

Office of Inspector General

2002 Performance Plan

Transition Period

(January 1 – September 30, 2002)



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Introduction

The Government Performance and Results Act of 1993 (Results Act or GPRA) was enacted to improve the management, effectiveness, and accountability of federal programs. The Results Act requires most federal agencies, including the FDIC, to develop a strategic plan that broadly defines the agency's mission and vision, an annual performance plan that translates the vision and goals of the strategic plan into measurable objectives, and an annual performance report that compares actual results against planned goals.

The Office of Inspector General strongly supports the Results Act and is fully committed to applying its principles of strategic planning and performance measurement and reporting to our operations. Doing so will enable us to demonstrate that we are providing value to the Corporation and to help identify changes we are making to improve our organizational effectiveness and efficiency. The OIG Strategic Plan and Annual Performance Plan lay the basic foundation for establishing goals, measuring performance, and reporting accomplishments consistent with the principles and concepts of the Results Act.

The OIG's Annual Performance Plan describes what we will accomplish during this transition period to help achieve our long-term strategic goals and objectives. The plan bridges the gap between our strategic goals and the day-to-day activities of our staff, and reflects the OIG's emphasis on adding value to the Corporation and doing work that is responsive and relevant to the FDIC Chairman, Congress, and corporate management. The 2002 plan contains goals that focus on adding value to the Corporation through our core mission activities of audits, evaluations, and investigations; expanding the breadth of the OIG's contributions; and improving communications with our stakeholders. In keeping with the spirit of the Results Act, the OIG is committed to the continued development of performance indicators that better measure the impact and results of OIG work.

The OIG recognizes that strategic planning supported by performance goal setting and measurement is an ongoing and evolutionary process that requires continuous monitoring. We further recognize the importance of results-oriented goals and alignment with the Corporation's strategic goals and objectives. Accordingly, we continually reevaluate our strategic and performance plans and goals to ensure consistency with the objectives of the Results Act in concert with the IG Act and the Corporation's goals.

Change to September 30 Fiscal Year Planning and Reporting Cycle

To date, the FDIC OIG has conducted its performance planning and reporting cycle under the Results Act on a calendar year basis, consistent with the Corporation's budget and accounting cycle. However, the OIG receives a separate appropriation based on the government-wide fiscal year ending September 30. We have made a decision to change our Results Act performance planning and reporting cycle to the fiscal year ending September 30. This cycle will also be consistent with the semiannual reporting periods required under the Inspector General Act. To accommodate our conversion from reporting on a calendar year basis to reporting on a September 30 fiscal year basis, we will use a 9-month transition period (January 1 to September 30, 2002) for the OIG 2002 Performance Plan and Report. A new strategic plan is being developed and an annual performance plan with new goals and measures will be developed to be effective for fiscal year 2003, beginning October 1, 2002 and ending September 30, 2003.

Our Mission Statement

The Office of Inspector General promotes the economy, efficiency, and effectiveness of FDIC programs and operations, and protects against fraud, waste, and abuse, to assist and augment the FDIC's contribution to the stability of, and public confidence in, the nation's financial system. We accomplish our mission by conducting independent audits, investigations, and evaluations, and by keeping the Chairman and the Congress fully and currently informed of our work.

Our Vision Statement

By conducting independent audits, investigations, and evaluations, we act as agents of positive change, striving for continuous improvement in and protection of FDIC programs, operations, and management. We are committed to the Congress and the American public to promote good government, and to create an environment where our employees have an opportunity to learn and excel and are proud of their work.

OIG Values

The OIG has adopted the following principles to guide us in achieving our mission, goals, and objectives:

Independence, objectivity, and integrity. The OIG strives to provide maximum service to the Corporation, while always adhering to these basic tenets of the IG Act.

Quality. The OIG's products and services must always be of the highest quality. They are defined by their accuracy, fairness, and usefulness to our customers.

Continual improvement. The OIG acknowledges that growth and vision are crucial to the success of our office. We will perform audits and reviews with OIG staff, to the extent practicable, to promote a solid base of institutional knowledge. We must learn from the past and anticipate and prepare for the future. We are committed to taking actions, whenever necessary, to adapt to a changing environment.

Respect. The OIG respects all of its employees because they are important, trusted, and the key to continued improvement of our services to all customers.

Accountability. The OIG works toward ensuring that all employees have a clear understanding of what is expected of them. Each individual is responsible for his or her actions and should be mindful that these actions always reflect on our customers' perception of the OIG.

Communication. The OIG strives for an environment of open and honest communication both among our people and with our customers. We will build responsive and constructive relationships with corporate officials based on a shared commitment to improving program and operational effectiveness.

The OIG also embraces the Corporation's core values that follow:

Effectiveness. The FDIC's reputation rests on its professionalism, its adherence to the highest ethical standards, and its skilled and dedicated workforce.

Responsiveness. The FDIC responds rapidly, innovatively, and effectively to risks to the financial system. It works effectively with other federal and state regulators to achieve consistency in policy and regulation. It seeks and considers information from the Congress, the financial institution industry, individuals seeking and receiving financial services, and others outside the FDIC in the development of policy. In developing and executing its policies, the FDIC seeks to minimize regulatory burden while fulfilling its statutory responsibilities.

Teamwork. The FDIC promotes and reinforces a corporate perspective and challenges its employees to work cooperatively across internal and external organizational boundaries.

Fairness. The FDIC treats everyone with whom it deals fairly and equitably. It exercises its responsibilities with care and impartiality; promotes a work environment that is free of discrimination and values diversity; and adheres to equal opportunity standards.

Service. The FDIC's long and continuing tradition of public service is supported and sustained by a highly skilled and diverse workforce that responds rapidly and successfully to changes.

Integrity. The FDIC performs its work with the highest sense of integrity, which requires the agency to be, among other things, honest and fair. The FDIC can accommodate the honest difference of opinion; it cannot accommodate the compromise of principle. Integrity is measured in terms of what is right and just, standards to which the FDIC is committed.

Strategic Outlook

This section summarizes the OIG's strategic outlook as we continue to strive to achieve our mission through accomplishment of our strategic goals and objectives.

Corporate Environment and Management Challenges at the FDIC

Corporate Environment

The strategic outlook for the OIG, established within the corporate environment, must necessarily give primary consideration to the challenges that the Corporation will face now and in the future in meeting its mission to contribute to stability and public confidence in the nation's financial system. Accordingly, the OIG must continually evaluate major corporate challenges and issues in order to identify corporate vulnerabilities (to fraud, abuse, and inefficient, uneconomical and ineffective activities) that we must address to meet our mission under the Inspector General Act.

In February 2002 at an Executive Leadership Conference, FDIC Chairman Donald Powell announced a new vision for the Corporation. Through downsizing and reorganization, the workforce of the FDIC is expected to be streamlined but more agile and efficient. And though the workforce will be smaller in number, the Chairman further challenged his executive team to make the FDIC a leader in banking information, supervision, and policy. He envisions the FDIC providing more timely and better information than anyone else; recognizing and responding to emerging risks before they threaten safety and soundness or harm consumers; and becoming the authority and resource that the Congress, media, and others turn to for guidance. The OIG fully supports that vision for the Corporation and will do all it can, in partnership with the Corporation, other financial regulatory agencies, and the Inspector General community, to help make it a reality.

Management Challenges

In the interest of improving federal performance government-wide, the Senate Governmental Affairs Committee has asked Offices of Inspector General to identify the 10 most significant management challenges facing their agencies. At the FDIC, our office has identified and reported these challenges to the Chairman, the Congress, and others through our Semiannual Reports to the Congress, as follows:

- Organizational Leadership;
- Addressing Risks to the Insurance Funds;
- Supervising Insured Institutions;
- Protecting Consumer Interests;
- Merging the Insurance Funds;
- Managing Information Technology;
- Ensuring Sound Controls and Oversight of Contracting Activities;
- Establishing Goals and Measuring Results;
- Addressing Human Capital Issues; and
- Containing Costs and Addressing Business Processes.

In addition, we have identified two rapidly emerging management challenges:

- *Ensuring the Security of the FDIC's Physical and Human Resources* - Largely in light of the events of September 11, we identified an emerging issue that the FDIC needed to address—physical and personnel security. The Corporation has devoted considerable attention to these areas and continues to do so.
- *Quality of Bank Financial Reporting and Auditing* - Recent highly publicized business failures, including financial institution failures, have raised significant questions about the quality of financial reporting and auditing of these businesses. Various dimensions of this issue have been, and continue to be, widely discussed and reported in various forums, most notably with continuing congressional hearings on the failure of Enron Corporation. Aspects of the problem as it relates to financial institutions have been documented in recent OIG work on bank failures.

OIG Strategic Challenges and Strategies

The OIG is faced with the challenge of designing audit, evaluation and investigative strategies which provide the highest value, or greatest return, in identifying and minimizing the vulnerabilities and risks the Corporation faces as it addresses the formidable challenges delineated above.

Audit and Evaluation Strategies

The Office of Audits has developed a transition year 2002 *Assignment Plan* with projects designed to help the FDIC successfully address risks, meet its many challenges, and accomplish the goals articulated in its *2002 Corporate Annual Performance Plan*, issued in April 2002. These projects should result in constructive recommendations for improvements to programs and activities and identify economies and efficiencies in operations. Our planned audit and evaluation work addresses the Corporation's three principal operational areas as discussed in the FDIC's *2002 Corporate Annual Performance Plan*: Insurance, Supervision, and Receivership Management. A fourth area of attention is corporate support, which includes information technology issues and support activities, such as financial and administrative operations.

To implement its audit strategy, the OIG has organized its Office of Audits into four primary Directorates (1) Insurance, Supervision, and Consumer Affairs; (2) Resolution, Receivership, and Legal Affairs; (3) Information Assurance; and (4) Resource Management. A fifth Directorate—Corporate Evaluations—is responsible for handling certain cross-cutting issues. The plan focuses audit and evaluation activity in the following key program areas:

Insurance, Supervision, and Consumer Affairs

- Viability, Management, and Awareness of Deposit Insurance
- Globalization of Financial Services
- Institutional Risk Management
- Supervisory Action and Enforcement
- Protection and Promotion of Consumer Interests

Resolution, Receivership, and Legal Affairs

- Least-Cost Resolution
- Receivership Management
- Investigation and Processing of Claims
- Contingency Planning for Financial Institution Failures
- Corporate and Legislative Legal Services
- Receivership Legal Support

Information Assurance

- Information Technology Capital Planning and Investment Control
- Enterprise Architecture Management
- Data Management
- Information Security

Resource Management

- Cost Containment
- Financial Accountability
- Procurement Integrity
- Facilities Management
- Physical Security
- Human Capital Management

Investigative Strategies

OIG investigative strategies and initiatives will add value to the Corporation's programs and operations by identifying and investigating instances of fraud, waste, and abuse and other conduct leading to criminal, civil, and administrative penalties and recoveries.

- *Developing and Implementing Proactive Initiatives* – The OIG has developed and is implementing a series of proactive initiatives designed to enhance the impact of OIG investigations. Our proactive work targets specific high-return, high-risk areas involving the FDIC mission. These areas include: (1) concealment of assets by FDIC debtors including those who are obligated to pay court-ordered restitution, (2) fraud and false statements to the FDIC in order to secure favorable loan compromises and settlements, and (3) ongoing schemes to defraud solvent banks. We have been meeting with internal program managers and external entities such as bankruptcy trustees, probation officers, and the Department of Justice to make them aware of our existence, expertise, and willingness to consider these cases.
- *Expanded Cooperative Efforts with DRR* – In our efforts to proactively deter fraud, waste, abuse, and mismanagement, the OIG has expanded its cooperative effort with the Division of Resolutions and Receiverships (DRR) to address asset concealment and court-ordered restitution collection issues. We have developed a protocol to share information and

resources with DRR, which tracks such outstanding debt for the Corporation. In this way, we will identify new “concealment of assets” related crimes and can cooperatively work more effectively to recover a larger percentage of court-ordered restitution.

- *Solvent/Insolvent Banks* – OIG continues to meet with FBI officials throughout the country to advise them of our interest in this area. Both entities have pledged cooperation with each other to investigate open bank fraud allegations. We currently are working with the FBI on several cases that impact FDIC’s programs. Also, we are undertaking a proactive initiative involving review and analysis of Suspicious Activity Reports (SAR) which financial institutions are required to file with the Financial Crimes Enforcement Network, or FinCEN, to report suspected violations of law. The purpose of the project is to identify and target instances of fraud at financial institutions that may warrant OIG investigation. Another goal of the project is to identify potential patterns of fraud affecting FDIC-regulated institutions that may suggest areas of vulnerability requiring audit attention. Systems improvements currently underway will soon allow the OIG to extract and download SAR data maintained by the IRS Detroit Computing Center to our own computers. We plan to create our own database, design queries, and produce reports for proactive targeting. We will then be able to conduct and sort specific queries to identify cases warranting our attention.
- *Electronic Crimes Team* – As computers continue to become a major part of the business operational environment, the risk of electronic-related fraud has increased. The OIG is committed to meet the needs of FDIC and the banking community to combat electronic fraud. As a result, the OIG has established an Electronic Crimes Team to investigate unauthorized intrusions and computer related fraud, and to conduct computer forensic examinations. As part of this initiative, the OIG is training agents on how to search, seize and analyze computer systems encountered during the course of an investigation, and during the execution of a search warrant.

Mission Support Strategies

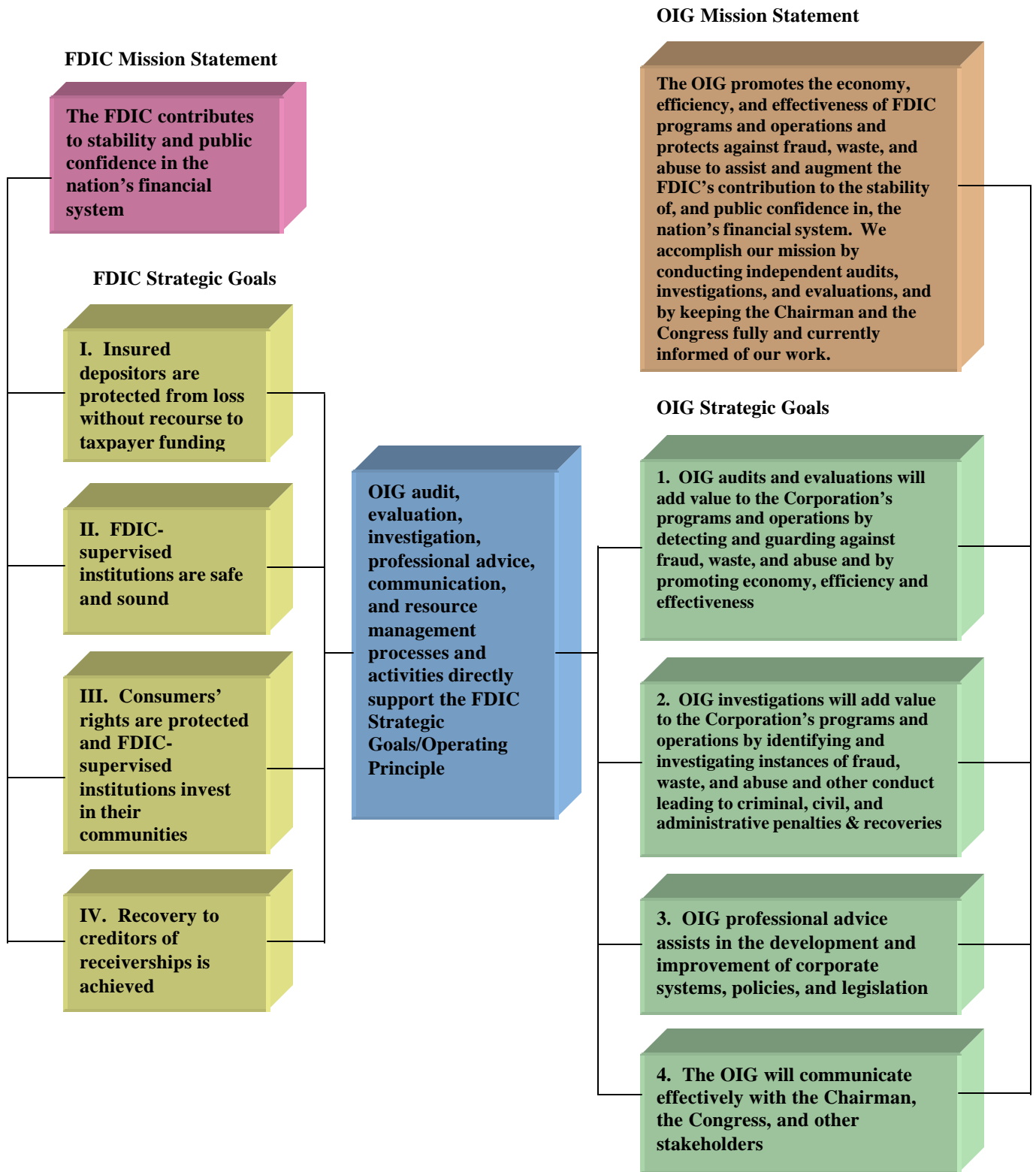
Effectively achieving audit, evaluation, and investigative strategies requires critical mission support functions and human capital. These support activities and strategies are discussed beginning on page 16.

OIG Strategic Goals, Objectives, and Annual Performance Goals

As discussed earlier, this 2002 performance plan covers a 9-month transition period (January 1 - September 30, 2002) to accommodate the conversion of our Results Act performance planning and reporting from a calendar year basis to a September 30 fiscal year basis. The 2002 performance plan identifies 26 specific performance goals that the OIG will accomplish during the transition period to help us achieve our strategic goals and objectives. These performance goals as well as the strategic goals and objectives are presented in tree diagram format on the next several pages. Page 11 presents the OIG's mission and strategic goals in relation to the FDIC's mission and strategic goals. As portrayed on this page, the OIG's strategic goals link to and directly support the FDIC's strategic goals. Presented separately on pages 12-15 are the OIG's four strategic goals and the related objectives and annual performance goals.

- Strategic Goals 1 and 2 address the core audit/evaluation/investigative activities. Strategic Goals 1 (Audit/Evaluation) and 2 (Investigation) include strategic objectives and related annual performance goals and measures which are linked to key concepts indicative of value – Client Satisfaction, Timeliness, Quality, Productivity, and Impact/Results.
- Strategic Goal 3 incorporates professional advisory services that go beyond the traditional core audit, evaluation, and investigative services. These include such activities as participating on FDIC task forces, reviewing proposed corporate internal policies, and analyzing new regulatory and legislative proposals.
- Strategic Goal 4 addresses external communication with the Chairman, Congress, and other stakeholders. This goal covers activities such as the OIG's Semiannual Report to Congress; Hotline complaints; Freedom of Information Act and Privacy Act requests; Chairman's requests and congressional inquiries; and President's Council on Integrity and Efficiency-related activities.

Tree Diagram of OIG Goals and Objectives for 2002

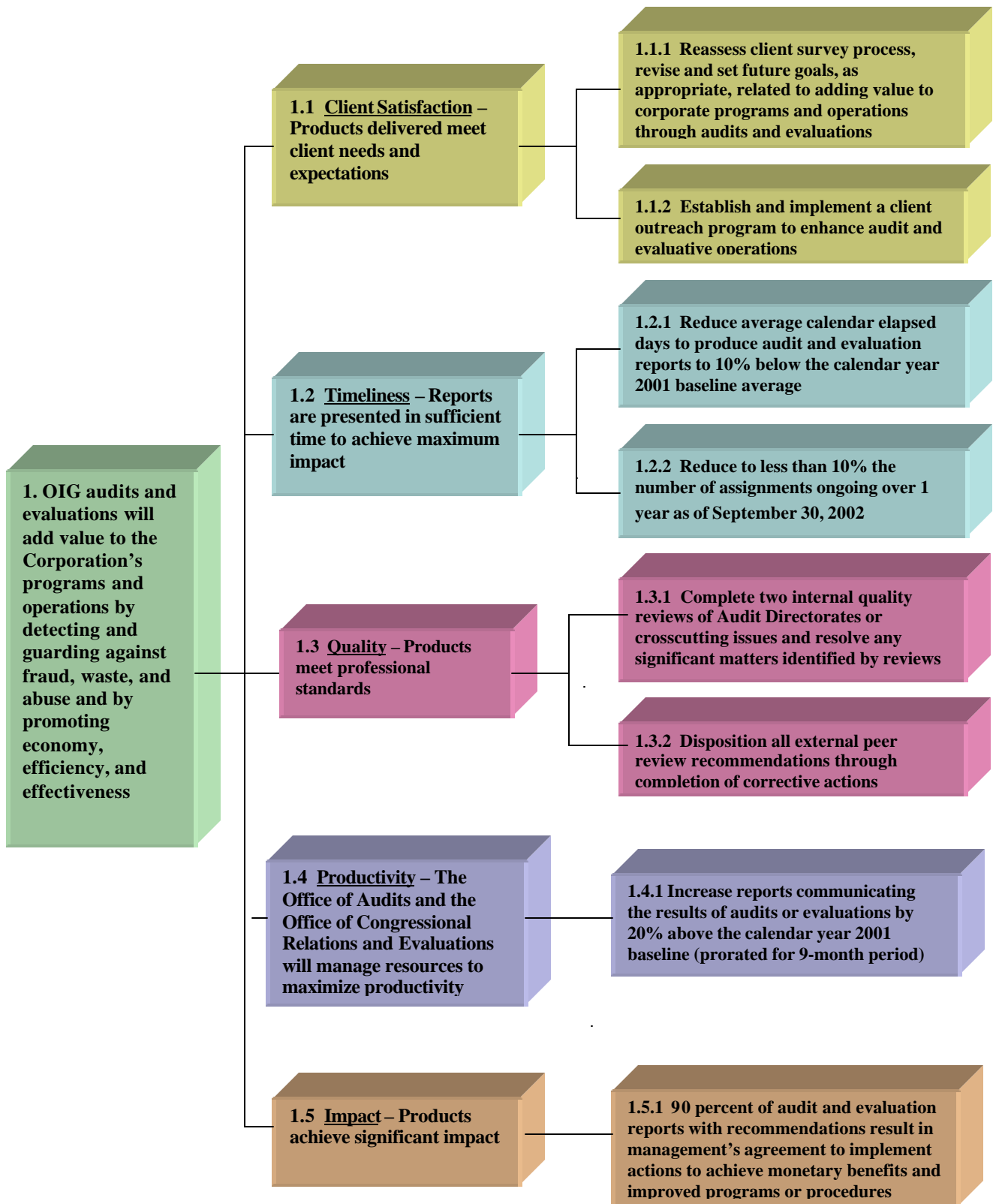


Note: The FDIC mission statement shown above is an abbreviated form of the Corporation's official mission statement.

**OIG
Strategic Goal 1**

**Related
Strategic Objectives**

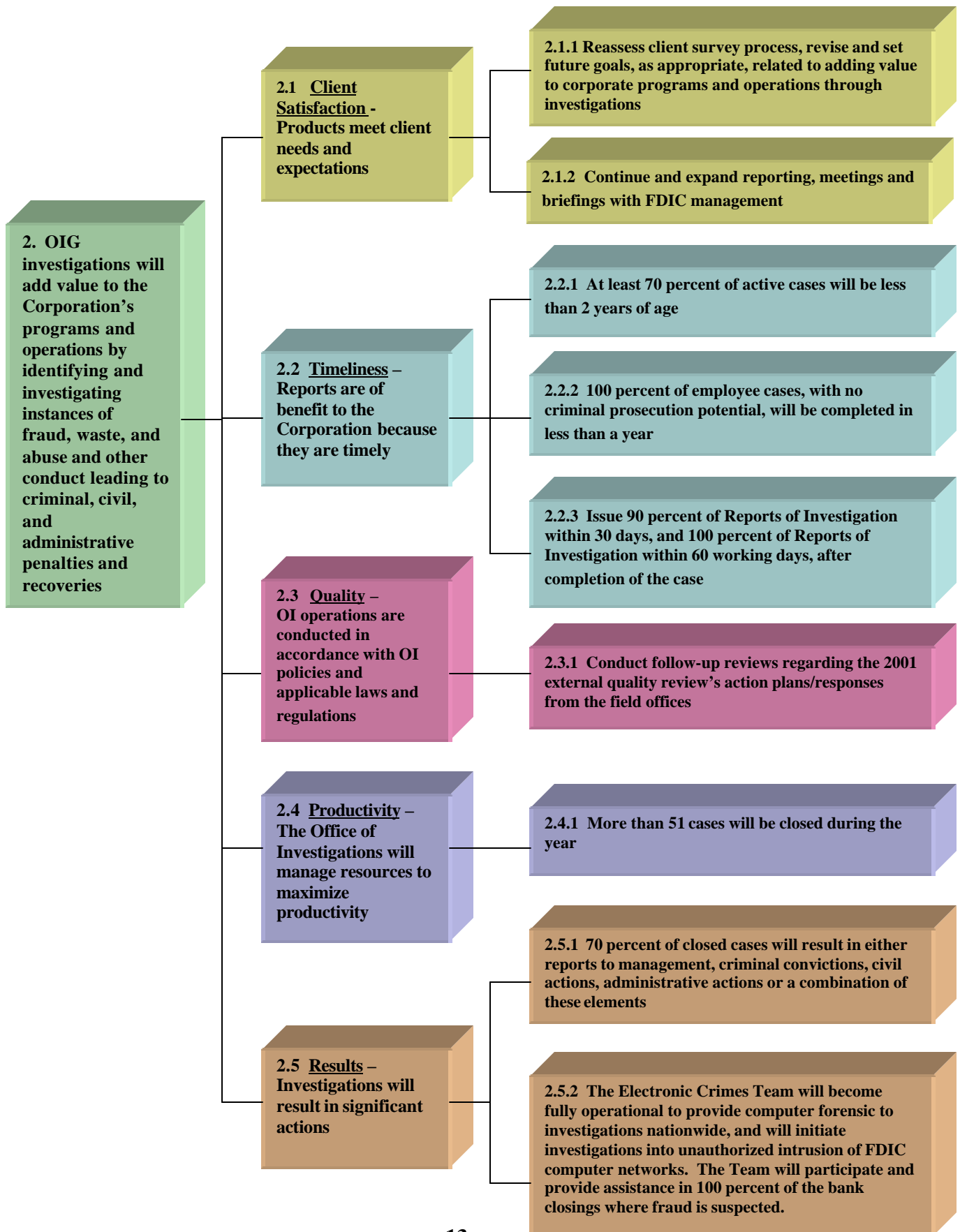
**Related 2002 Annual
Performance Goals**



**OIG
Strategic Goal 2**

**Related
Strategic Objectives**

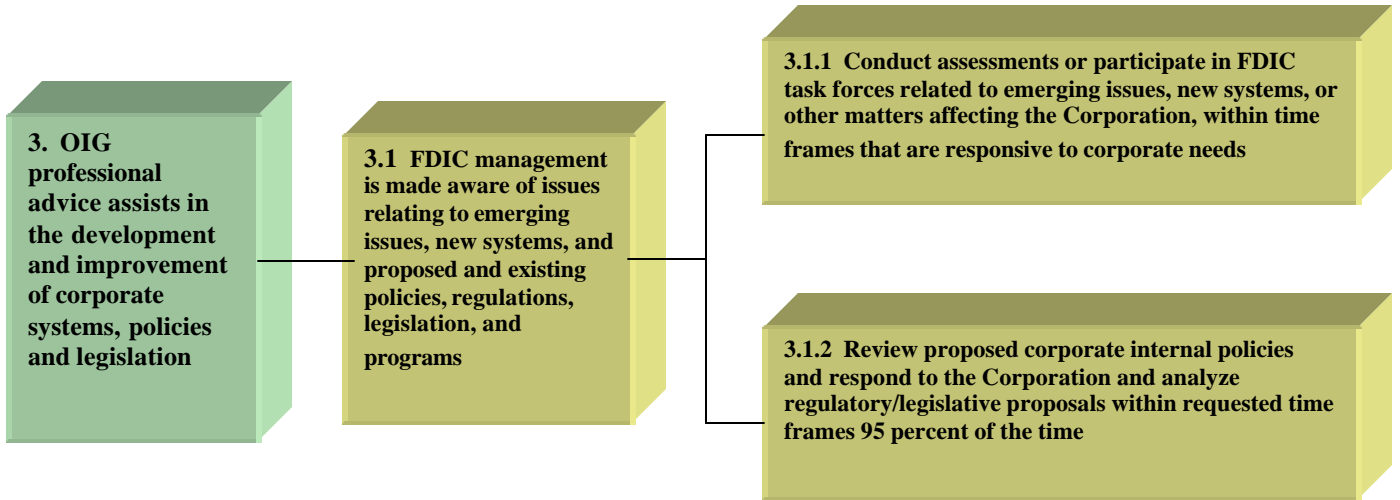
**Related 2002 Annual
Performance Goals**



**OIG
Strategic Goal 3**

**Related
Strategic Objectives**

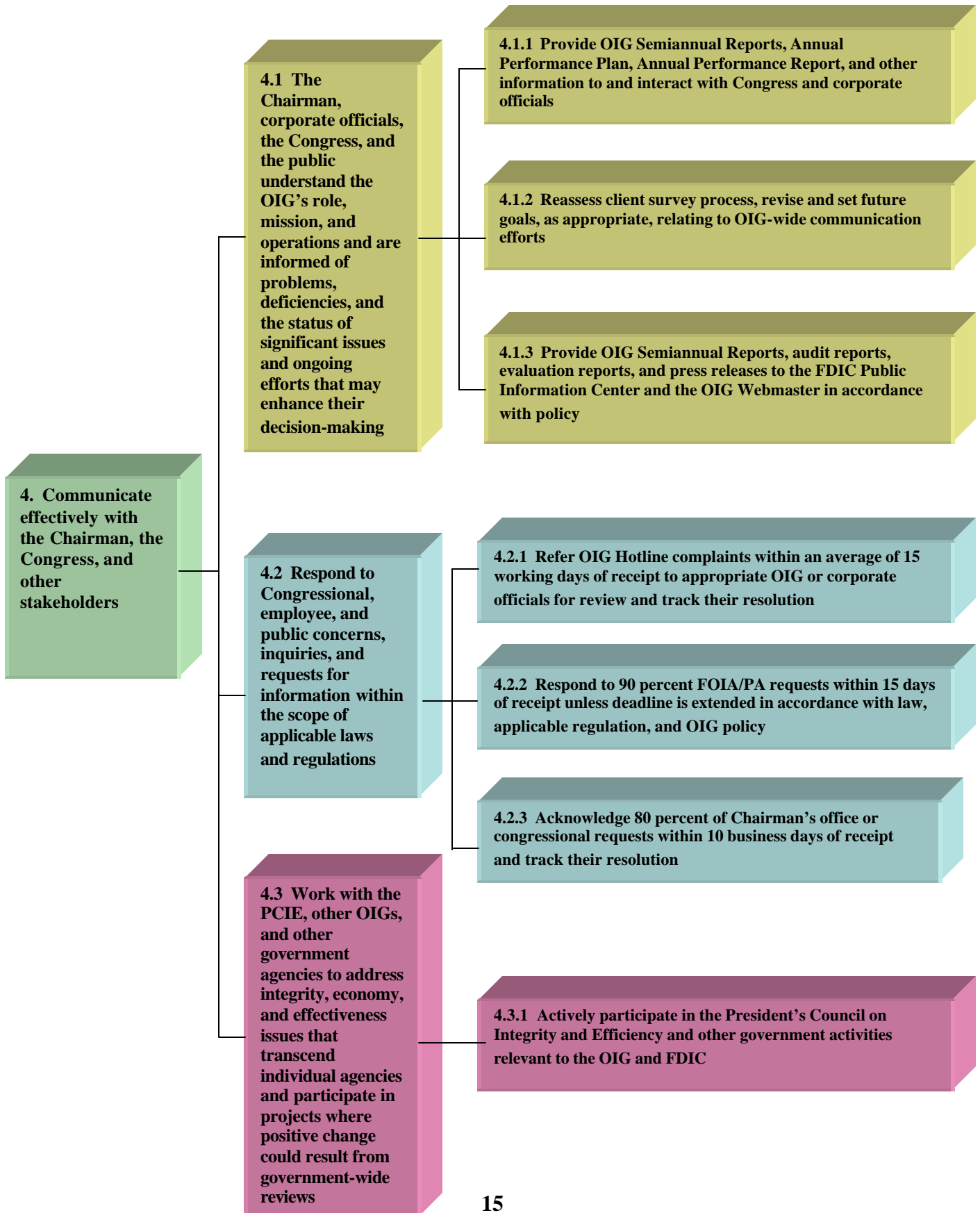
**Related 2002 Annual
Performance Goals**



**OIG
Strategic Goal 4**

**Related
Strategic Objectives**

**Related 2002 Annual
Performance Goals**



Key Support Activities and Human Capital

This section provides a brief description of the key support activities, operational processes, and human capital issues that are critical to achieving the OIG's goals and objectives.

Key Support Activities and Processes

In addition to the audit, evaluation, and investigative activities discussed in the Strategic Outlook section of this plan, the OIG must maintain vital activities and processes in support of these functions.

Independent legal services for the OIG, provided by the Counsel to the Inspector General, are a key activity. Counsel's services encompass every facet of OIG operations, including performing research and providing legal advice, counseling, or opinions on audit-, investigative-, and management-related topics; conducting or assisting with litigation affecting OIG, including personnel issues; preparing subpoenas, and seeking to enforce them when necessary; reviewing proposed legislation and regulations affecting FDIC; processing requests under the Freedom of Information Act or the Privacy Act and any related appeals; and representing and negotiating on behalf of OIG clients vis-a-vis other officials within the FDIC, other government agencies, Congress, or other persons outside the FDIC.

Effectively managing the OIG's business activities is essential to OIG operations. The OIG's Office of Management and Policy is responsible for this activity and handles an assortment of responsibilities associated with budgets and financial management, contract administration, human resources, employee development and training, coordination of office-wide policy development and communication, information systems development, and the OIG's computer network. This unit also operates the OIG Hotline to receive and screen allegations of fraud, waste, and mismanagement, and ensure an appropriate disposition; coordinates the OIG's comments on draft corporation policies and procedures; and coordinates the writing and production of the OIG's semiannual report to the Congress that is required by the Inspector General Act.

Ensuring the quality of OIG work is a high priority. The Office of Quality Assurance and Oversight is responsible for maintaining quality assurance programs for OIG activities; performing external quality assurance reviews of other OIGs; internal coordination and external oversight of internal control activities under the Chief Financial Officers Act and the Federal Managers' Financial Integrity Act; and internal and external coordination of strategic planning and performance measurement activities under the Results Act.

Human Capital

Corporate Environment

The Corporation is continuing to streamline its staff to reduce operational costs, especially its management overhead and program support costs. A number of division mergers and reorganizations are taking place or planned. By early 2003, the Corporation hopes to substantially complete required downsizing and correct existing skills imbalances. To do so, the

Corporation has in motion a comprehensive program that includes early retirement offerings, separation incentives, solicitations of interest, reassignments, retraining, outplacement assistance, and possible reductions-in-force. As the Corporation adjusts to a smaller workforce, it must continue to ensure the readiness of its staff to carry out the corporate mission.

The Corporation has predicted that almost 20 percent of FDIC employees will be eligible to retire within the next 5 years. The Corporation must continue to conserve and replenish the institutional knowledge and expertise that has guided the organization over the past years. Hiring and retaining new talent will be important; hiring and retention policies that are fair and inclusive remain a significant component of the corporate diversity plan.

OIG Human Capital Actions and Strategies

The OIG has taken several steps during 2002 that parallel various aspects of the Chairman's vision, including expanding its efforts to streamline its workforce and work processes. The OIG is undergoing a similar shift in the way we perceive our self and our business with a smaller, more flexible workforce that is aligned with our mission. The OIG will participate in the Corporation's early-out and buyout program and modify our structure to realign OIG operations with the critical business of the FDIC, geographically as well as functionally. This will result in restructuring and reducing the workforce and a reallocation of resources within the OIG. Authorized OIG staffing for December 31, 2001 was 218. The OIG has announced that it plans to reduce staffing to 168 by approximately mid-FY 2003.

The OIG identified the alignment of our human resources with our mission as a new proposed strategic goal to be included in the OIG's revision of its Strategic Plan. Our proposed Human Capital Strategic Plan complements the other strategic goals of the Strategic Plan by aligning and integrating human resource policies and practices with our business practices. It also mirrors some of the Chairman's recent goals of having the right number of people with the needed skills in the right places. Our plan focuses on four areas that are key to maximizing the return on our human capital and sustaining a high-performance organization: workforce analysis; competency investments; leadership development; and a results-oriented, high-performance culture.

Strengthening our workforce capabilities will be particularly important in the next several years to prepare and position us for the future in light of our smaller workforce. As part of the Human Capital Strategic Plan objective on workforce analysis, we are developing a business knowledge inventory system to assess existing workforce knowledge and skills and determine where gaps may exist in the business knowledge needed to accomplish future workload.

Skills Requirements

Reviewing FDIC programs and operations requires a staff with a broad range of knowledge, skills, and abilities. The OIG staff is comprised of auditors, criminal investigators, attorneys, program analysts, computer specialists, and administrative personnel. This highly professional staff holds numerous advanced educational degrees and has attained professional certifications, including certified public accountants, certified internal auditors, and certified fraud examiners. To maintain professional proficiency, each of our staff attains an average of about 50 hours of continuing professional education and training annually. OIG staff must also possess and

maintain the necessary skills and abilities of their respective disciplines in order to meet the unique objectives and challenges of their assignments. For example:

- *Auditors* are required to have knowledge of accounting principles and the methods and techniques applicable to government auditing; knowledge of government organizations, programs, activities, and functions they are reviewing; and the skills to communicate clearly and effectively, both orally and in writing. In addition, depending on the type of audit being conducted, auditors may have to possess statistical sampling skills, computer audit skills, or other specialized skills as needed.
- *Criminal investigators* are required to have a thorough and current knowledge of laws concerning search and seizure, arrests, advisement of rights, surveillance, and the right to privacy - both personal and financial. They should have knowledge of accounting principles, and also should be proficient at interviewing and eliciting information from all types of sources. Because of the complex mission of the FDIC, in addition to the traditional skills associated with their activities, criminal investigators in the FDIC OIG must have significant knowledge of federal bank regulations and the unique accounting principles associated with modern financial-institution activities. Criminal investigators must be able to react quickly and appropriately to changing situations and be able to use their expertise in self-defense, use of force principles, and firearms. The OIG has several agents who are trained as instructors in defensive tactics and firearms. In addition to these investigative duties, these agents provide support and advice to our National Training Officer in administering our training program.

New Skills Requirements

Banking activities related to cyberbanking, electronic cash, and other highly technical financial delivery systems pose increasing risks that may impact the safety and soundness of the banking industry and, consequently, the deposit insurance funds. In the current technological environment, the banking industry, which is becoming more globalized, is far more vulnerable to new types of electronic fraud. As such, we need to become more adept at combating computer-related fraud such as identity stealing; searching the Internet for banks operating in a fraudulent manner; and in searching computers that have been used in some manner for the commission of fraud. The transition to a “paperless” environment and a greater reliance on EDP systems underscores the need for OIG staff to possess the necessary computer skills and knowledge to audit and investigate effectively in this type of environment.

External Factors

The following external factors are beyond the OIG's control and could significantly affect the achievement of the goals and objectives in this plan.

Budget

One of the most significant external factors that could affect achievement of our goals is our budget. Unlike other FDIC divisions and offices, the OIG is subject to the congressional appropriations process. A significant decrease in our budget would adversely affect the achievement of our strategic goals and objectives by limiting our ability to review FDIC programs and activities; respond to allegations of fraud, waste, and abuse; and provide training to our professional staff.

External Requests

The OIG sometimes has to respond to external requests and requirements beyond that planned for in our workload and resource estimates. The requests often require immediate response and shifting of work. Examples include congressional inquiries, Chairman and management requests, litigation, Freedom of Information Act and Privacy Act requests, hotline complaints, or other high priority requests for audits, evaluations, and investigations. These requests can require substantial amounts of time and resource expenditures, which impact our planned workload demands. An increase in external requests above projected levels may have an adverse effect on meeting our stated goals and objectives.

Economy

A severe economic downturn could result in a higher rate of financial institution failures and an increase in the inventory of assets to be managed and liquidated by the FDIC. An increase in institution closings and assets to be liquidated could adversely impact achievement of the OIG's goals and objectives by requiring a reallocation of resources from planned program area activities to unplanned receivership management activities. Also, the closing of institutions increases the risk of fraud, which could affect the workload and allocation of resources for investigative work.

Emerging Technology

Emerging technology has introduced new ways for insured depository institutions to offer traditional products and services through new delivery channels and, in some instances, to develop innovative products and services. Examples of this new technology include Internet banking, electronic cash, and stored-value card systems. Technological advancements have influenced the operating strategies of many insured depository institutions and other providers of financial services as they seek to compete in the increasingly fast-paced and globally interdependent environment. With these technological advancements, particularly the increase use of electronic banking initiatives, there is a potential risk that fraud and other inappropriate activity may occur. This could require a reallocation of OIG resources to ensure that these risks are appropriately addressed.

Verification and Validation of Performance Data

Performance data will be verified and validated through the following means:

- The System for Tracking Audits and Reports (STAR) tracks information on audit and evaluation projects, reports, recommendations, time, and independent public accountant projects, and provide managers with reports on those activities. STAR is used to generate performance measurement data reported under the Results Act as well as provide statistics for the OIG's Semiannual Report to the Congress. The data and related reports are analyzed by OIG staff for accuracy, reasonableness, and completeness. In addition, other controls such as edit checks and supervisory review of data input is used to ensure the validity and integrity of the performance data and reports.
- The OIG's Office of Investigations database system was designed specifically in part, to more accurately track the measures and goals we have established under the strategic and annual performance plans. The database system tracks information on investigative cases opened and closed; fines, restitutions, and other monetary recoveries; and judicial and administrative actions. We also have an inspection regimen set up to closely monitor the activities of our investigative offices and to ensure the accuracy of data entered into our database.
- Designated OIG staff will be responsible for collecting, maintaining, and reporting performance data. Through our quarterly performance reports, OIG management will review reported data for consistency with general performance observations. Each year, we will reevaluate whether measures are effectively designed and results-oriented. Based on this evaluation, we will determine whether our performance measures are properly focused and should be revised for the next planning cycle.
- Internal quality assurance reviews, performed on a cyclical basis to cover all OIG functions (audits, investigations, evaluations, and administrative activities), will selectively validate performance data on a test basis as appropriate to meet review objectives.