

U.S. Department of Agriculture
Office of Inspector General Five-Year Strategic Plan
Fiscal Years 2010 - 2015
No. 3
June 2010

Message From The Inspector General

I am pleased to provide the third strategic plan issued by the United States Department of Agriculture (USDA) Office of Inspector General (OIG). In developing our first strategic plan in 2004, OIG established specific goals and performance measures within the framework of the Government Performance and Results Act. In both 2008 and 2009, we met or exceeded these high standards of performance. USDA OIG continues to respond to the numerous and varied issues of concern that confront American agriculture (including State meat inspection, national organics, firefighting succession plans, and enforcement of the Animal Welfare Act). We also have initiated a program of fraud awareness and outreach for our stakeholders and participants, and initiated numerous oversight audits on the implementation of \$28 billion in funding provided to USDA programs through the American Recovery and Reinvestment Act (Recovery Act) of 2009. OIG received \$22.5 million for oversight, to be available until September 30, 2013.

In drafting this current plan, our goal is to continue to help the Department address the many challenges that will arise over the next 5 years. We know that USDA faces a number of challenges, ranging from planning for an anticipated surge in retirements to responding to new legislation. In addition, OIG will continue working to deploy our own resources as effectively as possible.

This strategic plan was developed by a seasoned team with audit, investigative, and management expertise that examined our goals and performance results from the last 3 years. OIG senior managers provided comments and input, and the draft was shared with all OIG staff as well as such OIG stakeholders as Department officials, Office of Management and Budget, and Congressional staff.

As Inspector General, I want to thank our dedicated OIG staff for embracing this strategic planning process. In particular, I want to personally thank Special Agents-in-Charge Lori Chan and Karen Citizen-Wilcox; Regional Inspectors General for Audit Raymond G. Poland and Timothy R. Milliken; and Management Analyst Jan Cline for their assistance.

I look forward to continuing to work with you over the next few years to implement this plan.

Phyllis K. Fong
Inspector General

OIG Mission

OIG's mission is to promote economy, efficiency, effectiveness, and integrity in the delivery of USDA's programs.

OIG Vision

OIG will be a trusted contributor to the value, safety, and integrity of USDA programs.

Core Values

We place value on people. We earn and give respect to everyone we encounter in our work. We treat our fellow OIG team members as equal partners and full contributors to OIG's mission, vision, and goals.

We place value on making a positive difference through the work we do. We are committed to constantly improving how we operate, embracing innovation, and using persistence and determination to achieve results.

Goals, Strategies, and Performance Measures

- GOAL 1: Strengthen USDA's ability to implement safety and security measures to protect the public health as well as agricultural and Departmental resources.
- GOAL 2: Reduce program vulnerabilities and strengthen program integrity in the delivery of benefits to individuals.
- GOAL 3: Support USDA in implementing its management improvement initiatives.
- GOAL 4: Increase the efficiency and effectiveness with which USDA manages and exercises stewardship over natural resources.

Strategies:

For each of the above goals, OIG will:

- Continuously monitor and assess risks in USDA operations and programs to identify those risks critical to the achievement of our goals.
- Target resources to address those critical risks.

Performance Measures:

OIG will measure its performance under each of these goals by tracking the:

- Percentage of OIG direct resources dedicated to critical risk or high-impact activities.
- Percentage of audit recommendations where management decisions are achieved within 1 year.
- Percentage of audits initiated where the findings and recommendations are presented to the auditee within established and agreed-to timeframes.
- Percentage of closed investigations that resulted in a referral for action to the Department of Justice, State/local law enforcement officials, or relevant administrative authority.
- Percentage of closed investigations that resulted in an indictment, conviction, civil suit or settlement, judgment, administrative action, or monetary result.

Goals, Strategies, and Performance Measures

GOAL 5: Strive for a highly qualified diverse workforce with the tools and training necessary to continuously enhance OIG's ability to fulfill its mission and communicate its accomplishments.

Strategies:

- Recruit, hire, train, develop, motivate, mentor, and effectively manage a diverse front-line, supervisory, and executive workforce with the technical and workplace skills necessary to facilitate succession planning and meet OIG's strategic goals and annual plans.
- Continuously acquire and deploy state-of-the-art technology, equipment, and other physical resources necessary to enable OIG to meet its strategic goals and annual plans.
- Enhance internal OIG communication so that all staff understands OIG's priorities and the contribution their work makes toward fulfilling OIG's mission.
- Use our performance planning and appraisal processes to ensure that all OIG staff are aware of how their work ties to OIG's strategic and annual plans, and that they are held accountable for how their work impacts the organization's results and how they personally support OIG's mission, vision, core values, goals, and performance targets.
- Provide timely and reliable legal and management advice, reports, and services to support the effective functioning of all OIG components.
- Support the integrity of OIG operations by maintaining an effective quality assurance and internal review program.
- Effectively communicate the outcome of our work to Congress, agency management officials, the press, and members of the public.

Performance Measures:

- Satisfaction rates reported in staff surveys, including biannual Organizational Assessment Surveys.
- OIG performance against goals set in annual plans.
- Performance of OIG management, legal, and quality assurance offices against timeliness standards set for their functions.
- Assessment of stakeholder and customer feedback solicited through interviews, surveys, and other consultations.

Implementation of The Strategic Plan

This Strategic Plan is the first step in an ongoing strategic and tactical planning process laid out in the Government Performance and Results Act and Office of Management and Budget guidance. Within USDA OIG, we will track implementation of this plan and ensure individual and office accountability for achieving our strategic goals by the following:

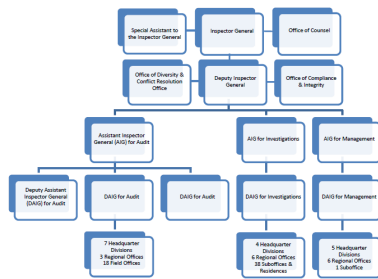
OIG will publish an Annual Performance Plan that sets specific targets for each of our performance measures for the coming fiscal year; lays out the audit, investigation, and management priorities for the year; and, where appropriate, discusses the specific projects that will be performed, as well as expected initiation dates. OIG will publish a biannual Recovery Act Plan that lays out specific targets for audit priorities and summarizes audit work to be performed.

OIG will report on its progress against the Strategic and Annual Performance Plans in the Semiannual Report to Congress for the applicable fiscal year. The report will cover our progress against the measures, priorities, and project initiation dates listed in the Annual Performance Plan for the corresponding year.

OIG will also link employee standards and ratings to the Strategic Plan. Currently, OIG has tied the performance standards of its Senior Executive Service members and its audit managers to the OIG Strategic Plan. By the end of fiscal year 2010, we expect to link the performance standards of every employee within OIG to the Strategic Plan.

By linking the Strategic Plan to annual performance plans and reports, OIG will be able to maintain focus on the goals of the Strategic Plan while allowing enough flexibility to adapt to everchanging circumstances, such as unexpected new priorities that could arise from natural disasters, or the revised expectations of stakeholders (such as the shifting expectations regarding necessary audit and investigative work that came about with respect to the Recovery Act), or shifting Department priorities.

Organization Chart and Functional Responsibilities As of June 2010



Areas of Responsibility:

Audit

The Office of Audit examines the economy and efficiency of USDA programs and operations, including program results, compliance with applicable laws and regulations, and the accuracy of financial reports. While most audit work is done by in-house staff, Audit also contracts with certified public accountants for some work and oversees the quality of work completed by auditors under contract to other USDA agencies. OIG audits are completed in accordance with *Government Auditing Standards* published by the U.S. Government Accountability Office.

Investigations

The Office of Investigations utilizes specific law enforcement authorities, tools, and techniques, including the use of asset forfeiture, to conduct investigations and prevent fraud, waste, and abuse in the programs and operations of USDA. Investigative work is intended to result in appropriate actions to resolve allegations and to prevent and deter future instances of illegal or fraudulent acts or misconduct.

Counsel

The Office of Counsel (OC) provides legal advice and representation on issues arising during the course of audit and investigative activities or internal administrative and management issues. OC also manages OIG's congressional and media relations, ethics, Freedom of Information Act, and Privacy Act programs; and reviews proposed legislation, regulations, and procedures.

Management

The Office of Management (OM) ensures that OIG staff, budgetary funds, technology and equipment, and policies are in place so that OIG can function efficiently and effectively. Responsibilities include asset management, budget formulation and execution, human resources, cross-OIG workplace training, information technology, and policy preparation for OIG. OM also facilitates OIG's planning activities and prepares cross-cutting documents on OIG accomplishments.

Compliance and Integrity

The Office of Compliance and Integrity conducts systematic and independent reviews and investigations of operations within OIG. Reviews are generally focused on management and internal controls, and investigations are generally in response to allegations of OIG employee misconduct or mismanagement issues.

Diversity and Conflict Resolution

The Office of Diversity and Conflict Resolution advises OIG leadership on applying the principles of civil rights, equal employment opportunity, dispute resolution, and affirmative employment regarding matters pertaining to the OIG workforce, program activities, and

development of policy. This office also guides employees through the use of the Federal sector employment discrimination complaints and dispute resolution processes, as needed.

<p>To learn more about OIG, visit our Web site at http://www.usda.gov/oig/index.htm</p>
<p>How To Report Suspected Wrongdoing in USDA Programs</p>
<p>Fraud, Waste and Abuse In Washington, DC 202-690-1622 Outside DC 800-424-9121 TDD (Call Collect) 202-690-1202</p>
<p>Bribes or Gratuities 202-720-7257 (Monday-Friday, 9 a.m.-3 p.m. ET)</p>

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