confidence are critical as we look to the challenges facing the Federal Government in the 21st century. Given their independence, experience, and integrity, the OIG and OPR are in position to provide the high level of public accountability needed in an oversight body. Both offices will attempt to achieve the strategic objective through the following strategies to foster integrity, strengthen management accountability, and promote efficiency and effectiveness:

Focus audit, inspections, and other evaluative efforts on Department programs and expenditures in order to strengthen accountability and performance.

The OIG will conduct, report, and follow up on financial and performance audits and inspections of Department organizations, programs, contracts, grants, and other agreements. These audits, inspections, and reviews are designed to provide timely notification to Department management of issues needing attention. The OIG will work closely with Department management to develop recommendations for corrective actions to resolve identified weaknesses that inhibit efficient and effective operations and customer service.

Use investigative resources to pursue allegations of fraud, waste, and abuse against Department personnel, contractors, and grantees.

The OIG will investigate allegations of bribery, fraud, abuse, civil rights violations, and violations of other laws and procedures that govern Department employees, contractors, and grantees. OPR attorneys will receive, review, investigate, and report on allegations of prosecutorial or investigative misconduct by Department officials within its jurisdiction.

Key Crosscutting Programs

President's Council on Integrity and Efficiency. The Department's OIG is a member of the President's Council on Integrity and Efficiency (PCIE). The PCIE, comprising all Presidentially-appointed Inspectors General, is charged with conducting interagency and intra-entity audit, inspections, and investigations dealing with governmentwide issues of waste, fraud, and abuse. The PCIE accomplishes its work through committee activity. The Department's OIG is a participant on several committees and is currently engaged in PCIE-sponsored audits, inspections, and other reviews.

The PCIE has also issued interim quality standards for the management, operation, and conduct of federal OIGs. In addition, it has established the Inspector General Criminal Investigator Academy and Inspectors General Auditor Training Institute to provide a cadre of experienced professional IG investigators and auditors.

Professional Responsibility Advisory Office. In April 1999, the Department established the Professional Responsibility Advisory Office (PRAO), whose mission includes providing definitive advice and guidance to Department attorneys and assisting in training programs on professional responsibility and professional ethics issues. In addition to its advice-giving role, the PRAO assembles and maintains the codes of ethics, relevant court decisions, and bar opinions of every state and territory; serves as a repository for briefs and pleadings as ethics cases arise; and coordinates with the litigating components to defend attorneys in any disciplinary proceeding where it is alleged they failed to meet their ethical obligations. An independent component reporting to the Deputy Attorney General, the PRAO is designed to provide consistent and useful guidance to all Department attorneys and client

agencies so that they can conduct themselves in accordance with the highest standards of professional integrity.

STRATEGIC OBJECTIVE 8.2

FINANCIAL MANAGEMENT

Strengthen internal financial systems and promote the efficient and effective use of resources to ensure public trust and confidence.

To meet the programmatic strategic goals and objectives set forth in this plan, the Department's financial systems must operate efficiently, effectively, and with integrity. By employing sound financial management practices, the Department can make maximum use of the resources it is provided through appropriations, fees, forfeited assets, and other funding mechanisms. The trust is substantial: the Department receives appropriations each year that exceed \$20 billion, and collects billions of dollars in fee receipts from those to whom it provides direct benefits, particularly immigration services. Properly accounting for these resources is of paramount concern.

Strategies to Achieve the Objective

Ensure sound and effective financial management policies and practices.

The Department received a qualified audit opinion in Fiscal Year 2000; it anticipates receiving an unqualified opinion for FY 2001 and beyond. The audit opinion for the Department's consolidated statements is dependent upon opinions of the auditors on the financial statements of the reporting entities of the Department, since the consolidated financial statements are based on those entities' statements. Those entities include the Justice Management Division (for the Offices, Boards and Divisions), the Assets Forfeiture Fund and Seized Asset Deposit Fund, the Working Capital Fund, FBI, DEA, INS, OJP, USMS, BOP, and the Federal Prison Industries, Incorporated. Since the Department expects to receive an unqualified opinion on future financial statements, it will turn its focus in the future on the elimination of material weaknesses reported by the financial statement auditors.

Implement a systematic process for selecting, controlling, and evaluating information technology investments to protect taxpayer dollars.

The Department spends \$1.5 billion on information technology (IT) each year. To ensure that these funds are used efficiently, DOJ is implementing guidelines requiring explanation of how the money will be spent, what the life cycle costs will be, what processes will be used to monitor expenditures during system development and deployment, and what evaluation mechanisms will be used to assess how well the IT investments have met planned objectives. The goal of DOJ's investment management program is to ensure that the best available technology is acquired to support our law enforcement and litigation programs.

Key Crosscutting Programs

In implementing this strategy we will collaborate with our financial and budget partners through the Chief Financial Officers Council and the Budget Officers Advisory Council. Other crosscutting vehicles for implementing the Department's strategy are the Departmentwide financial statements working group and the Department's Financial Managers Council. The financial statement working group, which includes representatives from each bureau component 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. The Department will continue to participate in the Financial Accounting Standards Advisory Board, the U.S. Government Standard General Ledger (SGL) Board, and the SGL Issues Resolution Committee meetings.

STRATEGIC OBJECTIVE 8.3 GRANT MANAGEMENT

Develop and maintain grant management accountability mechanisms to ensure proper disbursement and monitoring of funds.

The Office of Justice Programs is the primary grant-making component within the Department of Justice, maintaining a portfolio of over 40,000 active grants valued at over \$20 billion. Since the 1990's, OJP has experienced large increases in its funding due to the passage of the Violent Crime Control and Law Enforcement Act of 1994, the Violence Against Women Acts I & II, and other significant legislation. Comprehensive grant management and financial monitoring of all OJP funds is essential to ensure the proper administration of programs and reduce the opportunity for fraud, waste, and a abuse of departmental funds.

To ease public access to Federal grant programs and reduce the flow of paper award packages, OJP electronically certifies awards through an automated Grants Management System (GMS), consistent with the Federal Financial Assistance Management Improvement Act. OJP will strengthen accountability mechanisms through the continued improvements to GMS and continue to ensure proper disbursement and monitoring of funds through audits, training, site visits, and technical assistance.

Strategies to Achieve the Objective

Modern financial systems are required to meet federal financial system requirements and regulations. The Office of Justice Programs Integrated Financial Management Information System (IFMIS) is the official system of record for all OJP funding, commitments, obligations, expenditures, and payments. Financial statements emanating from this system are annually subjected to audit by an independent accounting firm ensuring the safeguard of OJP assets. OJP's GMS and IFMIS enable end-to-end Internet-based grant application, award, and payment for the Local Law Enforcement Block Grant and State Criminal Alien Assistance Program (SCAAP).

Standardize and streamline the grants management process.

GMS will allow OJP to electronically track and process grants for initial application to closeout. This paperless system will allow grantees to receive and submit applications and receive awards electronically, reducing the paperwork required by

grantees and standardizing the process with OJP's program offices. This effort is consistent with the requirements of the Federal Financial Assistance Management Improvement Act.

Reduce waste, fraud, and abuse through financial monitoring and training.

Each year, OJP develops a risk-based monitoring plan which takes into consideration inherent programmatic and recipient risks, including the amount of funding at risk, known problems, special requests, and a random sample of the entire active award universe. Financial monitoring by auditors independent of the program offices provides assurance that agency assets are being safeguarded and that expenditures and expenditure accruals are being reported accurately. The results of financial monitoring are used in OJP's nationwide Regional Financial Management Training Seminars as well as in the grant course offered to state and local law enforcement officers at the FBI National Academy.

Eliminate overpayment at the agency level and ensure a transactional audit trail for actions related to the State Criminal Alien Assistance Program.

OJP's SCAAP provides formula-based assistance to states, based on their submissions of empirical data, for housing undocumented criminal aliens. The payment program was recently modernized from a paper-based, sequential data-driven process to the current paperless, Internet-based system. The new application ensures a transactional audit trail for applicant and program office staff actions, including an electronic discussion feature and tracking of correspondence. The modernization of this system has ensured that overpayment issues at the agency level no longer occur. In addition, OJP will address any issues related to inaccurate inmate records, costs, and facility data through yearly on-site audits conducted by IT and financial auditors.

Key Crosscutting Programs

OJP works with its internal bureaus and program offices to ensure proper financial oversight, disbursement, and use of grant funding. OJP collaborates with the Office of Management and Budget and other government agencies in developing, modifying, and implementing governmentwide grant-related rules and regulations such as the Federal Financial Assistance Management Improvement Act. OJP analyzes audits conducted by the General Accounting Office and the Department's Office of the Inspector General, and provides on-site technical assistance to ensure implementation of recommendations made by the auditors. OJP also coordinates with the FBI National Academy to offer Regional Financial Management Training Seminars for state and local law enforcement officers. Additionally, OJP works with INS to monitor the application of program guidance affecting determination of inmate eligibility under the SCAAP program.

STRATEGIC OBJECTIVE 8.4

INFORMATION TECHNOLOGY

Improve the integrity and security of computer systems and make more effective use of information technology.

Department components rely on a wide range of information technologies to support the Department's mission. Together, these technologies are used to enable communication among departmental components and with other federal,

state, and local law enforcement agencies, as well as with other countries; permit the exchange of information with our business partners and the public; and improve operational efficiencies. Positioning and integrating these rapidly evolving technologies to connect components having different missions, program needs, and funding resources will continue to pose serious challenges to the Department over the next 5 years.

The foundation for improving the integration of IT capabilities and program needs is a secure, interoperable network infrastructure including wireless and remote telecommunications. This telecommunications capability enables components to exploit the use of new technologies to share, exchange, and disseminate program information without compromising the privacy of individuals or the confidentiality of the data.

In 2001, the Department issued an integrated Departmentwide policy for the implementation and protection of information technology systems that store, process, or transmit classified or unclassified information. The policy reflects the Department's commitment to ensuring that security is an integral part of its business operations, that risks are continually assessed throughout the life cycle, and that controls are implemented commensurate with the level of risk and potential for harm. The policy sets minimum requirements for component security programs and minimum standards for system security controls. Security is an explicit element of all information technology planning and management activities, including the development and maintenance of an Enterprise Architecture, the review and selection of new investments, and the management of systems throughout the life cycle.

Strategies to Achieve the Objective

Enhance the security and reliability of information systems to ensure systems are available to support core mission functions.

As the Department becomes more dependent on IT, the need to enhance computer systems security rises. Since the Department's computer systems now hold a majority of the sensitive information used in the course of business, our systems security planning must identify how we will protect this data from being destroyed, altered, or disclosed to unauthorized persons. In addition, the compromise of our data systems could render important tools useless, and greatly impede the Department's ability to conduct its core business functions.

To address these important concerns, the Department is engaged in an active process of certifying and accrediting all computer-based information systems and networks. The certification and accreditation effort is the foundation for the Department's critical infrastructure planning. Through these activities, the Department will ensure that all systems have appropriate security controls in place and that contingency plans are drafted and implemented to allow for continuity of operations should a system failure occur.

Develop and implement information systems that improve access to information across the Department of Justice and other federal, state, and local legal and law enforcement entities.

Given the wide range of activity that occurs across jurisdictions and the need to coordinate among the diverse agencies, information sharing is an increasingly important aspect of law enforcement. IT can facilitate this communication by

speeding the delivery of information across jurisdictions and opening up new avenues of information. The Department has several initiatives underway to enhance the interagency communication abilities of law enforcement organizations. We already provide a number of resources to facilitate information flow across the criminal justice community through existing systems such as the National Crime Information Center (NCIC 2000) system, Law Enforcement On-line (LEO), and the Regional Information Sharing Systems (RISS) program. We are committed to using new technologies (such as the Internet) to expand the availability and types of information accessible by the law enforcement community. Key projects underway include the Justice Consolidated Network (JCN) which will provide the enabling infrastructure; the Joint Automated Booking System (JABS) which will provide improved booking capability and sharing of offender information within the Department; the Global Justice Information Network which will increase access to federal, state, and local law enforcement data; implementation of public key encryption to allow the Department to conduct electronic business with the public securely over the Internet; and integration of fingerprint databases maintained by the INS and the FBI.

Increase the ability to provide information to the public electronically.

The Department recognizes the mutual benefits to the U.S. Government and the public to collect and disseminate information electronically. Business conducted electronically can result in more efficient and accurate information collection and dissemination for both the public and the Federal Government. It also makes the Government information more widely available and should improve departmental responsiveness to public requests for specific information. Toward this end, the Department is committed to utilizing the Internet in general, and the Department's web site in particular, as an avenue to communicate with the public. In addition, Justice components such as the INS, the DEA, and the OJP have begun efforts to allow the public to transact specific business with Department over the Internet. OJP has implemented the Grants Management System which expedites the grant application and award process by replacing over 100 separate grant administration applications and enabling applicants to access the system from any personal computer connected to the Internet. The DEA Diversion Control program is developing an electronic means for pharmaceutical companies and distributors to file required reports electronically. The INS currently provides customers with the capability to obtain information and benefit forms on the INS web site. The INS is also planning to create a "virtual office" that can provide services and conduct much of the essential business of the agency's core service missions, including electronic filing, payment of fees, paperless A-files, and electronically-effected and controlled adjudications processes.

Key Crosscutting Programs

Because of the increased need to share data across organizations worldwide, the Department has begun emphasizing the need to integrate component computer-based information systems. The Department is developing an enterprise architecture that will provide a framework for data sharing and guide the development of the next generation of Justice computer-based information systems. The Department has implemented an IT capital planning and investment control process to effectively manage its IT investments. The Department's Strategic Management Council serves as the formal board to provide direction and leadership on long-range planning and initiatives for IT efforts.

In addition, the Department is developing systems and services to connect and integrate existing data systems. These efforts include basic infrastructure projects such as the JCN, Departmentwide applications such as the Justice electronic mail and directory services and the JABS projects, and the integration of specific component systems such as the IDENT/IAFIS initiative.

STRATEGIC OBJECTIVE 8.5

HUMAN RESOURCES

Strengthen human resource recruitment, retention, and performance to ensure a workforce that is skilled, diverse, and committed to excellence.

Both the General Accounting Office (GAO) and the Office of Personnel Management have emphasized that there is a clear link between an agency's human capital and its ability to meet its strategic goals. The GAO's Comptroller General, for example, recently told attendees at a conference sponsored by the National Academy for Public Administration that "the key competitive difference in the 21st Century will be people. It will not be process. It will not be technology. It will be people." This is especially true at the Department. Our success in achieving our mission is clearly dependent on our ability to hire and retain a talented cadre of people to serve in our legal, law enforcement, and related occupational areas.

A survey conducted in the fall of 1999 found that about 70 percent of Justice employees (excluding the INS and FBI) are satisfied with their jobs (nearly 10 percentage points higher than that reported governmentwide or in private industry). In addition, about two-thirds of Justice employees agreed that differences among individuals are respected and valued within the Department, again substantially higher than the 58 percent agreeing governmentwide. At the same time, the survey highlighted needs to improve communication about training and worklife opportunities.

In 2000, the Department completed its examination of law enforcement hiring, attrition, retention, and diversity directed by the Attorney General. As part of this review, short and long-term hiring needs were identified, along with recruitment tools for selected priority occupations. In addition, improvements have been made in the dissemination of information on training and worklife issues to existing staff.

Now, the Department is modifying the performance plans for the July 1, 2001 - June 30, 2002 rating cycle for its executives to more adequately address the requirements of the Government Performance and Results Act of 1993. In particular, these performance plans will align executives' responsibilities with the Department's strategic planning initiatives and annual performance goals. These have placed added focus on customer satisfaction and employee management.

Strategies to Achieve the Objective

Develop and implement a plan of action to ensure that critical skill needs are met.

As part of the law enforcement assessment noted above, it has become clear that problems in obtaining a sufficient number of qualified applicants for key occupations, combined with a lengthy screening and hiring process, have made it difficult for the Department to meet these needs in certain critical job and skill areas. The Department is developing a specific action plan to meet these needs, including the development of specific recruitment tools to be used for targeted

occupations Departmentwide. The Department will continue to monitor and evaluate its workforce needs and to reassess its plans based on experience and changing requirements.

Continue to meet the needs and expectations of Department employees by providing opportunities for training and career development, offering a range of worklife options, fostering diversity, and other means.

The Department will continue to meet the needs and expectations of its employees. It will emphasize being a "family friendly" workplace by providing a wide range of worklife options and dependent care services. It will also emphasize the importance of employee development by ensuring that high quality training is available for law enforcement and legal staff, as well as for managers and support personnel. Communication about training and worklife opportunities will be enhanced by use of a redesigned and improved intranet web site.

Performance will be managed in multiple ways. First, the Department's Senior Executive Service (SES) Performance Plan was rewritten and approved by the Office of Personnel Management in August 2001. The Plan more accurately reflects emphasis on job performance that is reflective of the Department's strategic plan and performance goals, as well as customer satisfaction and how well executives manage employee effectiveness, productivity and performance. Next, individual performance plans will be rewritten to conform to the overall plan. Additionally, improved executive development is designed to further facilitate enhanced performance. For example, training opportunities were expanded in-house with monthly management seminars, partnering with Department of Interior for their speaker series and Department of Labor for the SES forum. DOJ's training website has been substantially enhanced with federal and non-federal training and scholarship opportunities and resources for training providers.

MANAGEMENT CHALLENGES

Financial Management. Over the past several years, the Department has made significant progress in correcting weaknesses in its accounting and financial management systems. This progress has been reflected in the audit opinions received on its financial statements. However, further work is required. 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. The Department will continue to aggressively monitor financial management activities Departmentwide to ensure that all reportable conditions and weaknesses are corrected.

Information Technology Security. Security will continue to dominate management attention as cybercrime emerges on an international scale and demands new technological crime-fighting tools and methods. As the technology advances, so, too, do the threats posed by increasingly sophisticated cyber-criminals. Given our role in fighting cybercrime, the Department itself has become a target for attack. We must upgrade our systems constantly to maintain adequate security, as well as to keep pace with our business partners. Another key challenge is to transform the way organizations collect, store, and display information to deliver trusted, timely, and easily understood information to all users through web-based portals at the desktop and in remote locations.