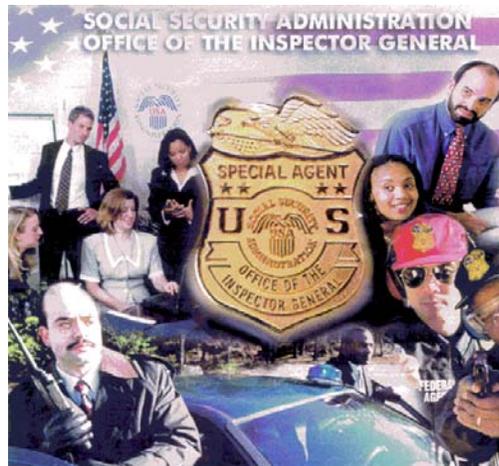




**FY 2001- FY 2002**

# STRATEGIC PLAN

Focusing on Results ...



...and the Value of Our Products

## *A Message from the Inspector General of Social Security:*

The Social Security Administration (SSA) Office of the Inspector General (OIG) Strategic Plan (Plan) for FY 2001-FY 2002 is outcome-oriented and focuses on the fundamental mission to increase the efficiency and effectiveness of SSA programs and operations, while eliminating and preventing fraud, waste, and abuse.

Each aspect of this Plan conforms to requirements established by the *Government Performance and Results Act of 1993* (GPRA) and acknowledges the vital role that dedicated OIG employees play towards the achievement of our goals.

The Strategic Planning Team (Team) consists of OIG leaders, regional staff, and members of the Journeyman Advisory Council, who function as representatives of OIG employees. The Team developed:

- logic models outlining the connection between our mission, work processes, products, and outcomes;
- self-measuring goals for all OIG components; and
- strategies designed to focus on results and the value of our products to users, achieve greater communication and integration of work, and improve our efficiency and effectiveness.



*"I believe that better communication and greater coordination of work will increase productivity and accountability."*

*James G. Huse, Jr.*

In order to identify appropriate performance measures, strategic goals, and timelines, it is imperative to ascertain a benchmark of current performance, resources used, products produced, and results achieved. To that end, the Team reviewed stakeholder input, data from tracking systems, and cumulative management experience. Some of the agreed upon goals do not yet have data collected, and as such, will be updated and evaluated as we gain further information.

It is important to note that the identified goals and performance indicators were not intended to measure the mission of any of the components in totality. Rather, they were agreed upon as a means of focusing on a few select areas in order to concentrate efforts at substantive improvement. The strategies contained in the Plan are necessarily brief. They provide guidance and an overarching structure, while allowing for flexibility in the means to achieve the goals. OIG managers will use this Plan to identify and communicate general work product milestones, and to monitor efforts towards strengthening our capability to fulfill our mission.

The planning process requires an ongoing assessment of the internal and external OIG environments. One direct result of that effort was the development of a *Product Quality Instrument*, which is a tool to gain feedback from stakeholders in order to further refine the quality, value, and usefulness of OIG products.

The success of this Plan depends upon the commitment of each OIG employee to our mission. I am confident that we can meet the range of challenges that are before us.

James G. Huse, Jr.  
Inspector General

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## *Executive Summary*

Our work is driven by a sense of priorities and a focus on outcomes that reflect the contributions we make to maintain the integrity of the national Social Security system. These outcomes consider our impact on ensuring Social Security laws, programs, and operations include an emphasis on deterring fraud, waste, and abuse. In addition, they reflect the extent to which SSA recognizes our role in strengthening the management of SSA programs and operations, including the substantial financial savings opportunities our audit and investigative reports present to SSA management. In becoming more efficient and effective, we will not lose sight of our commitment to improve our communication processes. We intend to better integrate investigative and auditing plans, activities, and products. This will enable us to strengthen a culture of commitment, collaboration, and support that encourages each OIG component to respect, value and build on the work of other OIG units.

Furthermore, we intend to determine the impact of positive changes resulting from our work, specifically the reduction of operational costs; elimination of redundant processes; improved service delivery; acquisition of the appropriate type, quantity, and amount of resources; elimination of ineffective or excessive internal controls; and improved operating procedures and operational efficiencies. Each of the managers within OIG will track, monitor, review, and revise their work plan in order to ensure that their efforts lead to the achievement of our strategic plan goals and objectives. In addition, managers are expected to identify the resources used to obtain accomplishments.

Tempering our vision and values is the reality that many of our most experienced people will be eligible to retire from Federal service within 5 years. We must find ways to transfer their knowledge to those that follow to ensure we maintain the capability to fulfill our mission. In addition, a commitment to recruiting and hiring new talent and to training and retaining all our staff is critical to creating a culture that will both attract candidates to our organization and retain them over time. Similarly, a commitment to organizational learning and growth is vital to achieving our vision of excellence and innovation. As expected, the most difficult part of this Plan was to determine which activities to measure and track. The Team agreed that we wanted to establish baselines for the following:

- (1) positive change resulting from Agency implementation of our recommendations and from our comments on developing legislation and regulations;
- (2) processing times for major workloads;
- (3) return on investment; and
- (4) staff development activities.

We took great care to ensure that our performance measures were worded appropriately and supported challenging, yet obtainable, goals. As we establish baseline measures, we have an opportunity to improve our operations on many levels. In a careful and methodical manner, we hope to address each of the areas that we are responsible for and to provide improved products and services to both SSA and Congress. It is our hope that our Strategic Plan will support the Agency's Strategic Plan goals, and help meet the Agency's objective to "aggressively deter, identify and resolve fraud." We plan to present our goals and performance measures to the Agency's strategic planning team for consideration.

In conclusion, the OIG management team is committed to ensuring that everything to be measured will be clearly defined, and that the measurement will be reliable, valid, and consistent over time. These performance measures will support the goals, which, in turn, will support the mission and vision of the OIG.

## *Mission Statement*

By conducting independent and objective audits, evaluations, and investigations, we improve the Social Security Administration's programs and operations and protect them against fraud, waste, and abuse. We provide timely, useful, and reliable information and advice to Administration officials, Congress, and the public.

## *Vision and Values*

We are agents of positive change striving for continuous improvement in SSA's programs, operations, and management by proactively seeking new ways to prevent and deter fraud, waste, and abuse. We are committed to integrity and achieving excellence by supporting an environment that encourages employee development and retention, and fosters diversity and innovation, while providing a valuable public service.

## *Goals*

### **Office-Wide**

- To increase our impact on the development of SSA programs and operations.
- To improve the quality and value of our products to end-users.
- To sustain a positive return for each dollar invested in the OIG budget.

### **Office of the Counsel to the Inspector General**

- To impact development of effective legislative remedies designed to strengthen SSA programs and operations.
- To improve the quality of Civil Monetary Penalty (CMP) cases referred to Counsel.
- To streamline the processing of CMP cases without compromising the quality of legal reviews and legal analyses.

### **Office of Audit**

- To reduce the financial impact of SSA delaying or failing to act on all open OIG recommendations.

### **Office of Investigations**

- To reduce allegation processing times within the Allegation Management Division.
- To ensure optimal investigation times.

### **Office of Executive Operations**

- To reduce the average response time to congressional inquiries.

## *Statutory Responsibilities*

The SSA OIG was established pursuant to Public Law 103-296 on April 1, 1995, known as the *Social Security Independence and Program Improvements Act* of 1994. General OIG authority is established under the *Inspector General Act* of 1978, as amended, which provides statutory responsibility to protect the integrity of SSA programs and operations affecting millions of beneficiaries, and to ensure that the programs are administered with maximum economy and efficiency.

We are an independent and objective organization within SSA. As prescribed by the *IG Act*, we will:

- Maintain independent and objective organizations to conduct and supervise audits and investigations relating to the programs and operations of SSA;
- Recommend policies for activities to promote economy, efficiency, and effectiveness in administration of departmental programs;
- Take appropriate actions to prevent and detect fraud, waste, and abuse in the Agency's programs and operations;
- Keep the Congress and Commissioner fully informed about problems and deficiencies and the necessity for and progress of corrective action;
- Receive and, as appropriate, investigate complaints from any person or entity, including Congress;
- Report violations of law to the U.S. Attorney General;
- Notify the Congress and Commissioner of serious or flagrant problems in SSA or its programs;
- Review existing and proposed legislation and regulations;
- Protect the identity of whistleblowers; and
- Prepare and submit semiannual reports to the Commissioner and Congress.

We also have significant responsibilities under the *Federal Financial Management Improvement Act* of 1996, *Government Management Reform Act* of 1994, *Chief Financial Officers Act* of 1990, *Federal Managers Financial Integrity Act* of 1982, *Government Performance and Results Act* of 1993 (GPRA), and the *Government Information Security Act* of 2000.

We will fulfill these responsibilities by completing required audits of SSA's financial statements, assessing the adequacy of internal control systems, and identifying opportunities for improvement. When pertinent to the accomplishment of ongoing projects, we will also evaluate SSA's performance measures to determine their appropriateness for measuring progress toward their stated goals.

## ***OIG Components***

The OIG is comprised of four components: Office of the Counsel to the Inspector General (OCIG), Office of Audit (OA), Office of Investigations (OI), and Office of Executive Operations (OEO).

### ***Office of the Counsel to the Inspector General***

OCIG reviews and evaluates legislation, regulations, and standard operating procedures in terms of their impact on program economy and efficiency or their prevention of fraud and abuse. It also provides legal advice and counsel to the IG on various matters, including: (1) statutes, regulations, legislation, and policy directives governing the administration of SSA's programs; (2) investigative procedures and techniques; and (3) legal implications and conclusions to be drawn from audit and investigative material produced by the OIG.

OCIG also administers the Civil Monetary Penalty (CMP) program, which was delegated to the OIG by the Commissioner of Social Security. This authority allows OIG to impose CMPs against violators of Sections 1129 and 1140 of the *Social Security Act* (Act). Section 1129 prohibits persons from making false statements or representations of material facts in connection with obtaining or retaining benefits or payments under titles II or XVI of the Act. Section 1140 of the Act prohibits the use of SSA's program words, letters, symbols, or emblems in advertisements or other communications in a manner that falsely conveys approval, endorsement, or authorization by SSA.

### ***Office of Audit***

OA conducts comprehensive financial, performance, and systems audits and evaluations of SSA programs and makes recommendations to ensure that program objectives are achieved effectively and efficiently. Financial audits, required by the Chief Financial Officers Act of 1990, assess whether SSA's financial statements fairly present the Agency's financial position, results of operations, and cash flow. Performance audits review the economy, efficiency, and effectiveness of SSA's programs. OA also conducts short-term management and program evaluations and projects focused on issues of concern to SSA, Congress, and the general public. Evaluations often focus on identifying and recommending ways to prevent and minimize program fraud and inefficiency.

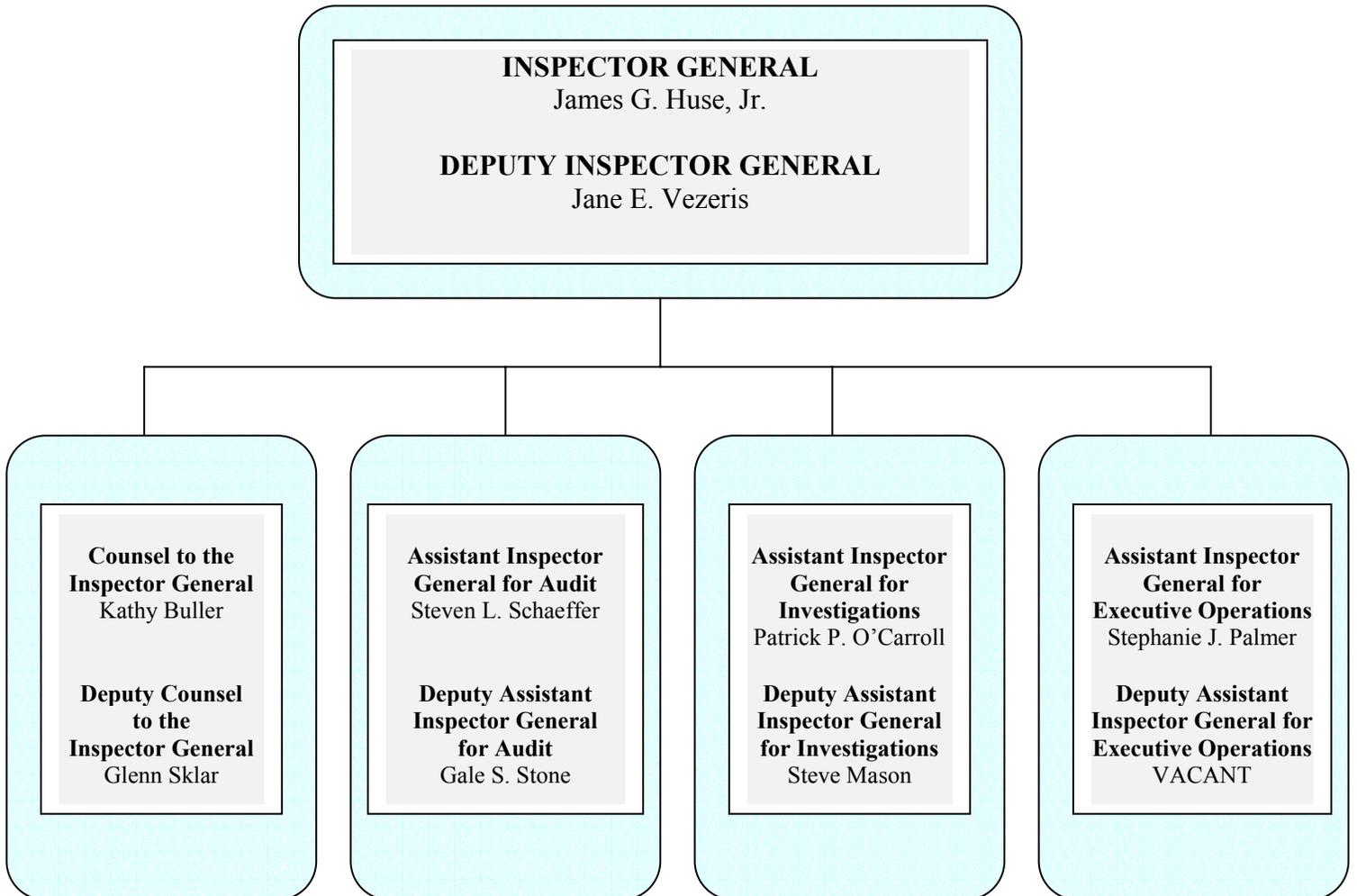
### ***Office of Investigations***

OI conducts and coordinates investigative activity related to fraud, waste, abuse, and mismanagement of SSA programs and operations, in accordance with the Quality Standards for Investigations published by the President's Council on Integrity and Efficiency (PCIE); the SSA/OIG Special Agent Handbook; and other applicable laws, policies, and regulations. This includes wrongdoing by applicants, beneficiaries, contractors, physicians, interpreters, representative payees, third parties, and SSA employees. OI also conducts joint investigations with other Federal, State, and local law enforcement agencies.

### ***Office of Executive Operations***

OEO supports the OIG by providing information resource management; systems security; and the coordination of budget, procurement, telecommunications, facilities and equipment, and human resources. In addition, this office is the focal point for the OIG's strategic planning function and the development and implementation of performance measures required by the Government Performance and Results Act (GPRA). OEO is also responsible for performing internal reviews to ensure that OIG offices nationwide hold themselves to the same rigorous standards that we expect from SSA, as well as conducting investigations of OIG employees, when necessary. Finally, OEO administers OIG's public affairs, media, and interagency activities and also communicates OIG's planned and current activities and their results to the Commissioner and Congress.

## OIG Organizational Chart



## ***Strategic Planning Process***

Under GPRA, Federal agencies are required to develop goals, strategies for achieving them, and performance indicators for gauging progress toward them. Key leaders and OIG representatives were identified as a Team to participate in Results Act Strategic Planning training. The Team met regularly to review the IG Act, GPRA, and other regulatory authorities; critically analyze SSA's *Agency Strategic Plan* and *Annual Performance Plans* and the OIG's Strategic and Annual Plans for FY 2000; and examine other IG strategic plans in order to take advantage of strategic planning best practices.

The entire OIG staff was involved in refining the OIG Mission and Vision Statements. The Assistant Inspectors General for Audit and Investigations met with SSA's senior management to solicit their views on the planning process and what they envisioned as the most critical issues facing SSA over the next 2 years. These meetings were followed by sessions with key congressional staff members to obtain their views on the major issues facing SSA. The planning process included a strategic planning session involving all OIG staff in providing input into the goals, objectives, strategies, and performance measures, and culminated in the development of a comprehensive Strategic Plan.

We know that strategic planning is a process that requires continuous monitoring. In addition, we recognize the importance of results-oriented goals and an alignment with SSA's strategic goals and objectives. Accordingly, we will continually evaluate our strategic goals and performance plans to ensure consistency with the IG Act, GPRA, and SSA's strategic goal to ensure the integrity of Social Security programs, with zero tolerance for fraud and abuse.

### **Key Strategies**

- *Focusing on results, priorities, and return on investment;*
- *Streamlining processes through delegations of authority;*
- *Identifying "best practices" and implementing them where practicable;*
- *Increasing communication and collaboration between OIG components;*
- *Making better use of information technology resources office-wide; and*
- *Focusing on staff development as a means of recruiting, hiring, and retaining a high quality workforce.*

## ***Stakeholders and Customer Feedback***

Stakeholders include: Congress; Congressional staff; SSA’s Commissioner; SSA managers and staff; PCIE and the IG community at large; all OIG employees; General Accounting Office; Department of Justice (DOJ) and other Federal, state, and local law enforcement agencies; the Office of Special Counsel; the Office of Government Ethics; other outside groups both public and private; the general public; and other parties interested in improving the efficiency, effectiveness, and integrity of SSA programs and operations. We meet periodically with our stakeholders, particularly SSA management officials, U. S. Attorneys, and congressional representatives and staff to obtain direct feedback on the results of our work.

## ***Internal Factors Affecting the Achievement of Strategic Goals***

As of FY 2001, the OIG organization is authorized to have 584 full-time equivalent (FTE) positions. We designed our organization to concentrate the talents of our senior executives and staff on OIG’s core statutory responsibilities, which are to perform audits and investigations of SSA’s key operations. However, there are a number of internal factors that affect our organization’s ability to meet its strategic goals. These include recognizing that:

- We will not be immune to the changing demographics and expectations of America’s work force and will need to focus on the benefits that a more diverse work force brings to our organization. We must focus on attracting individuals with diverse skills, particularly in the area of information technology where recruitment and retention is challenging.
- We must offer employment opportunities that are competitive with the private sector as well as other government entities and focus our attention to succession planning necessitated by an increasing portion of our workforce that is eligible to retire.
- We also need to leverage technology to ensure that we gain positive outcomes from its use throughout the OIG.
- We need to ensure that we cross train those in over-represented skills within our organization as well as enlarge the capabilities of our workforce as a whole so they can perform effectively in a number of areas.

Over the next several years, we will continue to adjust the OIG structure, as necessary, as well as ensure that we recruit and retain personnel with the necessary critical expertise.

## ***External Factors Affecting the Achievement of Strategic Goals***

SSA acceptance of OIG recommendations is influenced by its ability to undertake the recommended changes, budget constraints, changing congressional and Agency priorities, and political mandates.

Moreover, much of our work is tied to current issues or program areas (as well as requests from senior SSA officials, Congress, and the public). As such, these factors make it difficult to project the OIG’s audit or investigation programs 1-2 years in the future--especially to the level of citing specific audits, investigations, and evaluations. Therefore, this Plan must remain a “dynamic” document, focusing not only on our statutory requirements, but also the Commissioner’s strategic goals and congressional interest areas, with the flexibility and discretion to redirect resources--when and where needed--to be a truly timely, relevant, and effective resource to SSA and Congress.

## *Strategic Plan*

Consistent with GPRA, this outcome-oriented strategic plan focuses on the mission effectiveness of the SSA OIG, the value and usefulness of its products and the efficiency of its operations. The OIG mission is to improve SSA's programs, operations and management and to protect them against fraud, waste, and abuse by conducting independent and objective audits, evaluations and investigations.

To fulfill our mission more effectively, we will continue to devise better, more streamlined approaches to auditing, evaluating, and investigating fraud, waste and abuse in SSA programs. Our work in these areas is driven by a sense of priorities and a focus on outcomes that reflects the contributions we make to improve the national Social Security system and includes an appropriate emphasis on deterring fraud, waste and abuse. In addition, we recognize our role in strengthening the management of SSA programs and operations, including the substantial financial savings opportunities our audit and investigative reports present to SSA management.

We developed a balanced set of goals for this Strategic Plan. Several are office-wide in nature and others pertain to individual components. The Team identified performance indicators for each general goal and designed strategies to improve performance in the measured areas. To ensure each self-measuring goal developed was reasonable, the Team carefully considered the potential performance impact of the strategies planned in setting the goal. Individual performance indicators, self-measuring goals, and specific strategies for achieving them are discussed below.

### *Office-Wide Strategic Goals*

Goals that cross cut every component are considered office-wide in nature. They focus on questions found at the highest level of our operations. For example, what are we doing to improve the Social Security system? How are we working to improve the quality of our products? Below are the specific strategies developed to accomplish each goal, along with self-measuring goals describing the desired target levels of performance and performance indicators to gauge progress.

**Goal 1:** To increase our impact on the development of SSA programs and operations.

#### **Strategies:**

1. Build coalitions within SSA to increase understanding of audit and investigation issues and the need to improve program operations and procedures;
2. Reduce compliance-oriented audits and increase results-oriented reviews; and
3. Strengthen operating procedures by focusing on identifying inefficiencies to reduce waste, fraud and abuse.

#### **Self-Measuring Goal:**

Maintain an 85 percent acceptance rate for program improvement recommendations through 2002.

**Performance Indicator: Acceptance Rate for Program Improvements**

**Definition:** Number of FY policy and regulatory recommendations SSA agrees to implement

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Total number of FY policy and regulatory recommendations to SSA

**Demonstrates:** Measures the office-wide ability of the OIG to produce program improvement ideas valued by SSA. Recommendations are contained in OIG’s Audit, Evaluation, Management Advisory, and Regulatory Commentary Reports.

**Source:** Planning Audit Management System (PAMS) Database and OCIG Regulatory Commentary Database

**Goal 2:** To improve the quality and value of our products to end-users.

**Strategies:**

1. Obtain end-user and stakeholder feedback on the OIG’s product quality and value; and
2. Publicize implementation of OIG user-stakeholder assessment program.

**Self-Measuring Goal:**

To be set in 2001, after determining the baseline performance level through a pilot test of the OIG assessment instrument for gauging product quality.

**Performance Indicator: Product Quality Rating (User Assessment)**

**Definition:** The number of OIG written products that users reported met established product quality standards

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The total number of OIG reports users assessed

**Demonstrates:** Our ability to produce quality products containing data, analysis, and recommendations of value to improving the Social Security system

**Source:** OIG user assessment database to be developed

**Goal 3:** To sustain a positive return for each dollar invested in the OIG budget.

**Strategies:**

1. Create a “cost savings” culture within OIG to ensure the dollar effect of findings is reported (emphasized at job starts and sustained at team meetings);
2. Provide training and tools to ensure cost analysis methods are consistent and appropriate; and
3. Prioritize high financial impact investigations, audits, counsel actions, etc.

**Self-Measuring Goal:**

Return at least \$6.00 in potential savings for every \$1.00 invested in the OIG budget through 2002.

**Performance Indicator: Return on Investment**

**Definition:** Total value of all loss prevention-related savings identified by OIG in the FY

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Total OIG budget in the FY

**Demonstrates:** Loss prevention-related savings include investigative scheduled recoveries, fines, settlements, judgments, restitution, and estimated future dollars saved. It also includes Civil Monetary Penalties and audit-related questioned costs and funds put to better use. This indicator shows the total possible payback for tax dollars invested in the OIG.

**Source:** ACIS, PAMS, and Budget Office Records

## *Office of the Counsel to the Inspector General*

Goals for this section concentrate on Counsel’s role in developing recommendations for statutory changes designed to strengthen protections against Social Security waste, fraud and abuse; as well as on Counsel’s role in the development of CMP cases and the time to review and process those cases. To address whether we are making effective legislative recommendations and improving the development and processing of CMP cases, the Team identified the following goals and strategies, along with self-measuring goals describing the desired target levels of performance and performance indicators to gauge progress.

**Goal 4:** To impact development of effective legislative remedies designed to strengthen SSA programs and operations.

**Strategies:**

1. Increase OA/OI awareness of the need to identify and address potential legislative issues;
2. Establish a mechanism to forward potential issues to OCIG and create an official record; and
3. Build consensus for legislative ideas with congressional and other stakeholders.

**Self-Measuring Goal:**

Maintain a 70 percent acceptance rate for legislative proposals through 2002.

**Performance Indicator: Legislative Proposal Acceptance Rate**

**Definition:**       Number of legislative recommendations accepted by SSA and Congress  


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                                   Total number of legislative recommendations proposed to SSA and Congress

**Demonstrates:** Our ability to craft statutory protections against fraud, waste, and abuse that are acceptable to SSA and Congress.

**Source:**           PAMS Database and OCIG A-19 Database

**Goal 5:** To improve the quality of Civil Monetary Penalty cases referred to Counsel.

**Strategies:**

1. Clarify OCIG guidelines and policies for identifying best potential referrals;
2. Provide tools to streamline the CMP referral process;
3. Deploy attorneys in field locations to provide on-site assistance in CMP cases; and
4. Develop a communication mechanism to clarify program objectives and highlight program successes internally and externally.

**Self-Measuring Goal:**

Increase the CMP acceptance rate to 70 percent by 2002.

**Performance Indicator: CMP Referral Acceptance Rate**

**Definition:** 
$$\frac{\text{Total number of OI referrals accepted by OCIG during the FY}}{\text{Total number of OI referrals received by OCIG during the FY}}$$

**Demonstrates:** Improvements on the quality of OI referrals over time.

**Source:** ACIS

**Goal 6:** To Streamline processing of Civil Monetary Penalty cases without compromising the quality of legal reviews and legal analyses.

**Strategies:**

1. Redesign the OCIG-CMP work processes to:
  - a. reduce internal rework and reviews,
  - b. automate routine correspondence,
  - c. delegate signature authority for other than final actions, and
  - d. by-pass mail room delays.

**Self-Measuring Goal:**

Complete initial CMP determination letters within 30 days on average by 2002.

**Performance Indicator: Average Time to Process CMP Cases**

**Definition:** 
$$\frac{\text{Sum of the number of days from the date OI refers the case to OCIG to the date of the acceptance or rejection notice letter for all CMP actions taken during the FY}}{\text{The total number of CMP actions taken during the FY}}$$

**Demonstrates:** OCIG's ability to take initial action on CMP cases in an efficient manner.

**Source:** ACIS

## Office of Audit

Although the OIG office-wide goals and performance indicators represent the primary tools for measuring its success, the pace at which SSA implements audit recommendations is a critical factor in determining the effectiveness of the OA. SSA frequently accepts recommendations but then may either delay or forego their implementation. Consequently, the cost saving benefits of the recommendations are either postponed or lost. To address this issue, the Team developed a goal which will track the financial (dollar cost) consequences of SSA delaying or not acting on all OIG recommendations. Below are the specific strategies developed to accomplish this goal, along with a self-measuring goal describing the desired target levels of performance and a performance indicator to gauge progress.

**Goal 7:** To reduce the financial impact of SSA delaying or failing to act on all open OIG recommendations.

### Strategies:

1. Increase SSA and congressional awareness of the potential savings available and the related costs associated with delaying implementation.

### Self-Measuring Goal:

Not Applicable. This is a descriptive measure that shows the dollar cost consequences of *not* implementing OIG recommendations.

### Performance Indicator: Dollar Savings Lost or Delayed (the cost of failing to act)

**Definition:** The total dollar value of recommendations not fully implemented.

**Demonstrates:** The dollar consequence of SSA decisions to not fully implement policy, legislative, and program improvement recommendations. The measure will include OIG recommendations from the prior 5 FYs. (Note this does not include current year recommendations because we would not expect SSA to have fully implemented recommendations that we've recently provided).

**Source:** PAMS

## **Office of Investigations**

The OIG goals and indicators related to strengthening protections against fraud, waste and abuse also speak to the effectiveness of the OIG's investigative operations. As a result, this section of the Plan focuses on the efficiency with which primary investigative functions are performed, particularly since the investigative caseload is growing at a much higher rate than the investigative workforce.

One of OI's Headquarters divisions, the Allegation Management Division (AMD), operates the SSA Fraud Hotline, which provides an avenue for reporting fraud, waste, and abuse within SSA's programs and operations. AMD receives allegations via telephone, regular mail, facsimile, and electronic mail from a variety of sources including other law enforcement agencies, SSA employees, Congress, private citizens, and public agencies. These allegations may involve fraud within SSA programs or they may fall within the jurisdiction of another law enforcement agency. AMD logs in over 75,000 allegations each year and must carefully review each allegation in order to ensure that it makes a timely referral to the proper location for appropriate action. As AMD increases its efficiency, it will be able to handle additional callers that currently cannot get through to AMD. It will also ensure that OI field divisions receive quality investigative referrals in a timely manner.

By reducing allegation processing time and ensuring optimal investigative timeframes, we anticipate that this will translate into an increase in the number of investigations that we are able to conduct while still focusing on the quality of our work. Key questions to be addressed include: What can be done to ensure that allegations referred to OI field divisions are well developed and timely? What can be done to reduce the time to investigate fraud, waste, and abuse allegations? Is it possible to reduce investigation timeframes without compromising the quality of the investigation?

To address these issues, the Team identified the following goals, strategies and self-measuring goals describing the desired target levels of performance and performance indicators to gauge progress. Baseline data will be developed to document the current level of performance.

**Goal 8:** To reduce allegation processing times within the Allegation Management Division.

### **Strategies:**

1. Train SSA and AMD staff on recognizing potential investigations;
2. Survey OI field divisions to identify best practices for developing and referring potential investigations; and
3. Identify information technology investments necessary to expedite allegation processing.

### **Self-Measuring Goal:**

- To refer or close all allegations on average within 14 days by 2002.
- To maintain a Field Division acceptance rate of 80 percent for AMD referrals through 2002.

**Performance Indicator: Average Allegation Processing Time**

**Definition:** The total days from the date an allegation is received in AMD to the date it is either declined, referred, or an investigation is opened during the FY

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The total number of AMD allegations during the FY

**Demonstrates:** AMD’s ability to process allegation referrals in an efficient timely manner.

**Source:** ACIS

**Performance Indicator: Allegation Acceptance Rate**

**Definition:** The total number of allegations accepted for investigation by OI’s Field Divisions during the FY that were referred by AMD

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The total number of AMD allegations AMD referred during the FY where an investigative decision was made.

**Demonstrates:** AMD’s ability to provide quality referrals to OI’s Field Divisions.

**Source:** ACIS

**Goal 9:** To ensure optimal investigation times.

**Strategies:**

1. Survey OI staff to identify best case management practices and develop baseline data for different types of cases;
2. Strengthen guidance to OI field divisions on obtaining information from SSA;
3. Expand SSA program expertise at field locations; and
4. Reduce administrative burdens, eliminate unnecessary reports, and explore technological solutions.

**Self-Measuring Goals:**

- Complete investigative field work on average within 180 days by the year 2002. Baseline data will be confirmed in 2001.

**Performance Indicator: Average Investigation Time**

**Definition:** Total days from the date allegations are received to the date the case is either referred for judicial action or closed for all cases completed during the FY

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The total number of investigations completed during the FY

**Demonstrates:** OI's ability to conduct investigations in an efficient timely manner.

**Source:** ACIS

## Office of Executive Operations

Every year the OIG receives hundreds of fraud referrals and requests for assistance from members of Congress on behalf of their constituents. These inquiries represent the single largest workload of OEO. Each must be answered individually and most involve a coordinated response that includes research and legal analysis. A key concern pertains to whether it is possible to streamline responses to congressional requests without compromising the quality of the underlying investigative and legal analysis. Through its deliberations, the Strategic Planning Team determined that the present standard approach to investigating certain types of requests could result in unnecessary fieldwork and delay OIG responses to constituents and congressional office. A general goal was set to reduce the average response time to congressional inquiries.

Below are the specific strategies developed to accomplish this goal, along with a self-measuring goal describing the desired target levels of performance and a performance indicator to gauge progress toward that goal. Baseline data will have to be developed to document the current level of performance in responding to congressional inquiries.

**Goal 10:** To reduce the average response time to congressional inquiries.

### Strategies:

1. Classify the nature and scope of constituent requests when coordinating investigative and legal responses;
2. Eliminate unnecessary field investigative work on low priority cases;
3. Develop a standard response mechanism to reduce review and processing times; and
4. Early in 2001, develop baseline data documenting the current level of performance.

### Self-Measuring Goal:

Respond to congressional requests within 30 calendar days on average by 2002.

### Performance Indicator: Average Final Response Time for Congressional Inquiries

**Definition:** The sum of the number of days from the date constituent requests are received by OIG to the date of the final responses during the FY

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The total number of congressional requests responded to during the FY

**Demonstrates:** OIG's ability to provide timely responses to congressional requests. Response time begins when the correspondence is recorded in OIG, or when an initial verbal request is received. It includes OI, OA, and OCIG's work time and ends when the final response is sent to the requestor.

**Source:** EAD Congressional Database