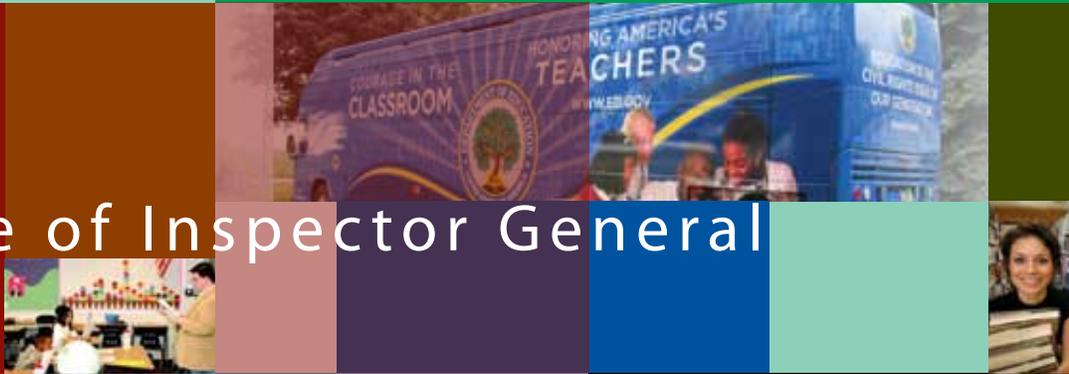


U.S. Department of Education



Office of Inspector General



Five-Year
Strategic Plan
Fiscal Years 2011-2015

OFFICE OF INSPECTOR GENERAL

Kathleen S. Tighe

Inspector General

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Please Note:

The Inspector General's Five Year Strategic Plan is available on the ED/OIG Web site at www.ed.gov/offices/oig

Message from the Inspector General

In accordance with the *Government Performance and Results Act of 1993*, I am pleased to provide the U.S. Department of Education (Department) Office of Inspector General (OIG) Strategic Plan for fiscal years 2011 through 2015. This plan describes the focus and direction of OIG's operations over the next five years, establishes our organizational goals, and outlines the strategies we will employ to reach those goals and the measures we will use to evaluate our performance.

The OIG's mission—to prevent and detect fraud, waste, and abuse and to promote economy, efficiency and effectiveness—has a common core and guiding objective: to help ensure integrity in the Department's operations and programs. We do so by conducting audits, investigations, and inspections, and providing advice and assistance. Through these activities, we identify problems and deficiencies and make recommendations for corrective actions. The information we provide to Department managers and the U.S. Congress can result in changes to legislation, regulations, policies, and practices. These changes are designed to continually improve the operations of the Department and its programs so they best serve America's taxpayers and students. As you will see in the pages of this Plan, we remain ever vigilant and committed to this mission.

Throughout our 30 year history, OIG has consistently delivered results by identifying emerging threats to Federal education programs and operations and capitalizing on new and improved techniques to address those issues. Identifying, preventing, and responding to new and evolving threats and challenges requires a highly skilled workforce, and as described in this Plan, OIG will continue to focus on enhancing and expanding the skills and expertise of our staff so we can effectively address the challenges that lie ahead.

While our Strategic Plan provides the roadmap by which we plan to accomplish our mission over the next five years, we will periodically consult with the Department, the U.S. Congress, and other stakeholders and use the feedback we receive to revise this Plan as necessary. This will allow us to consistently improve our products and services. We will also continue to assess the impact of our work in order to maximize the effectiveness of our efforts and resources.

In closing, I would like to thank OIG staff for their tireless efforts on behalf of America's taxpayers and students, as well as the Department, the U.S. Congress, and all of our stakeholders for their support. I look forward to continuing to work with you in meeting our goals and fulfilling our mission.



Kathleen S. Tighe
Inspector General

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U.S. Department of Education Office of Inspector General

Our Mission

To promote the efficiency, effectiveness, and integrity of the Department's programs and operations, we conduct independent and objective audits, investigations, inspections, and other activities.

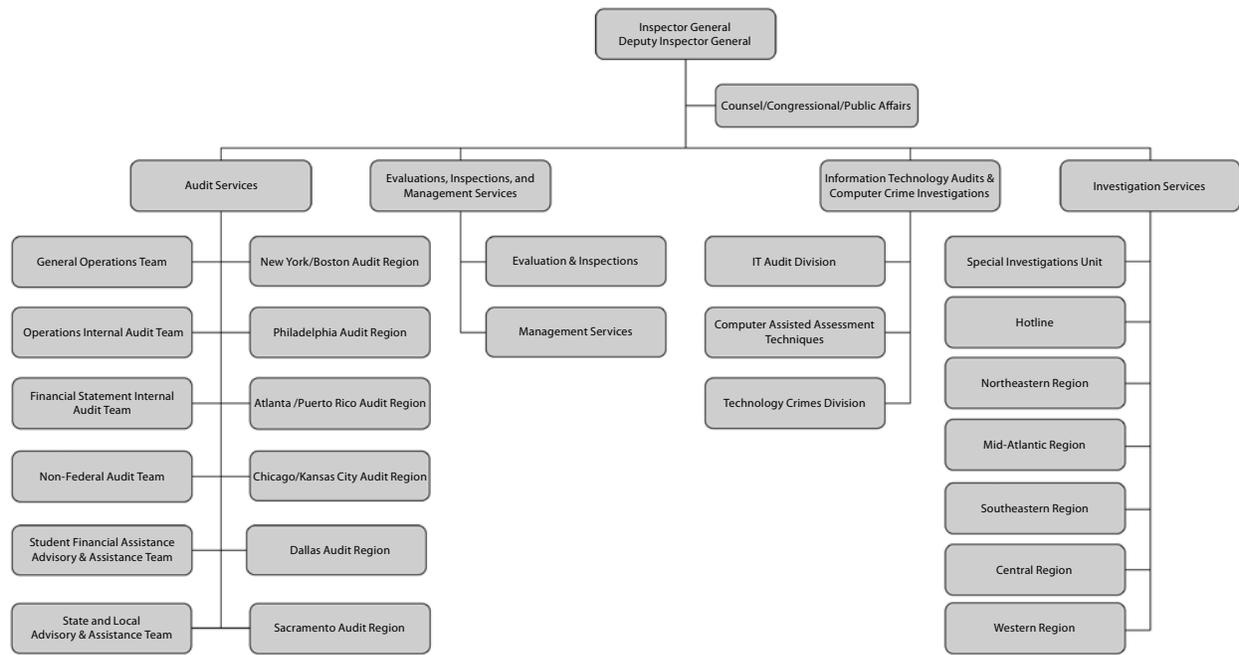
Our Vision

The OIG will deliver valuable products to encourage fiscal integrity and continuing improvement in program delivery and effectiveness while also maximizing our efforts to prevent and detect fraud, waste, and abuse in the Department's programs and operations.

Our Core Values

Our core values are **excellence, accountability, and integrity**. We promote **excellence** in our people, processes, products, and the impact of our work. We strive for **accountability** to ensure that our customers can rely on and trust our assessments, evaluations, inquiries, and recommendations. **Integrity** is the foundation of our work, ensuring that our products are fair, balanced, and credible, and is reflected in all our actions.

Organizational Chart



Strategic Plan

FY 2011-FY 2015

The U.S. Department of Education (Department), Office of Inspector General (OIG) Strategic Plan for fiscal years (FY) 2011 through 2015 sets forth our mission, vision, and goals for the next five years. Our mission is rooted in our statutory responsibilities under the *Inspector General Act of 1978*, as amended (IG Act). The IG Act established OIGs as independent and objective organizations within Federal departments and agencies. The IG Act authorizes each OIG to:

- Conduct and supervise audits and investigations relating to its agency's programs and operations.
- Provide leadership, coordination, and recommend policies for activities designed to promote economy, effectiveness, and efficiency in the agency's programs and operations; and to prevent and detect fraud and abuse in the agency's programs and operations.
- Keep its agency head and the U.S. Congress fully and currently informed of problems and deficiencies in the agency's programs and operations and on the status of corrective actions.

To meet our mission, we have established the following goals, strategies for reaching those goals, and the performance measures by which we will evaluate our performance. The first four goals focus on our responsibilities under the IG Act to promote economy, efficiency, and effectiveness and to prevent and detect waste, fraud, and abuse. The fifth goal focuses on the internal functions of the OIG and provides the foundation for our capacity to achieve the other four goals now and in the future.

GOALS, STRATEGIES, AND PERFORMANCE MEASURES

GOAL 1: Improve the Department's ability to effectively and efficiently implement its programs to promote educational excellence and opportunity for all students.

GOAL 2: Strengthen the Department's efforts to improve the delivery of student financial assistance.

GOAL 3: Protect the integrity of the Department's programs and operations by detecting and preventing vulnerabilities to fraud, waste, and abuse.

GOAL 4: Contribute to improvements in the Department's business operations.

GOAL 5: Strive for a diverse and skilled workforce that is provided with the means and assistance necessary to achieve OIG's mission with excellence, accountability, and integrity.

STRATEGIES FOR GOALS 1 THROUGH 4

To achieve the above goals, OIG will:

- Conduct audits, inspections/evaluations, investigations, and other reviews and provide services in order to evaluate program results; examine allegations of waste, fraud, and abuse; review internal controls; provide technical assistance; identify systemic weaknesses; highlight best practices; and make recommendations for improvement in programs and operations.
- Continuously assess risk in order to concentrate OIG resources and efforts on issues that have the greatest impact and usefulness to the stakeholders with emphasis on maximizing the recovery of public resources and deterring future wrongdoing.
- Develop analytical tools to proactively identify vulnerabilities, propose protective actions, and measure the effectiveness of such actions.
- Provide outreach to increase awareness of the role of the OIG and educate both Department employees and external customers on how to recognize fraud, waste, and abuse, and the mechanisms available for reporting concerns.
- Communicate the results of our work to stakeholders by providing timely, relevant, and high impact OIG products that result in improvements in program performance and enforcement.

PERFORMANCE MEASURES FOR GOALS 1 THROUGH 4

OIG will measure its performance under each of these goals by tracking the:

- Audits, inspections, and investigations initiated that focus on areas of high risk or significant importance.
- Recommendations accepted by the Department.
- Audits, inspections, and investigations that meet established deadlines. Deadlines may be established by external requirements, by internal policies, or by agreements with stakeholders.
- Closed investigations that resulted in a criminal, civil or administrative action, or monetary result.
- Proactive analytical projects that resulted in a criminal or other referral or identification of vulnerability.
- Comments that result in changes in legislation, regulations, or other policies.

STRATEGIES FOR GOAL 5

For this goal, OIG will:

- Hire, develop, and retain a highly qualified, diverse workforce with the skills to meet current and emerging mission requirements.
- Provide employees with the physical work space, technology, equipment, and other resources necessary to support accomplishment of the goals of the OIG.
- Foster an environment of open communication, respect for ideas, and understanding of the value of each individual's contribution to promote employee satisfaction and motivation.
- Support the integrity of OIG operations by maintaining an effective quality assurance and internal review program.

PERFORMANCE MEASURES FOR GOAL 5

OIG will measure its performance under this goal by tracking the following:

- Satisfaction rates reported in the Office of Personnel Management Employee Satisfaction Survey as well as assessments of customer satisfaction solicited through interviews, surveys, and other means.
- Performance of OIG management, legal, information technology assistance and support, and quality assurance offices against timeliness standards set for their functions.
- Staff development through training and attainment of advanced degrees and professional certifications.

Office of Inspector General

Areas of Responsibility

AUDIT SERVICES

Audit Services is responsible for all audit activities relating to improving the Department's programs and operations. Audit Services conducts, coordinates, and oversees audits and other activities and makes recommendations to promote economy, efficiency, and effectiveness in the administration of programs and operations administered by the Department. Audit Services formulates, recommends, and executes audit policy consistent with the overall policy guidance of the Inspector General, and assures that all audits of Departmental organizations, programs, activities, and functions are conducted in accordance with the standards established by the Comptroller General of the United States.

INVESTIGATION SERVICES

Investigation Services is responsible for all criminal and civil investigative activities relating to the Department's programs and operations. Investigation Services operates with full law enforcement authority to make arrests and seek and execute search warrants. Investigation Services conducts criminal investigations of suspected fraud and corruption related to the Department's programs and operations to include schools and their employees that participate in Department programs, Federal, State or local education employees or contractors, and grant and subgrant recipients. Investigation Services also conducts fraud awareness training and outreach activities with entities and organizations that receive Department funding, that represent the education community, or that have oversight responsibilities for education programs. Investigation Services also operates the OIG Hotline, which allows anyone suspecting fraud, waste or abuse involving Department funds or programs to provide their concerns to the OIG.

EVALUATION, INSPECTION, AND MANAGEMENT SERVICES

Evaluation, Inspection, and Management Services is composed of two subcomponents—Evaluations and Inspections Services (E&I), and Management Services. E&I conducts inspections, evaluations, surveys, analyses, and special studies of the Department's programs and operations. The E&I team is multidisciplinary and uses a variety of methods and techniques to achieve its objectives of promoting the efficient and effective use of Department resources and integrity of Department programs. E&I products provide factual and analytical information to managers for decision-making, make recommendations for improvements to programs and operations, and identify areas where administrative actions may be necessary. Management Services ensures the continuity and effectiveness of OIG business operations, including human

resources, budget formulation and management, payroll and benefits, leave, accounting, procurement, information technology systems support, staff training and development, and facilities management.

INFORMATION TECHNOLOGY AUDITS AND COMPUTER CRIME INVESTIGATIONS

Information Technology Audits and Computer Crime Investigations (ITACCI) uses advanced techniques, along with traditional audit and investigative skills, to carry out the mission of the OIG, in the area of the Department's IT systems and efforts. The ITACCI team produces IT audit reports, security reviews, and other products to assist the Department in identifying risks and offering recommendations to improve management of its systems. The team also conducts investigations of criminal IT activity, such as network intrusions, identity theft, fraud, and virtually every other type of criminal activity associated with computers. ITACCI staff employs the latest technology and techniques to discover and stop current and emerging threats from cyber and economic crime. We remain one of the only Federal offices to operate a full-time, state of the art computer laboratory enabling OIG staff to conduct and coordinate a myriad of forensic analyses and related activities.

COUNSEL

The OIG Counsel's Office provides legal advice and assistance to OIG staff on a variety of subject areas including Federal education law, administrative, criminal and civil law and procedure, and the *False Claims Act*. Counsel staff reviews OIG audit and inspection reports and related products, and reviews and approves subpoenas. Together with other OIG units, Counsel's Office makes OIG's recommendations to existing and proposed legislation and regulations to clarify requirements, improve program performance and operations, and to prevent and detect fraud and abuse in, Federal education programs and operations. Counsel's Office also manages OIG's *Freedom of Information Act* and *Privacy Act* programs. OIG's Congressional and media relations efforts are also coordinated through this office, which include responding to congressional inquiries, tracking legislation, producing the OIG's Semiannual Report to Congress, and responding to media inquiries. Counsel's Office also supports OIG operations, including advising on personnel and ethics issues.

Anyone knowing of fraud, waste, or abuse involving U.S. Department of Education funds or programs should call, write or e-mail the Office of Inspector General.

Call Toll-Free:

The Inspector General Hotline
1-800-MISUSED (1-800-647-8733)

Or Write:

Inspector General Hotline
U.S. Department of Education
Office of Inspector General
550 12th St. S.W.
Washington, DC 20024

Or E-Mail:

oig.hotline@ed.gov

Your report may be made anonymously or in confidence.

For information on identity theft prevention for students and schools, visit the Office of Inspector General Identity Theft Web site at www.ed.gov/misused.

The Department of Education's mission is to promote student achievement and preparation for global competitiveness by fostering educational excellence and ensuring equal access. www.ed.gov

