

**Office of Inspector General
U.S. Department of State
Broadcasting Board of Governors**

Strategic Plan

FY 2002 - 2007

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Office of Inspector General

Strategic Plan, FY 2002-07

Foreword

Three years ago, OIG developed and began implementing our first strategic plan under the Government Performance and Results Act (GPRA). Since that time, the nature of planning and performance measurement in government has advanced significantly. What was an experimental exercise, attempted by only a few pilot organizations and forward-looking agencies, has become a broad initiative and the focus of increasing Congressional and Executive Branch attention.

This strategic plan reflects both a significant rethinking and a reaffirmation of our original strategic goals and planning framework. From a series of goals focused around our operational objectives, we have moved toward a focus on the primary issues affecting the economy, efficiency, effectiveness, and integrity of the Department of State (Department) and Broadcasting Board of Governors (BBG) programs and operations including foreign policy, security, financial management and administrative support, and accountability. In addition, to ensure that we remain flexible and responsive to the demands and challenges of the Department, Congress, and an ever-changing world environment, we have recently reorganized along more traditional functional lines that will help us achieve our goals more effectively, efficiently, and economically.

Vision

To support the Department of State and the Broadcasting Board of Governors in achieving their missions as effectively, efficiently, and economically as possible.

Mission

The mission of the Office of Inspector General is to serve as an independent, objective reviewer and evaluator of the operations and activities of the U.S. Department of State and the Broadcasting Board of Governors. We analyze those operations and activities with a view toward promoting effectiveness, efficiency, and economy. We seek out instances of fraud, waste, abuse, and mismanagement, and we work to prevent them. We report to the Secretary of State, the Broadcasting Board of Governors, and the Congress, keeping them fully and currently informed of significant developments and serious concerns.

Framework and Statutory Responsibilities

The 1978 Inspector General Act, as amended, and the 1980 Foreign Service Act, respectively, charge the OIG with detecting and preventing waste, fraud, and mismanagement and with assessing whether U.S. foreign policy goals are being achieved, resources are used to maximum efficiency, and all elements of U.S. overseas missions are coordinated. With subsequent legislation mandating OIG's oversight of the Arms Control and Disarmament Agency and United States Information Agency (consolidated with the Department of State in Fiscal Years 1999 and 2000, respectively), and the BBG, this authority covers about \$7 billion in programs and spending, and overall direction and coordination of the entire \$23 billion of international programs by non-Function 150 agencies, other than military personnel serving under a regional commander.

OIG's security and intelligence oversight responsibilities were established through the Omnibus Diplomatic Security and Anti-Terrorism Act of 1986 and executive orders 12333 (U.S. Intelligence Activities) and 12863 (President's Foreign Intelligence Advisory Board). OIG also is responsible for evaluating compliance with other legislation—such as the Chief Financial Officers Act, Federal Managers' Financial Integrity Act, and Clinger-Cohen Act (Information technology reform)—designed to enhance management performance. OIG will also assess, as appropriate, the Department's and BBG's efforts to make and measure progress toward achieving their goals.

Relationship Between Strategic and Performance Goals

The following pages set forth OIG's strategic goals and objectives. The strategic goals are described in terms of the desired outcomes that we expect to see in improved Department and BBG programs and operations by 2007, and the long-term strategies required to achieve each. Our annual performance plans for FY 2002-03 and subsequent years will translate these into the more specific, short-term goals, objectives, means, and strategies necessary to realize each strategic goal over the next six years. Our success will be demonstrated through these and the mandated performance measures set forth in the Inspector General Act reporting requirements, other measures of economy, efficiency, effectiveness, and customer satisfaction, as appropriate, and by the outcomes achieved by the entities subject to our oversight.

General Means and Strategies

The fundamental means for achieving our strategic and performance goals and objectives will continue to be the audits, inspections, and investigations that comprise the bulk of our efforts. In addition, we will expand outreach programs to clients and other interested parties and increase our participation in training programs and other forums to expand our influence with them, as well as with the rest of the foreign affairs community. We also will reexamine and reengineer our core processes, products, and services to improve the quality, timeliness, and impact of our efforts; better serve our customers and other interested parties; and ensure the achievement of our, as well as their, strategic and performance goals and objectives.

Recognizing that the skills and abilities of our staff are crucial to our success, we will undertake initiatives to recruit and retain highly qualified employees, including, to the extent resources permit, financial incentives such as premium pay and recruitment and retention bonuses. To promote continued professional development of our staff, we will provide them with a variety of educational and career development opportunities. These will include both formal training at high quality institutions, such as the Foreign Service Institute and the Inspectors General Auditor Training Institute, and on-the-job experiences internally and through temporary details to functional positions in the Department and other government agencies. We also will continue to encourage and support their efforts to achieve appropriate professional certifications, such as the designation of Certified Public Accountant.

Our general strategies for achieving our goals begin with increasing our efforts to solicit regularly the views of and obtain feedback from our principal customers and other interested parties through consultations, customer surveys, and follow-up reviews to ensure that our products and services are anticipating and meeting their needs. We will be more proactive in addressing the challenges of the foreign affairs agencies; work with them to anticipate and address potential problems in new and developing initiatives and programs; adopt a more consultative approach in communicating with them about our activities, findings, and recommendations; and expand productive dialogues with agency managers.

In addition to these general strategies, we also have developed more specific approaches that we will implement over the next six years to achieve our strategic goals and objectives, as described on pages 5-8. Individual components of these strategies to be implemented each year will be described, as appropriate, in our annual performance plans.

Assumptions

Our strategic plan is predicated on the assumption that OIG budget and staffing levels will remain relatively stable. This assumption will require a reversal the pattern of recent years, which have seen a steady "real term" budget decline. Should this trend continue unabated, OIG's ability to achieve its strategic goals will be severely compromised by the end of the period covered by this plan. We also assume that we will be able to hire and retain--or, where necessary, contract for--the skilled and experienced personnel that we need to accomplish our goals and objectives. Completion of planned information technology upgrades, and maintenance of up-to-date information technology, also is essential to our success in realizing some of these goals, and in tracking the performance data necessary to demonstrate our success.

More broadly, our assumptions are based on current administration and congressional policies and priorities, and the current state of world affairs affecting the Department and the BBG. Our strategic plan will be revised, as necessary, to the extent that policies and priorities of the Department and Congress or world events change in ways that could significantly affect our achievement of these goals, or indicate a need for us to refocus our goals.

Program Evaluation

During FY 2001, a team from the Office of Inspector General, General Services Administration, conducted and issued a report on its quality control review of OIG audit operations. Results of this peer review have been taken into account in the development of this plan. In addition, the views of the Office of Management and Budget (OMB), Congress, and the General Accounting Office on the role of the OIG in implementing GPRA have been considered, as have the results of surveys of Department, BBG, and Congressional customers..

Key Factors That Could Affect Goal Achievement

A number of external factors could affect our ability to accomplish our strategic and performance goals and priorities, including increased congressional mandates for OIG. In addition, certain factors will affect and influence specific strategic goals:

Security

- The inability of the Department and BBG adequately to fund acquisitions, construction, and upgrades necessary to meet ever changing global security threats.
- Newly emerging threats, such as chemical and biological terrorism, that defeat even the most secure facilities and systems, based on current standards.
- The growth of cyberterrorism, computer crime and related threats that outpace the ability to protect against them.
- The collapse of a foreign government that could increase the vulnerability of facilities previously thought secure.
- Conflicting security standards and priorities among government agencies and organizations that might make common goals unattainable.

Financial Management and Administrative Support

- Unforeseen changes in domestic and foreign economies that could exacerbate Department and BBG competitive disadvantages vis-a-vis private industry in recruiting and retaining domestic and foreign workforces.
- Unpredictable increases in the rapid pace and dramatic nature of changes in information technologies that may render government technology plans and acquisitions obsolete before they are implemented.
- The lack of or slow acceptance of changes to domestic and foreign personnel laws and regulations that ensure achievement of desired outcomes.

FOREIGN POLICY	<i>Strategic Goal: The Department and BBG effectively, efficiently, and economically advance the foreign policy interests of the United States</i>
<p style="text-align: center;">DESIRED OBJECTIVES</p> <p>Effective implementation and coordination of U.S. policy goals and objectives.</p> <p>Efficient, effective and economical use of resources to accomplish foreign policy objectives.</p> <p>Management controls are in place to ensure quality of performance and reduce the likelihood of mismanagement and whether adequate steps for detection, correction, and prevention have been taken.</p> <p>Strengthened U.S. security through the availability of coordinated, timely, and accurate intelligence and analysis.</p> <p>Improvement in Department coordination of U.S. Government efforts to protect the safety and security of American citizens overseas.</p> <p>Improvement in Department and BBG promotion of the free flow of information to foreign publics.</p> <p>Improvement of Department's efforts at promoting interagency coordination in support of the US border security program while facilitating international travel to the United States.</p>	<p style="text-align: center;">STRATEGIES</p> <p>Conduct inspections of every post and bureau every 5 years to include assessments of implementation of foreign policy, management of resources and whether controls are in place to reduce likelihood of mismanagement, and whether adequate steps have been take to detect, correct and prevent waste, fraud, or abuse. Summaries from these inspections will be used to develop and address systemic issues effecting the implementation of foreign policy identified in the course of the inspections.</p> <p>Determine the Department's effectiveness in providing timely and accurate intelligence and analysis through assessments of the Department's coordination and liaison with the intelligence and law enforcement communities during the conduct of the post management inspections.</p> <p>Determine whether the Department is successfully coordinating U.S. Government efforts to protect the safety and security of American citizens overseas through reviews of consular service technology, infrastructure upgrades, agreements with foreign governments, and emergency readiness activities.</p> <p>Assess Department and BBG promotion of the free flow of information to foreign publics through reviews of new and traditional program delivery methods, public diplomacy initiatives, activities supporting development of free and independent media, and joint efforts to achieve shared objectives.</p> <p>Evaluate, through means of post and bureau inspections and program evaluations, the effectiveness of the Department's administration of visa and passport laws and regulations and timely data sharing with other USG agencies to deny entry into the U.S. of terrorists, international criminals and illegal aliens; while facilitating legitimate international travel of foreign visitors, lawful immigrants and refugees.</p>

SECURITY	
<i>Strategic Goal: The Department and the BBG adequately protect the people, information, and facilities under their control in the United States and abroad.</i>	
<p style="text-align: center;">DESIRED OBJECTIVES</p> <p>Department and BBG personnel in the United States and abroad will be protected from physical harm arising from terrorism and other acts of violence against Americans.</p> <p>All employees will be held accountable for security standards, including the handling of classified information.</p> <p>All information systems will operate in a secure manner.</p> <p>Intelligence on threats will be disseminated to protect personnel, information, and facilities.</p> <p>Department and BBG facilities will substantially comply with security standards.</p>	<p style="text-align: center;">STRATEGIES</p> <p>Perform either a full or limited-scope security inspection of every overseas mission and selected domestic bureaus and operations every 5 years.</p> <p>Develop a risk management strategy to identify vulnerabilities in Department and BBG operations and provide guidance on how to achieve a more secure infrastructure.</p> <p>Develop a risk management approach to identify priority areas for field evaluations to determine the Department’s progress in correcting security weaknesses.</p> <p>Review development, implementation, and management of classified information processing, handling and storage standards for the Department.</p> <p>Review major construction projects in the early stages to identify vulnerabilities at a point where corrective action can be taken in the most efficient and effective manner.</p> <p>Review development, testing, and implementation of information management systems and information technology to include:</p> <ul style="list-style-type: none"> • Advanced telecommunications networks and infrastructures that ensure total, secure integration of Department, BBG and interagency activities, communication, and data sharing by electronic government; and • Facilities, systems, training, policy, procedures, and data ensuring information confidentiality, availability, and integrity from terrorists and other threats. <p>Review the acquisition, analysis, and dissemination of threat related information by the Department in the formulation of protective policies and measures.</p>

FINANCIAL MANAGEMENT & ADMINISTRATIVE SUPPORT

Strategic Goal: The Department and the BBG have the necessary financial and support systems and controls to meet legal and operational requirements

DESIRED OBJECTIVES

The Department and BBG will be in substantial compliance with the laws and regulations with respect to financial management, contracts, information technology, and federal assistance. Specifically,

- control weaknesses will have been corrected,
- quality goods and services will be acquired economically,
- information systems will be integrated and secure, will provide complete and accurate information, and will accomplish clearly defined goals and objectives with fiscal integrity.

Mission-critical systems and processes will be substantially integrated and standardized; automated systems will provide reliable information for management decision-making and performance measurement; and responsibilities to federal entities overseas will be satisfactorily met.

Department and BBG ability to meet operational goals and requirements will be substantially improved.

Department and BBG efforts to attract, place, and retain highly skilled, motivated, diverse, and flexible workforces will be efficient and effective.

The Department and BBG will be in substantial compliance with GPRA, including identifying measurable goals, credible strategies, and valid measures of performance.

STRATEGIES

Assess Department and BBG progress in correcting management control weaknesses, including the elimination of impediments to compliance with the Federal Financial Managers Integrity Act and other Federal requirements and guidance, through annual reviews of the outcomes of remediation and compliance efforts.

Meet federal requirements for issuing timely audits of the Department and other financial statements.

Develop and implement a risk management strategy for reviewing contracts and federal assistance and provide consultative advice on how to achieve greater cost effectiveness and savings.

Determine the optimal time to review the development, testing, and implementation of mission-critical management and financial information systems and conduct such reviews, including verifying, validating, and assessing the usefulness of data.

Develop a risk management strategy to identify vulnerabilities in property, facility, and equipment management and assist the Department and BBG in identifying and implementing corrective actions.

Assess Department progress in meeting current logistics management requirements achieved through reengineering goals and planned longer-term efficiencies.

Review development, testing, and implementation of information management systems and information technology to include:

- Plans and efforts to streamline operations, improve services, and promote electronic government through effective application of information technology,
- Use of the most cost-effective means of providing information technology services overseas, and
- Information security, domestically and overseas.

Develop a risk management strategy for OIG reviews of information technology projects and provide consultative advice on how to achieve greater value.

Assess the extent to which Department and BBG information systems and processes are integrated and provide reliable information.

Assess Department efforts to increase program efficiency and effectiveness by automating, reengineering, or outsourcing operations, as appropriate.

Assess Department efforts to “right-size” overseas missions.

Assess the effectiveness of Department efforts to plan for and meet its human resource needs by recruiting, assigning, and retaining a highly skilled, motivated, diverse and flexible workforce.

Monitor Department efforts to establish and use performance goals and measures and to align resources with goals and performance results; identify and share best practices in performance-based management and recommend improved goals, measures, and planning techniques, as appropriate.

ACCOUNTABILITY		<i>Strategic Goal: The Department and the BBG are free of fraud, waste, abuse and mismanagement.</i>
<p style="text-align: center;">DESIRED OBJECTIVES</p> <p>Department and BBG employees will comply with all applicable laws, regulations and policies.</p> <p>Department and BBG contractors and grantees will comply with applicable contract and grant agreements.</p> <p>Department and BBG Employees will adhere to standards of ethical and professional conduct.</p> <p>Areas of vulnerability and opportunities for misconduct, mismanagement, and abuse will be reduced.</p> <p>Allegations of malfeasance and other improprieties will be investigated in a timely and thorough manner.</p>	<p style="text-align: center;">STRATEGIES</p> <p>Identify and address financial malfeasance cases and vulnerabilities and recommend monetary recoveries, where appropriate, including increased collaboration between the Offices of Investigations and Audits.</p> <p>Identify, review and recommend internal control improvements to Department and BBG programs and functions that are vulnerable to misappropriation, loss, or waste of assets, especially cash and cash equivalents.</p> <p>Work with the Department to enforce employee accountability in security matters.</p> <p>Significantly reduce the time it takes to review allegations and conduct routine employee investigations.</p> <p>Expand outreach to employee audiences on standards of conduct and accountability.</p> <p>Promote the OIG hotline and other methods, as appropriate, for Department and BBG employees to report alleged fraud, malfeasance, mismanagement, and other improprieties to OIG.</p>	