

Office of Inspector General

**OPERATING AND PERFORMANCE PLAN
FISCAL YEARS 2003-2004**



FARM CREDIT ADMINISTRATION

Farm Credit Administration

Office of Inspector General
1501 Farm Credit Drive
McLean, Virginia 22102-5090
(703) 883-4030

August 13, 2002



The Honorable Michael M. Reyna
Chairman and Chief Executive Officer
Farm Credit Administration
1501 Farm Credit Drive
McLean, Virginia 22102-5090

Dear Mr. Reyna:

The enclosed document presents the Office of Inspector General's (OIG) operating and performance plan for Fiscal Years 2003 and 2004. Our mission remains the same and our objectives and goals are similar to that of previous years. We have updated the annual audit plan to reflect issues from which we select most of our assignments.

The accomplishment of our products and services correlate to fulfilling our goals and objectives. I do not anticipate any structural changes in the OIG staffing plan.

Please do not hesitate to call me if you have any questions or comments.

Sincerely,

/S/

Stephen G. Smith
Inspector General

Enclosure

Copy to: Cheryl Macias
Chief Operating Officer

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OFFICE OF INSPECTOR GENERAL

Objectives and Goals

MISSION

The mission of the Office of Inspector General (OIG) is to be an agent of positive change, striving for continuous improvement in the Farm Credit Administration's (FCA or Agency) management and program operations.

OBJECTIVES and GOALS

- Audit and evaluate the Agency's programs and operations to promote economy, efficiency and effectiveness.
 1. Deliver quality audit and inspection products and services that are useful to the Board, management and Congress.
 2. Provide technical advice and assistance to Agency officials in developing sound management information and financial reporting systems and in streamlining programs and organizations.
 3. Continuously improve OIG staff, products and internal office administration.

- Investigate observed, alleged or suspected wrongdoing to prevent and detect fraud, waste, abuse and mismanagement in Agency programs and operations.
 1. Effectively investigate and report administrative and criminal violations relating to FCA programs and personnel.
 2. Educate employees on their responsibility to report wrongdoing to the IG.
 3. Provide relevant information on results of investigative activities to relevant parties.

- Review and make recommendations regarding existing and proposed legislation and regulations relating to Agency programs and operations and the Inspectors General community.
 1. Maintain and effective program for reviewing and commenting on proposed and existing regulations.

- Work with the Chairman and Agency management to improve program management within the Agency and in our own office; and work with the Inspectors General community and other related organizations to address government-wide issues.
 1. Build relationships with program managers based on a shared commitment to improving program operations and effectiveness.
 2. Provide leadership to the OIG community.
 3. Contribute to special projects to improve the Agency.

AUDIT PLAN FY 2003 AND FY 2004

BACKGROUND

This audit plan is based on input from management and staff as well as other issues identified by OIG staff. In particular, the CEO and the FCA Board have expressed an interest in independent assessments of significant programs of the Agency. The OIG has identified its focus issues in its Semiannual Report to Congress in the form of management challenges. OIG audits and inspections are planned to provide assurances to the CEO and FCA board that programs are operating effectively with appropriate controls. The Annual Audit Plan is intended to be a living document that is updated periodically throughout the year. It notes activities completed along with activities tentatively planned. Actual activities will most likely be selected from the areas listed below. However, actual coverage may change in order to be responsive to changing needs or circumstances.

MANAGEMENT CHALLENGES

The OIG identified major challenges confronting the Farm Credit Administration as it works to fulfill its mission. These management challenges were incorporated in the OIG semiannual report and have been updated to reflect changes and progress in meeting the challenges. The challenges fall into two general categories. First are the challenges related to the FCA's core mission of ensuring a dependable supply of credit to agriculture through the institutions it has chartered. These challenges are often shaped and influenced by events that are outside the control of the Agency. Second, but no less important, are those challenges related to the Agency's operations.

Organizational Leadership

The Farm Credit Act provides for a full time three-member Board of Directors. The Board members are appointed by the President and confirmed by the Senate. The rapidly changing complex financial and banking environment makes the Board's task both challenging and important. The Board must be able to engage in healthy professional policy debate and set a sound course for the Agency. A full strength Board is an important element in setting clear priorities and deliberating fully on the issues. In the 16 years since the inception of the FCA Board, it has been at full strength for less than half of that time. On August 6, 2002, a third Board member joined FCA, ending a 19-month period with a two-member board.

A relatively small full-time Board also presents a challenge in terms of defining the roles and responsibilities of the Board members relative to the governance of the Agency. As the membership on the Board changes, it needs to update its rules of operation to ensure it fulfills its statutory role in the governance of FCA. The Board will also need to review and revise the strategic plan for FCA.

Farm Credit System Risk

The Farm Credit System (FCS) is a single industry lender and therefore is vulnerable to economic swings in the industry. FCA is challenged to balance the often-competing demands of ensuring the FCS fulfills its public purpose, proactively examining risk in the regulated institutions both individually and systemically, and controlling the cost of the regulator.

Financial Management

FCA's financial management system has undergone almost continuous change over the past five years. During this reporting period, the Agency completed its first financial statement using the services of the Department of Interior's National Business Center. With a successful implementation, management's challenge will be to leverage the system to deliver timely financial information that is critical to well informed management decisions.

Security

In the aftermath of the events of September 11, 2001, security remains a major challenge for the Agency. In the August 2001 report on information security, the OIG found a strong foundation for security practices. However, the speed of change in the security environment will be a challenge for all government organizations. This is especially true for smaller organizations like FCA where an increased emphasis on physical and information security will compete with program areas for tight budget funding.

Human Capital

FCA needs to develop a comprehensive, integrated approach to human capital issues. The FCA has not adopted a human capital strategy. In light of the changes in the competitive environment, advances in technology, and the tenure of its workforce, FCA needs to closely evaluate business processes, their associated costs, and alternatives.

Leveraging Technology

The Agency has recognized that in order to meet the constraints of its budget, it must be able to maximize its return on investment in technology. FCA will need effective mechanisms to ensure that current and future staff has the technical skills to use technology to operate in an efficient manner.

Audit and Inspection Activities

Audit of Financial Statements

The OIG contracts with an independent accounting firm to conduct an audit of the FCA financial statement. During FY 2003 the OIG will deliver the audit opinion on the financial statements as of September 30, 2002. In future years, there is an expectation by management and the OMB that audit opinions will be issued closer to the end of the fiscal year. OIG will

incorporate more interim audit work in its contract to ensure expectations are met.

During FY 2003, the OIG will compete the contract for an external auditor for the audit opinion on the financial statements as of September 30, 2003. Traditionally, audit costs and time associated with managing the contract is higher during the first year of an engagement.

Young, Beginning and Small Farmers

The objective of this activity is to evaluate the work performed by the Office of Examination to examine compliance with YBS. This activity will follow up management's actions to address GAO concerns from a recent report issued by the GAO.

GISRA

During FY 2001 and FY 2002, Government Information Security Reform Act mandated an audit by the OIG. We anticipate that Congress will renew its mandate in some form. Security remains a significant management challenge and the OIG anticipates computer security will remain a high priority. The OIG will continue to work with the CIO to incorporate issues of concern in audit activities.

Compensation

This audit will determine whether the objectives of the FCA compensation program are being met. We expect to conduct the audit in three distinct phases. This approach will ensure that management gets the benefits of audit results as work on the overall objective is completed.

GPRA

This activity will evaluate the agency's compliance with the Government Performance and Review Act. We will focus on the FCA board's development of a strategic plan and an evaluation of the performance measures that the FCA uses to measure its impact and progress.

Inspections and Management Letters

The OIG will conduct a variety of activities on areas and issues that merit review because of potential risk or operational weaknesses. These activities may be reported as management advisories or inspection reports. While planning these activities, we may determine the issues are broader and may expand the scope to audit the issues. Activities that OIG is currently considering or working on include:

- Agency Governance
- FCA Policy and Regulatory Development process
- Management Decision Model
- Implementation of risk based examinations
- OSMO effectiveness (will depend on scope of GAO Audit)
- LARS use and costs

- Comparison of SESD and OPA – Cost and Products
- OGC Legal Opinion process, efficiency, and effectiveness
- FCA Commission Program
- Borrower Complaint Handling
- FOIA Program
- Office Quality Control Programs
- Evaluation of physical security practices
- PPM Process
- Improper Payments
- Administrative operations of offices in McLean
- E-Government at FCA
- Competitive sourcing

**PRODUCTS AND SERVICES
OFFICE OF INSPECTOR GENERAL
FISCAL YEAR 2003**

The accomplishment of the Office of Inspector General's products and services correlate to fulfilling our goals and objectives.

Product/Service¹	Budget	% Budget	FTE	% FTE
Audits, Inspections, and Review Products	\$597,667	70%	3.56	70%
Investigations	\$136,609	16%	.81	16%
Regulation Review and Comment	\$ 17,076	2%	.10	2%
Outreach	\$102,458	12%	.61	12%
Centrally Budgeted Items	0	0	0	0
Total	\$853,810	100%	5.08	100%

Audits, Inspections, and Review Products. Approximately 6-10 evaluative reports per year (including annual financial audit). This includes technical advice and assistance to Agency officials in developing management information and financial reporting systems and in streamlining programs and organizations. It also includes survey production. At present, two surveys are produced in OIG for the direct benefit of the Agency for use in measuring performance. These two surveys are the Farm Credit System Survey and the Regulation Development Survey. In addition, each audit and inspection contains a customer survey (This is directly linked to FCA Strategic Plan.)

Budget for FY 2003 - \$597,667

3.56 FTE

Investigative Function. Review of allegations. Testing information provided to determine whether an investigation should be opened. Maintaining OIG HOTLINE. Directing FCS Borrower issues to Agency components.

Budget for FY 2003 – \$136,609

.81 FTE

Review and Comment on Proposed and Existing Regulations and Legislation. Responding to Congressional and Executive requests and inquiries. Reviewing and commenting on proposed and existing legislation and regulations affecting the Agency and the Inspectors General community.

Budget for FY 2003 - \$17,076

.10 FTE

¹ Management, administrative support and leave are disbursed across the four program areas noted above.

Outreach Program. Educating employees about OIG's role within the Agency. Lend leadership to organizations directly contributing to the IG community. Making contributions to special projects and work groups for improving the Agency, the OIG community and the government. This includes but is not limited to: Semiannual reports to the Agency Chairman and Congress, participation in external activities such as membership on the Executive's Council on Integrity and Efficiency, and Council of Counsels to Inspectors General. We also participate in Agency efforts, such as GPRA Initiative, Employee Council, Administrative Burden Workgroup, Blacks in Government, Continuity of Operations Plan, FCA Compensation Study, and the Federal Women's Program.

Budget for FY 2003 - \$102,458

.61 FTE

**PRODUCTS AND SERVICES
OFFICE OF INSPECTOR GENERAL
FISCAL YEAR 2004**

The accomplishment of the Office of Inspector General's products and services correlate to fulfilling our goals and objectives.

Product/Service¹	Budget	% Budget	FTE	% FTE
Audits, Inspections, and Review Products	\$606,091	70%	3.56	70%
Investigations	\$138,535	16%	.81	16%
Regulation Review and Comment	\$ 17,317	2%	.10	2%
Outreach	\$103,901	12%	.61	12%
Centrally Budgeted Items	0	0	0	0
Total	\$865,844	100%	5.08	100%

Audits, Inspections, and Review Products. Approximately 6-10 evaluative reports per year (including annual financial audit). This includes technical advice and assistance to Agency officials in developing management information and financial reporting systems and in streamlining programs and organizations. It also includes survey production. At present, two surveys are produced in OIG for the direct benefit of the Agency for use in measuring performance. These two surveys are the Farm Credit System Survey and the Regulation Development Survey. In addition, each audit and inspection contains a customer survey (This is directly linked to FCA Strategic Plan.)

Budget for FY 2004 - \$606,091

3.56 FTE

Investigative Function. Review of allegations. Testing information provided to determine whether an investigation should be opened. Maintaining OIG HOTLINE. Directing FCS Borrower issues to Agency components.

Budget for FY 2004 - \$138,535

.81 FTE

Review and Comment on Proposed and Existing Regulations and Legislation. Responding to Congressional and Executive requests and inquiries. Reviewing and commenting on proposed and existing legislation and regulations affecting the Agency and the Inspectors General community.

Budget for FY 2004 - \$17,317

.10 FTE

¹ Management, administrative support and leave are disbursed across the four program areas noted above.

Outreach Program. Educating employees about OIG's role within the Agency. Lend leadership to organizations directly contributing to the IG community. Making contributions to special projects and work groups for improving the Agency, the OIG community and the government. This includes but is not limited to: Semiannual reports to the Agency Chairman and Congress, participation in external activities such as membership on the Executive's Council on Integrity and Efficiency, and Council of Counsels to Inspectors General. We also participate in Agency efforts, such as GPRA Initiative, Employee Council, Administrative Burden Workgroup, Blacks in Government, Continuity of Operations Plan, FCA Compensation Study, and the Federal Women's Program.

Budget for FY 2004 - \$103,901

.61 FTE

**OFFICE OF INSPECTOR GENERAL
FY 2003 PERFORMANCE MEASURES**
AUDITS AND EVALUATIONS OF AGENCY PROGRAMS AND OPERATIONS

AGENCY GOAL	OIG GOAL	PERFORMANCE MEASURE	OUTCOME/ IMPACT
1 and 2	<p>1. Deliver quality audit, inspection, and review products and services that are useful to the Board, management and/or the Congress.</p> <p>2. Provide technical advice and assistance to Agency officials in developing sound management information and financial reporting systems and in streamlining programs and organizations.</p>	<p>Audits and inspections are relevant. Audit coverage includes all mandated audits and at least 75% of those suggested by the Board and management.</p> <p>Risk is addressed. 100% of OIG audits are performed in high risk/high \$ programs and activities and/or are tied to the Agency strategic planning goals.</p> <p>Findings made during audit fieldwork are recognized and corrected by management prior to drafting of the audit report.</p> <p>Products are timely, i.e. average time to complete audits and issue draft reports will not exceed 6 months.</p> <p>Audits are constructive. At least 75% of audit products contain recommendations to improve Agency operations.</p> <p>The Agency accepts at least 80% of OIG audit recommendations.</p> <p>The Agency implements all corrective actions prescribed by management decisions.</p> <p>The IG advises the Chairman concerning policy direction or administrative priorities.</p> <p>OIG performs analysis and provides technical advice to management concerning accounting, management systems and controls, and performance measures.</p>	<p>FCA programs and operations are more effective.</p> <p>Waste in Agency programs and operations is reduced.</p> <p>Increased Agency compliance with laws, regulations and internal policies and procedures.</p> <p>The Agency's stature and reputation is elevated in the eyes of Congress, the Administration, the FCS, FCA employees and the public.</p> <p>FCA is more effective in carrying out its mission.</p> <p>The OIG is more effective in promoting economy, effectiveness and efficiency within the Agency.</p> <p>FCA continues to get an unqualified audit opinion on financial statements.</p> <p>OIG input and advice contributes to Agency decisions and actions that are more complete and valid at their inception.</p> <p>Increase in management requests for advice, review and technical assistance.</p>

**OFFICE OF INSPECTOR GENERAL
 FY 2003 PERFORMANCE MEASURES
 AUDITS AND EVALUATIONS OF AGENCY PROGRAMS AND OPERATIONS**

AGENCY GOAL	OIG GOAL	PERFORMANCE MEASURE	OUTCOME/ IMPACT
	<p>3. Continuous improvement of OIG staff, products and internal administration.</p>	<p>Customer survey feedback is used to improve products and services.</p> <p>OIG training ensures the technical proficiency of staff.</p> <p>OIG implements administrative improvements identified through reviews of other Agency programs and through staff involvement with the professional community.</p>	<p>Peer review reports provide an unqualified opinion that OIG audit work meets or exceeds quality audit standards prescribed by GAO and the PCIE/ECIE.</p> <p>Customer survey feedback evidences increased satisfaction with report practices.</p> <p>The Inspector General's opportunity to facilitate positive change within the Agency is enhanced by the quality and credibility of OIG products and advice.</p>

**OFFICE OF INSPECTOR GENERAL
FY 2003 PERFORMANCE MEASURES
INVESTIGATIONS**

AGENCY GOAL	OIG GOAL	PERFORMANCE MEASURE	OUTCOME/ IMPACT
1 and 2	<p>1. Administrative and criminal violations relating to FCA programs and personnel are effectively investigated and reported.</p> <p>2. FCA employees and managers recognize their responsibility to immediately report observed or suspected wrongdoing to the IG.</p> <p>3. Agency officials and Congress are kept fully and currently informed of problems found in the process of and resulting from investigative activities.</p>	<p>Investigative reports are timely and presented in an objective and factual manner. Memoranda are issued to management describing internal control weaknesses or program deficiencies found during the investigative process with suggestions to prevent and/or detect future wrongdoing.</p> <p>70% of active cases will be less than two years old (from the date the case was opened).</p> <p>100% of employee cases without criminal prosecution potential will be completed within one year from opening the case.</p> <p>Allegations of wrongdoing are received in a timely manner and are supported by specific information.</p> <p>Summaries of investigations and the resulting administrative or judicial actions taken are incorporated into the Semiannual Report to Congress, along with any disagreements on the actions taken or failure of management to act in a timely and responsible fashion.</p> <p>Findings made during the investigative process concerning the problem at issue or systemic problems are recognized and corrected or mediated by management.</p>	<p>Administrative action, convictions or pleas are obtained for employees and/or contractors found guilty of wrongdoing.</p> <p>Management actions taken against employees serve as a deterrent to future wrongdoing.</p> <p>FCA internal policies, procedures and controls are strengthened to prevent and/or detect future wrongdoing.</p> <p>Investigations are more successful because they are initiated in a timelier manner and have better information.</p> <p>FCA employees are more willing to report real or suspected wrongdoing because they trust the competence and fairness of OIG's investigations.</p> <p>The Chairman and Congress are better informed about OIG investigations, administrative and judicial consequences.</p> <p>Public confidence in the integrity of FCA programs and internal operations are heightened.</p>

**OFFICE OF INSPECTOR GENERAL
 FY 2003 PERFORMANCE MEASURES
 REVIEW OF LEGISLATION AND REGULATIONS**

AGENCY GOAL	OIG GOAL	PERFORMANCE MEASURE	OUTCOME/ IMPACT
2	1. Maintain an effective program for reviewing and commenting on proposed and existing legislation and regulations effecting the Agency and the Inspectors General community.	<p>Processes are established and documented for identifying and circulating (as appropriate) relevant documents.</p> <p>Constructive comments on relevant documents are submitted by the deadlines requested by the office, Agency or staff circulating comments.</p> <p>Document review activity is summarized for inclusion in the Semiannual Report to Congress.</p>	<p>OIG input is part of the decision making process in approving or amending legislation, regulations, circulars and other policy positions.</p> <p>Constructive criticism and creative alternatives offered in OIG comments improve the quality and usefulness of documents initiated by the Agency.</p> <p>FCA Board and management are informed about the status of new or pending legislation or regulations initiated externally.</p>

**OFFICE OF INSPECTOR GENERAL
FY 2004 PERFORMANCE MEASURES
OUTREACH**

AGENCY GOAL	OIG GOAL	PERFORMANCE MEASURE	OUTCOME/ IMPACT
1 and 2	<ol style="list-style-type: none"> <li data-bbox="420 362 661 495">1. Agency personnel understand and accept OIG's role within FCA and the community at large. <li data-bbox="420 553 661 743">2. OIG staff provides leadership to organizations directly contributing to the Inspectors General community. <li data-bbox="420 802 661 992">3. OIG staff contributes to special projects for improving the Agency, the OIG community and the government. 	<p data-bbox="695 362 1312 414">Develop and maintain educational brochures or pamphlets describing OIG roles and activities.</p> <p data-bbox="695 446 1367 524">Facilitate feedback from Agency employees and refine products and practices based on the feedback to OIG products and educational materials</p> <p data-bbox="695 557 1346 634">Time and resources are provided to OIG staff members as an incentive to contribute to outside organizations by serving on committees and holding offices.</p> <p data-bbox="695 802 1354 854">OIG staff will participate in projects that contribute to achieving the vision of a better Agency and government.</p>	<p data-bbox="1411 362 1854 524">Agency employees' acceptance of and cooperation with OIG activities is improved through better understanding. OIG programs and products are improved through feedback from Agency employees.</p> <p data-bbox="1411 557 1854 690">Projects and activities of adjunct organizations such as the AGA, IIA, PCIE/ECIE, CCIG, FLETC, and IGATI are improved by OIG staff contributions and participation.</p> <p data-bbox="1411 722 1808 774">The Inspectors General community is more credible and effective.</p> <p data-bbox="1411 807 1860 885">Management practices at the Agency are improved by OIG staff participation in FCA special projects.</p> <p data-bbox="1411 917 1835 969">FCA programs and operations are more effective and efficient.</p>

**OFFICE OF INSPECTOR GENERAL
FY 2004 PERFORMANCE MEASURES
OUTREACH**

AGENCY GOAL	OIG GOAL	PERFORMANCE MEASURE	OUTCOME/ IMPACT
1 and 2	<p>1. Deliver quality audit, inspection, and review products and services that are useful to the Board, management and/or the Congress.</p> <p>2. Provide technical advice and assistance to Agency officials in developing sound management information and</p>	<p>Audits and inspections are relevant. Audit coverage includes all mandated audits and at least 75% of those suggested by the Board and management.</p> <p>Risk is addressed. 100% of OIG audits are performed in high risk/high \$ programs and activities and/or are tied to the Agency strategic planning goals.</p> <p>Findings made during audit fieldwork are recognized and corrected by management prior to drafting of the audit report.</p> <p>Products are timely, i.e. average time to complete audits and issue draft reports will not exceed 6 months.</p> <p>Audits are constructive. At least 75% of audit products contain recommendations to improve Agency operations. The Agency accepts at least 80% of OIG audit recommendations.</p> <p>The Agency implements all corrective actions prescribed by management decisions.</p> <p>The IG advises the Chairman concerning policy direction or administrative priorities.</p> <p>OIG performs analysis and provides technical advice to management concerning accounting, management systems and controls, and performance measures.</p>	<p>FCA programs and operations are more effective.</p> <p>Waste in Agency programs and operations is reduced.</p> <p>Increased Agency compliance with laws, regulations and internal policies and procedures.</p> <p>The Agency's stature and reputation is elevated in the eyes of Congress, the Administration, the FCS, FCA employees and the public.</p> <p>FCA is more effective in carrying out its mission.</p> <p>The OIG is more effective in promoting economy, effectiveness and efficiency within the Agency.</p> <p>FCA continues to get an unqualified audit opinion on financial statements.</p> <p>OIG input and advice contributes to Agency decisions and actions that are more complete and valid at their inception.</p> <p>Increase in management requests for advice, review and technical assistance.</p>

**OFFICE OF INSPECTOR GENERAL
FY 2004 PERFORMANCE MEASURES
OUTREACH**

AGENCY GOAL	OIG GOAL	PERFORMANCE MEASURE	OUTCOME/ IMPACT
	<p>financial reporting systems and in streamlining programs and organizations.</p> <p>3. Continuous improvement of OIG staff, products and internal administration.</p>	<p>Customer survey feedback is used to improve products and services.</p> <p>OIG training ensures the technical proficiency of staff.</p> <p>OIG implements administrative improvements identified through reviews of other Agency programs and through staff involvement with the professional community.</p>	<p>Peer review reports provide an unqualified opinion that OIG audit work meets or exceeds quality audit standards prescribed by GAO and the PCIE/ECIE.</p> <p>Customer survey feedback evidences increased satisfaction with report practices.</p> <p>The Inspector General's opportunity to facilitate positive change within the Agency is enhanced by the quality and credibility of OIG products and advice.</p>

OFFICE OF INSPECTOR GENERAL
FY 2004 PERFORMANCE MEASURES
INVESTIGATIONS

AGENCY GOAL	OIG GOAL	PERFORMANCE MEASURE	OUTCOME/ IMPACT
1 and 2	<p>1. Administrative and criminal violations relating to FCA programs and personnel are effectively investigated and reported.</p> <p>3. FCA employees and managers recognize their responsibility to immediately report observed or suspected wrongdoing to the IG.</p> <p>3. Agency officials and Congress are kept fully and currently informed of problems found in the process of and</p>	<p>Investigative reports are timely and presented in an objective and factual manner. Memoranda are issued to management describing internal control weaknesses or program deficiencies found during the investigative process with suggestions to prevent and/or detect future wrongdoing.</p> <p>70% of active cases will be less than two years old (from the date the case was opened).</p> <p>100% of employee cases without criminal prosecution potential will be completed within one year from opening the case.</p> <p>Allegations of wrongdoing are received in a timely manner and are supported by specific information.</p> <p>Summaries of investigations and the resulting administrative or judicial actions taken are incorporated into the Semiannual Report to Congress, along with any disagreements on the actions taken or failure of management to act in a timely and responsible fashion.</p> <p>Findings made during the investigative process concerning the problem at issue or systemic problems are recognized and corrected or mediated by management.</p>	<p>Administrative action, convictions or pleas are obtained for employees and/or contractors found guilty of wrongdoing.</p> <p>Management actions taken against employees serve as a deterrent to future wrongdoing.</p> <p>FCA internal policies, procedures and controls are strengthened to prevent and/or detect future wrongdoing.</p> <p>Investigations are more successful because they are initiated in a timelier manner and have better information.</p> <p>FCA employees are more willing to report real or suspected wrongdoing because they trust the competence and fairness of OIG's investigations.</p> <p>The Chairman and Congress are better informed about OIG investigations, administrative and judicial consequences.</p> <p>Public confidence in the integrity of FCA programs and internal operations are heightened.</p>

OFFICE OF INSPECTOR GENERAL
FY 2004 PERFORMANCE MEASURES
INVESTIGATIONS

AGENCY GOAL	OIG GOAL	PERFORMANCE MEASURE	OUTCOME/IMPACT
	resulting from investigative activities.	mediated by management.	

OFFICE OF INSPECTOR GENERAL
FY 2004 PERFORMANCE MEASURES
REVIEW OF LEGISLATION AND REGULATIONS

AGENCY GOAL	OIG GOAL	PERFORMANCE MEASURE	OUTCOME/ IMPACT
2	1. Maintain an effective program for reviewing and commenting on proposed and existing legislation and regulations effecting the Agency and the Inspectors General community.	<p>Processes are established and documented for identifying and circulating (as appropriate) relevant documents.</p> <p>Constructive comments on relevant documents are submitted by the deadlines requested by the office, Agency or staff circulating comments.</p> <p>Document review activity is summarized for inclusion in the Semiannual Report to Congress.</p>	<p>OIG input is part of the decision making process in approving or amending legislation, regulations, circulars and other policy positions.</p> <p>Constructive criticism and creative alternatives offered in OIG comments improve the quality and usefulness of documents initiated by the Agency.</p> <p>FCA Board and management are informed about the status of new or pending legislation or regulations initiated externally.</p>

OFFICE OF INSPECTOR GENERAL
FY 2004 PERFORMANCE MEASURES
REVIEW OF LEGISLATION AND REGULATIONS

AGENCY GOAL	OIG GOAL	PERFORMANCE MEASURE	OUTCOME/ IMPACT
1 and 2	<p>2. Agency personnel understand and accept OIG's role within FCA and the community at large.</p> <p>4. OIG staff provides leadership to organizations directly contributing to the Inspectors General community.</p> <p>5. OIG staff contributes to special projects for improving the Agency, the OIG community and the government.</p>	<p>Develop and maintain educational brochures or pamphlets describing OIG roles and activities.</p> <p>Facilitate feedback from Agency employees and refine products and practices based on the feedback to OIG products and educational materials</p> <p>Time and resources are provided to OIG staff members as an incentive to contribute to <u>outside</u> organizations by serving on committees and holding offices.</p> <p>OIG staff will participate in projects that contribute to achieving the vision of a better Agency and government.</p>	<p>Agency employees' acceptance of and cooperation with OIG activities is improved through better understanding. OIG programs and products are improved through feedback from Agency employees.</p> <p>Projects and activities of adjunct organizations such as the AGA, IIA, PCIE/ECIE, CCIG, FLETC, and IGATI are improved by OIG staff contributions and participation.</p> <p>The Inspectors General community is more credible and effective.</p> <p>Management practices at the Agency are improved by OIG staff participation in FCA special projects.</p> <p>FCA programs and operations are more effective and efficient.</p>

OFFICE OF INSPECTOR GENERAL
FY 2004 PERFORMANCE MEASURES
REVIEW OF LEGISLATION AND REGULATIONS

AGENCY GOAL	OIG GOAL	PERFORMANCE MEASURE	OUTCOME/ IMPACT