

## HIGHLIGHTS OF OFFICE OF INSPECTOR GENERAL (OIG) PLANS FOR FISCAL YEAR 2012

- GOAL 1 Strengthen USDA's ability to implement safety and security measures to protect the public health as well as agricultural and Departmental resources.
- Conduct audits to ensure that USDA food safety and inspection programs effectively meet program objectives.
  - Evaluate USDA controls over shell eggs and interagency coordination efforts for detecting and reporting salmonella or other contaminants.
  - Investigate smuggling of animals, animal products, plants, and plant products.
  - Investigate threats involving the safety of meat, poultry, and egg products to protect the public from food tampering and tainted food.
  - Investigate allegations of criminal activity in the National Organic Program.
  - Investigate acts of violence against USDA employees.
- GOAL 2 Reduce program vulnerabilities and strengthen program integrity in delivering benefits to individuals.
- Conduct audits of nutrition, farm, and rural community programs to determine if entitlements and benefits are effectively directed based on eligibility. This includes audits of American Recovery and Reinvestment Act (Recovery Act) funds.
  - Review USDA's mandated reports as required by both Executive Order 13520 and the Improper Payments Elimination and Recovery Act of 2010.
  - Investigate allegations of criminal activity in nutrition assistance programs.
  - Monitor and investigate allegations of criminal activity pertaining to USDA programs, including Recovery Act and disaster funds.
- GOAL 3 Support USDA in implementing its management improvement initiatives.
- Perform mandated FY 2011/2012 financial statement audits of six USDA agencies and the Department as a whole.
  - Evaluate the adequacy and security of information technology (IT) systems and applications.
  - Carry out oversight responsibilities under the Recovery Act.
  - Investigate allegations of significant criminal activity by USDA employees.
  - Investigate whistleblower allegations as required by the Recovery Act.
- GOAL 4 Increase the efficiency and effectiveness with which USDA manages and exercises stewardship over natural resources.
- Determine whether the Forest Service is properly obtaining and modifying rights-of-way and easements for Federal lands, and is granting and modifying easements according to applicable laws.

- Assess whether producers in the Conservation Security Program and the Conservation Stewardship Program comply with highly erodible land provisions.
- Determine whether eligibility and program requirements were met by those who received Recovery Act funds for reducing hazardous fuels and restoring ecosystems on non-Federal lands.
- Investigate allegations of significant criminal activity in programs involving the management and stewardship of natural resources.

#### GOAL 5

Strive for a highly qualified, diverse workforce that has the tools and training necessary to enhance OIG's ability to fulfill its mission and communicate its accomplishments.

- Update and publish Inspector General management and policy directives.
- Improve performance of IT's help desk initial response and resolution.
- Continuously monitor the OIG network and issue formal IT security briefing to the OIG Chief Information Officer.
- Improve internal and external response times to security incidents.
- Develop and deliver budget and accounting information and regular reports to the Office of the Chief Financial Officer and the National Finance Center.
- Submit the Equal Employment Opportunity (EEO) Counselor's report to the EEO office within 15 days after completing the counseling period.

## MESSAGE FROM THE INSPECTOR GENERAL

I am pleased to present the USDA *OIG Annual Plan* for fiscal year (FY) 2012. This document describes how OIG will achieve its mission of promoting economy, efficiency, effectiveness, and integrity in the delivery of USDA programs. In setting our goals and objectives, we aligned our annual plan with both the OIG *Strategic Plan* for FY 2010-2015 and the USDA *Strategic Plan* for FY 2010-2015. This plan reflects the priority work that OIG believes is necessary to provide effective oversight of the broad spectrum of USDA programs and activities. As the Nation moves forward to address its fiscal situation, OIG anticipates that there will be fewer resources available to carry out our mission in FY 2012. Accordingly, adjustments to this plan may be necessary as the year unfolds to ensure that we direct our resources to areas of highest risk and vulnerability.

The American Recovery and Reinvestment Act of 2009 (Recovery Act) continues to influence this year's plan significantly because it gives OIG specific responsibilities for audit and investigative oversight of USDA programs and activities funded through the Act. In FY 2012, we estimate that we will use approximately 15 percent of our audit resources and 5 percent of our investigative resources for Recovery Act oversight.

As mandated by Executive Order (E.O.) 13520 and the Improper Payments Elimination and Recovery Act (IPERA) of 2010, we will determine USDA's compliance with IPERA and review agencies methodologies and plans to reduce improper payments. In addition, as required by the Claims Resolution Act of 2010, we will review Pigford II adjudicated claims to determine whether USDA established and followed proper procedures for distributing settlement funds to eligible claimants.

Also, as mandated by the Food, Conservation, and Energy Act of 2008 (Farm Bill), we continue to monitor how the Food Safety and Inspection Service (FSIS) implements provisions related to State meat inspection programs. Once relevant regulations are in place, we will initiate an audit to determine if they are being followed.

The Disaster Relief and Recovery Supplemental Appropriations Act of 2008 entrusted USDA with more than \$400 million in funding for disaster relief and recovery. Our work this year will include a review of programs intended to rehabilitate land damaged by floods, tornadoes, and wildfires: the Farm Service Agency's (FSA) Emergency Conservation Program (ECP), and the Natural Resources Conservation Service's (NRCS) Emergency Watershed Program (EWP). As disaster relief circumstances warrant, we may undertake additional work to ensure that these funds are used properly.

Based on OIG's continuing commitment to our strategic goals, adapted to respond to key developments and carry out new and ongoing responsibilities, we present this *Annual Plan* for FY 2012. We look forward to continuing to work productively with Congress and the Secretary to promote the effective delivery of USDA programs.

Phyllis K. Fong  
Inspector General

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## INTRODUCTION

The USDA OIG *Strategic Plan* for FY 2010-2015 establishes our mission, vision, and goals for 5 years. OIG is committed to providing a positive return on the U.S. taxpayers' investment by planning our work to address issues of the greatest importance and achieve the most significant results.

While OIG continues its work to ensure the overall integrity of payments in USDA programs and the effectiveness of those programs, we have also directed a significant portion of our resources to overseeing USDA's effective implementation of \$28 billion in American Recovery and Reinvestment Act of 2009 (Recovery Act) funds. OIG has completed 31 audits and issued 56 *fast reports* assessing USDA agencies' Recovery Act program guidance, internal controls, eligibility criteria, and compliance activities in a number of areas, including farm loans, watershed programs, supplemental nutrition assistance, wildland fire management, and several rural development programs (such as rural housing, rural business, water and waste disposal, and broadband).

In FY 2012, we expect to complete most planned Recovery Act audit oversight work. We also expect to receive fewer new allegations of Recovery Act fraud in FY 2012, as the Government-wide authority to expend Recovery Act funds expires. We will, however, continue to evaluate and investigate potential criminal violations involving USDA Recovery Act programs, as we do for all other USDA-funded activities.

This *Annual Plan* presents the FY 2012 work that USDA OIG intends to undertake in support of our current *Strategic Plan* and in accordance with our Recovery Act responsibilities.

## Resources and Organization

We assessed the work for this *Annual Plan* relative to the resources that we believe will be available to accomplish it. FY 2012 funding level is not yet certain, and the Annual Plan may need to be adjusted during the year to reflect any resource constraints. Appendix B describes our current organizational structure and functional responsibilities; these also could change during the year if resource levels should change.

### FY 2012 Work Plan

A summary of the work we plan in support of our FY 2012 strategic goals follows.

#### **Goal 1 – Strengthen USDA’s ability to implement safety and security measures to protect the public health as well as agricultural and Departmental resources.**

We expect to use approximately 17.5 percent of our audit and 12 percent of our investigative resources in achieving this goal.<sup>1</sup> Our investigations work focuses on threats to the food supply, the agricultural sector, USDA employees, and national security. Our audit work focuses on assessing management control systems designed to ensure that the Department is effectively protecting the consumer and the Nation’s agricultural resources. Our audit work will also concentrate on homeland security and will continue to evaluate the Department’s coordination and communication of increased security controls both internally and across Federal Departments. For FY 2012, our priorities include the following:

- Evaluate USDA’s controls over shell eggs for detecting and reporting salmonella or other contaminants. Assess interagency coordination efforts to ensure the safety and wholesomeness of shell eggs.
- Address the effectiveness of FSIS’ N-60 testing protocol on beef trim for *Escherichia coli* O157:H7 (*E. coli*). Determine whether industry and private laboratories’ sampling and testing protocols meet FSIS standards and examine how FSIS and the beef industry use test results.

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<sup>1</sup> All OIG teams contribute to each goal, but we can currently only quantify and project the audit and investigation resources employed.

- Follow up on prior audits of FSIS food safety initiatives to determine if the agency has made improvements in: staffing, training, and supervising in-plant inspectors; oversight of the Humane Methods of Slaughter Act; removing specified-risk materials; and information system management controls.
- Investigate threats involving the safety of meat, poultry, and egg products to ensure that timely response and appropriate corrective actions are taken to protect the public from food tampering or tainted food.
- Follow up on prior audits of select agents and toxins to determine if the Animal and Plant Health Inspection Service (APHIS) is ensuring compliance with regulations pertaining to the Public Health Security and Bioterrorism Preparedness and Response Act of 2002.
- Investigate animal, animal product, plant, and plant product smuggling that can introduce devastating diseases and pests into American agriculture.
- Investigate allegations of criminal activity in the National Organic Program (NOP).
- Follow up on prior audits to determine if the Agricultural Research Service (ARS) has designed and implemented controls to ensure security of sensitive technology and information transfers.
- Coordinate with the Federal Bureau of Investigation's Joint Terrorism Task Forces to support ongoing investigations working to identify and combat domestic and international terrorism.

Specific Recovery Act work we are conducting includes the following:

- Investigate whistleblower complaints that involve Recovery Act funds or alleged health, safety, or security threats.
- Determine whether sponsors of projects to rehabilitate flood control dams are following Recovery Act requirements for issuing contracts, monitoring projects, and reporting their use of funds to the Recovery Board.

## **Goal 2 – Reduce program vulnerabilities and strengthen program integrity in the delivery of benefits to individuals.**

We expect to use approximately 20.3 percent of our audit and 76 percent of our investigative resources to accomplish this goal. Our investigative focus includes threats to the integrity and effectiveness of USDA's benefits programs. Our audit focus includes assessing internal control systems and identifying risk indicators

that should increase both OIG's and USDA's ability to detect and prevent program abuse and criminal activity. For FY 2012, our priorities include the following:

- Investigate allegations of criminal activity in USDA's disaster relief and assistance programs (e.g., crop insurance, indemnity payments, and grants and loans).
- Determine the effectiveness of FSA's and NRCS' administration of ECP and EWP, which are intended to rehabilitate land damaged by floods, tornadoes, and wildfires.
- Investigate allegations of criminal activity in farm programs, including the crop insurance and farm loan programs.
- Evaluate the Biomass Crop Assistance Program—established by the Food, Conservation, and Energy Act of 2008—to review eligibility and selection criteria and contract compliance.
- Match the Social Security Administration's list of deceased individuals' social security numbers and names to eligibility data in the Food and Nutrition Service's (FNS) Supplemental Nutrition Assistance Program (SNAP) to determine whether benefits are delivered appropriately.<sup>2</sup>
- Evaluate vendor monitoring under the Special Supplemental Nutrition Program for Women, Infants, and Children (WIC) to assess implementation of new regulations and corrective actions regarding improper payments.
- In response to a congressional request, determine whether school districts that signed cost-reimbursable contracts with Food Service Management Companies (FSMC) under the National School Lunch Program (NSLP) receive all appropriate discounts and rebates from their FSMC. Follow up on recommendations identified in prior audit reports.
- As mandated by E.O. 13520 and IPERA, determine USDA's compliance with IPERA, and review agencies' methodologies and plans to reduce improper payments. Assess risks in high-priority programs, determine the extent of oversight warranted, and provide recommendations, where appropriate.
- Investigate alleged criminal activity in food and nutrition programs, including SNAP and its Electronic Benefits Transfer (EBT) delivery system, WIC, and NSLP.

Specific Recovery Act work we are conducting includes the following:

- Identify and investigate potentially fraudulent activity occurring within USDA agencies and programs receiving Recovery Act funding.

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<sup>2</sup> SNAP was formerly known as the Food Stamp Program.



- Review Recovery Act-funded Supplemental Agricultural Disaster Assistance programs to determine if adequate controls were developed and implemented.
- Determine if Rural Development’s agencies have effectively implemented Recovery Act provisions. Audit initiatives include reviewing the Rural Business Enterprise Grants Program; the Business and Industry Guaranteed Loan Program; the Single-Family Housing (SFH) Guaranteed Loan Program; SFH Direct Loans Program; and Rural Community Facilities Direct Loans and Grants Program.
- Determine if Trade Adjustment Assistance for Farmers Program funds under the Recovery Act are used for authorized purposes and results are accurately reported.

### **Goal 3 – Support USDA in implementing its management improvement initiatives.**

We expect to use approximately 56.8 percent of our audit and 10 percent of our investigative resources to accomplish this goal. Our audit focus is on improved financial management and accountability, IT security and management, real property management and procurement, renewable energy programs, research, and compliance with the Government Performance and Results Act. Our investigative focus includes allegations involving criminal violations that have employee corruption or fraud implications. For FY 2012, our mandated and priority work includes the following:

- Investigate allegations of employee corruption and fraud.
- Determine if the Department has provided adequate training to its employees to detect and prevent social engineering tactics used to acquire sensitive information.<sup>3</sup>
- Audit the FY 2011/2012 USDA consolidated financial statements and the financial statements of six stand-alone agencies and entities, i.e., FNS, NRCS, Forest Service (FS), Rural Development, the Federal Crop Insurance Corporation, and the Commodity Credit Corporation.
- Determine if NRCS’ oversight and compliance activities are adequate to ensure compliance with laws and regulations and achieve program results effectively and efficiently.
- Review Pigford II adjudicated claims to determine whether USDA established and followed proper procedures for distributing settlement funds to eligible claimants (as required by the Claims Resolution Act of 2010).

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<sup>3</sup> Social engineering involves using manipulation to compel people into divulging sensitive information.

- Complete work to assess USDA’s process for settling with civil rights program complainants, and follow up on prior audit recommendations relating to USDA’s civil rights programs.

Specific Recovery Act work we are conducting includes the following:

- Investigate whistleblower complaints related to Recovery Act funding, and track them through an automated system to ensure timeliness.
- Determine if Departmental Management and the Agricultural Research Service properly closed out Recovery Act-funded contracts.<sup>4</sup>
- Review FS’ plans to spend additional Recovery Act funds on wildland fire management.

**Goal 4 – Increase the efficiency and effectiveness with which USDA manages and exercises stewardship over natural resources.**

We expect to use approximately 5.4 percent of our audit resources and 2 percent of our investigative resources for Goal 4. Our audit and investigative focus is on USDA’s management and stewardship of natural resources, such as soil, water, and recreation sites. For FY 2012, our priorities include:

- Investigate allegations of significant criminal activities in programs related to natural resource management and stewardship.
- Evaluate FS’ management of oil and gas resources on National Forest System land, focusing on assessing potential weaknesses we identified in a survey of the agency’s implementation of the National Energy Policy.
- Assess whether producers in the Conservation Security Program and Conservation Stewardship Program comply with highly erodible land provisions. Evaluate NRCS’ non-compliance determinations and variance approvals.
- Evaluate NRCS controls over the Farm and Ranch Lands Protection Program to ensure that land easements are properly appraised, and that the land is used for agriculture.
- Examine whether Environmental Quality Incentives Program (EQIP) recipients fulfilled their contracts, and whether controls ensure that contracts continue to meet program objectives. Determine if EQIP contracts duplicate other payments or services offered by USDA.

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<sup>4</sup> Departmental Management includes administrative offices within USDA such as the Office of the Chief Financial Officer and the Office of Human Resources Management.

Specific Recovery Act work we are conducting includes the following:

- Determine whether FS' Recovery Act biomass projects met requirements and were completed timely and effectively.<sup>5</sup> Evaluate whether FS can adequately support its reported achievements in capital improvements and maintenance.
- Determine whether recipients of funds for reducing hazardous fuels and restoring ecosystems on non-Federal lands met eligibility and program requirements, and timely and effectively completed their projects.
- Assess FS controls over capital improvement and maintenance funding to ensure that participants meet requirements and the funding meets objectives. Examine activities such as renovating buildings, remediating abandoned mines, and maintaining trails.

**Goal 5 – Strive for a highly qualified, diverse workforce with the tools and training necessary to continuously enhance OIG's ability to fulfill its mission and communicate its accomplishments.**

For FY 2012, we will continue to use our 19 performance measures for this goal. Our management focus is on ensuring the readiness of the OIG workforce, timely reporting of information to stakeholders, and satisfying employees' needs. Our FY 2012 work will include the following:

- Continue soliciting feedback through the *New Employee Survey* within 6 weeks of a person joining the organization.
- Issue candidate certificates within 5 days of announcement closing date.
- Improve initial response and completion time for IT help desk requests.
- Deliver timely and informative semiannual reports to Congress, annual plans, and other OIG publications to stakeholders.
- Report monthly to the Recovery Board on the use of Recovery Act funds.
- Issue timely and effective IG subpoenas.
- Submit budget and accounting information, as well as regular reports, to the Office of the Chief Financial Officer and the National Finance Center.

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<sup>5</sup> Biomass is a renewable energy resource that derives from living and dead organisms, such as wood, waste, and alcohol fuels.

- Issue OIG's formal IT security briefing to the OIG Chief Information Officer at least three times per quarter.
- Improve internal and external response times to security incidents.
- Submit Equal Employment Opportunity (EEO) Counselor's reports to the EEO office within 15 calendar days after completing the counseling period.

## FY 2011 Performance Summary and Results

Our *Strategic Plan* identifies the results of our work using a life-cycle approach to our outputs that tracks individual actions at critical milestones. We began measuring these results in FY 2004. Since then, we have steadily increased the number of performance measures we track to 30 in total. In FY 2011, OIG met 25 of the 30 performance targets. This provides an opportunity for OIG to improve its work processes in FY 2012. OIG will be keeping 26 of the 30 performance measures and adding four new measures keeping the total to 30 for FY 2012. The following tables illustrate our FY 2011 results in comparison with our performance targets.

### Strategic and Performance Goals and FY 2011 Results

Strategic Goal	Performance Goals
(1) Safety and Security	Strengthen USDA's ability to implement safety and security measures to protect the public health as well as agricultural and Departmental resources.
(2) Integrity of Benefits	Reduce program vulnerabilities and strengthen program integrity in the delivery of benefits to individuals.
(3) Management Improvement Initiatives	Support USDA in implementing its management improvement initiatives.
(4) Natural Resources	Increase the efficiency and effectiveness with which USDA manages and exercises stewardship over natural resources.
(5) Qualified Diverse Workforce	Strive for a highly qualified, diverse workforce with the tools and training necessary to continuously enhance OIG's ability to fulfill its mission and communicate its accomplishments.

Performance Measures	FY 11 Target	FY 11 Actual
(1) Percentage of OIG direct resources dedicated to critical-risk or high-impact activities.	90%	97.2% 99.3% Audit 93.3% Inv.
(2) Percentage of audit recommendations where management decisions are achieved within 1 year.	90%	90.1%

<b>Performance Measures</b>	<b>FY 11 Target</b>	<b>FY 11 Actual</b>
(3) Percentage of audits initiated where the findings and recommendations are presented to the auditee within established and agreed-to timeframes.	85%	100%
(4) Percentage of closed investigations that resulted in a referral for action to the Department of Justice, State or local law enforcement officials, or a relevant administrative authority.	70%	82.5%
(5) Percentage of closed investigations that resulted in an indictment, conviction, civil suit or settlement, judgment, administrative action, or monetary result.	65%	70.4%
(6) On a biannual basis, positive employee satisfaction rate reported in staff surveys.	70%	66.4%
(7) *Update 8 management directives that are over 3 years old.	80%	100%
(8) Time from receipt of an SF-52 for a standard recruitment action until positions are posted and opened through the automated system averages 3 days.	90%	88.9%
(9) Time to issue candidate certificates after the closing date of an announcement averages 5 days.	90%	93.3%
(10) *Survey results indicate new employees find orientation session useful to them as they begin their new jobs.	70%	100%
(11) All Information Technology Division (ITD) systems including the LAN, WAN, e-mail, and ARGOS remain operational, excluding planned outages for system maintenance and outages caused by outside factors.	97%	99.9%
(12) *ITD staff will make an initial response to help desk requests within 2 hours or less.	85%	99.9%
(13) *ITD staff will resolve help desk requests within 24 hours.	85%	83.9%
(14) *Internal and external security incidence response and resolution accomplished within 30 days of incident in accordance with the Agriculture Security Operations Center (ASOC).	70%	85.7%
(15) *Budget information provided to the Department for the Office of Management and Budget requirements on time.	95%	100%
(16) *Accounting information and regular reports submitted to the National Finance Center and the Office of the Chief Financial Officer on time.	95%	95.6%
(17) Micro-purchases awarded within 3 working days of receipt of approved AD-700.	85%	82.8%
(18) All public reports meet management and statutory timeframes and content requirements.	90%	100%
(19) *Positive evaluation scores on OIG internal training course evaluations.	75%	93.1%
(20) *The Equal Employment Opportunity (EEO) Counselor's reports will be completed and submitted to the EEO office within 15 calendar days after completing the counseling period.	85%	100%

<b>Performance Measures</b>	<b>FY 11 Target</b>	<b>FY 11 Actual</b>
(21) Inspection report issued in final with management response within 60 days.	85%	100%
(22) Inspection report recommendations accepted annually.	85%	100%
(23) Total requests from Congress acknowledged either orally or in writing within 5 working days of receipt.	90%	92.3%
(24) Counsel to the Inspector General issues IG subpoenas within 5 working days upon receipt of complete information for review.	85%	97.6%

Note: \*New Performance Measure

<b>Performance Measures for Recovery Act Work</b>	<b>FY 11 Target</b>	<b>FY11 Actual</b>
(1) Notify USDA agency managers of significant audit findings related to Recovery Act programs, along with recommendations for corrective action, within 30 days after identification.	80%	86.7%
(2) Respond to Recovery Accountability and Transparency Board-sponsored requests and projects within established schedules or agreed-to timeframes.	85%	100%
(3) An investigative determination to accept or decline an allegation of whistleblower retaliation is made within 180 days of receipt.	100%	100%
(4) Investigations staff will participate in 10 Outreach/Training meetings each quarter on Recovery Act work.	80%	95%
(5) Whistleblower retaliation allegations are investigated and reported within 180 days of receipt.	75%	N/A
(6) Timely and accurate monthly Recovery Act funds reports submitted to the Recovery Accountability and Transparency Board.	88%	100%

Note: \*New Performance Measure

## **Conclusion**

Throughout FY 2012, we will measure our progress in achieving the performance objectives of this plan through periodic reporting. Adjustments may be made to reflect shifting priorities, increased or reduced resources, or other circumstances that may arise.

In developing this annual plan, we made every effort to realistically assess our planned work's strategic alignment and importance, anticipated outcomes, and resource requirements. We believe it represents a balanced and achievable set of performance objectives for FY 2012.

We will report on our results through our semiannual reports to Congress.



## **APPENDIX A**

### **Related Materials and Information**

OIG Strategic Plan for FY 2010-2015:

<http://www.usda.gov/oig/webdocs/OIGStrat2010-2015.pdf>

USDA Strategic Plan for FY 2010-2015:

<http://www.ocfo.usda.gov/usdasp/sp2010/sp2010.pdf>

USDA Major Management Challenges (August 2011)

<http://www.usda.gov/oig/webdocs/MgmtChallenges2011.pdf>

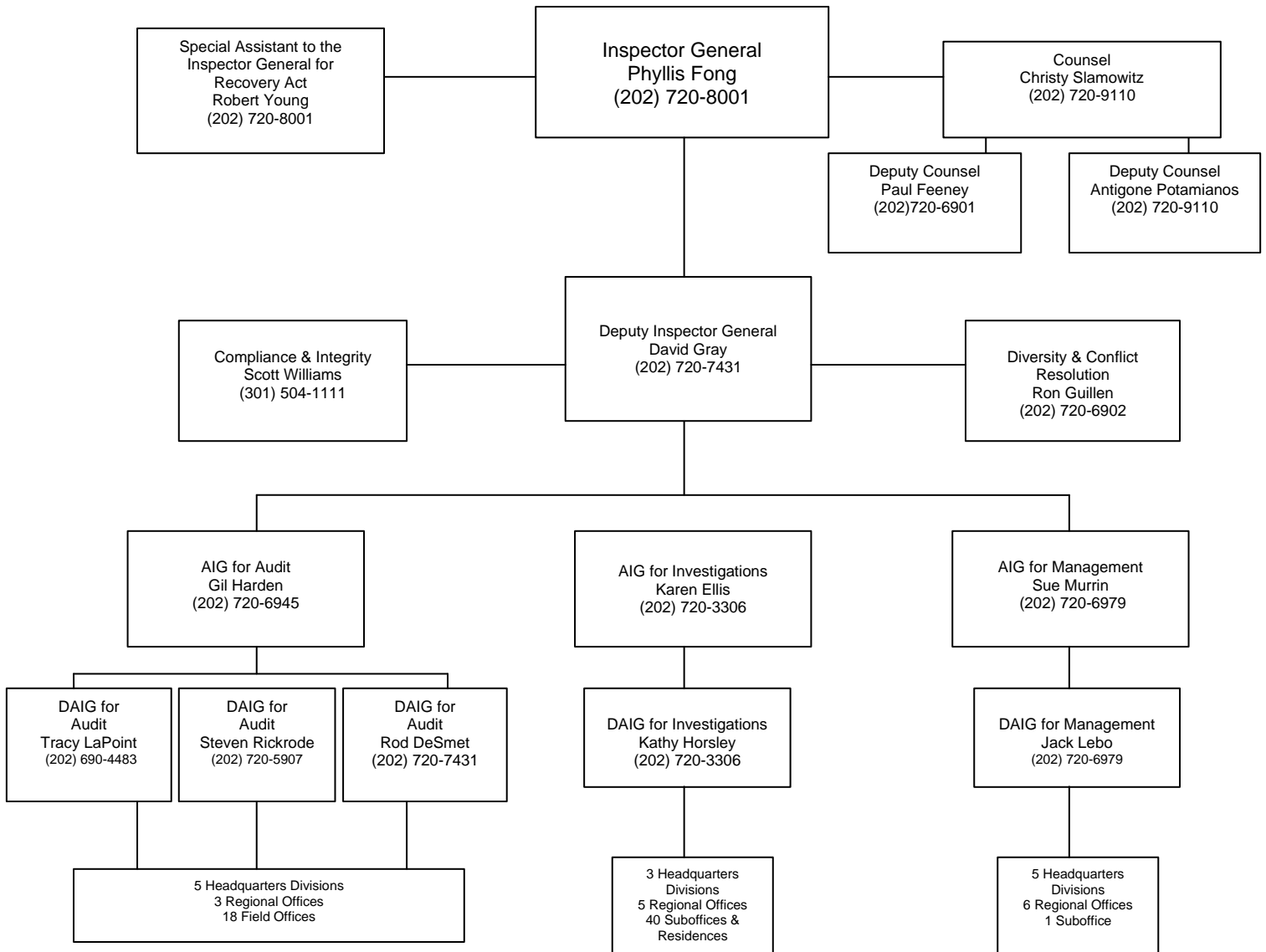
OIG American Recovery and Reinvestment Act Recovery Efforts

<http://www.usda.gov/oig/recovery/index.htm>

# APPENDIX B

## Organization Chart and Functional Responsibilities

October 2011



Note 1: \*AIG – Assistant Inspector General  
 Note 2: \*\*DAIG – Deputy Assistant Inspector General

## **Areas of Responsibility:**

### **Audit**

The Office of Audit examines the economy and efficiency of USDA programs and operations, including program results, compliance with applicable laws and regulations, and fair presentation of financial reports. Audit also performs data analyses to assist audit teams in identifying early indicators of potential fraud, or the need for additional program controls. While the majority of work is performed by OIG staff, Audit contracts with certified public accountants for some work and oversees the quality of work done by auditors under contract to other USDA agencies. OIG audits are performed in accordance with *Government Auditing Standards*, published by the U.S. Government Accountability Office, and in accordance with the professional standards set by the American Institute of Certified Public Accountants.

### **Investigations**

The Office of Investigations utilizes specific law enforcement authorities, tools, and techniques, including asset forfeiture, to conduct investigations and prevent fraud, waste, and abuse in the programs and operations of USDA.<sup>6</sup> Investigative work is intended to result in appropriate actions to resolve allegations and to prevent future instances of illegal or fraudulent acts or misconduct.

### **Counsel**

The Office of Counsel (OC) provides legal advice and representation on issues arising during the course of audit, investigative, and inspection activities, or administrative and management issues facing OIG. OC also manages OIG's congressional and media relations, ethics, Freedom of Information Act and Privacy Act programs. Additionally, OC coordinates reviews of existing and proposed legislation and regulations in order to make recommendations concerning the impact of such proposals on the economy and efficiency in the administration of

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<sup>6</sup> As a component member of the U.S. Department of Justice's (DOJ) Asset Forfeiture Program, the OIG supports DOJ's National Asset Forfeiture Strategic Plan by making tracing and recovery of assets an integral part of every applicable criminal investigation. Asset forfeiture can be a vital tool to deprive criminals of the fruits and instrumentalities of their crimes, thereby deterring criminal activities.

USDA's programs and operations, as well as for the prevention and detection of fraud and abuse in such programs and operations.<sup>7</sup>

## **Management**

The Office of Management (OM) ensures that OIG staff, funds, technology, equipment, and policies are in place so that we can function efficiently and effectively. OM's responsibilities include asset management, budget formulation and execution, human resources, cross-OIG workplace training, information technology, and policy preparation for OIG. OM also facilitates OIG's planning activities and prepares cross-cutting documents on OIG accomplishments.

## **Compliance and Integrity**

The Office of Compliance and Integrity conducts systematic and independent reviews and investigations of operations within OIG. Reviews are generally focused on management and internal controls, and investigations are generally in response to allegations of OIG employee misconduct or mismanagement.

## **Diversity and Conflict Resolution**

The Office of Diversity and Conflict Resolution advises OIG leadership on applying the principles of civil rights, equal employment opportunity, dispute resolution, and affirmative employment to matters involving our workforce, program activities, and policy development. As needed, this office also guides employees who seek to use the Federal employment discrimination complaint and dispute resolution processes.

## **Special Assistant to the IG for Recovery Act**

The Special Assistant to the IG provides overall guidance and direction to all Recovery Act audit and investigative activities, as well as duties and functions relating to the Recovery Board. The Special Assistant directs and reviews the development of Recovery Act-related goals and priorities, operation plans, performance measures, and reports for each OIG component, including audit, investigation, and management functions.

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<sup>7</sup> Such reviews are mandated under the Inspector General Act of 1978 [5 U.S.C. app. 3, § 4(a)(2)].

## APPENDIX C

### Distribution of Audit Resources by Agency

#### FY 2012 PLANNED

MISSION AREA	AGENCY	%
NATURAL RESOURCES AND ENVIRONMENT – 20.0%	Forest Service (FS)	8.9
	Natural Resources Conservation Service (NRCS)	11.1
FARM AND FOREIGN AGRICULTURAL SERVICES – 9.1%	Farm Service Agency (FSA)	3.4
	Foreign Agricultural Service (FAS)	1.8
	Risk Management Agency (RMA)	3.7
	Commodity Credit Corporation(CCC)	.2
RURAL DEVELOPMENT – 14.5%	Rural Development (RD)	3.5
	Rural Utilities Service (RUS)	2.2
	Rural Housing Service (RHS)	4.7
	Rural Business-Cooperative Service (RBS)	4.1
FOOD, NUTRITION, AND CONSUMER SERVICES – 9.4%	Food and Nutrition Service (FNS)	9.4
FOOD SAFETY – 10.7%	Food Safety and Inspection Service (FSIS)	10.7
MARKETING AND REGULATORY PROGRAMS – 6.4%	Agricultural Marketing Service (AMS)	3.2
	Animal and Plant Health Inspection Service (APHIS)	3.2
	Grain Inspection, Packers and Stockyards Administration (GIPSA)*	
RESEARCH, EDUCATION, AND ECONOMICS – .9%	Agricultural Research Service (ARS)	.9
	National Institute for Food and Agriculture (NIFA)*	
	National Agricultural Statistics Service (NASS)*	
EXECUTIVE SECRETARIAT AND OTHER ENTITIES – 5.0%	Office of the Chief Financial Officer (OCFO), Office of the Chief Information Officer (OCIO), Office of the Assistant Secretary for Civil Rights (OASCR)	5.0
MULTIPLE AGENCY – 24.0%		24.0

\*No work is currently scheduled for this agency in FY 2012

## APPENDIX D

### Distribution of Investigative Resources by Agency

**FY 2012 ANTICIPATED**

MISSION AREA	AGENCY	%
NATURAL RESOURCES AND ENVIRONMENT – 5.5%	Forest Service (FS)	3.5
	Natural Resources Conservation Service (NRCS)	2.0
FARM AND FOREIGN AGRICULTURAL SERVICES – 17.0%	Farm Service Agency (FSA)	10.0
	Foreign Agricultural Service (FAS)	1.5
	Risk Management Agency (RMA)	5.5
RURAL DEVELOPMENT – 6.5%	Rural Utilities Service (RUS)	1.0
	Rural Housing Service (RHS)	4.5
	Rural Business-Cooperative Service (RBS)	1.0
FOOD, NUTRITION, AND CONSUMER SERVICES – 55.0%	Food and Nutrition Service (FNS)	55.0
FOOD SAFETY – 5.5%	Food Safety and Inspection Service (FSIS)	5.5
MARKETING AND REGULATORY PROGRAMS – 7.0%	Agricultural Marketing Service (AMS)	1.5
	Animal and Plant Health Inspection Service (APHIS)	5.0
	Grain Inspection, Packers and Stockyards Administration (GIPSA)	0.5
RESEARCH, EDUCATION, AND ECONOMICS – 1.3%	Agricultural Research Service (ARS)	1.0
	National Institute of Food and Agriculture (NIFA)	0.3
OTHER – 2.2%	Departmental Management (DM), Office of the Chief Financial Officer (OCFO), Office of the Chief Information Officer (OCIO), Office of the Assistant Secretary for Civil Rights (OASCR), OIG, other	2.2

## APPENDIX E

### Fiscal Year 2012 Audits Planned and In Process

**Table Key:**

**Asterisk (\*)** Denotes work-in-process, which is carried over from an assignment initiated in the prior fiscal year.

**Plus Sign (+)** Denotes Recovery Act work.

AGENCY	TITLE	GOAL
AMS	* Oversight of Federally Authorized Research and Promotion Board Activities	Improvement Initiatives
	* Beef Research and Promotion Board Activities	Improvement Initiatives
	Retailer Handling of Organic Products	Safety and Security
	* National Organic Program's National List of Allowed and Prohibited Substances	Safety and Security
	* National Organic Program – Organic Milk	Integrity of Benefits
	* National Organic Program – Organic Milk Operations	Safety and Security
APHIS	* Follow Up on APHIS' Evaluation of the Implementation of Select Agent or Toxin Regulations	Safety and Security
	* Effectiveness of the Safeguarding, Intervention, and Trade Compliance Units' Controls to Identify and Prevent Unauthorized Entry of Prohibited Products	Safety and Security
	APHIS Controls Over Critical Information Systems	Safety and Security
	Plant Protection Quarantine Pre-clearance Program	Safety and Security
	* APHIS Oversight of Research Facilities	Safety and Security
ARS	Adequacy of Controls to Prevent the Release of Sensitive Technology	Safety and Security
ASCR	Pigford II – Distribution of Settlement Funds for Discrimination Litigation	Improvement Initiatives
	* Review of USDA's Accountability of Actions Taken on Program Civil Rights Complaints	Improvement Initiatives
CCC	* FY 2011 Commodity Credit Corporation (CCC) Financial Statements	Improvement Initiatives
	FY 2012 CCC Financial Statements	Improvement Initiatives
FAS	* Private Voluntary Organization Grant Fund Accountability	Improvement Initiatives
	* Trade Adjustment Assistance for Farmers Program, Phase II +	Integrity of Benefits
FNS	* Social Security Administration Death Master List Match to Supplemental Nutrition Assistance Program (SNAP) Eligibility Data in Identified States	Integrity of Benefits

<b>AGENCY</b>	<b>TITLE</b>	<b>GOAL</b>
	* FY 2011 FNS Financial Statements	Improvement Initiatives
	FY 2012 FNS Financial Statements	Improvement Initiatives
	Maryland and Virginia SNAP Applicant Eligibility Determination Process	Integrity of Benefits
	* Recovery Act Impacts on SNAP, Phase II	Integrity of Benefits
	+ Effectiveness and Potential Overlaps Within FNS' Domestic Food Assistance Programs	Improvement Initiatives
	* Vendor Management and Participant Eligibility in the Special Supplemental Nutrition Program for Women, Infants, and Children (WIC)	Integrity of Benefits
	* National School Lunch Program – Food Service Management Companies and Cost Reimbursable Contracts	Integrity of Benefits
FS	* FY 2011 FS Financial Statements	Improvement Initiatives
	FY 2012 FS Financial Statements	Improvement Initiatives
	* Management of Oil and Gas Resources on National Forest System Land	Natural Resources
	* FS Use of Recovery Act Funds for Wildland Fire Management	Improvement Initiatives
	+ Evaluating FS' Processes to Obtain and Grant Rights-of-Way and Easements	Natural Resources
	* FS' Acquisition of IT Software/Hardware, Phase I	Improvement Initiatives
	* Recovery Act – FS' Wood to Energy Projects (Biomass)	Natural Resources
	+ Recovery Act – FS Trail Maintenance and Decommissioning	Natural Resources
	* Recovery Act – FS Facility Improvement, Maintenance and Renovation	Natural Resources
	+ FS Administration of Working Capital Funds	Improvement Initiatives
	FS Administration of Cooperative Forestry Assistance Grants	Improvement Initiatives
	* Recovery Act – FS' Hazardous Fuels on Non-Federal Lands	Natural Resources
	+ Firefighting Cost Share Agreements with Non-Federal Entities	Improvement Initiatives
	* Recovery Act – FS Road Maintenance and Decommissioning	Natural Resources
	+ Recovery Act – FS Abandoned Mine Remediation	Natural Resources
	+ Summary of FS Recovery Act Audits	Natural Resources
	FSA	* Review of Farm Service Agency Accounting for FY 2011
Review of Farm Service Agency Accounting for FY 2012		Improvement



AGENCY	TITLE	GOAL
		Initiatives
	* + Recovery Act Supplemental Agricultural Disaster Assistance Program	Integrity of Benefits
	* Biomass Crop Assistance Program	Integrity of Benefits
	* Conservation Reserve Program Soil Rental Rates	Integrity of Benefits
	* Farm Storage Facility Loan Program	Integrity of Benefits
	* 2008 Farm Bill's Changes to Payment Limitation	Integrity of Benefits
	FSA Livestock Forage Disaster Program	Integrity of Benefits
FSIS	* Assessment of FSIS Inspection Personnel Shortages in Processing Establishments	Safety and Security
	Controls Over Imported Meat and Poultry Products	Safety and Security
	FSIS State Inspection Programs	Safety and Security
	Implementation of the Public Health Information System for Domestic Inspection	Safety and Security
	Follow Up on 2007 and 2008 Audit Initiatives in FSIS	Safety and Security
	Issues for Mobile Slaughter Facilities	Safety and Security
	* FSIS Application of N-60 Testing Protocol on Beef Trim for <i>E. coli</i>	Safety and Security
	* Review Appeals of Humane Handling Noncompliance Records	Safety and Security
	* FSIS' Food Defense Verification Procedures	Safety and Security
	* FSIS Swine Slaughterhouse Inspections	Safety and Security
MULTIPLE	* American Recovery and Reinvestment Act Report Oversight	Improvement Initiatives
	+ FY 2011 USDA Financial Statements	Improvement Initiatives
	FY 2012 USDA Financial Statements	Improvement Initiatives
	USDA's Compliance With the Improper Payments Elimination and Recovery Act of 2010	Integrity of Benefits
	* Calendar Year 2011 Executive Order (E.O.) 13520 Reducing Improper Payments, High Dollar Overpayment Report	Integrity of Benefits
	Calendar Year 2012 Executive Order (E.O.) 13520 Reducing Improper Payments, Accountable Official Report Review	Integrity of Benefits
	Security Over Social Media Used by USDA Agencies	Safety and Security
	* FY 2011 Federal Information Security Management Act (FISMA) Report	Improvement Initiatives

AGENCY	TITLE	GOAL
	FY 2012 Federal Information Security Management Act (FISMA) Report	Improvement Initiatives
	+ Recovery Act Contract Closeout Process	Improvement Initiatives
	* Contracting Officer's Technical Representative (COTR) Work for Recovery Act Contracts	Improvement Initiatives
	+ Detection and Prevention of Social Engineering Within USDA	Safety and Security
	* Secure Domain Name (DNS) System Deployment in USDA	Safety and Security
	* Data Analysis – Recovery Act Reporting Oversight	Improvement Initiatives
	+ Review of the Department's U.S. Bank Purchase and Travel Card Data	Improvement Initiatives
	* Identifying Areas of Risk in the Child and Adult Care Food Program (CACFP) Using Automated Data Analysis Tools	Improvement Initiatives
	* Analysis of the Comprehensive Information Management System (CIMS)	Improvement Initiatives
	* Section 632(a) Funds from the U.S. Agency for International Development (USAID) to USDA	Improvement Initiatives
	* Effectiveness of the Department's Recent Efforts to Enhance Agricultural Trade	Improvement Initiatives
	National Animal Health Laboratory Network	Safety and Security
	* USDA's Response to Colony Collapse Disorder	Safety and Security
	* USDA Controls Over Shell Egg Inspections	Safety and Security
	USDA's Implementation of the "Do Not Pay List"	Improvement Initiatives
	* Verifying Credentials of Veterinarians Employed or Accredited by USDA	Safety and Security
	Emergency Conservation and Emergency Watershed Program Funds for 2010 and 2011	Integrity of Benefits
	* Rural Development Procurement	Integrity of Benefits
	Defense Contract Audit Agency (DCAA) Contract Audit Administration (2011)	Integrity of Benefits
	Data Analysis Projects and Reviews	Improvement Initiatives
Single Audit Management	Integrity of Benefits	
Special Requests	Improvement Initiatives	
Audit Follow-up	Improvement Initiatives	
NRCS	* FY 2011 NRCS Financial Statements	Improvement Initiatives
	FY 2012 NRCS Financial Statements	Improvement

AGENCY	TITLE	GOAL
		Initiatives
	* Review of NRCS Management Controls	Improvement Initiatives
	* NRCS Use of Recovery Act Funds for the Rehabilitation of Flood Control	Safety and Security
	+ NRCS Use of Recovery Act Funds for the Rehabilitation of Flood Control Dams – Review of Expenditures	Safety and Security
	* NRCS Oversight and Compliance Activities	Improvement Initiatives
	USDA’s Controls Over the Farm and Ranch Lands Protection Program	Natural Resources
	Conservation Compliance by Conservation Security or Stewardship Program Participants	Natural Resources
	* Recovery Act – Emergency Watershed Protection Program, Floodplain Easements, Field Confirmations of Grants	Integrity of Benefits
	+ Recovery Act – Emergency Watershed Protection Easements and Watershed Operations Programs, Effectiveness of Funds used	Integrity of Benefits
	+ Recovery Act – Watershed Protection and Flood Prevention Operations, Field Confirmations of Grants	Integrity of Benefits
	* Recovery Act – Emergency Watershed Protection Program, Floodplain Easements, Field Confirmations of Small Land Parcels	Integrity of Benefits
	+ Information Technology Contracts for NRCS’ Conservation Program Delivery	Improvement Initiatives
	Review of Contract Performance for FY 2009 and FY 2010 Environmental Quality Incentives Program Payments	Natural Resources
	* Migratory Bird Habitat Initiative – NRCS’ Response to Issues Caused by the Deepwater Horizon Oil Spill	Improvement Initiatives
OCFO	Agreed-Upon Procedures – Employee Benefits, Withholdings/Contribution and Supplemental Semiannual Headcount Report Submitted to the Office of Personnel Management	Improvement Initiatives
	Statement on Standards for Attestation Engagements (SSAE) No. 16, Report on Controls at the National Finance Center	Improvement Initiatives
OCIO	SSAE No. 16, Report on Controls at the National Information Technology Center	Improvement Initiatives
	Security Over Remote Access of USDA Information Systems	Safety and Security
	Internal Control and Operational Audit of USDA’s Implementation and Use of the Cloud Computing Environment	Safety and Security
	* OCIO FY 2010 Funding Received for Security Enhancements	Safety and Security
	* 2011 International Technology Services Select Control Review	Improvement Initiatives
RBS	+ Recovery Act – Rural Business Enterprise Grants, Effectiveness Review	Improvement Initiatives
	* Recovery Act – Rural Business Enterprise Grants, Grantee Confirmation	Improvement Initiatives
	+ Recovery Act – Rural Business Enterprise Grants, State and Area Offices	Integrity of Benefits
	+ Rural Energy for America Program	Integrity of

AGENCY	TITLE	GOAL
		Benefits
	* Recovery Act – Business and Industry (B&I) Guaranteed Loan Program, Effectiveness Review	Integrity of Benefits
	* Recovery Act – B&I Guaranteed Loan Program, Phase II	Integrity of Benefits
RD	* FY 2011 Rural Development Financial Statements	Improvement Initiatives
	FY 2012 Rural Development Financial Statements	Improvement Initiatives
RHS	Rental Assistance Improper Payments	Integrity of Benefits
	* Rural Rental Housing Program Project Cost and Inspection Procedures	Integrity of Benefits
	* Controls Over Eligibility Determinations for Single-Family Housing (SFH) Guaranteed Loan Recovery Act Funds, Phase II	Integrity of Benefits
	* Evaluation of Loss Claims Related to Recovery Act Funds Distributed through the SFH Guaranteed Loan Program	Integrity of Benefits
	* Recovery Act – Internal Controls Over the Rural Community Facilities Direct Grant and Loan Programs, Phase II	Integrity of Benefits
	+ Recovery Act – SFH Direct and Guaranteed Loans, Effectiveness Review	Integrity of Benefits
	* SFH Direct Loans Recovery Act Controls, Compliance Review	Integrity of Benefits
RMA	* FY 2011 Federal Crop Insurance Corporation (FCIC) Financial Statements	Improvement Initiatives
	FY 2012 FCIC Financial Statements	Improvement Initiatives
	Controls Over Prevented Planting Claims	Integrity of Benefits
	* RMA Oversight of Organic Crop Insurance Insureds	Integrity of Benefits
	* Validity of New Producers	Integrity of Benefits
	* Assured Insurance Providers (AIP) Reduction of Inconsistent Yields	Integrity of Benefits
	Cherry Plot Crop Insurance Program	Integrity of Benefits
RUS	+ RUS Controls Over Recovery Act Water and Waste Loans and Grants Expenditures and Effectiveness Review	Integrity of Benefits
	* Recovery Act Broadband Programs	Improvement Initiatives
	+	

NOTES:

**Goal 1 Safety and Security** - Strengthen USDA's ability to implement safety and security measures to protect the public health as well as agricultural and Departmental resources.

**Goal 2 Integrity of Benefits** - Reduce program vulnerabilities and strengthen program integrity in the delivery of benefits to individuals.

**Goal 3 Improvement Initiatives** - Support USDA in implementing its management improvement initiatives.

**Goal 4 Natural Resources** - Increase the efficiency and effectiveness with which USDA manages and exercises stewardship over natural resources.

## OVERVIEW OF OIG PLANS FOR FISCAL YEAR 2012

Percentage of Direct Resources To Be Spent on Each FY 2012 Goal	Audit	Investigations
(1) Strengthen USDA's ability to implement safety and security measures to protect the public health as well as agricultural and Department resources.	17.5%	12%
(2) Reduce program vulnerabilities and strengthen program integrity in the delivery of benefits to individuals.	20.3%	76%
(3) Support USDA in implementing its management improvement initiatives.	56.8%	10%
(4) Increase the efficiency and effectiveness with which USDA manages and exercises stewardship over natural resources.	5.4%	2%
(5) Strive for a highly qualified, diverse workforce with the tools and training necessary to continuously enhance OIG's ability to fulfill its mission and communicate its accomplishments. <sup>8</sup>	N/A	N/A

Performance Measures	FY 11 Target	FY 11 Actual	FY 12 Target
(1) Percentage of OIG direct resources dedicated to critical-risk or high-impact activities.	90%	97.2% 99.3% Audit 93.3% Inv.	92%
(2) Percentage of audit recommendations where management decisions are achieved within 1 year.	85%	90.1%	90%
(3) Percentage of audits initiated where the findings and recommendations are presented to the auditee within established and agreed-to timeframes.	85%	100%	90%
(4) Percentage of closed investigations that resulted in a referral for action to the Department of Justice, State or local law enforcement officials, or a relevant administrative authority.	70%	82.5%	70%
(5) Percentage of closed investigations that resulted in an indictment, conviction, civil suit or settlement, judgment, administrative action, or monetary result.	65%	70.4%	65%
(6) On a biannual basis, positive employee satisfaction rate reported in staff surveys.	70%	66.4%	70%

<sup>8</sup> Work on Goal 5 includes: (1) the OIG mission support work of the Offices of Counsel, Management, and Compliance and Integrity; and (2) the training, general supervision, and EEO work done by staff in all OIG organizational units.

<b>Performance Measures (continued)</b>	<b>FY11 Target</b>	<b>FY11 Actual</b>	<b>FY 12 Target</b>
(7) *OIG Hotline will process, research, and refer USDA health and safety complaints within 24 hours of receipt by an analyst.	N/A	N/A	80%
(8) *Issue new or update 10 Inspector General directives.	N/A	N/A	80%
(9) *Time from receipt of an SF-52 for a standard recruitment action until positions are posted and opened through the automated system averages 10 days.	N/A	N/A	90%
(10) Time to issue candidate certificates after the closing date of an announcement averages 5 days.	90%	93.3%	90%
(11) Survey results indicate new employees find orientation session useful to them as they begin their new jobs.	70%	100%	80%
(12) All Information Technology Division (ITD) systems including the LAN, WAN, e-mail, and ARGOS remain operational, excluding planned outages for system maintenance and outages caused by outside factors.	97%	99.9%	97%
(13) ITD staff will make an initial response to help desk request within 2 hours or less.	85%	99.9%	85%
(14) ITD staff will resolve help desk request within 24 hours.	85%	83.9%	85%
(15) Internal and external security incidence response and resolution accomplished within 30 days of incident in accordance with the Agriculture Security Operations Center (ASOC).	70%	85.7%	80%
(16) Budget information provided to the Department for the Office of Management and Budget requirements on time.	95%	100%	95%
(17) Accounting information and regular reports submitted to the National Finance Center and the Office of the Chief Financial Officer on time.	85%	95.6%	95%
(18) Micro-purchases awarded within 3 working days of receipt of approved AD-700.	90%	82.8%	90%
(19) All public reports meet management and statutory timeframes and content requirements.	90%	100%	95%
(20) Positive evaluation scores on OIG internal training course evaluations.	75%	93.1%	80%
(21)* The Equal Employment Opportunity (EEO) Counselor's internal and external reports will be completed within 15 calendar days after completing the counseling period.	N/A	N/A	85%
(22) Inspection report issued in final with management response within 60 days.	85%	100%	85%
(23) Inspection report recommendations accepted annually.	85%	100%	85%
(24) Total requests from Congress acknowledged either orally or in writing within 5 working days of receipt.	90%	92.3%	90%
(25) Counsel to the Inspector General issues IG subpoenas within 5 working days upon receipt of complete information for review.	85%	97.6%	90%

Note: \*New Performance Measure

<b>Performance Measures for Recovery Act Work</b>	<b>FY 11 Target</b>	<b>FY11 Actual</b>	<b>FY 12 Target</b>
(1) Notify USDA agency managers of significant audit findings related to Recovery Act programs, along with recommendations for corrective action, within 30 days after identification.	80%	86.7%	85%
(2) Respond to Recovery Accountability and Transparency Board-sponsored requests and projects within established schedules or agreed-to timeframes.	85%	100%	85%
(3) An investigative determination to accept or decline an allegation of whistleblower retaliation is made within 180 days of receipt.	100%	100%	100%
(4) Whistleblower retaliation allegations are investigated and reported within 180 days of receipt.	75%	N/A	75%
(5) Timely and accurate monthly Recovery Act funds reports submitted to the Recovery Accountability and Transparency Board.	88%	100%	95%

Note: \*New Performance Measure

**To learn more about OIG, visit our Web site at**

**<http://www.usda.gov/oig/index.htm>**

## **How To Report Suspected Wrongdoing in USDA Programs**

**Fraud, Waste and Abuse  
In Washington, DC 202-690-1622  
Outside DC 800-424-9121  
TDD (Call Collect) 202-690-1202**

**Bribes or Gratuities  
202-720-7257 (Monday-Friday, 9 a.m.-3 p.m. ET)**

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