



# OIG Strategic Plan

Office of Inspector General

U.S. Department of Labor

Fiscal Years 2012-2016

The Office of Inspector General (OIG) is an independent, objective agency within the U.S. Department of Labor (DOL) that was created by the Inspector General Act of 1978, as amended. Our mission is to serve the American worker and taxpayer by conducting audits and investigations that result in improvements in the effectiveness, efficiency and economy of Departmental programs and operations. We detect and prevent fraud and abuse in DOL programs and have a unique statutory responsibility to carry out a criminal investigations program to combat the influence of organized crime and labor racketeering in the workplace. We provide advice to the Secretary and the Congress on how to attain the highest possible program performance.

## OIG Vision

The OIG aims to be a world class organization recognized by the:

- Congress – for objective, relevant information;
- Administration – for expert advice and reliable assessments; and
- Talented professionals – for careers in an organization that recognizes outstanding public service.

## OIG Strategy

- Conduct financial and performance audits of DOL programs, operations and service providers to assess performance and recommend improvements.
- Investigate fraudulent activity and combat illegal schemes that undermine the integrity of DOL programs.
- Investigate labor racketeering and organized crime influence and corruption in internal union affairs, labor-management relations, and employee benefit plans.

## How the OIG Plans its Work

The OIG develops its strategic work plan through consultations with our stakeholders, chiefly administration officials and the Congress:

- Audits: The OIG prioritizes its audit projects based on a risk assessment that considers program dollar size, vulnerability to abuse, potential impact on the public, and prior audit and investigative history.
- Program Fraud Investigations: OIG program fraud investigations typically result from allegations or suspicions of wrongdoing involving DOL programs, operations or personnel. They may also be the result of broad initiatives arising out of prior OIG activities, or as part of interagency initiatives, normally in consultation with the appropriate U.S. Attorneys.
- Labor Racketeering Investigations: OIG labor racketeering investigations generally result from allegations of organized crime influence or domination of labor unions and/or employee benefit plans. They may also be the result of referrals from U.S. Attorneys, or as part of the OIG's participation in interagency task forces targeting organized crime and labor racketeering.

# OIG Strategic Goals

## Goal 1

### ***Optimize the performance and accountability of employment and training programs***

- Promote the effectiveness of programs in increasing long-term employment, earnings, and self-sufficiency of, and reducing social payments to, program participants.
- Improve the integrity of DOL's employment and training programs.

## Goal 2

### ***Safeguard and improve worker and retiree benefit programs***

- Promote improved integrity and cost efficiency of the unemployment insurance and Federal disability compensation programs.
- Improve the safeguards afforded to pension, health, and welfare benefits programs.

## Goal 3

### ***Optimize the performance and accountability of worker protection and workplace safety programs***

- Enhance the effectiveness of worker safety and health programs.
- Improve the effectiveness of DOL's worker protection programs in fostering equal opportunity and fair wages.
- Improve the integrity of DOL's worker protection and workplace safety programs.

## Goal 4

### ***Assist DOL in maintaining an effective strategic management process***

- Ensure the effectiveness and efficiency of DOL management, financial systems, and information technology.
- Investigate substantive allegations of wrongdoing by DOL employees, grantees, contractors, or service providers.

## Goal 5

### ***Combat the influence of organized crime and labor racketeering in the workplace***

- Protect ERISA-covered union pension and benefit plans from the influence of organized crime and labor racketeering.
- Protect labor-management relations from employers or union officials who engage in labor racketeering activities or are influenced or controlled by organized crime.
- Protect the democratic principles of unions and the rights of the members from union officials who are influenced or controlled by organized crime or who engage in labor racketeering.

## External Factors that Impact Goal Achievement

As an independent, objective agency within the DOL, the OIG performs a critical function of identifying problem areas or systemic weaknesses. However, there are factors beyond its control that impact its ability to meet objectives. For example:

- It is not within the OIG's authority to implement its recommendations;
- The OIG cannot control the results of judicial or administrative proceedings that impact the outcome of its investigative work; and
- It is not within its jurisdiction to collect monetary sanctions imposed by the courts or DOL as a result of its work.

To mitigate these factors, the OIG:

- Works with DOL and the Congress to call attention to and follow-up on uncorrected deficiencies.
- Works cooperatively with U.S. attorneys.
- Strives for work products that give stakeholders the best, timely information to make decisions.

# How the OIG Measures its Performance

Impact	Performance Measure	Indicator
<b>Effecting Positive Change</b>	Identify high risk areas or significant management problems	Narrative on significant accomplishments
	Achieve implementation of recommendations	Percent implemented
	Report the results of significant accomplishments (national, regional, or local) that contribute to: <ul style="list-style-type: none"> <li>re-designs of major programs or systems major enhancements to program effectiveness</li> <li>significant improvements to internal controls</li> <li>terminations of grants or contracts</li> <li>changes in legislation or regulations</li> </ul>	Narrative on significant accomplishments
<b>Reducing Vulnerabilities</b>	Increase OIG cases accepted for enforcement action (e.g., prosecution, civil, administrative, or personnel action)	Number of cases opened
	Produce quality investigations that result in an adequate conviction rate for cases that resulted in indictment	Conviction rate
	Produce quality investigations that result in civil/administrative actions taken	Number of actions taken
	Report number of indictments and convictions obtained as a result of OIG cases	Number of convictions and indictments
	Report the results of significant accomplishments (national, regional, or local) that contribute toward reducing vulnerabilities. This includes successful investigations of corrupt union officials, plan administrators, service providers, program officials, employees, or participants	Narrative on case results
<b>Achieving Savings</b>	Report the amount of monetary outcomes and savings (e.g., fines, penalties, restitutions, asset forfeiture, cost efficiencies) resulting from OIG investigations.	Amount of monetary accomplishments
	Report the amount of questioned costs or opportunities for savings identified by OIG audits	Savings identified
	Achieve concurrence on recommendations for monetary savings identified by OIG audits	Percent concurred

# How the OIG's Goals Align with the Department's Goals

The OIG's strategic goals generally align with those of the Department. Below is a table that outlines how each OIG goal fits into the Department's strategic goals.

OIG Goal	DOL Strategic Goal				
	Prepare workers for good jobs and ensure fair compensation	Ensure workplaces are safe and healthy	Assure fair and high quality work-life improvements	Secure health benefits and, for those not working, provide income security	Produce timely and accurate data on the economic conditions of workers and their families
<b>Goal 1: Optimize performance and accountability of DOL employment and training programs</b>	X				X
<b>Goal 2: Safeguard and improve worker and retiree benefit programs</b>				X	
<b>Goal 3: Optimize the performance and accountability of worker protection and workplace safety programs</b>		X			
<b>Goal 4: Assist DOL in maintaining an effective strategic management process</b>	X	X	X	X	X
<b>Goal 5: Combat the influence of organized crime and labor racketeering in the workplace</b>	X	X	X	X	

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