



U.S. DEPARTMENT OF
ENERGY

**OFFICE OF
INSPECTOR GENERAL
STRATEGIC PLAN
2022-2025**

AN INTRODUCTION TO OUR ORGANIZATION

The Inspector General Act of 1978 (as amended) defines the primary responsibilities of the Office of Inspector General are to:

- ◆ Conduct independent and objective audits, inspections, investigations, and other reviews;
- ◆ Serve as the law enforcement arm of the Department by conducting criminal and civil investigations that detect, deter, and disrupt illegal activities; Promote economy, efficiency, and effectiveness in the administration of Department programs;
- ◆ Prevent and detect fraud, waste, abuse, and mismanagement related to Department programs and operations; and
- ◆ Inform the Department of Energy Secretary and Congress about problems and deficiencies in Department programs and operations and the need for corrective action.

The Inspector General has authority to inquire into all Department programs and activities as well as the related activities of persons or parties associated with Department grants, contracts, or other agreements. As part of its independent status, the Inspector General provides the Secretary with an impartial evaluation of management practices. As a fact-finding organization for high profile, controversial matters, the Inspector General can apprehend those attempting to defraud the Government and protect the interest of the U.S. taxpayer.

MISSION

To strengthen the integrity, economy and efficiency of the Department's programs and operations including deterring and detecting fraud, waste, abuse, and mismanagement.

VISION

We serve the Nation through our quality and independent work, our talented workforce, and our innovative approaches to create positive change and to make good Government better.

VALUES

The OIG values are the deeply ingrained principles that are used to guide our decision and actions. These values serve as cornerstones of the OIG's organizational culture. The OIG values are:



ORGANIZATIONAL RESPONSIBILITIES

The OIG's headquarters is in Washington, DC, with field offices in Livermore, CA; Denver, CO; Idaho Falls, ID; Chicago, IL; Lexington, KY; Germantown, MD; Las Vegas, NV; Albuquerque, NM; Los Alamos, NM; Pittsburgh, PA; Savannah River, SC; Oak Ridge, TN; and Richland, WA. The OIG is organized into the following program offices and supporting offices:

OFFICE OF AUDITS conducts audits on Department programs and operations. Efforts are concentrated on providing reliable and credible financial and performance information to senior management, Congress, and the U.S. taxpayer. A risk-based process is used to identify areas for audit coverage based on known or emerging risks and the greatest vulnerabilities. This process ensures comprehensive coverage over Department organizations, programs and operations while meeting the Department's evolving needs. Special reviews of high-profile, unplanned, or immediate matters can also be addressed by audits throughout the year. The OIG Office of Audits recently added an Incurred Cost Division that is responsible for a new major portfolio of work – to perform independent audits of the Department's management and operating contractors' incurred costs.

OFFICE OF INVESTIGATIONS address alleged violations of law that impact Department programs, operations, facilities, and personnel. Priority is given to investigations of suspected violations of criminal and civil statutes, as well as serious administrative misconduct. Investigations are also used to identify opportunities for improving the economy and efficiency of Department programs and operations by identifying recommendations for positive change. Investigators work closely with Department of Justice prosecutors and other Federal, State, and local law enforcement organizations.

OFFICE OF INSPECTIONS, INTELLIGENCE OVERSIGHT, AND SPECIAL PROJECTS conducts independent and thorough reviews of Department programs and operations to evaluate operational efficiency, effectiveness, and vulnerability. Inspections consist of three types of assessments and reviews: *Performance-Based Inspections*—focused on fact-finding and analyses concerning specific issues and topics; *Allegation-Based Inspections*—focused, fact-finding efforts that are typically responsive to allegations of waste, fraud, abuse, or mismanagement; and *Special Projects*—expedited reviews responsive to requests from entities such as Congress, the Secretary, senior Department officials, the Inspector General, or the Deputy Inspector General. These reviews typically concern high-profile or particularly sensitive matters and may be performance-based or allegation-based in nature. In addition, this office has responsibility for reviewing the Department's Intelligence and Counterintelligence programs and operations, including the Department's oversight responsibility in accordance with Executive Order 12333, *United States Intelligence Activities*. Finally, this office also includes the **OIG Hotline** operations, which facilitates the reporting and resolution of allegations received from Department employees, contractors, and the general public. Upon receipt of a specific allegation, the OIG may open an investigation, audit, or inspection, refer the matter to Department management for appropriate review and action, or refer the allegation to another Federal agency. The OIG Hotline also conducts whistleblower investigations under Title 41 United States Code 4712, *Enhancement of contractor protection from reprisal for disclosure of certain information*.

OFFICE OF TECHNOLOGY, FINANCIAL, AND ANALYTICS (OTFA) promotes the effective, efficient, and economical operation of the Department's programs and operations, including the National Nuclear Security Administration (NNSA) and the Federal Energy Regulatory Commission, through audits, inspections, and other reviews regarding the identification and analysis of Departmental data. The OTFA combines audit and data evidence to address management and security issues. The OTFA conducts audits, inspections and assessments of the Department's information technology systems and related initiatives, with focus on cybersecurity, information management, and the Federal Information Security Modernization Act. The OTFA further provides timely, reliable expert data analysis in support of ongoing audits, inspections, and investigations, develops risk models, and coordinates data mining efforts. The OTFA uses the latest technology and techniques to discover current and emerging cyber and economic threats and to coordinate data analysis. The combined efforts of the OTFA helps to ensure that information technology issues are properly addressed and not overlooked.

ADMINISTRATIVE REMEDIES DIVISION advances the Inspector General's statutory mission to promote and support the appropriate use of administrative remedies by the Department. The division proposes and maintains policies regarding administrative remedies, provides training for employees likely to encounter material that may support the imposition of administrative remedies, coordinates with other Department OIG elements and stakeholders throughout the Government, prepares appropriate referrals to suspension and debarment officials, and supports those referrals throughout the administrative process. This division also provides ethics support for OIG personnel. This support includes personal applications as well as the development of criminal, civil, and administrative referrals for ethics violations.

OFFICE OF CHIEF COUNSEL provides legal advice to senior leadership. The Freedom of Information Act and Privacy Act Division, in collaboration with the Deputy Inspector General and/or Chief Counsel, coordinates e-Discovery efforts including developing and managing information processes, requirements and technology systems within a complex organization in support of high-level litigation, investigations, and Congressional responses, and provides guidance to senior management officials across the OIG regarding Federal disclosure laws and governmental procedures with respect to disclosure of agency records and protection of personally identifiable information. Also within this office is the OIG Whistleblower Ombudsman who educates Department employees about prohibitions on retaliation for whistleblowing, as well as employees' rights and remedies if anyone retaliates against them for making a whistleblower disclosure.

OFFICE OF MANAGEMENT AND ADMINISTRATION directs the development, coordination, and execution of overall OIG management and administrative policy and planning. This responsibility includes human resource activities and consultation, directing the OIG's strategic planning process, financial management activities, personnel management and security programs, administrative support services, and information technology programs.

PURPOSE

The purpose of the Strategic Plan is to articulate the OIG's broad strategic goals, which are organized around Our People, Our Work, Our Stakeholders, and Our Operations. The plan then articulates several objectives for each of these areas, strategies for achieving these objectives, and associated performance measures. The detailed performance measures are published in the *OIG Annual Performance Report*.

STRATEGIC CONTEXT

The five-year period covered by this Strategic Plan will respond to a rapidly changing oversight environment. Specifically,

- ◆ In 2021, the President signed the Infrastructure Investment and Jobs Act that appropriates \$62 billion to the Department to fund new programs and expand existing programs, over 5 years. The OIG received \$62 million in additional spending authority to perform oversight for the Department's Infrastructure program.
- ◆ The OIG is expanding its capabilities to utilize data analytics across all divisions.
- ◆ The OIG has historically been under-funded and under-staffed as compared to peer agencies. The OIG has taken steps to begin to correct this, but much more needs to be done over the next 5 years to better protect the interests of the taxpayer.
- ◆ In 2021 the OIG changed the approach to performing incurred cost audits of the Department's management and operating contractors, wherein the OIG will now perform, or arrange for, these audits. This work will be performed by a new Incurred Cost Audits Division, within the Office of Audits. The OIG received a \$18 million in additional spending authority to perform this expansion of existing duties.

STRATEGIC GOALS, OBJECTIVES, & MEASURES

GOAL 1: OUR PEOPLE

Be an employer of choice by cultivating a diverse, skilled, and engaged workforce and fostering an inclusive, collaborative environment

OBJECTIVES

- ◆ Recognize and celebrate successes of employees
- ◆ Improve employee engagement and communication with employees
- ◆ Advance a culture of inclusiveness at all levels by fostering a fair, open, diverse, and cooperative working environment
- ◆ Prioritize training, development, and opportunities for advancement for personnel

ACTIONS

- Demonstrated progress in developing and maintaining a proactive communications plan
- Demonstrated completion of training and development plans for staff

GOAL 2: OUR WORK

Conduct independent oversight to strengthen the integrity, economy, and efficiency of Department programs and to deter and detect fraud, waste, abuse, and mismanagement

OBJECTIVES

- ◆ Conduct independent audits, investigations, inspections, and intelligence oversight, Technology, financial and analytics and impactful oversight programs that are accurate and timely
- ◆ Ensure that OIG oversight reviews are based on a solid legal foundation
- ◆ Refer administrative remedies to action officials that are accurate, timely, independent, and impactful
- ◆ Perform real time data analytics of information technology data, in both Federal and contractor systems, to support OIG Investigations, Audits and Inspections with proactive analysis focused on early detection and prevention of major risks in addition to other review areas
- ◆ Utilize a team-based, cross functional approach to oversight for the most challenging high-risk projects

ACTIONS

- Percentage of high impact written projects delivered to stakeholders within established timeframes audits, investigations, inspections and intelligence oversight, technology, financial and analytics
- Demonstrated results in holding M&O contractors accountable through Incurred Cost Audit Division
- Demonstrated results in holding business entities and individuals accountable through high impact investigative actions
- Demonstrated that OIG oversight reviews are based on a solid legal foundation
- Demonstrated results in holding business entities and individuals accountable through high impact administrative remedies
- Demonstrated strengthened capabilities of data analytics division
- Demonstrated effective use of a team-based, cross functional approach to oversight for the most challenging high-risk projects, such as for the OIG's Timekeeping Initiative and for the new BIL oversight duties
- Demonstrated results in holding M&O contractors accountable through Incurred Cost Audit Division

**GOAL 3:
OUR
STAKEHOLDERS**

**Enhance mission success through effective
outreach, stakeholder engagement and
coalition building**

OBJECTIVES

- ◆ Improve communication with Departmental leadership to share OIG successes and overcome barriers to achieving OIG mission
- ◆ Each OIG program area will engage stakeholders and build coalition in a constructive manner
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ACTIONS

- Demonstrated results in improved communication with external stakeholders
- Demonstrated results in improved communication with top Departmental leadership
- Demonstrated engagement and coalition building with stakeholders by each OIG program in a constructive manner

**GOAL 4:
OUR
OPERATIONS**

**Strengthen OIG operations through effective
business management and continuous
improvement**

OBJECTIVES

- ◆ Develop and deploy innovative information technology to strengthen OIG mission accomplishment
- ◆ Manage the OIG's financial affairs responsibly and in compliance with regulations
- ◆ Strategically manage the OIG's organizational growth
- ◆ Continuously improvement of internal processes

ACTIONS

- Demonstrated increased capabilities and outcomes from deployment of innovative information technology
- Demonstrated sound fiscal management of OIG budget planning and execution
- Demonstrated sound management of OIG organizational growth
- Demonstrated improvement to OIG internal processes