



# DEPARTMENT OF ENERGY

OFFICE OF INSPECTOR GENERAL



## *STRATEGIC PLAN*

*2018 - 2023*

*"To be a highly effective organization that promotes positive change."*

### INTRODUCTION:

The *Inspector General Empowerment Act of 2016* amends the Inspector General Act of 1978 to strengthen the independence of the Inspectors General. The primary responsibility of the Office of Inspector General is 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 is able to apprehend those attempting to defraud the Government and protect the interest of the U.S. taxpayer.

### VISION:

To be a highly effective organization that promotes positive change.

### MISSION:

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

### ORGANIZATIONAL RESPONSIBILITIES:

The organization is responsible for conducting audits, inspections and investigations and for receiving and acting upon allegations received through the Office of Inspector General Hotline. The Office of Inspector General is headquartered in the Washington, DC and has 13 field offices located throughout the country.

**AUDITS** are conducted 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. Audit resources are also directed toward meeting statutory audit responsibilities in the financial and information technology areas.

**INSPECTIONS** are independent and thorough assessments and 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* are focused on fact-finding and analyses concerning specific issues and topics. *Allegation-based Inspections* are focused, fact-finding efforts that are typically responsive to allegations of waste, fraud, abuse, or mismanagement. Allegation-based inspections are not specifically planned in advance. *Special Inquiries or Reviews* are expedited reviews responsive to requests from entities such as Congress, the Secretary, and senior Department officials. Special reviews typically concern high profile or particularly sensitive matters and may be performance-based or allegation-based in nature.

**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 address contractor claims of whistleblower retaliation and 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.

**HOTLINE** allegations are received by the Office of Inspector General. The Hotline component facilitates the reporting and resolution of allegations involving Department programs and activities. Allegations are received from Department employees, contractors, grantees, and the general public. In addition, whistleblower disclosures made by employees and contractors help root out fraud, waste, and abuse, and protect public health and safety. The Office of Inspector General Whistleblower Ombudsman educates Federal and contractor employees about prohibitions on retaliation for whistle blowing, as well as employees' rights and remedies if anyone retaliates against them for making a whistleblower disclosure.

### POTENTIAL IMPACTS UPON THE STRATEGIC PLAN:

In FY 2018, OIG management began a Strategic Assessment of the Office of Inspector General. This assessment will define how we can better achieve our mission and serve our stakeholders. As part of this process, we will envision what the future of our organization should look like, using a strategic framework. We will use the strategic framework to guide us from our current environment toward being an organization of the future. We anticipate that our Strategic Assessment process will inform and influence the Office of Inspector General's strategic goals and measures over the course of the next several years.

### STRATEGIC GOALS & MEASURES

#### Goal:

1. Provide independent, accurate, timely, and balanced information to the Department, Congress and other key stakeholders in order to promote economy and efficiency in Department programs and operations.

#### Measures:

- Percentage of audit and inspection products issued during the performance year that address top management challenges or Department of Energy high risk areas.
- Percentage of audit and inspection products issued within 1 year of the entrance conference.
- Percentage of management decisions on audit and inspection recommendations achieved within 90 days of product issuance.
- Percentage of recommendations accepted and implemented.

2. Conduct objective criminal, civil, and senior level misconduct investigations and operate a hotline that receives concerns about Department operations to deter, detect, and disrupt threats to the Department and American taxpayers.

- Average number of days to process, review and resolve allegations received by the Hotline.
- Number of fraud awareness briefings conducted to educate and inform Department employees, contractors, and fund recipients of the OIG mission and means of submitting allegations of fraud, waste and abuse.
- Percentage of "open/active" investigations that have significant, documented investigative activity every quarter, as documented in quarterly case reviews.
- Percentage of investigations closed after being open more than 365 days with a reportable outcome, as defined by policy.
- Percentage of investigations initiated that fall within one of the established OIG mission priorities.

### STRATEGIC GOALS & MEASURES (CONT.)

**Goal:**

3. Enhance, support, and sustain a highly qualified and diverse workforce that enables excellence and innovation.

**Measures:**

- Percentage of employees hired within established timeframes.
- Percentage of employees who respond to the Federal Employee Viewpoint Survey or other employee satisfaction surveys initiated by the organization.
- Percentage of performance plans, individual development plans, progress reviews, and performance ratings finalized within prescribed timeframes.
- Percentage of employees who complete mandatory training within prescribed timeframes.

4. Facilitate transparency by providing effective Whistleblower Ombudsman support, efficient FOIA processes, and timely responses to Congress

- Percentage of whistleblowers contacted by the Ombudsman within established timeframes.
- Percentage of Track 1 FOIA requests processed within established timeframes.
- Percentage of written Congressional inquiries responded to within prescribed timeframes.
- Percentage of subpoenas prepared within established timeframes.

More information about the Office of Inspector General work can be found at:  
<http://energy.gov/ig/office-inspector-general>.