

# HUD OIG Strategic Plan

2013-2018



by

U.S. Department of Housing and Urban Development  
**Office of Inspector General**

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## MESSAGE FROM THE INSPECTOR GENERAL

Fall 2012

I am pleased to present the U.S. Department of Housing and Urban Development (HUD), Office of Inspector General (OIG), 2013-2018 Strategic Plan, which describes our primary areas of focus for the next 5 years. Perhaps more than any other organization in HUD, OIG is uniquely situated to be a proactive force that can bring about constructive change. Our objective is to be such a force and serve as a trusted and relevant advisor to HUD, other stakeholders, and Congress.

We remain committed to our statutory mission of detecting and preventing fraud, waste, and abuse and promoting the effectiveness and efficiency of government operations. We will concentrate on identifying and mitigating problems before they become systemic, rather than limiting ourselves to solely reacting to allegations. Along with our traditional audit and investigative work, we will implement four initiatives over the next 5 years to tackle the current conditions we face and to help achieve the general goals and objectives outlined in our Strategic Plan.

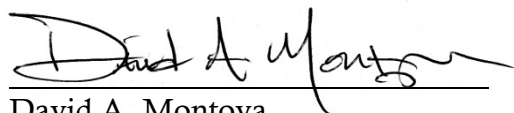
First, our Civil Fraud Division, in conjunction with our criminal investigative work, will continue to target additional large Federal Housing Administration lenders and servicers alleged to have fraudulently contributed to the ongoing mortgage crises. While continuing to address financial fraud, we will increase our efforts to target potential grant and contract fraud within HUD's programs and operations.

Second, we will augment our traditional audit and investigative work with an inspections and evaluations capability that uses advanced program assessment techniques. This capability will provide us with a flexible and effective mechanism for providing oversight and conducting reviews of HUD programs by employing multidisciplinary teams and using a variety of methods for gathering, analyzing, and reporting data.

Third, we will improve our information technology infrastructure and develop a more robust data mining capability. This will allow us to better identify nonobvious relationships to more quickly detect and deter fraud, waste, abuse, and mismanagement within the Department and its programs. The capstone of our work will be identifying trends, patterns, and weaknesses before they become systemic or national problems or result in detrimental impacts to the Department or the Nation.

Lastly, we will become more proactive and renew our fraud prevention efforts. We will establish a program that will inform the Department, industry, and stakeholders of fraud schemes and areas of weaknesses we have encountered. We will strive to prevent the fraud or at least, interrupt it before all the funds have been paid out or lost.

We look forward to fulfilling our important responsibilities and working with Congress in overseeing these vital programs, which support our Nation's citizens. We will continue to evaluate circumstances and modify our direction to improve our service to HUD, our stakeholders, and Congress.



David A. Montoya  
Inspector General

## IMPLEMENTING THE STRATEGIC PLAN

The OIG Strategic Plan is a significant component to fulfilling the requirements of the Government Performance and Results Modernization Act of 2010 (GPRAMA) and Office of Management and Budget (OMB) guidance. We continuously evaluate our efforts to improve the accountability of HUD and OIG's responsiveness to the needs of Congress, the Department, and the stakeholders. We seek to develop and maintain an organization, the work and performance of which is respected and establishes us as a leader in the Federal Government.

Our goals and objectives support several of the Department's own strategic and priority goals, as well as the President's six performance strategies.

The three most significant external factors that might impair our ability to implement the Strategic Plan and meet our objectives are relationships with leadership in the Department and Congress and their receptivity to our work, ongoing budget uncertainties, and unforeseen significant events.

This Strategic Plan is the first step in an ongoing strategic and tactical planning process laid out in GPRAMA and OMB guidance. Within HUD OIG, we will track the 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 and lays out the audit, investigation, and management priorities for the year.
- OIG will report on its progress against the Strategic Plan and its annual performance plans in the Semiannual Report to Congress for the applicable fiscal year.
- OIG will 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 2013, 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. We will allow enough flexibility to adapt to ever-changing circumstances, such as unexpected new priorities.

## OUR VISION

We will strive to advance integrity, efficiency, and effectiveness in HUD programs and operations. We will look ahead for emerging trends or weaknesses that may expose the Department to risk and program inefficiencies. We will assist the Department in determining whether it is successful in achieving its goals. We will accomplish this by providing the Department and our stakeholders with innovative work products that are timely, are of high quality, and have a significant impact on improving the way HUD does business.

## OUR MISSION

The Office of Inspector General will:

- Conduct and supervise independent audits, fraud reviews, evaluations, and civil and criminal investigations relating to the programs and operations of the Department;
- Promote economy, efficiency, and effectiveness in the administration of HUD programs and operations;
- Prevent and detect fraud and abuse in such programs and operations;
- Provide a means for keeping the HUD Secretary and Congress fully informed about current problems and deficiencies; and
- Benchmark best practices and recommend corrective actions in HUD's programs and operations.

## OUR VALUES

**Collaboration:** The commitment to work jointly with the Department, our stakeholders, and Congress for the benefit of the American taxpayer.

**Accountability:** The obligation and willingness to accept responsibility and to account for our actions.

**Integrity:** The firm adherence to honesty and fairness in all that we do.

**Stewardship:** The careful and responsible management of that which has been entrusted to our care.

**Equal Employment Opportunity:** The promotion of high standards of equal employment opportunity for employees and job applicants at all levels. Our management is committed and proactive in the prevention of discrimination and ensuring freedom from retaliation for participation in the equal employment opportunity process in accordance with departmental policies and procedures.

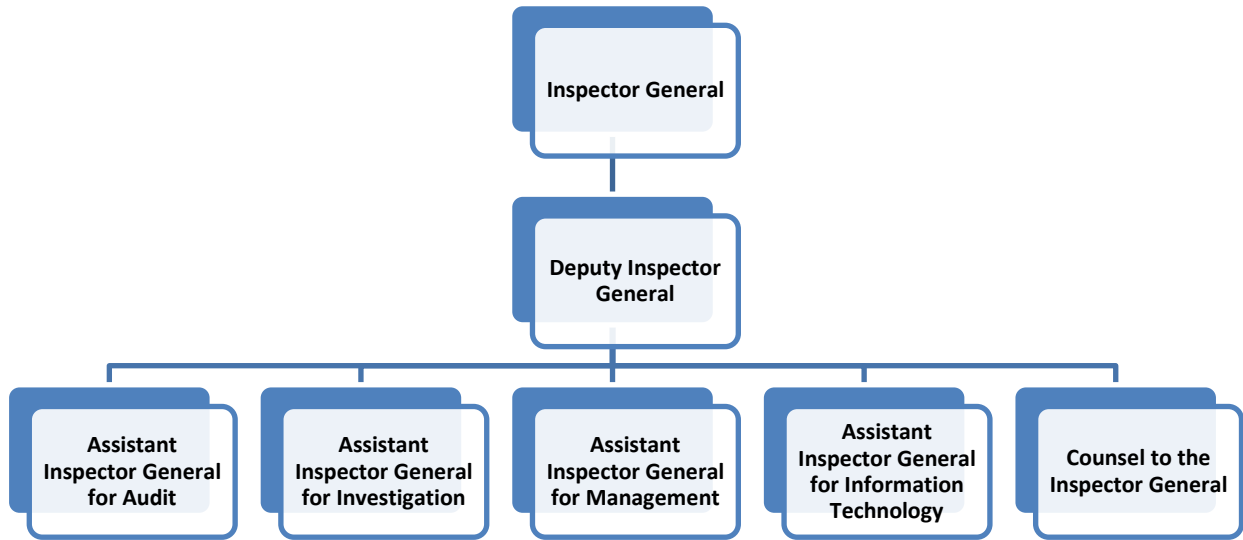
## OUR STRATEGIC GOALS

Goal 1 Effectiveness	Goal 2 Timeliness	Goal 3 Quality	Goal 4 Impact	Goal 5 Innovation
Help the Department address its “major challenges” by being a relevant and problem-solving advisor to HUD, stakeholders, and Congress.	Deliver relevant products that allow the Department to act on time-sensitive issues.	Provide services and products that can be relied upon to address vulnerabilities, provide opportunities for improvements, and recognize positive outcomes.	Deliver services and products that can be used by recipients to make informed decisions, take appropriate actions, and improve programs.	Develop new and better ways of conducting business to enhance our organizational performance and to support a diverse and skilled workforce.

## OUR OBJECTIVES

- Promoting fiscal responsibility and financial accountability
- Strengthening the soundness of public and Indian housing
- Improving HUD’s execution of and accountability for grant funds
- Protecting the integrity of the housing insurance and guarantee programs

# OFFICE OF INSPECTOR GENERAL ORGANIZATIONAL CHART



## AREAS OF RESPONSIBILITY

### Office of Audit

The Office of Audit is responsible for conducting audits, civil fraud reviews, inspections, and evaluations. This work identifies, assesses, and reports on the Department's activities and programs. The Office of Audit recommends corrective actions to the Department, as necessary, for the purpose of preventing future program or operational problems. Auditors are assigned to headquarters and regional offices. The Office of Audit initiates its work based on information obtained from program officials, program research, complaints, congressional requests, and risk assessments.

The Office of Audit conducts audits in accordance with Government Auditing Standards as defined by the Comptroller General. These audits include:

- Financial audits, which determine whether financial statements are fairly presented, internal controls are adequate, and laws and regulations have been followed.
- Information system audits, which determine, among other things, the adequacy of general and application controls and whether security over information resources is adequate and complies with system development requirements.
- Performance audits, which determine whether programs are achieving the desired results or benefits in an efficient and effective manner.

The Office of Audit also conducts inspections and evaluations in accordance with the Quality Standards for Inspection and Evaluation developed by the Council of the Inspectors General on Integrity and Efficiency. Inspections and evaluations are assessments of the design, implementation, or results of HUD's operations, programs, or policies. They can be used to provide factual and analytical information or share best practices or promising approaches in administering HUD programs.

The Office of Audit also conducts civil fraud reviews to identify fraud and make referrals for civil actions and administrative sanctions against entities and individuals that commit fraud against HUD. In addition, the Civil Fraud Division provides case support to the U.S. Department of Justice, Civil Division; United States Attorney's Offices nationwide; and HUD's Office of Legal Counsel to investigate and bring civil fraud and administrative cases.



## Office of Investigation

The Office of Investigation initiates investigations regarding possible violations of laws or regulations in the administration of HUD programs and activities or misconduct on the part of HUD employees, the recipients of HUD funds, or both. The Office of Investigation is dedicated to detecting and deterring fraud and criminal activities throughout all of HUD's programs. These include investigations of criminal violations for prosecution by the U.S. Department of Justice and investigations of program irregularities for civil or administrative actions by HUD.

Our highly skilled team of criminal investigators is dedicated to investigating allegations of criminal, civil, and administrative misconduct involving HUD employees, contractors, grantees, and programs. These investigations can result in criminal prosecutions, fines, civil monetary penalties, administrative sanctions, and personnel actions.

The Office of Investigation includes the Headquarters Operations Division, the Special Investigations Division (which handles internal investigations of HUD and HUD OIG employees), and many regional offices across the county.

## Office of Management

The Office of Management supports the Offices of Audit, Investigation, Legal Counsel, and Information Technology with the policy and management operations of OIG. This office oversees human resources, training, budget, general administrative support services, and equal employment opportunity matters. It also provides a fraud hotline to HUD employees and the general public. The Office has the following divisions:

- Financial Management Division
- Human Capital Management Division
- Resource Management Division
- Policy, Compliance and Reporting Division

## Office of Information Technology

The Office of Information Technology is responsible for providing all necessary information technology resources to the OIG user community in support of the OIG mission, to include information security and information management. It also develops policies in support of information technology operations and activities consistent with organizational requirements, Federal laws and regulations, and best practices. The Office of Information Technology develops procedures to ensure documented processes consistent with best practices, operational standardization and control, and compliance with such regulations as the Federal Information Security Management Act.

## Office of Legal Counsel

The Office of Legal Counsel is responsible for providing competent and timely legal services to OIG. These responsibilities include but are not limited to the following:

- Providing oral or written legal opinions and guidance to HUD OIG on all matters affecting OIG operations and its structure, authority, and prerogatives.
- Providing legal advice and opinions to the Inspector General and OIG personnel regarding HUD programs and activities for internal official use.
- Providing legal advice on fiscal law, public contracting, records management, and other civil law and administrative issues.
- Drafting proposed legislation, regulations, and policies in addition to reviewing and commenting on existing and proposed legislation, regulations, and program requirements.
- Representing OIG in judicial, administrative, and other forums.
- Providing immediate direct support to auditors and investigators by reviewing, approving, and enforcing administrative subpoenas issued by OIG.
- Providing legal advice, guidance, and approvals as the bureau ethics counselor in the administration of OIG's ethics program.
- Processing and releasing in a timely manner information generated by audits and investigations, which is requested through the Freedom of Information Act, the Privacy Act, or third-party subpoenas and requests.