

July 2021



Department of Homeland Security Office of Inspector General Strategic Plan 2022 – 2026



MESSAGE FROM THE INSPECTOR GENERAL

I am pleased to provide the Department of Homeland Security (DHS) Office of Inspector General (OIG) Strategic Plan for fiscal years 2022 through 2026. This plan describes the focus and direction of the OIG's operations during the next five years. It establishes our organizational goals and outlines the strategies we will employ to reach those goals, as well as the indicators we will use to measure progress. This strategic plan is the result of a collaborative and inclusive process with internal and external stakeholders' input as well as value.



During this period of transition, we reexamined what we do and how we do it. The plan is the first step in a larger organizational transformation effort and sets the foundation for us to build a culture of excellence. I believe that making necessary changes will best position us to anticipate and overcome challenges and, through our commitment to excellence and innovation, we will be able to address new emerging issues.

We are dedicated to our mission of providing independent oversight and promoting excellence, integrity, and accountability within DHS while continuing to build trust with our stakeholders and the American people. To achieve our mission, we conduct independent audits, inspections, and investigations to ensure integrity in DHS's operations and programs and identify opportunities for improvement as we aim to ensure the safety of the homeland. Now, more than ever, that work is critical. The information we provide to DHS and Congress can result in changes to legislation, regulations, policies, and practices. These changes are designed to continually improve DHS operations and programs so they best serve America's taxpayers.

The strategic plan is the first step in a broader framework for organizational change and shifts in our focus to improve the OIG's ability to assess, anticipate, and respond to new challenges. Four strategic goals drive our focus:

- Deliver Results that Promote the Efficiency, Effectiveness, and Integrity of DHS Programs and Operations
- Cultivate a Diverse, Highly Skilled, Flexible, and Engaged Workforce
- Strengthen Relationships and Build Trust with External Stakeholders
- Build and Sustain Enterprise-wide Governance and Management to Support the Workforce and Optimize Efficiency and Effectiveness

In developing the plan, we considered DHS's mission, strategic plan, and management challenges; major program developments and initiatives; and the OIG's statutory responsibilities. While our Strategic Plan provides a roadmap to accomplish our mission during the next five years, we will periodically consult with DHS, Congress, and other stakeholders and use the feedback we receive to revise our approach as

necessary. This will allow us to consistently improve our products and services. We will also continue to assess the impact of our work to maximize the effectiveness of our efforts and resources.

In closing, thank you to the OIG staff for its diligent efforts on behalf of America's taxpayers, DHS, Congress, and all of our stakeholders for their support. I look forward to continuing to work with you to meet our goals and fulfill our mission.

Sincerely,

JOSEPH V
CUFFARI

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Joseph V. Cuffari, Ph.D.

Inspector General

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STRATEGIC PLAN AT A GLANCE

Mission

To provide independent oversight and promote excellence, integrity, and accountability within DHS.

Vision

Promote transformative change to improve DHS programs and operations to provide a safe and secure homeland.

Values

Integrity



Quality



Innovation



Respect



Strategic Goals and Objectives

Goal 1: Deliver Results That Promote the Efficiency, Effectiveness, and Integrity of DHS Programs and Operations.



Goal 2: Strengthen Relationships and Build Trust with External Stakeholders.



Goal 3: Build and Sustain Enterprise-Wide Governance and Management to Support the Workforce and Optimize Efficiency and Effectiveness.



Goal 4: Cultivate a Diverse, Highly Skilled, Flexible, and Engaged Workforce.





UNDERSTANDING THE LANDSCAPE

Strategic Plan Environmental Factors

The DHS OIG must carry out its oversight mission in a demanding and uncertain environment. We have identified the following external and internal environmental factors, which informed the development of the OIG *Strategic Plan 2022-2026*.

External Factors

Complex, evolving DHS mission. DHS is one of the largest federal government departments and it has one of the most diverse mission portfolios, with significant linkages across the different programs and operations, ranging from responding to natural disasters to protecting the border. Moreover, threats to homeland security rapidly evolve and priorities can shift swiftly and significantly. The successful performance of the DHS OIG’s oversight mission requires a broad range of expertise, flexibility, and a robust capacity to anticipate and plan for future needs.

Information technology trends. Rapid developments in information technology present both risks and opportunities. Risks stem from developments such as the evolving threat of cyberattacks. The emergence of big data and the discipline of data analytics present opportunities for more efficient and effective oversight. The COVID-19 pandemic has forced the adoption of remote work practices and revealed opportunities for increased flexibility and efficiency.

Stakeholder input. During the strategic planning process, Congressional staff and DHS leadership identified two areas for continued improvement: (1) timeliness and quality of OIG products and services, and (2) communication and transparency of OIG processes. Both are critical to maintaining a reputation for independence, which underpins the ability of the OIG to carry out its oversight mission effectively.

Internal Factors

As part of the strategic planning process, the DHS OIG leadership team and representatives from program offices evaluated the organization’s internal environment by soliciting feedback from staff and other internal stakeholders. This was accomplished through the use of focus groups, interviews, and an employee survey. We identified the organization’s strengths, weaknesses, opportunities, and potential risks. In addition, our analysis identified opportunities to improve the efficiency and effectiveness of our workforce by strengthening internal resources and key processes.





Mission operations and business systems. Like many federal government agencies, the DHS OIG uses a patchwork of legacy IT systems and manual processes that hinder efficiency and the ability to monitor and manage performance. To address this challenge, the DHS OIG engaged an independent, third-party assessment of processes and systems to provide guidance on developing an integrated approach.

Workforce. DHS OIG’s dedicated and knowledgeable employees represent the organization’s greatest asset and are critical in achieving our goals. To support our staff, we must improve training to develop their strengths, address skills gaps, and meet mission-critical objectives. We must promote an inclusive culture, employee engagement, and strengthen communication throughout the organization. Finally, we must develop robust performance management tools that provide meaningful guidance and feedback to employees.

Policy Framework. To enhance efficiency, we must provide policies and procedures in key areas that define clear roles and responsibilities and manage internal and external organizational risks.

Risks

In developing our strategic plan, we assessed both key risks to mission performance and potential opportunities to advance our mission. We accomplished this through the thoughtful examination of internal assessments and stakeholder feedback. Drawing from this insight, we identified and prioritized areas for improvement. We then mapped those areas to components of the strategic plan and developed strategic goals and objectives to address the related risks and to facilitate organizational change. To measure our progress in implementing our strategic goals and objectives, we developed performance indicators and supporting strategies in line with statutory guidance and leading practices in the OIG community.

Another key factor is continuing access to the resources needed to sustain organizational change efforts. This will depend in part on the ability of the DHS OIG to cultivate positive relations with external stakeholders through timely, objective, high-quality products and services, as well as regular communication, transparency, and responsiveness.

Finally, by integrating enterprise risk management practices into our strategic planning process, we have developed a holistic understanding of the risks that may impede mission performance.

Development of The Plan

This plan is the result of an extensive process that included engagement with both internal and external stakeholders. The strategic planning process and the plan adhere to the Government Performance and Results Modernization Act and follow Government Accountability Office (GAO) and Council of the

Inspectors General and Integrity and Efficiency (CIGIE) best practices, as well as those employed by peer OIGs.

To gather external input, we interviewed more than fifty senior-level officials, including representatives of key external stakeholder groups:

- Congress
- DHS programs
- Office of Management and Budget
- CIGIE
- GAO

Various stakeholders contributed to the strategic planning process and the plan itself:

- The Inspector General, Principal Deputy Inspector General (PDIG), and Chief of Staff (COS) shared their views on the vision and values.
- Agency and program leaders (COS, Deputy Inspectors General (DIGs), Assistant Inspectors General (AIGs), and program office managers and supervisors) participated in strengths, weaknesses, opportunities, and threats (SWOT)/Visioning sessions.
- The Employee Advisory Council participated in a group interview and a SWOT/Visioning session.
- Staff volunteers participated in four cross-cutting focus groups, with discussions concentrating on SWOTs and suggestions for improvement. Focus groups consisted of headquarters and field office staff, supervisors and non-supervisors, and representatives of mission and mission-support offices.
- All staff had the opportunity to share their perspectives through a survey designed to validate internal organizational factors identified through the SWOT sessions; 259 individuals (36%) completed the survey.

We used the information gathered through these engagements to identify themes, which in turn informed the goals, objectives, and illustrative performance indicators and strategies included in the plan. Our strategic planning process was documented to facilitate repeatability in future strategic planning and other related planning initiatives.



WHO WE ARE AND WHAT WE DO

Congress enacted the Inspector General Act of 1978 to ensure integrity and efficiency in government. DHS and its OIG were established in 2002 by the Homeland Security Act. The OIG provides independent oversight of the DHS to ensure excellence, integrity, and accountability in the pursuit of safeguarding the homeland and the American people. The OIG is headquartered in Washington, DC, and encompasses 11 regional field offices across the country.

Audits provide essential transparency over DHS-level programs and operations. Efforts are concentrated in promoting effective governance and accountability across the DHS to ensure that taxpayer funds are being used effectively and efficiently.

Inspections and Evaluations provide systematic and independent assessments of the design, implementation, and results of DHS operations, programs, and policies to determine their efficiency, effectiveness, impact, and sustainability. Special reviews typically concern high-profile or particularly sensitive matters.

Investigations address alleged violations of law that impact the DHS's programs, operations, facilities, and personnel. Priority is given to investigations of suspected violations of criminal and civil statutes. Investigators work closely with prosecutors and other law enforcement organizations.

MISSION

To provide independent oversight and promote excellence, integrity, and accountability within DHS.

VISION

VISION STATEMENT

Promote transformative change to improve DHS programs and operations to provide a safe and secure homeland.

UNDERSTANDING OUR VISION

We are building a model organization founded on the collaborative teamwork of diverse, empowered professionals committed to excellence and our core values (integrity, quality, innovation, and respect). We strive to be a catalyst of change in the management of homeland security by delivering high-impact and high-quality products and services.

LEADERSHIP PHILOSOPHY

The following principles guide OIG leadership decisions and actions as we strive for excellence in support of our mission and vision:

- Promote unity of purpose in helping the DHS to accomplish its mission.
- Adapt to changing conditions.
- Create and sustain a culture of performance and excellence: achieve accurate, reliable, and value-added results.
- Affirm our commitment to continual improvement and innovative approaches.
- Model our core values and set the tone of professionalism for the OIG — we are honest, independent, accountable, fair, and objective.
- Foster teamwork and open communication — we welcome the exchange of information, feedback, and other points of view.
- Promote inclusivity and leverage the diversity of our skills and experiences.
- Develop and empower our staff.
- Recognize successes across the OIG and the DHS.

VALUES

Our values articulate the beliefs that reinforce our organization’s culture and framework for decision-making. They are fundamental to accomplishing our mission and conducting our daily operations. The values set forth below are meant to drive every action taken at the OIG.

Integrity

We work independently and objectively, without bias or undue influence.

We make decisions and prioritize our work based on data and risk assessments.

We work transparently with all relevant stakeholders.

We hold ourselves to the highest ethical standards.

Quality

We strive to ensure that our products are of the highest caliber and comport with OIG standards and leading practices.

We ensure relevance and meaningful impact by executing our mission with skill and a sense of urgency.

We seek to continuously improve our organization, our competencies, and our work through individual development.

Innovation

We think creatively and proactively to formulate solutions to emerging threats.

We anticipate and respond to internal and external events to address the needs of our mission.

We are resilient and we carry out our work with flexibility.

Respect

We are committed to fostering diversity and inclusion in the workplace.

We promote employee satisfaction through civility and dignity and encourage employees to take ownership of their work.

We promote cross-cutting communication to break down barriers and encourage engagement and teamwork among staff and with external stakeholders.

We uphold civil rights, civil liberties, and protect the identity of whistleblowers.

DEVELOPING STRATEGIC GOALS

Drawing on the findings of our strategic planning process, we developed a set of strategic goals, related objectives, and illustrative performance indicators and strategies.

Strategic Goals

Our strategic plan sets out general, outcome-oriented strategic goals.

Strategic Objectives

For each strategic goal, multiple objectives were developed reflecting specific areas for improvement identified through the strategic planning process. These objectives are formulated to be specific enough to enable the measurement of progress in these areas.

Strategies and Performance Indicators

For each of the strategic goals, we developed performance indicators that are outcome-oriented and quantitative wherever feasible. These are intended to illustrate at a high level our approach to measuring progress in areas critical to mission performance. Strategies are provided to illustrate how objectives will be operationalized. These performance indicators and strategies will be further refined and supplemented during the process of developing an enterprise-wide implementation plan and corresponding component-level plans.

As part of the annual performance process, we will analyze data obtained from the performance indicators and other feedback to recalibrate strategies to achieve our objectives. As the capacities of the organization mature over a multi-year period, we will adjust strategies and performance indicators.





GOAL 1: DELIVER RESULTS THAT PROMOTE THE EFFICIENCY, EFFECTIVENESS, AND INTEGRITY OF DHS PROGRAMS AND OPERATIONS

Conduct oversight of DHS programs and operations through audits, inspections, evaluations, and investigations. Deliver high-impact and high-quality products and services to support the DHS’s mission success, improve compliance with laws and regulations, achieve cost savings, and promote accountability.

Objectives

- 1.1 Produce timely, high-quality work products (i.e., audits, inspections, evaluations, investigations) and services that are data-driven and consistent with CIGIE standards, OIG best practices, and Government Auditing Standards.
- 1.2 Develop actionable recommendations that address the root causes of weaknesses and identify long-term solutions.
- 1.3 Focus oversight on high-risk and mission-critical areas and emerging threats, while responding to congressional mandates and requests.

Strategies

Provided below are examples of strategies for achieving Strategic Goal 1 objectives. Linkages between strategies and objectives are indicated in parentheses.

- Further develop the OIG’s organization-wide quality assurance program that establishes the structure, required resources, responsibility, and authority for implementing quality assurance for all OIG work products. (Objectives 1.1, 1.2)
- Meet regularly with DHS leadership and audit liaison team to monitor the Department’s progress in implementing recommendations. (Objective 1.2)
- Use a robust work planning process that employs a strategic, data-driven, risk-based approach to prioritize areas of oversight and the allocation of resources. (Objective 1.3) In evaluating potential assignments, we consider several factors, including:
 - statutory and regulatory requirements for OIG reviews, as set forth in laws, regulations, or other directives;

- enterprise-wide risk assessments of the DHS, as well as its individual programs and operations;
- DHS management challenges and other factors that may affect mission performance;
- stakeholder input, including Congressional mandates and requests and DHS and component requests;
- prior DHS OIG assignments and work performed by GAO;
- DHS corrective actions to implement prior OIG recommendations;
- potential to effect long-term positive change in DHS programs and operations.

Performance Indicators

Provided below are examples of performance indicators for Strategic Goal 1 objectives. Linkages between performance indicators and objectives are indicated in parentheses.

- Percentage of work products completed within OIG established timeframes (Objective 1.1)
- Percent of investigative referrals to other offices or organizations made within OIG established timeframes following determination of need for referral (Objective 1.1)
- Percentage of recommendations concurred with (Objective 1.2)
- Percentage of recommendations implemented within five years (Objective 1.2)
- Percentage of work products issued during the performance year that meet the OIG criteria for risk and mission criticality (Objective 1.3)
- Percentage of implemented recommendations and investigative outcomes that have a significant positive effect on the efficiency and effectiveness of DHS programs and operations (Objectives 1.1, 1.2, and 1.3)



GOAL 2: STRENGTHEN RELATIONSHIPS AND BUILD TRUST WITH EXTERNAL STAKEHOLDERS

Build relationships of trust with Congress and the DHS and its components through timely, objective, and high-quality products and services, as well as regular communication, transparency, and responsiveness.

Objectives

- 2.1 Communicate and consult regularly with Congress and the DHS on key areas of interest, including work plans and the status of engagements and final products.
- 2.2 Follow a consistent and transparent approach to the engagement process with the DHS and its components.
- 2.3 Communicate with the public in a timely and transparent manner to build and maintain reputation and instill trust.

Strategies

Provided below are examples of strategies for achieving Strategic Goal 2 objectives. Linkages between strategies and objectives are indicated in parentheses.

- Establish regular processes for consulting and communicating with Congress on key areas of interest, including public annual work plans per CIGIE good practice guidance. (Objective 2.1)
- Monitor and assess adherence to engagement milestones and timelines. (Objective 2.2)
- Establish regular processes for soliciting feedback from the DHS on engagement processes to identify areas for improvement for both the OIG and DHS. (Objective 2.2)
- Establish a continuous process of review for updating the OIG website and other media platforms. (Objective 2.3)

Performance Indicators

Provided below are examples of performance indicators for Strategic Goal 2 objectives. Linkages between performance indicators and objectives are indicated in parentheses.

- Issuance of a public annual work plan that is regularly updated (Objective 2.1)

- Percentage of engagements that adhere to established milestones and timelines related to ensuring timely and effective communication throughout the engagement process, including entrance conferences and Notification of Findings and Recommendations (Objective 2.2)
- Percentage of responses to DHS/component technical comments on draft reports within annual performance target timeframes (Objective 2.2)
- Percentage improvement in website user satisfaction score (Objective 2.3)



GOAL 3: BUILD AND SUSTAIN ENTERPRISE-WIDE GOVERNANCE AND MANAGEMENT TO SUPPORT THE WORKFORCE AND OPTIMIZE EFFICIENCY AND EFFECTIVENESS

Develop an integrated and strategic approach to governance and management across the organization, including a comprehensive policy framework supported by corresponding changes in mission and mission support processes and systems to enable efficient and effective management.

Objectives

- 3.1 Create a comprehensive policy framework consistent with internal control standards (e.g., clearly defining roles and responsibilities, managing internal/external risks), which provides enterprise-level guidance on procedures in the following areas: (1) work planning, (2) human capital management; (3) performance management, (4) quality assurance, and (5) managing organizational change.
- 3.2 Create integrated and user-friendly business systems that support efficient and effective mission and business processes.
- 3.3 Institutionalize advance planning processes to anticipate future needs (e.g., strategic planning, risk assessments, workforce skills, IT infrastructure).

Strategies

Provided below are examples of strategies for achieving Strategic Goal 3 objectives. Linkages between strategies and objectives are indicated in parentheses.

- Include key responsibilities and linkages with strategic goals and objectives in employee performance plans. (Objective 3.1)
- Develop protocols for obtaining staff input and communicating decisions about policy and organizational changes. (Objective 3.1)
- Develop tracking systems for monitoring performance at the organizational and individual levels. (Objectives 3.1, 3.2)
- Develop a process for analyzing and acting on performance data. (Objectives 3.1, 3.2)

- Conduct annual risk assessments of the OIG operations to identify, assess, and manage risks that may impede mission performance. (Objectives 3.1)

Performance Indicators

Provided below are examples of performance indicators for Strategic Goal 3 objectives. Linkages between performance indicators and objectives are indicated in parentheses.

- Progress on revising a prioritized set of policies and procedures (Objective 3.1)
- Progress in incorporating key operational responsibilities into employee performance plans (Objective 3.1)
- Progress on performance targets for prioritized mission and business processes, such as report review processes, hiring to fill critical skills gaps (Objective 3.2)
- Annual performance target timeframes for implementing processes and system changes reflecting OIG priorities (Objective 3.2)



GOAL 4: CULTIVATE A DIVERSE, HIGHLY SKILLED, FLEXIBLE, AND ENGAGED WORKFORCE

Build and maintain a diverse workforce with the requisite mix of skills and experience and an organization with the flexibility and resilience to meet the complex and evolving demands of the OIG’s oversight mission. Enable individuals to reach their fullest potential and harness their talents through a strategic approach to professional development, communication, and employee engagement.

Objectives

- 4.1 Develop an enterprise-level, competence-based approach to human capital management.
- 4.2 Recruit and retain a diverse workforce and cultivate an inclusive culture.
- 4.3 Promote relevant and equitable professional development opportunities across OIG components.
- 4.4 Facilitate allocation of staff across units to meet emerging workload demands.
- 4.5 Develop and sustain timely and effective leadership communication with staff.
- 4.6 Develop and sustain mechanisms for engagement, including enabling staff input into planning and decision-making processes.

Strategies

Provided below are examples of strategies for achieving Strategic Goal 4 objectives. Linkages between strategies and objectives are indicated in parentheses.

- Use an annual multistep framework to assess OIG human capital requirements and to efficiently allocate resources across program offices (Objective 4.1):
 - Identify the critical skills and core competencies required for OIG staff to fulfill the OIG mission.
 - Develop and maintain an OIG-wide skill inventory.
 - Perform a gap analysis to (1) identify areas where additional functional expertise is required and (2) inform human capital plans regarding recruitment, hiring, and professional development.
- Establish succession planning for key positions. (Objectives 4.1)

- Establish targeted programs for cross-training personnel for key business process responsibilities to avoid single points of failure. (Objective 4.1)
- Develop and implement a recruitment plan designed to attract a diverse workforce. (Objective 4.2)
- Engage workforce in the OIG’s work through timely and accurate communication and by drawing on their insights to improve OIG mission performance. (Objectives 4.5, 4.6)

Performance Indicators

Provided below are examples of performance indicators for Strategic Goal 4 objectives. Linkages between performance indicators and objectives are indicated in parentheses.

- Progress toward meeting a prioritized set of workforce skill gaps identified through an enterprise-wide OIG workforce assessment, such as percentage of relevant positions filled (Objective 4.1)
- Processes/initiatives indicating effort to recruit more diverse workforce (Objective 4.2)
- Percentage change in FEVS scores and other employee survey results related to inclusivity, strength of internal communication, employee engagement, and empowerment (Objectives 4.2, 4.5, 4.6)

»» THE WAY AHEAD

This strategic plan sets the foundation for the transformational change we want to achieve during the next several years. In addition to putting our mission priorities into focus, it sets forth the values and behaviors underpinning the culture needed to achieve our mission and vision, and highlights priority management challenges. Developing the plan was a significant endeavor that drew upon input from OIG staff and external stakeholders. The comprehensive strategic planning process was designed to create a path forward and concentrate our efforts on being best positioned for the future.

We are committed to working with our staff and external stakeholders to implement the plan; we will have an ongoing dialogue and address needs and concerns as we move forward. We will ensure that every OIG employee understands the contents of and need for the plan, and how their individual work supports our mission.

With input from stakeholders, we will develop an enterprise-wide implementation strategy to support the goals and objectives included in the plan. The implementation strategy will assign responsibilities and delineate metrics, measures, and timelines. We will track progress and adjust our strategies, as needed, to overcome obstacles and respond to the changing environment, including emerging threats and opportunities.

As we embark on this exciting new chapter of continual improvement and innovation, we remain dedicated to the integrity of our mission, adhering to statutory requirements, and providing the necessary independent oversight to safeguard the American people and our homeland.





WANT TO LEARN MORE ABOUT...

Ongoing Projects

Learn about the [work the OIG is currently conducting](#).

Our Reports and Publications

OIG publishes [reports and publications](#) that come out of conducted audits, inspections, and evaluations.

Management Alerts

The OIG issues [management alerts](#) to inform senior DHS managers of conditions which pose an immediate and serious threat of health or safety to employees or the public and waste, fraud, and abuse in agency programs. These alerts, usually triggered by findings made in the course of our audit, inspections, and investigative work, may also contain recommendations to correct the identified concerns.

Our Results and What We Report to Congress

The OIG is required by statute to submit [Semiannual Reports to Congress](#). The reports communicate the impact of OIG efforts during the previous 6-month period.

How to Report Fraud

The [OIG Hotline](#) accepts tips and complaints from all sources about fraud in DHS programs.

How to Contact Us

[Information on how to contact the OIG](#) and [sign up to receive email updates and alerts](#) from the OIG.