

Department of Veterans Affairs

**Office
of
Inspector General**

**Strategic Plan
FY 1998-2003**





DEPARTMENT OF VETERANS AFFAIRS
INSPECTOR GENERAL
WASHINGTON, DC 20420

September 30, 1997

F O R E W O R D

A Government-wide movement that has been gaining momentum over the past several years is the ongoing effort to communicate more effectively the purpose and results of government programs, to improve government performance, and to improve public confidence in government. Both the Administration and the Congress are looking for evidence that programs are working well and providing good service to their customers. The Government Performance and Results Act of 1993 (GPRA) is at the heart of this movement.

The GPRA attempts to shift the focus away from how programs work to what they do. For agencies, this means measuring the performance and impact of their programs and reporting the results to the Office of Management and Budget and the Congress. The vehicle for creating this results-oriented approach to managing government programs is the GPRA requirement that agencies prepare strategic plans.

The Office of Inspector General (OIG) Strategic Plan (FY 1998-2003) focuses on the formulation of long-term organizational goals, strategies for achieving these goals, and performance measures for assessing progress and accomplishments against the goals. Performance measurement will enable us to illustrate and communicate that we are providing good value for our investment, and help identify where changes are needed to improve organizational effectiveness and efficiency.

The GPRA also requires agencies to prepare annual performance plans that detail specific measurable performance goals, based on the long-term organizational goals depicted in the strategic plan. The annual performance plans will also address performance results with respect to current annual performance goals.

Through continuous improvement of products and processes, a commitment to quality, and providing excellent customer service, the OIG aspires to be an ever growing positive influence in helping the Department of Veterans Affairs achieve its goals. Strategic planning combined with a performance-based management decision-making process will be the cornerstone for the efforts of the OIG in fulfilling this aspiration.

(Original signed by:)
WILLIAM T. MERRIMAN
Deputy Inspector General

OIG STRATEGIC PLAN
FY 1998 - FY 2003

C O N T E N T S

Chapter		Page
I.	Introduction	1
II.	Mission Statement	4
III.	General Goals and Strategies	7
IV.	Performance Goals and Measurement Criteria	12
V.	External Factors	18
VI.	Program Evaluations	22
Appendix A	Key VA Issues and Priority Areas	24
Appendix B	OIG Organization and Operations	27
Appendix C	Customer Satisfaction Survey Forms	30

I. INTRODUCTION

The strategic intent of the Office of Inspector General (OIG), Department of Veterans Affairs (VA) is to become a positive force in helping VA management and Congress improve the efficiency, effectiveness and integrity of VA's programs and activities. To this end, the OIG has developed and implemented a strategic planning process. The purpose of this process is to develop a comprehensive approach to performance management, with a focus on improving overall performance and impact within allocated resources, and on helping VA achieve its goals.

Improving overall performance and impact is more than a function of just increasing productivity. The challenge in improving performance and impact is finding the balance between efficiently managing operations and effectively dealing with the increasing pressures for controlling costs. Successfully meeting this challenge requires a strategic planning process that emphasizes results while looking for cost effective ways to deliver more customer-oriented, quality services. Achieving this requires connecting resources to results by integrating performance information with budget formulation and execution.

Linking performance and budget preparation will enable the OIG to communicate better which programs are working and providing good value. In future budget submissions, the OIG will answer the question, "What are we getting for what we are paying, and are we getting good value for our investment?" The FY 1998 OIG budget submission began the integration of planning, performance measurement, and resource requests in order to ensure the OIG would be ready to fulfill mandatory requirements for justifying resource needs with performance data in the FY 1999 budget submission.

The blueprint for strategic planning is depicted in the Government Performance and Results Act (GPRA) of 1993, and discussed in more detail in the Office of Management and Budget (OMB) Circular No. A-11, which provides instructions on preparation and submission of strategic plans. As defined by the GPRA and OMB instructions, strategic plans should contain the following elements:

- * a comprehensive mission statement;
- * a description of general goals and objectives and how these will be achieved;
- * a description of the relationship between performance goals in the annual performance plan and general goals and objectives in the strategic plan;
- * identification of key factors that could affect achievement of the general goals and objectives; and
- * a description of program evaluations used, and a schedule for future evaluations.

Strategic plans are intended to be the starting point for agency's performance measurement efforts. Performance measurement, however, has been a requirement within the inspector general community long before enactment of the GPRA. The Inspector General Act of 1978, as amended, mandates reporting performance data to the Congress on a semiannual basis. Traditionally, semiannual reports focused on reporting outputs (e.g., number of audit reports issued or investigative cases closed) and outcomes (e.g., the results of the audits or investigations, such as dollars saved or convictions).

As recent initiatives and legislation move Federal agencies more towards a performance-based government, measures of inspector general performance have continued to evolve. In addition to outputs and outcomes, the VA OIG now focuses on measuring timeliness of products, cost effectiveness of operations, and degree of customer satisfaction.

Performance measurement, in and of itself, however, does not guarantee cost effective and efficient performance. Performance measurement is only a tool to help management determine progress against goals. This is why it is important to establish a set of general long-term goals which clearly define what the OIG intends to achieve to further its overall mission. Goals should be meaningful and challenge the organization to elevate performance to a higher level than currently exists.

Performance measurement is required annually. The results will be reported to OMB and the Congress. While performance measurement will enable us to demonstrate clearly and accurately what we are getting for our investment, strategic planning and performance measurement is about more than just reporting. It is about making decisions aimed at improving overall performance, impact, customer satisfaction, and cost effectiveness.

The OIG Strategic Plan (FY 1998-2003) satisfies the requirements of the GPRA. The mission statement and general goals set forth in this plan lay the basic foundation for performance measurement, reporting, and improvement for years to come. The OIG recognizes that planning is an ongoing process that requires constant monitoring and adjustment. To this end, as goals are achieved or circumstances change, the OIG strategic and annual plans will be revised accordingly.

II. MISSION STATEMENT

The following mission statement sets forth the basic purpose for what the OIG does programmatically. It brings the organization into focus for staff and other stakeholders by explaining why the OIG exists, what it does, and how it does it. Most importantly, the mission statement lays the foundation for what the OIG strives to accomplish.

OIG MISSION STATEMENT

The Office of Inspector General (OIG) is dedicated to helping the Department of Veterans Affairs (VA) ensure that veterans and their families receive the care, support, and recognition they have earned through service to their country. The OIG strives to help VA achieve its vision of becoming the best managed service delivery organization in government. The OIG continues to be responsive to the needs of its customers by working with the VA management team to identify and address issues that are important to them and the veterans served.

In performing its mandated oversight function, the OIG conducts audits, healthcare inspections, investigations, special inquiries, and contract reviews to promote economy, efficiency, and effectiveness in VA activities, and to detect and deter fraud, waste, abuse, and mismanagement. The OIG's oversight efforts emphasize the goals of the National Performance Review and the Government Performance and Results Act for creating a government that works better and costs less. Inherent in every OIG effort are the principles of quality management and a desire to improve the way VA operates by helping it become more customer driven and results oriented.

The OIG will keep the Secretary and the Congress fully and currently informed about issues affecting VA programs and the opportunities for improvement. In doing so, the staff of the OIG will strive to be leaders and innovators, and perform their duties fairly, honestly, and with the highest professional integrity.

COMPONENT MISSION STATEMENTS

Office of Investigations:

Conduct criminal investigations affecting the programs and operations of the Department of Veterans Affairs in an independent and objective manner, and assist the Department in detecting and preventing fraud and other criminal violations.

Office of Audit:

Improve the management of VA programs and activities by providing our customers with timely, balanced, credible and independent financial and performance evaluations that address the economy, effectiveness, efficiency, financial, and internal control of VA operations, and that identify constructive solutions and opportunities for improvement.

Office of Departmental Reviews and Management Support:

Promote OIG organizational effectiveness and efficiency by providing reliable and timely management and administrative support and services, and provide products and services that promote the overall mission and goals of the OIG. Strive to ensure that all allegations communicated to the OIG are effectively monitored and resolved in a timely and efficient manner using OIG personnel or impartial VA officials, and independently conduct special inquiries into allegations concerning senior ranking officials and other high profile matters. Conduct contract reviews to assist contracting officers in price negotiations; assure contractors submit accurate, current, and complete pricing data; and assure contractors adhere to the drug pricing provisions of P.L. 102-585.

Office of Healthcare Inspections:

Promote the principles of continuous quality improvement to provide effective inspections, oversight and consultation to enhance and strengthen the quality of VA's health care programs for the well-being of veteran patients.

Office of the Counselor to the Inspector General:

Provide independent, competent, and relevant legal advice and assistance to the Inspector General, Deputy Inspector General, Assistant Inspectors General, and their staffs with respect to all operational, administrative, and management support functions and activities of the OIG.

III. GENERAL GOALS AND STRATEGIES

The OIG general goals elaborate on the mission of the OIG and constitute what the OIG is trying to accomplish. Strategies are the blueprint of actions that are taken in pursuing these goals and for positioning the organization for sustaining success.

In developing the long-term goals of the OIG, full consideration was given to the requirements of the GPRA, the mandated mission of the OIG, and the following VA strategic goals.

- * Honor, Care, and Compensate Veterans in Recognition of Their Sacrifices for America
- * Provide "One-VA" World-Class Customer Service
- * Create and Maintain a High-Performing Workforce to Serve Veterans
- * Provide Maximum Return on Taxpayer Investment

The following general goals set the strategic direction for the OIG and provide the basis for helping VA achieve its goals, consistent with IG independence. These goals also provide the foundation for achieving improved performance and greater accountability for overall results within the OIG.

- I. Planning Goal: Achieve and maintain a fully integrated and collaborative planning process that ensures OIG oversight efforts address significant, high priority issues.
- II. Operations Goal: Consistently provide high quality and timely reports and other products that identify systemic opportunities to improve economy, efficiency, effectiveness, and integrity of VA programs and activities, consistent with VA's goals.
- III. Administrative Support Goal: Deliver administrative and management support services in a timely and effective manner to help ensure the efficient operation of the OIG.

- IV. Cost Effectiveness Goal: Ensure OIG resources and processes are managed in a cost-effective manner in support of all operational activities and administrative support services.
- V. Customer Service Goal: Exceed customer expectations.
- VI. Workforce Goal: Maintain a diverse, skilled, and motivated workforce in an environment that fosters accountability, open communication, teamwork, and professional development.

Following is a description of the strategies for accomplishing the OIG general goals.

Planning Strategy:

- Maintain a fully integrated and collaborative strategic planning process that ensures projects performed by the OIG address issues that are important and useful to its customers.
- Coordinate with VA management, congressional oversight committees, OMB, and veterans service organizations to obtain suggestions for OIG oversight, and incorporate their suggestions into the OIG annual operations plan, to the extent feasible.
- Meet with VA management periodically to discuss their perspectives with respect to the scope, methodologies and objectives of OIG oversight efforts, and consider their input when planning and implementing OIG work, consistent with IG independence.
- Identify and maintain a current list of the key issues facing VA in order to serve as a template against which suggestions for OIG oversight work can be evaluated and prioritized. (APPENDIX A)

Operations Strategy:

- Maintain an OIG organizational structure that reflects the OIG's mission and is functionally aligned to VA's programs and priorities. (APPENDIX B)

- Focus OIG oversight efforts on systemic issues having the potential for improving overall program results and services to veterans, increasing the use of economical and efficient practices, and helping VA managers achieve VA's goals.
- Identify opportunities to integrate operational and financial management systems that will assist program and financial managers in measuring performance and achieving desirable outcomes and cost effectiveness.
- Work to reduce burdensome administrative and operational requirements to allow VA managers more flexibility to achieve overall performance goals.
- Improve the deterrence of fraud and abuse through successful criminal and civil prosecutions, penalties, and sanctions involving violations of the laws and regulations governing VA programs.
- Prevent fraud and abuse by identifying program weaknesses and recommendations for systems' corrections which would help eliminate opportunities to commit fraud or other illegal acts.
- Review all incoming contacts and open hotline cases on allegations involving fraud, waste and abuse, and perform special inquiries involving sensitive matters, such as allegations concerning senior management officials.
- Develop and implement new, innovative oversight methods for auditing, investigating, and inspecting VA programs and operations.
- Work through the President's Council on Integrity and Efficiency to coordinate and accomplish audit and investigative projects which exceed the capability or jurisdiction of an individual OIG.

Administrative Strategy:

- Constructively manage all personnel related programs and actions to ensure accurate, timely, and responsive services.
- Formulate and justify OIG budgets in accordance with OMB and Departmental guidance.

- Expand the use of technology to improve performance, reduce costs, and enhance communication within the OIG and across organizational lines.
- Streamline or eliminate unnecessary and burdensome OIG administrative policies and procedures.
- Conduct internal and external peer reviews of OIG operations to ensure compliance with relevant professional standards for quality control.

Cost Effectiveness Strategy:

- Assess the cost effectiveness of each OIG component in terms of costs of operations compared to outputs and outcomes.
- Manage the allocation of resources to ensure optimal utilization levels with respect to operational staff and support staff, managers and subordinates, and administrative costs to overall costs.
- Identify opportunities for cost-savings by continually evaluating operational and administrative processes, and taking action for improvement.
- Ensure that strategic planning and performance measurement serves as a foundation for budget preparation and that resource allocation decisions reflect OIG goals and strategies.

Customer Service Strategy:

- Increase customer access and communication with the OIG through information technology.
- Survey OIG customers' satisfaction concerning the quality, timeliness and usefulness of reports, for the purpose of improving processes and procedures associated with OIG oversight efforts.
- Conduct periodic in-house customer satisfaction surveys of OIG staff to obtain feedback on the extent and quality of administrative and management support services.

Workforce Strategy:

- Attract and retain diverse, well qualified, and motivated employees.
- Provide training and developmental opportunities on a fair and equitable basis.
- Assess, recognize and reward performance and creativity that contributes to achieving the mission and goals of the OIG.

IV. PERFORMANCE GOALS AND MEASUREMENT CRITERIA

The Government Performance and Results Act (GPRA) was passed because the Congress believed Federal agencies needed clearly defined goals and performance information if they were going to be successful in improving overall results. Fulfilling this mandate was problematic in that many of the long-term goals established previously by agencies did not lend themselves to quantifiable measures. The GPRA solution was the concept of establishing a corresponding set of performance goals and measurement criteria that would help the agency determine progress in achieving its general long-term goals. Performance goals and measurement criteria provide a link between the general goals of the organization and annual performance measurement. Performance will be measured and reported for the following categories for each component of the OIG:

- * Output
- * Outcome
- * Cost Effectiveness
- * Timeliness
- * Customer Satisfaction

The following OIG performance goals and measurement criteria collectively represent how the OIG will demonstrate progress in achieving its general goals. Specific annual performance goals for each of the following areas will be established and reported in a separate annual performance report.

OUTPUT GOAL: Maximize the number of projects accomplished that address priority issues established by the IG in collaboration with VA and the Congress.

Output Measures:

Office of Investigations

Total Number of Investigations Completed
Number and Percentage of Criminal Cases Closed
(By Case Level and Category Group)
Number and Percentage of Administrative Cases Closed
(By Case Level and Category Group)

Office of Audit

Total Number of Reports Issued
Number National Reports Issued by Priority Functional Area
Number of Facility Reports Issued
Number of Management Advisories and Consults

Office of Departmental Reviews and Management Support

Contract Reviews Completed
Special Inquiry Reports Issued
Hotline Cases Closed
FOIA Requests Processed

Office of Healthcare Inspections

Total Healthcare Inspection Reports Issued
Number of Program Reviews Issued
Number of Patient Care Inspections Completed
Facility Inspection Reports Issued
Technical/Oversight Reports Issued

OUTCOME GOAL: Perform oversight efforts that maximize opportunities to improve economy, efficiency and effectiveness, and that detect fraud, waste, abuse and mismanagement in VA programs.

Outcome Measures:

Office of Investigations

Indictments (By Case Level and Category Group)
Convictions (By Case Level and Category Group)
Monetary Benefits (By Case Level and Category Group)
Administrative Sanctions (By Case Level and Category Group)

Office of Audit

Monetary Benefits
Systemic Improvements
Facility Improvements

Office of Departmental Reviews and Management Support

Dollar Recoveries and Cost Avoidances from Contract Reviews
Administrative Actions Resulting from Special Inquiries
Monetary Benefits from Hotline/Special Inquiry Cases
Corrective Actions Resulting from Substantiated Hotlines

Office of Healthcare Inspections

Program Improvements
Results of Patient Care Inspection Allegations

COST EFFECTIVENESS GOAL: Ensure OIG resources and processes are managed in a cost-effective and efficient manner in support of all operational activities.

Cost Effectiveness Measures:

Office of Investigations

Monetary Benefits per Dollar Expended
(By Case Level and Category Group)
Average Cost per Investigation Closed
(By Case Level and Category Group)
Staff Days per Investigative Case Closed
(By Case Level and Category Group)
Ratio of Direct Time versus Indirect Time Associated with
Performing Investigations

Office of Audit

Dollar Value of Programs Reviewed
Monetary Benefits per Dollar Expended
Average Cost per Report Issued
Ratio of Direct Time versus Indirect Time Associated with
Performing Audits

Office of Departmental Reviews and Management Support

Dollar Recoveries from Contractors per Dollar Expended
Average Cost per Special Inquiry Completed
Average Costs per Hotline Case Closed

Office of Healthcare Inspections

Average Costs per Healthcare Inspection Completed
Average Costs per Program Review
Average Costs per Healthcare Facility Inspection Completed
Ratio of Direct Time versus Indirect Time Charged

TIMELINESS GOAL: Continually work toward improving the timeliness of audit, investigation, inspection, and hotline and special inquiry services of VA programs and activities.

Timeliness Measures:

Office of Investigations

Average Work Days from Receipt of Allegation to Initiation of Case (By Case Level and Category Group)
Average Work Days from Initiation of Case to Referral to the Assistant U.S. Attorney (By Case Level and Category Group)
Ratio of Staff Days versus Calendar Days per Case Closed
(By Case Level and Category Group)

Office of Audit

Average Staff Days per Audit
Average Calendar Days to Draft Audit Reports
Staff Days versus Calendar Days per Audit
Percentage of Audits Completed Within Pre-established
Timeframes

Office of Departmental Reviews and Management Support

Average Staff Days per Contract Review
Average Staff and Calendar Days per Special Inquiry
Average Calendar Days per FOIA Response Completed

Office of Healthcare Inspections

Average Staff Days per Program Review
Average Staff Days per Patient Care Review
Staff Days versus Calendar Days per Technical/Oversight
Report

CUSTOMER SATISFACTION GOAL: Exceed OIG customers' expectations concerning the quality and usefulness of OIG reports.

Customer Satisfaction Measures:

Office of Investigations

Customer Satisfaction Survey Form for Assistant U.S. Attorneys (for each case referred for prosecutorial consideration, by case level and category group)

Office of Audit

Customer Satisfaction Survey Form for VA Program Managers (for each audit report issued)

Office of Departmental Reviews and Management Support

Customer Satisfaction Survey Form for VA Contracting Officers (for each contract review report issued)

Customer Satisfaction Survey Form for VA Program Managers (for each special inquiry report issued)

Customer Satisfaction Survey Form for OIG Staff (Quarterly in-house surveys for administrative and management support services)

Office of Healthcare Inspections

Customer Satisfaction Survey Form for VA Health Care Managers (for each healthcare facility inspection, patient care inspection, and program review completed)

V. EXTERNAL FACTORS

Committing the organization to goals whose outcomes are influenced by factors beyond the organization's control is a concern associated with measuring performance. Anticipating this concern, the GPRA called for an identification of the key factors external to the agency and beyond its control that could significantly affect the achievement of the agency's goals. The following information discusses key external factors that could affect achievement of the OIG's goals.

Lack of Technological Advances:

Uncertain future funding levels makes it increasingly difficult to develop long-term investment strategies involving the significant resources needed to achieve and maintain ADP modernization. The OIG has made some progress in recent years but remains behind the power curve in information technology. The situation could worsen in the future if the IG is faced with difficult choices involving trade-offs that impact staffing levels. Lacking the ability to fund sufficiently new computer equipment, software development, training, new telephone equipment, etc. will impact on development of management information systems and the adoption of technological advancements necessary to improving quality, timeliness and performance to the maximum extent possible. The OIG has identified this as an area of concern and is working toward minimizing any potential problems.

Loss of Expertise:

OIG staffing levels have declined steadily and dramatically over the past few years because of budget constraints. Recognizing that this trend might continue, the OIG established goals to improve overall performance within anticipated resource levels. Regardless, a potential continuous decline in resources in the out-years could result in circumstances that can be expected to impact directly on our ability to accomplish certain goals. These circumstances include:

- (1) Rapid loss of corporate knowledge and experience through declining staffing levels.

- (2) Insufficient funds to hire new employees.
- (3) Inequitable distribution of staff caused by losses, limited travel funding to correct the inequitable staffing distribution, and the inability to transition staff across functional/organizational lines.

Table I demonstrates the trend in declining IG staffing levels. Table II illustrates staffing levels in the out-years. The projections for the out-years are based on the assumption that IG budget levels are straight-lined from FY 1997. A drop from 428 FTE in FY 1993 to 270 FTE in FY 2003 would represent a 37 percent loss of staff.

TABLE I

TABLE II

Fiscal Year	Actual FTE	Fiscal Year	Projected FTE
1993	428	1998	336
1994	412	1999	321
1995	390	2000	308
1996	365	2001	295
1997	340	2002	282
		2003	270

Table III illustrates out-year staffing estimates under the FY 1999 budget submission based on a current services/new initiatives planning level. Should these planning level projections prove to be more realistic than estimates under a straight-line assumption, the adverse impact of a declining workforce on our ability to accomplish goals would be diminished.

TABLE III

Fiscal Year	Projected FTE
1999	343
2000	340
2001	337
2002	334
2003	331

Less Staff Available for Planned Workload:

During the past several years, approximately 60 percent of the OIG staff available for operational activities were assigned to reactive work resulting from requests from congressional sources, VA staff, and veterans. Almost all of the OIG's resources in Investigations, Healthcare Inspections, and Hotline and Special Inquiries are devoted to reactive work. Within Audit, the resources available for proactive work are also impacted by requirements to perform mandated work, such as the requirement to audit annually VA's consolidated financial statements, which consumes about 40 FTE per year. With reactive and mandatory workload consuming an increasingly greater percentage of our declining resources, there are less resources available to address proactive efforts.

External Cooperation:

With respect to investigative work, there are several external factors that can affect timeliness in developing and completing cases. The Office of Investigations conducts investigations into suspected criminal violations of law affecting VA programs. Once sufficient evidence is obtained to warrant criminal prosecution, the case is referred to an Assistant United States Attorney (AUSA) for prosecutorial consideration. Decisions such as whether the case is accepted for prosecution, if additional evidence is needed, or when to prosecute, are made by the AUSA and beyond the control of the OIG. Another factor beyond our control is decisions made by other law enforcement agencies, such as the Federal Bureau of Investigation, the Drug Enforcement Administration, or other OIGs, that are involved in joint investigations. Decisions concerning staff assignments, priorities, timeframes, etc., made by external agencies, can all impact on the timeliness and outcome of an OIG investigation.

Acceptance:

While surpassing customer expectations is a primary goal of the OIG, maximizing customer satisfaction can be difficult even under the best of circumstances. Inherent in OIG oversight is the reality that issues can be

addressed and reported on that reflect negatively on people and programs. While our focus is on performing reviews that are important and useful to VA management, the very nature of oversight work can be threatening to many individuals and organizations. The OIG is responsible for reviewing and reporting on allegations concerning fraud, waste, abuse and mismanagement. As long as the OIG addresses issues that may negatively reflect on people and programs, there will be those who reject the notion that oversight work is anything more than a necessary evil. While this mindset is not viewed as a pervasive problem, it does exist and can be expected to impact customer satisfaction survey results.

Non-existent Historical Baselines:

Performance measurement in the government is a new science that poses new challenges. For example, developing a goal that focuses on overall impact of the organization may not be practicable from a performance measurement standpoint. For example, the OIG is responsible for preventing and detecting fraud, waste, and abuse in programs and operations. While the OIG can track and measure the detection of fraud, it is not possible to measure whether the OIG is successful in preventing fraud. While it can be argued that the presence of the OIG in investigating fraudulent activity may serve as a deterrent to committing fraud, it is not possible to measure whether there will be less fraud 5 years from now than exists today as a result of OIG investigative efforts, because it is not possible to determine the baseline of how much fraud currently exists. The best that the OIG can do in circumstances such as this is to work towards continuous improvement.

If performance goals are not being met, those external factors or conditions contributing to this will be communicated in ongoing program evaluations, and their impact reported in the annual performance report. It may not be possible to determine how much of a goal's shortfall or success is attributable to different external factors, but they will be generally explained.

VI. PROGRAM EVALUATIONS

Periodic assessment of the results achieved and the events and actions that produced those results are necessary for successful strategic management and performance measurement. Decision makers need to know what worked, what didn't, and why, in order to make decisions about how to improve performance.

Program evaluations designed to provide decision makers with this information should be developed and implemented on a regular basis as an integral part of the agency's annual planning process. The timing and scope of the evaluation process should be determined by the uses of the evaluation and the needs of management.

Annual disclosure of performance measurement and evaluation results must be presented to OMB and the Congress in order to satisfy the GPRA performance reporting requirements. To this end, the OIG has established the following procedures for tracking, evaluating and reporting results information.

- * Specific, measurable performance goals will be established and published at the beginning of each fiscal year and linked to the performance goals in the strategic plan.
- * Performance against the annual performance goals will be tracked, analyzed, and discussed at regularly scheduled quarterly program reviews, with each component of the organization.
- * For selected performance goals, results will be reported at the end of the second quarter and at the end of the fiscal year in the OIG Semiannual Report to the Congress.
- * Results information for key performance goals will be incorporated into the OIG's budget justification for each fiscal year, starting with the FY 1998 budget submission.
- * An executive conference will be scheduled annually to evaluate overall OIG performance for the fiscal year, to determine whether any changes in OIG operating practices are needed, and to develop new performance goals for the upcoming fiscal year.

- * Applicable performance goals will be made a part of the work plans for the Assistant Inspectors General (AIG) and progress toward meeting these goals will be measured as a part of each AIG's annual evaluation.
- * Accomplishments and results associated with each of the performance goals established for the current fiscal year, along with the goals developed for next fiscal year, will be reported in the annual OIG Performance Report.

Performance measurement and evaluation of the results will be used to ensure organizational accountability. Regular tracking and monitoring of performance information will assist program managers in keeping their focus on achieving goals and desired program results. Regular tracking and monitoring will provide valuable information for employee performance plans and for budget justifications.

An organization's ability to achieve its goals and be accountable internally is heightened through individual performance plans. By incorporating achievement of the OIG's goals into employee performance plans, especially for the senior executives, each employee's performance will be linked directly to the organization's goals and overall performance.

Key to ensuring cost effectiveness in OIG operations is the integration of performance information with budget formulation and execution. Presentation and use of performance information in the budget process will help determine and justify resource needs to OMB and the Congress. The OIG performance goals and measurement criteria were developed with this purpose in mind.

KEY VA ISSUES AND PRIORITY AREAS

An important element of the OIG planning process and key to the selection of projects to be performed each year is the identification of the top priority issues facing VA. Following are the functional areas for OIG oversight concentration.

FUNCTIONAL AREA: STRATEGIC PLANNING

Key Issue: To what extent does VA's planning and performance measurement efforts ensure accountability and help create "One-VA?"

Priority Areas: Planning
Performance Measurement
Accountability

FUNCTIONAL AREA: FINANCIAL MANAGEMENT

Key Issue: Is VA collecting and maintaining accurate, reliable, and timely financial information for effective oversight and management decision making?

Priority Areas: Budget Formulation and Execution
Financial Information Systems
Consolidated Financial Statements

FUNCTIONAL AREA: INFORMATION RESOURCES MANAGEMENT

Key Issue: Does VA's information resources management meet the needs of decision makers and enhance customer services?

Priority Areas: Systems Development
Systems Operation and Maintenance
Security
Information Technology

FUNCTIONAL AREA: HUMAN RESOURCES MANAGEMENT

- Key Issue: Is VA creating and maintaining a high performing workforce?
- Priority Areas: Equal Employment Opportunity
Personnel Support Systems

FUNCTIONAL AREA: ACQUISITION AND FACILITIES

- Key Issue: Is VA getting a fair price in its procurement of supplies, equipment and services, and is VA's construction program being managed efficiently?
- Priority Areas: Pricing and Procurement Strategies
Receipt, Storage and Distribution
Federal Supply Service Contracts
Construction Projects

FUNCTIONAL AREA: HEALTH CARE

- Key Issue: How well is the Veterans Health Administration fulfilling its responsibility to provide optimum quality health care to all eligible veterans and their beneficiaries in a efficient, cost-effective, and timely manner?
- Priority Areas: Health Care Delivery
Resource Allocation
Research
Medical School Affiliations

FUNCTIONAL AREA: VETERANS BENEFITS

Key Issue: Is the Veterans Benefits Administration doing all that it can to provide accurate and timely benefits to eligible veterans and their families in a compassionate manner?

Priority Areas: Claims Processing
Outreach Services
Housing
Vocational Rehabilitation

FUNCTIONAL AREA: NATIONAL CEMETERY SYSTEM

Key Issue: Does the National Cemetery System provide timely and compassionate interments and maintain an efficient and economical cemetery system?

Priority Areas: Interments
Availability/Location of Cemeteries

OIG ORGANIZATION AND OPERATIONS

A statutory Inspector General was established in VA with enactment of the Inspector General Act of 1978 (P.L. 95-452). The act states that the IG is responsible for:

- (1) conducting and supervising audits and investigations;
- (2) recommending policies designed to promote economy and efficiency in the administration of, and to prevent and detect fraud and abuse in, the programs and operations of the Department; and,
- (3) keeping the Secretary and the Congress fully informed about problems and deficiencies in VA programs and operations and the need for corrective actions.

The IG has authority to inquire into all VA programs and activities as well as the related activities of persons or parties performing under grants, contracts, or other agreements. The inquiries may be in the form of audits, investigations, contract reviews, inspections, or other appropriate actions.

It is important that the OIG maintain the operational processes needed to fulfill the mandated responsibilities of the IG. The following OIG operational functions not only fulfill the mandated responsibilities of the OIG, they also provide the OIG with flexibility to respond to the broad spectrum of activities, initiatives, and challenges confronting VA in these changing times.

- * Audits are conducted of VA programs, systems, and facilities to determine if operations are conducted economically, efficiently, and in accordance with applicable laws and regulations. Audits generally focus on systemic issues and opportunities to improve VA activities nationwide.

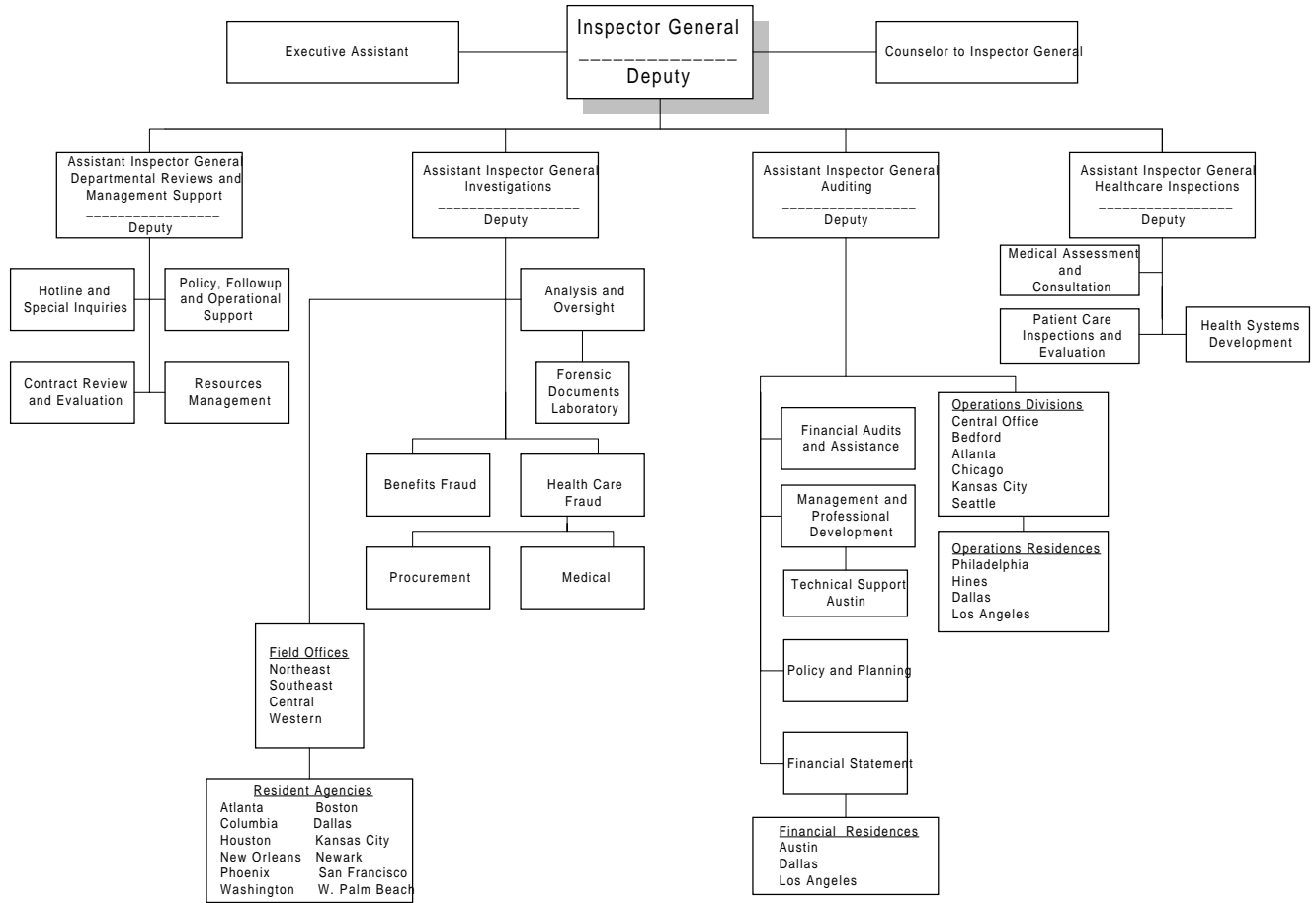
APPENDIX B

- * Investigations address allegations of fraud or other illegal activity by VA employees, beneficiaries of veterans benefits, or third parties who conduct business with VA. Most investigations are reactive in nature in that cases are opened as a result of allegations brought to the attention of the Inspector General.
- * Healthcare inspections focus on patient care and quality assurance issues. Inspections react to individual patient care problems as well as broad scope reviews of programmatic issues within the Veterans Health Administration, particularly with respect to improving health care services to large numbers of VA patients.
- * Pre and post-award contract reviews are performed of individual Federal Supply Contracts as well as drug pricing reviews of drug contracts awarded under the provisions of Public Law 102-585.
- * Hotline and special inquiry cases respond primarily to allegations of fraud, waste, abuse and mismanagement. Hotline cases are either performed in-house by one of the operational elements of the IG or are referred to the VA component having jurisdiction. The Special Inquiry section responds to Hotline allegations that are generally time sensitive and involve allegations of misconduct and/or mismanagement by senior VA officials.

Successful implementation of the IG annual operations plan requires an OIG organizational structure that is functionally aligned to VA's programs and flexible enough to respond to the changing needs of VA. The OIG organizational structure is reflected on the following page.

APPENDIX B

DEPARTMENT OF VETERANS AFFAIRS OFFICE OF INSPECTOR GENERAL



CUSTOMER SATISFACTION SURVEY FORM
(Investigations)

Office of Investigations
Customer Survey

VAOIG file #

Subject(s):

The Office of Investigations is the investigative arm of the Department of Veterans Affairs, Office of Inspector General. In support of our continuing efforts to improve the quality of our investigations, we ask that you take a moment to answer the following questions. Where a numerical rating is requested, use (1) as the LOWEST and (5) as the HIGHEST and circle the appropriate rating. If you have any comments or suggestions on how we can improve our performance or make your job easier, please let us know. We appreciate the time you have taken to complete this questionnaire. Please mail your response to the address listed below. Thank you.

1. Was the prosecutive report clear and did it contain evidence to substantiate the allegations?

1 2 3 4 5 NA

2. Was the special agent available to assist you in preparation for grand jury or other proceedings?

1 2 3 4 5 NA

3. If there was a trial, did the special agent assist you in witness preparation and/or conduct follow-up leads developed after the prosecutive report was prepared?

1 2 3 4 5 NA

4. If you declined prosecution after the preparation of a prosecutive report, was it due to:

- a. ___ the quality of the investigation?
- b. ___ the lack of evidence to substantiate the charge(s)?
- c. ___ the availability of administrative remedies?
- d. ___ other reasons (please explain on reverse)?

5. How would you rate the responsiveness and professionalism of the Office of Investigations?

1 2 3 4 5

CUSTOMER SATISFACTION SURVEY FORM
(Audits)

DEPARTMENT OF VETERANS AFFAIRS OFFICE OF INSPECTOR GENERAL QUALITY SURVEY						
Report Number: _____ Report Date: _____						
Report Title: _____ _____ _____						
Respondent's Title: _____						
OBJECTIVES	5	4	3	2	1	No Opinion
1. The objectives of this review were important to your office.	5	4	3	2	1	0
2. The review's purpose, scope and methodology were appropriate and clearly presented to you.	5	4	3	2	1	0
3. The review results were discussed fully with appropriate management personnel.	5	4	3	2	1	0
4. The results of the review were provided to you in a timely manner.	5	4	3	2	1	0
5. The report's conclusions were sound and sufficient information was provided to support the finding(s).	5	4	3	2	1	0
6. The recommendations were relevant and feasible.	5	4	3	2	1	0
7. The report was written clearly and organized logically.	5	4	3	2	1	0
8. Your written response to the draft report was properly considered in finalizing the report, and appropriate changes, where necessary, were made.	5	4	3	2	1	0
9. The report's monetary savings projections, if any, were sound.	5	4	3	2	1	0
10. Members of the review team conducted themselves in a professional manner.	5	4	3	2	1	0
11. The review helped you improve the performance of your operation.	5	4	3	2	1	0
<u>Other</u> If you have any suggestions to help the OIG improve its service to management or comments about any aspect of this review, please attach them to this survey.						

**CUSTOMER SATISFACTION SURVEY FORM
(Healthcare Inspections)**

DEPARTMENT OF VETERANS AFFAIRS OFFICE OF INSPECTOR GENERAL QUALITY SURVEY						
HOTLINE CASE REVIEW						
OHI Report Number:						
Report Date:						
Report Title:						
OHI is frequently called upon to review "hotline" allegations. Many times hotline inspections requests come directly from the Secretary of Veterans Affairs or Congress. Hotline inspections generally focus on issues that involve activities in one VA medical center, and require the exploration and evaluation of practitioner performance, or system-related issues associated with treating individual patients. Our goal is to address objectively and fairly all allegations and concerns. <u>Please assist us in determining to what extent we have met these goals.</u>						
	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	Not Applicable
The inspector(s) clearly communicated the goals of this inspection.	5	4	3	2	1	N/A
The inspector(s) entrance briefing prepared you for the process that ensued.	5	4	3	2	1	N/A
Inspector(s) discussed preliminary findings during the exit briefing.	5	4	3	2	1	N/A
The inspector(s) kept you apprised of the inspection's progress.	5	4	3	2	1	N/A
The inspector(s) acted professionally and courteously.	5	4	3	2	1	N/A
Inspector(s) conducted their work with minimal disruption to staff.	5	4	3	2	1	N/A
Inspection findings were sound, and supported by sufficient factual information.	5	4	3	2	1	N/A
Recommendations were relevant, realistic and achievable.	5	4	3	2	1	N/A
Inspectors considered your comments and appropriately incorporated them into the final report.	5	4	3	2	1	N/A
The inspection brought of closure to the complainant's allegations.	5	4	3	2	1	N/A
We would appreciate your suggestions for improving future inspections:						

CUSTOMER SATISFACTION SURVEY FORM
(Healthcare Inspections)

DEPARTMENT OF VETERANS AFFAIRS OFFICE OF INSPECTOR GENERAL QUALITY SURVEY						
PROACTIVE VETERANS HEALTH ADMINISTRATION (VHA) PROGRAM REVIEW						
OHI Report Number:						
Report Date:						
Report Title:						
OHI is charged with overseeing VHA's programs. Each year, with input from VHA, OHI selects a number of nationwide VHA programs to review proactively. These reviews are intended to be peer inspections of key VHA programs. Our goal is to provide VHA managers with ideas and suggestions for further program development and refinement. <u>Please assist us in determining to what extent we met these goals.</u>						
	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	Not Applicable
The goals of the review, as stated above, were important to the VHA.	5	4	3	2	1	N/A
The purpose, scope and methodology of the review were explained fully to VHA managers during the "Entrance Conference."	5	4	3	2	1	N/A
OHI inspectors kept VHA managers apprised of the inspection process.	5	4	3	2	1	N/A
The review results were discussed fully with VHA managers during the "Exit Conference."	5	4	3	2	1	N/A
OHI inspectors conducted themselves professionally and courteously.	5	4	3	2	1	N/A
The report was written clearly and organized logically.	5	4	3	2	1	N/A
The report contained sufficient information to support the findings.	5	4	3	2	1	N/A
The recommendations were reasonable, achievable, and consistent with the findings.	5	4	3	2	1	N/A
VHA's comments to the draft report were considered and appropriately incorporated into the final report.	5	4	3	2	1	N/A
The report was provided to VHA managers in a timely manner.	5	4	3	2	1	N/A
The proactive program review provided useful insights into this VHA program.	5	4	3	2	1	N/A
We would appreciate your suggestions for improving future program evaluations:						

**CUSTOMER SATISFACTION SURVEY FORM
(Healthcare Inspections)**

DEPARTMENT OF VETERANS AFFAIRS OFFICE OF INSPECTOR GENERAL QUALITY SURVEY						
QUALITY PROGRAM ASSISTANCE (QPA) REVIEW						
OHI Report Number:						
Report Date:						
Report Title:						
The purpose of the QPA review is to assess, with reasonable accuracy, the medical center's status in providing (i) ready access to (ii) high quality health care for (iii) the largest possible number of eligible veterans at the (iv) lowest possible cost. The QPA is intended to be performed with a minimum of preparation on your part, and with a minimum of disruption to medical center operations. Our goal is to provide you with a real time "snapshot" of the operations of your medical center, as perceived from a variety of viewpoints. <u>Please assist us in determining to what extent we met these goals.</u>						
	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	Not Applicable
The goals of the review, as stated above, were important to your medical center.	5	4	3	2	1	N/A
The purpose, scope and methodology of the review were explained fully during the "Entrance Conference."	5	4	3	2	1	N/A
OHI inspectors kept you adequately apprised of the review progress.	5	4	3	2	1	N/A
The preliminary review results were discussed during the "Exit Conference."	5	4	3	2	1	N/A
OHI inspectors conducted themselves professionally and courteously.	5	4	3	2	1	N/A
Inspectors carried out the QPA process with minimal disruption of medical center operations.	5	4	3	2	1	N/A
The report was written clearly and organized logically.	5	4	3	2	1	N/A
The report contained sufficient information to support the review findings.	5	4	3	2	1	N/A
Your comments to the draft report were considered and appropriately incorporated in the final report.	5	4	3	2	1	N/A
The report was provided to you in a timely manner.	5	4	3	2	1	N/A
The QPA review produced insights into the performance of your operation.	5	4	3	2	1	N/A
We would appreciate your suggestions for improving the QPA process:						

**CUSTOMER SATISFACTION SURVEY FORM
(Contract Reviews and Evaluations)**

Contract Review and Evaluation Division (53C)

CUSTOMER SATISFACTION SURVEY

Dear Customer,

As part of measuring the responsiveness and effectiveness of the Contract Review and Evaluation Division, in conjunction with GPRA performance measures, we ask that you please respond to the following areas (under Instructions) related to the referenced report.

Review Title:

Report Number:

Report Date:

Respondent (Optional): _____

Instructions:

Please circle the number which best indicates your opinion of how well the Contract Review and Evaluation Division accomplished the following objectives in the referenced project or report. A score of "5" indicates that you strongly agree, while a score of "1" indicates that you strongly disagree. Circle "0" if you have no opinion.

1. Objectives were clear.	5	4	3	2	1	0
2. Conclusions were timely.	5	4	3	2	1	0
3. Conclusions were clear.	5	4	3	2	1	0
4. Conclusions were logical.	5	4	3	2	1	0
5. Recommendations were clear.	5	4	3	2	1	0
6. Recommendations were achievable.	5	4	3	2	1	0
7. Report was useful.	5	4	3	2	1	0

Please provide any additional comments below. If you would like to speak directly to someone in the Contract Review and Evaluation Division, please call (202) 565-4818. Thank you for your cooperation.

Additional Comments (optional):

CUSTOMER SATISFACTION SURVEY FORM
(Hotline and Special Inquiries)

DEPARTMENT OF VETERANS AFFAIRS OFFICE OF INSPECTOR GENERAL QUALITY SURVEY						
Report Number: _____			Report Date: ___/___/___			
Report Title: _____						
Respondent's Name, Title, and Location: _____						
OBJECTIVES	5	4	3	2	1	No Opinion
1. The objectives of this review were important to your office.	5	4	3	2	1	0
2. The review's purpose, scope and methodology were appropriate and clearly presented to you.	5	4	3	2	1	0
3. The review results were discussed fully with appropriate management personnel.	5	4	3	2	1	0
4. The results of the review were provided to you in a timely manner.	5	4	3	2	1	0
5. The report's conclusions were sound and sufficient information was provided to support the finding(s).	5	4	3	2	1	0
6. The recommendations were relevant and feasible.	5	4	3	2	1	0
7. The report was written clearly and organized logically.	5	4	3	2	1	0
8. Your written response to the draft report was properly considered in finalizing the report, and appropriate changes, where necessary, were made.	5	4	3	2	1	0
9. The report's monetary savings projections, if any, were sound.	5	4	3	2	1	0
10. Members of the review team conducted themselves in a professional manner.	5	4	3	2	1	0
11. The review helped you improve the performance of your operation.	5	4	3	2	1	0
<u>Other</u>						
If you have any suggestions to help the OIG improve its service to management or comments about any aspect of this review, please attach them to this survey.						

CUSTOMER SATISFACTION SURVEY FORM
(Administrative and Management Support)

RESOURCES MANAGEMENT DIVISION

Resources Management Division staff provide a variety of support services to OIG personnel. As a means to collect and evaluate customer feedback, please check the functional area to which your feedback applies and complete the following questions. We invite and appreciate your comments. We will use the results for organizational performance measurement.

FUNCTIONAL AREA:

- _____ **Budget:** Includes advice and assistance with formulation, execution, and status of funds.
- _____ **Personnel Liaison:** Includes work and advice regarding all personnel actions, for example, classification, staffing, and benefits inquiries.
- _____ **Travel:** Includes such areas as processing travel, advice regarding travel entitlements, and providing information about the status of funds.
- _____ **Procurement:** Includes support in purchasing goods and services through the IMPAC program, or by purchase order.
- _____ **ADP:** Includes support for the OIG MIS applications, advice regarding specific equipment capabilities, and assistance resolving technical problems.
- _____ **Administrative:** Includes a range of services, for example, telephone services, space use, and move coordination.

On the following questions, for the functional area you checked, please indicate the degree to which you agree, with a "1" indicating you strongly disagree and a "5" indicating you strongly agree. Please circle your choice.

1. The staff member(s) conducted business in a professional, courteous, and helpful manner.

1 2 3 4 5

2. The staff member(s) provided me with accurate information or advice.

1 2 3 4 5

3. The staff member(s) provided the advice or service on time.

1 2 3 4 5

4. The staff member(s) demonstrated a customer-service orientation.

1 2 3 4 5

5. Comments and specific events or examples leading to this evaluation (including the staff member(s) involved):