



# *Office of Inspector General U.S. Department of Labor*

## *Fiscal Year 2021 Annual Performance Report & Fiscal Year 2023 Annual Performance Plan*



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# LETTER FROM THE INSPECTOR GENERAL AND DEPUTY INSPECTOR GENERAL

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We are pleased to present the U.S. Department of Labor (DOL) Office of Inspector General's (OIG) fiscal year (FY) 2021 Annual Performance Report (APR) and FY 2023 Annual Performance Plan (APP). The results for FY 2021 demonstrate the OIG's commitment to the American people, DOL, and Congress by providing independent and objective oversight of departmental programs through our audit and investigative efforts, and by combatting the influence of labor racketeering and organized crime in the nation's labor unions and employee benefit plans.

The FY 2021 APR and FY 2023 APP presents the OIG's organizational performance results and plans based on the OIG's FY 2022 – 2026 Strategic Plan to be published in early 2022. This report highlights the OIG's: strategic goals with their related strategic objectives, organizational performance results against Key Performance Indicators (KPI), and accomplishments.

FY 2021 was extremely challenging for the nation as we continued to combat the Coronavirus (COVID-19) Pandemic and its impact on the health, welfare, and safety of the workforce and the public. As the COVID-19 Pandemic evolved, the OIG rose to the challenge and accomplished our important mission despite significant obstacles.

We remain committed to achieving our strategic goals, promoting internal positive change, identifying improvements to DOL programs and operations, and protecting the interests and benefits of the nation's workers and retirees.



Larry D. Turner

Inspector General



Luiz A. Santos

Deputy Inspector General



## THE OIG AND FISCAL YEAR 2021 PERFORMANCE HIGHLIGHTS



The OIG conducts audits to review the effectiveness, efficiency, economy, and integrity of all DOL programs and operations. The OIG also conducts investigations into alleged violations of federal laws relating to DOL programs, operations, and personnel. In addition, the OIG conducts criminal investigations to combat the influence of labor racketeering and organized crime in the nation's labor unions and employee benefit plans. The OIG also works with other law enforcement partners on human trafficking matters.

### In FY 2021, the OIG:

- Issued 33 audit and other reports that resulted in \$39.3 billion in funds put to better use and \$2 million in questioned costs.
- Conducted investigative work that resulted in 613 indictments, 263 convictions, and \$241.6 million in monetary accomplishments.
- Briefed the Executive Office of the President (EOP) and the Pandemic Response Accountability Committee (PRAC) outlining the COVID-19 support mission, specifically the OIG's investigative and audit work on Unemployment Insurance (UI) fraud
- Issued an updated *DOL-OIG Pandemic Response Oversight Plan – April 2021*.<sup>1</sup>
- Issued, as a member of the Pandemic Response Accountability Committee, 2 *PRAC Semiannual Reports to Congress*.<sup>2</sup>
- Identified 13 significant concerns that cause the Department to be at particular risk of fraud, mismanagement, waste, deficiencies, or abuse and 8 top management and performance challenges that present the most serious management and performance challenges facing DOL.
- Received an additional appropriation of \$12.5 million to conduct further pandemic-focused oversight activities.
- Received 4 awards from Council of the Inspectors General on Integrity and Efficiency (CIGIE) for exemplary work identifying fraud and weaknesses in DOL and other federal programs.
- Earned 11 awards from the Secretary of Labor for achievements in uncovering fraud and inefficiencies in DOL programs, as well as exceptional service.
- Assisted the Department of Homeland Security–OIG with a peer review of the system of quality control for the United States Postal Service–OIG's inspection and evaluation function.

<sup>1</sup> For our updated DOL-OIG Pandemic Oversight Plan, please visit our website at [https://www.oig.dol.gov/public/oaprojects/DOL\\_OIG\\_Updated\\_Pandemic\\_Response\\_Oversight\\_Plan.pdf](https://www.oig.dol.gov/public/oaprojects/DOL_OIG_Updated_Pandemic_Response_Oversight_Plan.pdf). The initial plan focused on the Department's response to the pandemic under the CARES Act and discussed work that DOL-OIG would conduct in four phases.

<sup>2</sup> For the *PRAC Semiannual Report to Congress* covering the period from October 1, 2020, through March 31, 2021 and the *PRAC Semiannual Report to Congress* covering April 1, 2021, through September 30, 2021, please visit the PRAC's website at <https://www.pandemicoversight.gov/oversight/our-publications-reports>.

## THE OIG AND FY 2021 SNAPSHOT

**Figure 1: FY 2021 Office of Investigations Selected Accomplishments**

Investigative recoveries, cost-efficiencies, restitutions, fines and penalties, forfeitures, and civil monetary action.....	\$241.6M
Investigative cases opened.....	473
Investigative cases closed/reports issued.....	172
Investigative cases referred for prosecution.....	365
Investigative cases referred for administrative/civil action.....	105
Indictments.....	613
Convictions.....	263
Statutory debarments.....	14

**Figure 2: FY 2021 Office of Audit Selected Accomplishments**

Funds Put to Better Use <sup>3</sup> .....	\$39.3B
Questioned Costs <sup>4</sup> .....	\$2.0M
Audit Reports issued.....	29
Other reports issued.....	4
<i>Program Reviews</i> .....	2
<i>Single Audits Quality Control Reviews Conducted</i> <sup>5</sup> .....	2
Recommendations for corrective action.....	133

Figures 1 and 2 above also include the OIG’s COVID-19 audit and investigative activities. The Funds Put to Better Use OIG estimated are a direct results of our COVID-19 oversight work.

<sup>3</sup> The term “recommendation that funds be put to better use” (FPTBU) means a recommendation by the OIG that funds could be used more efficiently or achieve greater program effectiveness if management took actions to implement and complete the recommendation. This term is defined by the Inspector General Act and includes, among other things, reductions in future outlays; deobligation of funds from programs or operations; costs not incurred in the future by implementing recommended improvements related to the operations of the establishment, a contractor, or a grantee; and any other savings specifically identified, including reverting funds to the U.S. Treasury to be used for other purposes.

<sup>4</sup> As defined by the Inspector General Act, questioned costs include alleged violations of law, regulations, contracts, grants, or agreements; costs not supported by adequate documentation; or the expenditure of funds for an intended purpose that was unnecessary or unreasonable.

<sup>5</sup> Since 2004, the OIG has assisted DOL agencies with the requirements of Office of Management and Budget’s (OMB) *Uniform Administrative Requirements, Cost Principles, and Audit* (2 C.F.R. Part 200) by reviewing and providing single audit reports from the Federal Audit Clearinghouse, an effort that the OIG was not required to do. Effective October 1, 2020, the OIG no longer assists DOL agencies with respect to requirements; however, cognizant federal agencies must oversee the implementation of single audit requirements. DOL is currently cognizant for six entities, and the OIG periodically performs quality control reviews (QCRs) of the entities’ single audits.

# TOP MANAGEMENT AND PERFORMANCE CHALLENGES FOR DOL

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The OIG identified the most serious management and performance challenges facing DOL.<sup>6</sup> These challenges are included in DOL's "Agency Financial Report" for FY 2021. The 8 challenges we identified are:

- Identifying and Reducing Unemployment Insurance Improper Payments;
- Protecting the Safety and Health of Workers;
- Helping Adults and Youth Succeed in the Labor Market;
- Providing a Safe and Healthy Learning Environment at Job Corps Centers;
- Maintaining the Integrity of Foreign Labor Certification Programs;
- Protecting Retirement, Health, and Other Benefit Plans for Workers, Retirees, and their Families;
- Managing Medical Benefits in Office of Workers' Compensation Programs, including Opioids; and
- Securing and Managing Information Systems.

We summarized these challenges, significant DOL progress to date, and what remains to be done in our *Top Management and Performance Challenges Facing the Department of Labor – November 2021* report.<sup>7</sup>

## RESPONSE TO THE COVID-19 PANDEMIC

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DOL-OIG received an appropriation of \$26 million to conduct oversight activities of DOL's response to the COVID-19 Pandemic under the Coronavirus Aid, Relief, and Economic Security Act (CARES Act).<sup>8</sup> Specifically, we received \$25 million to oversee the unprecedented expansion of the UI programs provisioned by the Act and \$1 million for oversight of DOL activities supported with funds appropriated to prepare for and respond to the COVID-19 pandemic. Funding for oversight related to activities other than UI programs is provided by the \$1 million CARES Act funding, as appropriate, or by reprioritization of existing DOL-OIG resources. In March 2021, DOL-OIG received an additional \$12.5 million to conduct further pandemic-focused oversight activities under the American Rescue Plan Act of 2021 (ARP Act).<sup>9</sup>

<sup>6</sup> The Reports Consolidation Act of 2000 requires OIG to identify the most serious management and performance challenges facing DOL.

<sup>7</sup> For the *Top Management and Performance Challenges Facing the Department of Labor – November 2021* report, please visit our website at <https://www.oig.dol.gov/public/DOL%202021%20Top%20Management%20and%20Performance%20Challenges.pdf>.

<sup>8</sup> Public Law No. 116-136. For full text of the CARES Act, please visit <https://www.congress.gov/116/plaws/publ136/PLAW-116publ136.pdf>.

<sup>9</sup> Public Law No: 117-2. For the full text of the ARP Act, please visit <https://www.congress.gov/117/plaws/publ2/PLAW-117publ2.pdf>.

## DOL-OIG PANDEMIC RESPONSE OVERSIGHT PLAN

DOL-OIG updated Pandemic Oversight Plan published in April 2021 as we continued to conduct risk assessments to identify specific areas for review.<sup>10</sup> Our oversight focused on the Department's response to the COVID-19 Pandemic, particularly under the CARES Act, and includes additional work funded by the ARP Act. DOL-OIG is conducting its oversight work in four phases covering the allocation periods for CARES Act funds and post-allocation.

### **Completed Work—Phases 1 and 2**

During Phases 1 and 2, DOL-OIG addressed DOL's plans and initial implementation of administration and oversight activities.<sup>11</sup>

#### *Audit Oversight Focus:*

DOL-OIG's primary focus was on the Employment and Training Administration's (ETA) UI programs for which we issued six audit reports. Our first report, an advisory report, identified 6 initial areas of concern for ETA and the states to consider as they implemented the UI provisions included in the CARES Act: state preparedness; initial eligibility determinations; benefit amount; return to work; improper payment detection and recovery; and program monitoring. Our five subsequent reports identified continued programmatic weaknesses in each of these same areas. In total, we estimated over \$39 billion in potentially fraudulent UI benefits were paid using CARES Act funds.<sup>12</sup>

Our pandemic oversight under Phases 1 and 2 also covered other DOL agencies and programs including the Occupational Safety and Health Administration (OSHA), Mine Safety and Health Administration (MSHA), Wage and Hour Division (WHD), Office of Workers' Compensation Programs (OWCP), ETA training programs and the Office of Job Corps. We issued seven reports covering these agencies and made recommendations to address weaknesses relating to worker safety and program effectiveness.

#### *Investigative Oversight Focus:*

DOL-OIG's Special Agents focused heavily on increasing investigative and analytical resources to identify and investigate those areas with the greatest potential impact on the Department's programs, with a significant focus on large-scale identity theft related UI fraud. When investigations or data analytics identified programmatic vulnerabilities, our special agents coordinated with audit staff to ensure weaknesses were addressed when appropriate.

We opened over 30,000 investigative matters related to the pandemic. In addition, we have received over 170,000 UI fraud complaints from the National Center for Disaster Fraud. The vast majority of these matters involve identify theft related UI fraud. In response to this unprecedented amount of potential UI fraud, we increased our field investigative staff by over 20

<sup>10</sup> For our updated DOL-OIG Pandemic Oversight Plan, please visit our website at [https://www.oig.dol.gov/public/oaprojects/DOL\\_OIG\\_Updated\\_Pandemic\\_Response\\_Oversight\\_Plan.pdf](https://www.oig.dol.gov/public/oaprojects/DOL_OIG_Updated_Pandemic_Response_Oversight_Plan.pdf). The initial plan focused on the Department's response to the pandemic under the CARES Act and discussed work that DOL-OIG would conduct in four phases.

<sup>11</sup> All reports we issued during Phases 1 and 2 of our pandemic oversight plan are available at our Pandemic Response Portal: [https://www.oig.dol.gov/OIG\\_Pandemic\\_Response\\_Portal.htm](https://www.oig.dol.gov/OIG_Pandemic_Response_Portal.htm).

<sup>12</sup> Additional details are provided in Report No. 19-21-002-03-315, *Alert Memorandum: ETA Needs to Ensure SWAs Implement Effective Unemployment Insurance Program Fraud Controls for High Risk Areas*, (February 22, 2021) found at <https://www.oig.dol.gov/public/reports/oa/2021/19-21-002-03-315.pdf> and Report No. 19-21-004-03-315, *COVID-19: States Struggled to Implement Cares Act Unemployment Insurance Programs*, (May 28, 2021) found at <https://www.oig.dol.gov/public/reports/oa/2021/19-21-004-03-315.pdf>.



percent, and our special agents prioritized their case inventory so that 90 percent of the investigative workload focused on UI fraud.

DOL-OIG's investigative efforts directly resulted in the identification and recovery of over \$790 million in fraud involving the UI program. In addition, our Special Agents assisted in the identification and recovery of over \$565 million in fraudulent UI benefits.

### **Ongoing and Planned Work—Phases 3 and 4**

Phase 3 audit activities are focusing on significant issues DOL-OIG identified during Phase 2, lessons learned, impacts on normal operations at both the national and state levels and agency activities not previously covered during Phases 1 and 2. In addition, we will conduct audit work assessing DOL's actions in response to new COVID-19 related legislation in both Phase 3 and Phase 4. Our investigative activities will continue to focus on criminal investigations and coordinating with auditors to identify systemic program weaknesses or fraud vulnerabilities.

Phase 4 activities will continue to monitor and assess DOL's actions relating to COVID-19 in response to any new legislation enacted by Congress. This phase will also include after-the-fact assessments of program results during the pandemic, including the impact on agency operations and the lessons learned. Our investigative efforts will focus on evaluating ongoing, long-term, complex criminal UI fraud schemes. Many of these investigations will extend beyond our estimated completion date for Phase 4.

## **PANDEMIC RESPONSE ACCOUNTABILITY COMMITTEE**

Established in March 2020 by the CARES Act, the PRAC is a CIGIE Committee.<sup>13</sup> The CARES Act specifically identifies Inspectors General (IGs) from nine agencies, including DOL-OIG, as members of the PRAC.

The PRAC released its Strategic Plan for 2020 through 2025 in July 2020.<sup>14</sup> The plan identifies four goals that support the PRAC's mission and vision:

- Promote transparency;
- Promote coordinated, comprehensive oversight;
- Prevent and detect fraud, waste, abuse, and mismanagement; and
- Ensure effective and efficient PRAC operations.

## **FY 2021 PRAC SEMI-ANNUAL REPORT ACCOMPLISHMENTS**

The PRAC issued 2 FY 2021 Semiannual Reports to Congress.<sup>15</sup> A total of 36 OIGs issued 222 oversight reports related to the COVID-19 pandemic response, and a total of 17 OIGs had 975 indictments/complaints, 749 arrests, and 366 convictions related to the Federal Government's

<sup>13</sup> CIGIE is an independent entity established within the executive branch by the Inspector General Act of 1978, as amended, which includes the 75 statutorily created federal IGs who share a mission to address integrity, economy, and effectiveness issues transcending individual government agencies.

<sup>14</sup> For the full strategic plan, please visit the PRAC's website at <https://www.pandemicoversight.gov/media/file/prac-strategic-plan>.

<sup>15</sup> For the *PRAC Semiannual Report to Congress* covering the period from October 1, 2020, through March 31, 2021 and the *PRAC Semiannual Report to Congress* covering April 1, 2021, through September 30, 2021, please visit the PRAC's website at <https://www.pandemicoversight.gov/oversight/our-publications-reports>.

COVID-19 pandemic response. The table below presents a summary of DOL-OIG activities captured in the above statistics from the FY 2021 PRAC Semiannual Reports:

**Table 1: DOL-OIG COVID-19  
Audit and Investigative Activities from October 1, 2020, through September 30, 2021**

Audit Activities	
Oversight Reports	9
Investigative Activities <sup>16</sup>	
Indictments/Criminal Complaints (# of Defendants)	485
Arrests	485
Convictions	128

Appendix D contains additional information and details for the 9 COVID-19 Pandemic-related oversight reports issued by DOL-OIG. We will continue to work with our OIG partners to identify major risks that cut across DOL programs and agency boundaries.

## TOP PANDEMIC CHALLENGES FOR DOL

As a member of the PRAC, DOL-OIG identified the top COVID-19 Pandemic related challenges facing DOL. The two challenges we identified are:

- Responding Expeditiously to the COVID-19 Pandemic while Protecting the Integrity of the UI program; and
- Protecting the Safety and Health of Workers.

We summarize these challenges in our *Top Pandemic Challenges Facing the Department of Labor – June 2020* report.<sup>17</sup> The PRAC also published an *Update Top Challenges in Pandemic Relief and Response – February 2021* report containing submissions from OIGs overseeing agencies involved in the COVID-19 Pandemic response, including DOL-OIG, as well as adding 4 new challenges for a total of 8 Top Challenges In Pandemic Relief and Response:<sup>18</sup>

**Table 2: 8 Top Challenges in Pandemic Relief and Response**

Top Challenges In Pandemic Relief and Response			
Financial Management of Relief Funding	Grants and Guaranteed Loan Management	Information Technology Security and Management	Protecting Health and Safety
Preventing and Detecting Fraud against Government Programs	Informing and Protecting the Public from Pandemic-Related Fraud	Data Transparency and Completeness	Federal Workforce Safety

<sup>16</sup> Data assembled by the PRAC from the U.S. Department of Justice RSS feed.

<sup>17</sup> For the *Top Pandemic Challenges Facing the Department of Labor – June 2020* report, please visit our website at <https://www.oig.dol.gov/public/Top%20Pandemic%20Challenges%20June%202020.pdf>.

<sup>18</sup> For the *Update Top Challenges in Pandemic Relief and Response – February 2021* report, please visit the PRAC's website at <https://www.pandemicoversight.gov/media/file/update-top-challenges-pandemic-relief-and-response>.

# EVIDENCE-BASED PERFORMANCE AND PROGRESS MANAGEMENT

The OIG is a performance-based organization, as defined and described by the Office of Management and Budget's (OMB) Circular A-11. A performance-based organization commits to manage towards specific, measurable goals derived from a defined mission, using performance data to enhance operations. The concept of a performance-based organization was codified in the Government Performance and Results Act of 1993 (GPRA) and updated by the Government Performance and Results Act Modernization Act in 2010 (GPRAMA).

The OIG complies with various laws and their implementing regulations, instructions, or information provided to agencies by OMB, as well as federal law enforcement and auditing policies, guidance, and professional standards.<sup>19</sup>

## FYs 2021 AND 2022 MEASURE CHANGES, AND FY 2023 MEASURE DEVELOPMENT

The OIG assesses the achievement of its strategic goals by leveraging Enterprise Risk Management (ERM) assessments and using KPIs for each OIG component.<sup>20</sup> In collaboration with the IG, Deputy Inspector General (DIG), and the Chief Performance and Risk Management Officer (CPRMO), each Assistant Inspector General (AIG) and the Counsel to the IG defines parameters for the success criteria during the development of their component's performance measures.

The OIG continuously improves its measurement strategies by providing clear definitions for strategic objectives and performance indicators, and by leveraging verification and validation techniques. The OIG used these strategies to enhance the accuracy and data quality of performance and progress reported in this APR for FY 2021 and will continue employing these strategies in future FYs.

**Table 3: OIG Measurement Strategy and Performance Framework**

	Number of KPIs	Number of Strategic Objectives
FY 2017	56	18
FY 2018	56	13
FY 2019	56	13
FY 2020	60	13
FY 2021	65	13
FY 2022	70	13

<sup>19</sup> See Appendix A for an overview of some of the statutory laws with provisions affecting the OIG's mission and work.

<sup>20</sup> See Appendix B for OIG's organizational structure and an overview of OIG organizational components.

The OIG refined and in some cases retired measures between FYs and APRs, as well as developed new measures for FYs 2022 and 2023, to enhance organizational performance and improve the accuracy and quality of performance data and progress.

Appendix C contains the targets and results for FYs 2016 through 2021 measures that the OIG retired in FYs 2018 through 2022.

The OIG leveraged FYs 2016 through 2021 baseline data and benchmarks to set performance targets for FYs 2022 and 2023. Going forward, the OIG may update FYs 2022 and 2023 performance indicators to incorporate risk mitigation plans, best practices, and lessons learned, as well as to improve data accuracy and quality.

## STRATEGIC GOALS AND OBJECTIVES

Three strategic goals guide our work and focus on ensuring sustainability, accountability, and transparency in our operations:

Table 4: OIG Strategic Goals

<b>Strategic Goal 1</b>	Deliver timely, relevant, and high-impact results.
<b>Strategic Goal 2</b>	Foster an internal OIG culture that drives high performance and engagement.
<b>Strategic Goal 3</b>	Promote responsible stewardship of OIG financial and non-financial resources.

## STRATEGIC GOAL ALIGNMENT

The OIG strategic goals generally align with those of DOL, as indicated below:

Table 5: OIG Goals Alignment with DOL Goals

The OIG Goals Alignment with DOL Goals FYs 2022 - 2026					
	DOL STRATEGIC GOALS			DOL STATISTICAL GOAL	DOL MANAGEMENT GOAL
	Build Opportunity and Equity for All	Ensure Safe Jobs, Essential Protections, and Fair Workplaces	Improve Administration of and Strengthen Worker Safety Net Programs	Statistical Goal – Produce Gold-Standard Statistics and Analyses	A Department Grounded in Evidence, Innovation, and Employee Engagement
<b>OIG Goals</b>					
Goal 1: Deliver timely, relevant, and high-impact results	X	X	X	X	X
Goal 2: Foster an internal OIG culture that drives high performance and engagement	X	X	X	–	X
Goal 3: Promote responsible stewardship of OIG financial and non-financial resources	–	–	–	X	X

## OVERVIEW OF FY 2021 PERFORMANCE

To present the most current information, this FY 2021 APR and FY 2022 – FY 2023 APP integrates reporting of OIG's FYs 2016 through 2021 performance with its updated performance plan for the current fiscal year (FY 2022) and next fiscal year (FY 2023). This combined approach provides a retrospective and prospective view of OIGs performance, consistent with OMB guidelines.

Table 6: Overview of OIG's FY 2021 Performance

	Missed Target	Met Target	Exceeded Target	N/A	Total KPIs for FY 2021	New FY 2022 and (Retired) FY 2021 KPIs	Total KPIs for FY 2022
<b>Strategic Goal 1</b>	<b>5</b>	<b>4</b>	<b>23</b>	<b>2</b>	<b>34</b>	<b>4 (4)</b>	<b>34</b>
<i>Objective 1.1</i>	2	0	6	1	9	1 (1)	9
<i>Objective 1.2</i>	2	4	9	1	16	2 (2)	16
<i>Objective 1.3</i>	1	0	3	0	4	0 (0)	4
<i>Objective 1.4</i>	0	0	2	0	2	0 (0)	2
<i>Objective 1.5</i>	0	0	3	0	3	1 (1)	3
<b>Strategic Goal 2</b>	<b>2</b>	<b>1</b>	<b>9</b>	<b>1</b>	<b>13</b>	<b>11 (5)</b>	<b>19</b>
<i>Objective 2.1</i>	0	1	0	1	2	6 (2)	6
<i>Objective 2.2</i>	1	0	2	0	3	0 (0)	3
<i>Objective 2.3</i>	1	0	4	0	5	3 (3)*	5
<i>Objective 2.4</i>	0	0	3	0	3	2 (0)	5
<b>Strategic Goal 3</b>	<b>1</b>	<b>3</b>	<b>14</b>	<b>0</b>	<b>18</b>	<b>2 (3)</b>	<b>17</b>
<i>Objective 3.1</i>	1	0	5	0	6	0 (1)	5
<i>Objective 3.2</i>	0	2	0	0	2	1 (1)	2
<i>Objective 3.3</i>	0	0	7	0	7	1 (1)*	7
<i>Objective 3.4</i>	0	1	2	0	3	0 (0)	3
<b>Total</b>	<b>8</b>	<b>8</b>	<b>46</b>	<b>3</b>	<b>65</b>	<b>17 (12)</b>	<b>70</b>

\* OIG reassigned 2 KPIs within Strategic Objective 2.3 and 1 KPI in Strategic Objective 3.3 noted as "retired" to other components.

The following sections present the three OIG strategic goals with their related strategic objectives, selected accomplishments and examples of our work, organizational performance results against KPIs, and performance improvement plans for KPIs the OIG did not meet (highlighted in red):

- Strategic Goal 1—Deliver timely, relevant, and high-impact results;
- Strategic Goal 2—Foster an internal OIG culture that drives high performance and engagement; and
- Strategic Goal 3—Promote responsible stewardship of OIG financial and non-financial resources.

Appendix C contains the targets and results for FYs 2016 through 2021 measures that OIG retired from FY 2018 through 2022.



# **STRATEGIC GOAL 1—DELIVER TIMELY, RELEVANT, AND HIGH-IMPACT RESULTS**

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## STRATEGIC GOAL 1

### *Deliver timely, relevant, and high-impact results*

The OIG seeks to strengthen DOL key programs and operations through its work. We employ risk-based approaches to prioritize and target audits and investigations in key areas that provide the greatest impact and address the highest risks. Goal 1 includes proactive engagement of key OIG stakeholders to solicit their input to identify potential audits and investigations.

## GOAL 1 STRATEGIC OBJECTIVES

Table 7: Strategic Objectives for Goal 1

1.1	Strengthen DOL's key programs and operations through our work and other deliverables.
1.2	Improve our work processes to drive the timely completion of relevant and impactful audits and investigations within working models.
1.3	Employ a risk-based approach to prioritize and target audits and investigations on areas that provide the greatest impact and address the highest risks.
1.4	Timely articulate to our external stakeholders the relevance, impact, and value of our work in each product.
1.5	Proactively engage our key stakeholders to seek their input for identifying potential audits and investigations.

## GOAL 1 SELECTED ACCOMPLISHMENTS – OFFICE OF AUDIT

- The OIG identified a concern during the audit of DOL's response to the UI program's expansion under the CARES Act. An examination, in collaboration with the OIG's Office of Investigations, identified billions of potentially fraudulent UI benefits paid to individuals who: 1) filed in multiple states, 2) used Social Security numbers of deceased persons, 3) were federal inmates, or 4) used suspicious email accounts to file for UI claims.<sup>21</sup> As of January 2, 2021, we estimated at least \$39.2 billion in improper payments, including fraud, were at risk of not being detected and recovered, and could have been put to better use. We also found that ETA did not provide adequate oversight to prevent states from inaccurately reporting overpayments and fraudulent payments. Thus, ETA could neither ensure that its management of billions of dollars in supplemental program funding achieved the desired outcome and sufficiently met the requirements of the CARES Act nor could ETA adequately monitor criminal and civil actions involving fraudulent payments, including the age of outstanding overpayments. Lastly, ETA may not be able to accurately identify trends, weaknesses, or vulnerabilities in the CARES Act UI programs.<sup>22</sup>

<sup>21</sup> Report No. 19-21-002-03-315, *Alert Memorandum: ETA Needs to Ensure SWAs Implement Effective Unemployment Insurance Program Fraud Controls for High Risk Areas*, (February 22, 2021) found at <https://www.oig.dol.gov/public/reports/oa/2021/19-21-002-03-315.pdf>.

<sup>22</sup> Report No. 19-21-004-03-315, *COVID-19: States Struggled to Implement Cares Act Unemployment Insurance Programs*, (May 28, 2021) found at <https://www.oig.dol.gov/public/reports/oa/2021/19-21-004-03-315.pdf>.

- The OIG found that ETA did not establish time lines for disaster relief and provided minimal oversight of its state grantees, and subrecipients did not follow requirements for the use of funds and verification of participant eligibility when they self-certified. ETA also did not ensure that grantees helped local areas to restore communities in a timely manner or that out-of-work participants received expeditious disaster relief assistance. In addition, ETA grantees did not maximize the number of participants who obtained employment as intended by the grants and they had significantly underperformed on enrolling participants in training and returning them to full-time employment, as intended by some of the grants. Furthermore, ETA did not ensure that disaster relief funds were used efficiently and effectively. We found \$2 million in questioned costs, consisting of \$1.6 million for costs that were not supported by adequate documentation and over \$430 thousand that were not necessary for the wildfire and hurricane grants.<sup>23</sup>
- The OIG determined that while ETA made progress in achieving some of the American Apprenticeship Initiative (AAI) grant program's goals, systemic weaknesses throughout the program resulted in ETA not sufficiently planning and executing the AAI grant program. We found systemic weaknesses in the execution, as well as in the planning and award processes, of the AAI grant program. For execution, 88.5 percent of the apprenticeships did not meet the specialty occupation criteria for H-1B visas, and, often, they were not in H-1B occupations, which makes it difficult for ETA to demonstrate that the program has helped reduce the U.S. need for foreign workers under the H-1B visa program. As a result, ETA could have put more than \$155 million in funds to better use by having grant recipients create apprenticeships that either start in H-1B occupations or have career pathways leading to H-1B occupations at the end of the apprenticeship. Moreover, ETA could have put \$4.5 to \$10 million of funds to better use in future grant programs if it had made AAI grants that adhered to its own guidance.<sup>24</sup>
- The OIG found that the Occupational Safety and Health Administration's (OSHA) diminished enforcement efforts left more workers at risk for exposure to silica. OSHA did not fully invoke, via inspection activity, the rule's greater protections to minimize workers' exposures to hazardous conditions and we uncovered that OSHA's silica inspections declined by more than 50 percent in the 2 FYs after the final rule first became enforceable. Lastly, OSHA did not set clear goals and processes for evaluating whether outreach efforts sufficiently reached covered industries and the millions of workers at risk for silica exposure.<sup>25</sup>

<sup>23</sup> Report Number 02-21-002-03-391, *ETA Needs to Improve its Disaster National Dislocated Worker Program*, (January 29, 2021) found at <https://www.oig.dol.gov/public/reports/oa/2021/02-21-002-03-391.pdf>.

<sup>24</sup> Report No. 05-21-004-03-375, *ETA Did Not Sufficiently Plan and Execute the American Apprenticeship Initiative Grant Program*, (September 30, 2021) found at <https://www.oig.dol.gov/public/reports/oa/2021/05-21-004-03-375.pdf>.

<sup>25</sup> Report No. 02-21-003-10-105, *OSHA'S Diminished Enforcement Left More Workers At Risk for Exposure to Silica*, (September 19, 2021) found at <https://www.oig.dol.gov/public/reports/oa/2021/02-21-003-10-105.pdf>.

- The OIG determined that the Mine Safety and Health Administration (MSHA) had not sufficiently protected coal miners from exposure to respirable crystalline silica. MSHA's silica exposure limit is out of date. Despite a significant body of evidence showing that a lower silica exposure limit would be a major factor in preventing coal workers' deaths and illnesses caused by silica exposure, we found that MSHA has not changed its legal silica exposure limit in more than 50 years. In addition, because MSHA has not established a separate standard for silica limits in coal mines, MSHA cannot cite and fine mine operators for excess silica exposure alone. Finally, MSHA's silica quarterly sampling protocols may be too infrequent to be sufficiently protective.<sup>26</sup>

## GOAL 1 SELECTED ACCOMPLISHMENTS – OFFICE OF INVESTIGATIONS

- Elvin German was arrested and charged with wire fraud and aggravated identity theft in connection with a COVID-19 unemployment benefit scheme that resulted in the loss of more than \$1.4 million from the New York State Department of Labor (NYS DOL). German allegedly engaged in a scheme to obtain COVID-19 unemployment benefits by fraudulently filing and verifying applications using the names and Social Security numbers of more than 250 people. The NYS DOL was alerted of the suspicious activity based on metadata associated with the applications, which were either submitted and/or verified on a weekly basis from the same internet protocol ("IP") address. Additionally, the applications had the same security questions and responses, including that the applicant's first pet was named Benji. During a search of his residence, agents found approximately \$7,000 in cash, a computer loaded with the NYS DOL unemployment benefits web page, and the Personally Identifiable Information (PII) of four individuals open in an adjacent computer file and, consistent with the security question used in the fraudulent applications, a dog wearing a collar inscribed with the name "Benji."<sup>27</sup>
- Prince Okai was sentenced to a term of 57 months in prison followed by three years of supervised release and Obinna Nwosu was sentenced to a term of 37 months in prison followed by three years of supervised release for pleading to conspiracy to commit money laundering. With 21 other individuals, Nwosu and Okai laundered funds originated from the targeting of Employee Retirement Income Security Act (ERISA) covered retirement accounts, business e-mail compromise schemes, and online romance schemes. Nwosu was ordered to pay more than \$1 million in restitution. In addition, the U.S. Attorney's Office for the Northern District of Georgia submitted an order and judgment of forfeiture seeking a personal judgment against Nwosu, in the amount of \$979,612.51 requiring Nwosu to forfeit all assets, amounting to nearly \$1 million, to the U.S. government. Okai was ordered to pay \$4,950,586.54 in restitution. In addition, the U.S. Attorney's Office for the Northern District of Georgia submitted an Order and Judgment of Forfeiture seeking personal judgement against Okai, requiring that Okai forfeit all assets, amounting to \$3.5 million, to the U.S. government.<sup>28</sup>

<sup>26</sup> Report No. 05-21-001-06-001, *MSHA Needs to Improve Efforts to Protect Coal Miners from Respirable Crystalline Silica*, (November 12, 2020) found at <https://www.oig.dol.gov/public/reports/oa/2021/05-21-001-06-001.pdf>.

<sup>27</sup> This was a joint investigation with the U.S. Secret Service. *United States v. Elvin German* (S.D. New York).

<sup>28</sup> This was a joint investigation with the Federal Bureau of Investigation (FBI), Homeland Security Investigations, U.S. Secret Service, and DOL-Employee Benefits Security Administration (EBSA). *United States v. Obinna Nwosu* (N.D. Georgia), *United States v. Prince Okai* (N.D. Georgia).

- Fiat Chrysler Automobiles (FCA) US LLC pleaded guilty to conspiring to violate the Labor Management Relations Act by making illegal payments to officers of the International Union, United Automobile, Aerospace, and Agricultural Implement Workers (UAW). Under the terms of the plea agreement, FCA has agreed to pay a fine of \$30 million and be subject to federal oversight. FCA admitted the company had conspired with other entities and individuals to violate the Taft- Hartley Act from 2009-2016 by making more than \$3.5 million in illegal payments to officers of the UAW. The illegal payments to UAW officials took various forms and were passed through the UAW-Chrysler Skill Development & Training Program, which was supposed to provide training and health and safety protections for FCA workers.<sup>29</sup>
- Lucine Ilangezyan was sentenced to 18 months in prison and ordered to pay almost \$8 million in restitution. As the former insurance biller, Ilangezyan engaged in a scheme with the owners of the R&R Medspa clinic to submit fraudulent claims to health insurance companies, including the International Longshore and Warehouse Union, Pacific Maritime Association Benefit Plan. The proceeds from the scheme were used to provide patients with “free” cosmetic procedures. Ilangezyan and her co-conspirators induced patients to visit the clinics to receive a variety of free cosmetic procedures not covered by insurance. The co-conspirators obtained insurance information from the patients and fraudulently billed insurance companies for unnecessary medical services or for services that were never provided. During the course of the conspiracy, Ilangezyan and her co-conspirators submitted more than \$20 million in claims to the insurance companies, which paid almost \$8 million on those claims.<sup>30</sup>
- Chaim Stern was sentenced to 30 months in prison for embezzlement and tax offenses related to his operation of nursing homes in Bridgeport and Waterbury, Connecticut. He also was ordered to pay more than \$4.1 million to his employees’ pension plan and almost \$2.5 million to the Internal Revenue Service. Over an approximately 7-year period, Stern stole approximately \$4.1 million from the Bridgeport Health Care Center (BHCC) Pension Plan, over which he was the trustee, principally by diverting the money to a purported charity (called Em Kol Chai), which he controlled, as well as to himself and other entities. In addition, Stern misapplied approximately \$305,000 from the BHCC Health Plan by diverting the money from a stop-loss insurance plan that was intended to pay for an employee health claim and, instead, used it for other purposes, including Em Kol Chai, the operation of the BHCC, and for his personal use. Stern also failed to pay millions of dollars in other health insurance claims that he was obligated to pay on behalf of his employees, resulting in many cases of debt collection action against employees by the health care providers. In addition, Stern failed to pay outstanding health care claims and caused BHCC and Rosegarden to fail to pay employment taxes he collected from BHCC and Rosegarden employees. The total tax loss resulting from Stern’s conduct is more than \$4.3 million.<sup>31</sup>

<sup>29</sup> This was a joint investigation with the U.S. Department of Labor, Office of Labor Management Standards, the Internal Revenue Service (IRS), IRS-Criminal Investigation (IRS-CI), and the FBI. *United States of America v. FCA US LLC* (E.D. Michigan).

<sup>30</sup> This was a joint investigation with DOL-EBSA, Los Angeles Regional Office. *United States v. Roxy Khadem et al. Lucine Ilangezyan* (C.D. California)

<sup>31</sup> This was a joint investigation with DOL-EBSA, Boston Regional Office, and IRS-CI. *United States v. Chaim Stern* (D. Connecticut).



## GOAL 1 PERFORMANCE RESULTS



Table 8: Performance Results for Goal 1<sup>32</sup>

Strategic Objective 1.1

FY 2021 Performance Indicators	Responsible Component	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2021 Results	FY 2022 Targets	FY 2023 Targets	Notes
Percentage of audit recommendations accepted by DOL within 12-months of issuance of final audit report.	OA	90%	87%	90%	93%	90%	86%	90%	92%	90%	92%	90%	90%	
Percentage of audit recommendations stemming from discretionary audits that address the risks impacting DOL's missions.	OA	70%	91%	70%	95%	80%	89%	80%	93%	85%	94%	90%	90%	
Percentage of investigations closed in the fiscal year that resulted in a criminal, civil, administrative action, or monetary outcome.	OI	70%	69%	60%	67%	60%	60%	60%	58%	60%	73%	60%	60%	

<sup>32</sup> OA = Office of Audit, OCPR = Office of Congressional and Public Relations, OI = Office of Investigations, OLS = Office of Legal Services, OMAP = Office of Management and Policy, and OSI = Office of Special Investigations.

Strategic Objective 1.1 - continued

FY 2021 Performance Indicators	Responsible Component	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2021 Results	FY 2022 Targets	FY 2023 Targets	Notes
Percentage of formal Congressional requests acknowledged within 5 business days.	OCPD	90%	100%	90%	100%	90%	100%	95%	100%	95%	100%	95%	95%	
Percentage of simple Freedom of Information Act (FOIA) and Privacy Act requests for OIG records completed within 20 working days.	OLS	90%	94%	90%	100%	90%	100%	90%	100%	90%	89%	90%	90%	
Percentage of complex FOIA and Privacy Act requests that are acknowledged in writing while providing an anticipated completion date to the requestor within 20 working days.	OLS	90%	96%	90%	69%	90%	100%	90%	98%	90%	96%	90%	90%	
Percentage of audit recommendations implemented within 5 years.	OA	New FY 2019 Measure	New FY 2019 Measure	New FY 2019 Measure	New FY 2019 Measure	85%	75%	85%	89%	85%	84%	85%	85%	
Reduce backlog of outstanding audit reports.	OA	New FY 2019 Measure	New FY 2019 Measure	New FY 2019 Measure	New FY 2019 Measure	10%	59%	75%	59%	75%	88%	75%	75%	
Percentage of COVID-19 related recommendations implemented within 1 year of final report issuance.	OA	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	70%	70%	

Strategic Objective 1.2

FY 2021 Performance Indicators	Responsible Component	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2021 Results	FY 2022 Targets	FY 2023 Targets	Notes
Percentage of draft audit reports approved by the Assistant Inspector General within 90 days following audit field work.	OA	75%	68%	75%	76%	75%	78%	75%	87%	80%	83%	85%	85%	
Percentage of referrals from the OWCP Integrity Unit, the WHD and the OFLC that are reviewed, evaluated, and closed to a final disposition or converted to an investigation within 90 days of receipt by the investigating field office.	OI	New FY 2018 Measure	New FY 2018 Measure	80%	100%	80%	94%	80%	83%	80%	95%	85%	85%	
Percentage of allegations that are either closed or converted to full investigations within 90 days of receipt.	OSI	88%	99%	88%	98%	88%	90%	88%	90%	88%	88%	90%	90%	
Percentage of investigations completed (referred for prosecution / administrative / civil proceedings, or closed) within 12 months of case opening.	OSI	70%	98%	70%	92%	80%	80%	85%	88%	90%	87%	90%	90%	

Strategic Objective 1.2 - continued

FY 2021 Performance Indicators	Responsible Component	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2021 Results	FY 2022 Targets	FY 2023 Targets	Notes
Percentage of subpoena requests reviewed by OLS within 3 business days.	OLS	New FY 2018 Measure	New FY 2018 Measure	90%	97%	90%	73%	90%	94%	90%	90%	90%	90%	
Percentage of mission support improvement activities that are completed based on OMAP's biennial customer satisfaction survey results action plan.	OMAP	New FY 2018 Measure	New FY 2018 Measure	60%	75%	N/A	N/A	60%	100%	N/A	N/A	60%	N/A	
Percentage of Complaints referred from the Complaint Analysis Office (CAO) that are evaluated and closed to a final disposition or converted to an investigation within 180 days of receipt by the investigating field office.	OI	New FY 2018 Measure	New FY 2018 Measure	80%	96%	80%	90%	80%	87%	80%	52%	80%	80%	
Percentage of separating OIG employees who are provided a Records Management Exit Check List within 7 business days of the Records Management Office receiving notice of the employee's impending separation.	OLS	New FY 2018 Measure	New FY 2018 Measure	90%	75%	80%	96%	80%	96%	90%	96%	90%	90%	Previous measurement stated "... who received a Records Management Exit Check List within 72 hours ...". Refinement made prior to the beginning of FY 2018.

Strategic Objective 1.2 - continued

FY 2021 Performance Indicators	Responsible Component	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2021 Results	FY 2022 Targets	FY 2023 Targets	Notes
Number of biennial OMAP Customer Satisfaction Surveys to seek stakeholder feedback and assess the effectiveness of mission support activities within the OIG.	OMAP	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	1	1	N/A	1	OIG introduced this KPI as an annual metric; however, OIG refined this measurement to a biennial basis (every 2 years) beginning in FY 2019. In FY 2021, OIG updated the measuring scheme from a date to a percentage.
Percentage of audits completed within 12 months of initiation (entrance conference) during the Fiscal Year.	OA	New FY 2020 Measure	New FY 2020 Measure	New FY 2020 Measure	New FY 2020 Measure	New FY 2020 Measure	70%	86%	75%	75%	78%	80%	80%	Previous FY's measurement stated "... within 12 months of initiation (date of engagement letter)"; as such, prior results are not directly comparable. Please see Appendix C for historical results of previous KPI, and applicable performance improvement plans.
Percentage of all Hotline complaints that are reviewed and logged within 10 calendar days from receipt.	OI	90%	95%	90%	92%	90%	100%	90%	89%	90%	99%	90%	90%	Previous FY's measurement stated "10 business" days. Refinement made prior to the beginning of FY 2018, and this refinement did not affect prior FY performance results. Responsibility for Hotlines transferred from OLS to OI during the FY 2019 3 <sup>rd</sup> Quarter. Prior to FY 2020, OLS was responsible for this KPI.



Strategic Objective 1.2 - continued

FY 2021 Performance Indicators	Responsible Component	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2021 Results	FY 2022 Targets	FY 2023 Targets	Notes
Percentage of all Hotline complaints that are acknowledged in writing, as well as reviewed and referred to the appropriate OIG Office or DOL component within 35 calendar days.	OI	90%	84%	90%	92%	90%	95%	90%	83%	90%	100%	90%	90%	Previous FYs measurement stated "35 working days." Refinement made prior to the beginning of FY 2018, and this refinement did not affect prior FY performance results. Responsibility for Hotlines transferred from OLS to OI during the FY 2019 3rd Quarter. Prior to FY 2020, OLS was responsible for this KPI.
Percentage of the 10 oldest FOIA requests closed during the fiscal year.	OLS	New FY 2020 Measure	New FY 2020 Measure	New FY 2020 Measure	New FY 2020 Measure	New FY 2020 Measure	New FY 2020 Measure	60%	0%	70%	70%	70%	70%	
Provide legal guidance and assistance for routine audit and investigative requests for legal support within 20 business days from receipt of the request.	OLS	New FY 2020 Measure	New FY 2020 Measure	New FY 2020 Measure	New FY 2020 Measure	New FY 2020 Measure	New FY 2020 Measure	60%	92%	70%	92%	75%	75%	Previous measurement stated "...or within agreed upon timelines..."; as such, prior results are not directly comparable.

Strategic Objective 1.2 - continued

FY 2021 Performance Indicators	Responsible Component	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2021 Results	FY 2022 Targets	FY 2023 Targets	Notes
Number of enforcement action points achieved by OIG special agents throughout the fiscal year.	OI	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	575	575	
Investigations involving Whistleblower retaliation by a contactor or grantee are completed within the 180 days or 360 days and the final report is submitted to the Secretary for review.	OSI	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	85%	85%	

Strategic Objective 1.3

FY 2021 Performance Indicators	Responsible Component	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2021 Results	FY 2022 Targets	FY 2023 Targets	Notes
Percentage of discretionary audits designed to address significant risks impacting DOL's missions.	OA	75%	88%	75%	90%	85%	90%	85%	89%	85%	90%	90%	90%	
Percentage of new investigative cases that are considered Tier 1.	OI	New FY 2018 Measure	New FY 2018 Measure	50%	87%	65%	81%	75%	86%	75%	96%	80%	80%	
Percentage of new investigative cases that are considered Tier 1.	OSI	New FY 2018 Measure	New FY 2018 Measure	75%	87%	75%	94%	85%	95%	90%	100%	95%	95%	
Percentage of COVID-19 related engagements completed within 12 months of initiation during the Fiscal Year (entrance conference).	OA	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	70%	64%	80%	80%	

Strategic Objective 1.4

FY 2021 Performance Indicators	Responsible Component	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2021 Results	FY 2022 Targets	FY 2023 Targets	Notes
Percentage of non-mandatory OIG publications (e.g. Investigations Newsletters, Audit Workplans, Highlights of the Semiannual Report to Congress) provided to stakeholders and made publicly available within agreed upon timeframes.	OCPR	New FY 2019 Measure	New FY 2019 Measure	New FY 2019 Measure	New FY 2019 Measure	90%	100%	95%	100%	95%	100%	95%	95%	
Percentage of relevant audit reports provided to cognizant Congressional committees within one business day, and made available to the public within three business days after receiving final, approved versions.	OCPR	New FY 2019 Measure	New FY 2019 Measure	New FY 2019 Measure	New FY 2019 Measure	90%	100%	95%	100%	95%	100%	95%	95%	

Strategic Objective 1.5

FY 2021 Performance Indicators	Responsible Component	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2021 Results	FY 2022 Targets	FY 2023 Targets	Notes
At least one meeting with each major component within the Department to solicit ideas regarding areas of potential audit.	OA	New FY 2019 Measure	New FY 2019 Measure	New FY 2019 Measure	New FY 2019 Measure	80%	82%	80%	91%	85%	88%	85%	85%	
Number of formal briefings and consultations per year offered to cognizant Senate and House committees regarding OIG work priorities and areas of Congressional interest to inform the development of the OIG's Audit Workplan.	OCPD	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	12	15	12	12	Previous FYs measurement did not capture the breadth and depth of Congressional interactions; as such, prior results are not directly comparable.
2 outreach, liaison, and educational sessions per OI 1811 FTE with internal and external stakeholders to identify areas of high risk that could lead to potential investigations.	OI	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	258	258	



## GOAL 1 PERFORMANCE IMPROVEMENT PLAN

Table 9: Performance Improvement Plan for Goal 1 KPIs Not Met

Strategic Objective	FY 2021 Performance Indicators	Responsible Component	FY 2021 Targets	FY 2021 Results	Performance Improvement Plan
1.1	Percentage of audit recommendations implemented within 5 years.	OA	85%	84%	No further recommendations to close. The goal in FY 2022 will remain unchanged and we are on target to meet by March 31, 2022.
1.1	Percentage of simple Freedom of Information Act (FOIA) and Privacy Act requests for OIG records completed within 20 working days.	OLS	90%	89%	Despite its accomplishments, the FOIA presents considerable risk to OIG's achievement of statutorily-driven program goals. Undertaking the much needed major initiatives while performing the normal FOIA intake logging, tracking, processing, communicating, and updating is a significant challenge. Currently, the OIG FOIA program is 1 FTE deep, with two contractors, creating significant risk of program failure should the FTE retire or become unable to work.  OLS is requesting additional FTEs.
1.2	Percentage of Complaints referred from the Complaint Analysis Office (CAO) that are evaluated and closed to a final disposition or converted to an investigation within 180 days of receipt by the investigating field office.	OI	80%	52%	The increase in complaints has been tremendous and appears to only be increasing. OI has implemented a new procedure for reviewing and delegating complaints. OI has also added staff to handle the complaints and have coordinated with the PRAC to obtain contractors to assist. OA is limiting the number of complaints delegated to the regions and have provided them amnesty from the 180 day deadline. With that, OI is continuing to push to have these complaints reviewed efficiently and effectively to ensure that the complaints are handled and fraud detected.
1.2	Percentage of investigations completed (referred for prosecution/administrative/civil proceedings, or closed) within 12 months of case opening.	OSI	90%	87%	OSI has two cases this year that did not meet the 12 month mark for this KPI.
1.3	Percentage of COVID-19 related engagements completed within 12 months of initiation during the Fiscal Year (entrance conference).	OA	70%	64%	OA did not issue all projects reaching 12 months; however, OA issued 3 of 5 by the end of FY 2021.  OA continues to maintain focus on the 12-Months Cycle. OA also added 2 COVID-related reports that started in late August 2021 to the backlog for FY 2022.

## **STRATEGIC GOAL 2—FOSTER AN INTERNAL OIG CULTURE THAT DRIVES HIGH PERFORMANCE AND ENGAGEMENT**

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## STRATEGIC GOAL 2

### *Foster an internal OIG culture that drives high performance and engagement*

The OIG recognizes that a high-performing culture relies on a highly engaged workforce. We focus on developing a culture that enables a high-performing, optimized, and mission-driven workforce, by providing developmental tools for the OIG staff and leaders to grow and succeed while creating an environment of transparency, engagement, and collaboration. We intend this investment to create a workplace culture and environment that encourages employee engagement, increases employee morale and satisfaction, encourages continuous learning and development, and champions shared institutional knowledge. Collectively, these efforts leverage OIG's principles of organizational development focused on activities impactful to OIG staff, stakeholders, and taxpayers.

## GOAL 2 STRATEGIC OBJECTIVES

Table 10: Strategic Objectives for Goal 2

<b>2.1</b>	Create and maintain a culture of civility, equality, respect, and inclusiveness at all levels by fostering transparency, accountability and timely communications.
<b>2.2</b>	Meet current and future OIG mission needs through continuous development and professional growth.
<b>2.3</b>	Enhance OIG human capital by developing and implementing strategic diversity, recruitment, succession, and retention plans.
<b>2.4</b>	Increase management and leadership effectiveness by, among other things, seeking staff feedback.

## GOAL 2 SELECTED EXAMPLES

- Relunched the OIG's Leadership Philosophy Statement to guide the actions, behaviors, and thoughts of staff at all levels for reinforce the modeling of the OIG's leadership values and behaviors.
- Established Brown Bag Lunch Meetings and Success Chats to give staff an opportunity to engage directly with the IG.
- Provided all Executives and staff with training that focused on self-awareness and accountability, communication, building diverse and inclusive teams, and putting learning into action.
- Launched quarterly Inclusion Cafes that offer staff an opportunity to engage in topics related to diversity, equity, and inclusion and developed a Culture Champ Change Agent Program.
- Developed Cultural Transformation Plans, as well as implemented the OIG Culture Champs Change Agent Program. These Cultural Transformation Plans specify a 3-year approach aimed at enhancing our capabilities as a world-class, high-performing OIG culture by identifying solution-oriented, actionable outcomes that include: Listening Tour feedback, Federal Employee Viewpoint Survey trends, and Morale and Culture risk mitigation tactics.

## GOAL 2 PERFORMANCE RESULTS



Table 11: Performance Results for Goal 2

Strategic Objective 2.1

FY 2021 Performance Indicators	Responsible Component	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2021 Results	FY 2022 Targets	FY 2023 Targets	Notes
Percentage of harassment complaint administrative inquiries completed within 14 calendar days.	EEO	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	90%	90%	
Conducting at least 3 Inclusion Cafés during the Fiscal Year.	EEO	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	90%	90%	
Percentage of quarterly DEIA accomplishment and update briefings to Senior Managers and Executives.	EEO	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	90%	90%	

Strategic Objective 2.1 - continued

FY 2021 Performance Indicators	Responsible Component	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2021 Results	FY 2022 Targets	FY 2023 Targets	Notes
Percentage of harassment complaint acknowledgements provided to requestor within 72 hours of completing the Anti-harassment Questionnaire.	EEO	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	90%	90%	
Percentage of reasonable accommodation request acknowledgements provided to requestor within 48 hours.	EEO	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	100%	100%	
Percentage of reasonable accommodation request decision memos issued within 60 calendar days.	EEO	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	100%	100%	



Strategic Objective 2.2

FY 2021 Performance Indicators	Responsible Component	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2021 Results	FY 2022 Targets	FY 2023 Targets	Notes
Percentage of both employees and supervisors participating in the OIG mentoring program.	OIG	15%	12%	15%	6%	15%	20%	8%	33%	15%	22%	15%	15%	OIG reassigned "Percentage of both employees and supervisors participating in the OIG mentoring program" from an OMAP goal to an OIG-wide goal beginning in FY 2019.
Percentage of supervisors who initiate conversations with at least 90 percent of the employees who report to them regarding developmental opportunities for the employees.	OIG	New FY 2018 Measure	New FY 2018 Measure	95%	100%	95%	96%	95%	92%	95%	100%	95%	95%	
Make hiring selections or non-selections on General Schedule certificates within 25 days.	OMAP	New FY 2020 Measure	New FY 2020 Measure	New FY 2020 Measure	New FY 2020 Measure	New FY 2020 Measure	New FY 2020 Measure	85%	90%	85%	40%	85%	85%	
Percentage of Non-SES/SL vacancies filled within 90 days from posting date to selection.	OMAP	90%	97%	90%	95%	90%	100%	90%	100%	90%	68%	90%	90%	

Strategic Objective 2.3

FY 2021 Performance Indicators	Responsible Component	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2021 Results	FY 2022 Targets	FY 2023 Targets	Notes
Percentage of quarterly summary exit survey feedback reports to Senior Managers and Executives.	EEO	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	75%	100%	75%	75%	In FY 2021, OIG updated the measuring scheme to allow for combined quarterly meetings to reflect changing environments.  OIG transferred this KPI from OMBUDSMAN to EEO in FY 2022.
Conduct climate surveys or team building facilitations in support of cultural transformation initiatives during the Fiscal Year.	OMBUDSMAN	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	8	8	
At least two briefings of exit survey trends provided to Senior Managers and Executives.	EEO	New FY 2020 Measure	New FY 2020 Measure	New FY 2020 Measure	New FY 2020 Measure	New FY 2020 Measure	New FY 2020 Measure	90%	100%	90%	100%	90%	90%	OIG transferred this KPI from OMBUDSMAN to EEO in FY 2022.
Respond to employee inquiries within 48 hours.	OMBUDSMAN	New FY 2020 Measure	New FY 2020 Measure	New FY 2020 Measure	New FY 2020 Measure	New FY 2020 Measure	New FY 2020 Measure	90%	100%	95%	100%	95%	95%	

Strategic Objective 2.4

FY 2021 Performance Indicators	Responsible Component	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2021 Results	FY 2022 Targets	FY 2023 Targets	Notes
Percentage of OIG supervisors with at least 6 months of supervisory tenure who complete a 360 degree evaluation or an online survey to gather feedback from staff (biennial measure).	OIG	New FY 2018 Measure	New FY 2018 Measure	80%	99%	80%	81%	N/A	N/A	80%	86%	N/A	80%	OIG introduced this KPI as an annual metric; however, OIG refined this measurement to a biennial basis (every 2 years) beginning in FY 2019.
Percentage of OA supervisors who facilitate quarterly meetings with their staff to provide relevant agency updates and address staff questions.	OA	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	75%	75%	
Percentage of OI supervisors who facilitate quarterly meetings with their staff to provide relevant agency updates and address staff questions.	OI	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	75%	75%	

Strategic Objective 2.4 - continued

FY 2021 Performance Indicators	Responsible Component	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2021 Results	FY 2022 Targets	FY 2023 Targets	Notes
Percentage of OIG supervisors that take supervisory training.	OIG	New FY 2018 Measure	New FY 2018 Measure	95%	100%	95%	99%	95%	99%	95%	100%	95%	95%	
Percentage of OIG GS-14, GS-15, Senior Leaders, and Senior Executives that take Treasury Executive Institute (TEI)'s or other AIG-approved training provider's leadership development courses.	OIG	New FY 2018 Measure	New FY 2018 Measure	75%	78%	75%	83%	75%	99%	75%	100%	80%	80%	Previous FY's measurement stated "IG." Refinement made to state "AIG." This refinement did not affect prior FY performance results.

## GOAL 2 PERFORMANCE IMPROVEMENT PLAN

Table 12: Performance Improvement Plan for Goal 2 KPIs Not Met

Strategic Objective	FY 2021 Performance Indicators	Responsible Component	FY 2021 Targets	FY 2021 Results	Performance Improvement Plan
2.2	Make hiring selections or non-selections on General Schedule certificates within 25 days	OMAP	85%	<b>40%</b>	During FY 2022, OMAP will ensure to capture all relevant hiring data in its spreadsheet. In addition, OMAP plans to only issue 1 week extensions for certificates. Finally, OMAP is going to benchmark other organizations and determine if this metric is appropriate.
2.3	Percentage of Non-SES/SL vacancies filled within 90 days from posting date to selection	OMAP	90%	<b>68%</b>	OMAP will ensure that all relevant hiring data is captured on Hiring Spreadsheet. OMAP will benchmark with other organizations to determine if this is an achievable target.

## **STRATEGIC GOAL 3—PROMOTE RESPONSIBLE STEWARDSHIP OF OIG FINANCIAL AND NON- FINANCIAL RESOURCES**

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## STRATEGIC GOAL 3

### *Promote responsible stewardship of OIG resources*

The OIG strives for organizational excellence through efficiency and effectiveness in all its activities. This includes engaging in robust planning to anticipate future mission needs and maximize use of limited resources; developing sound budget forecasts for audit and investigative activities; improving performance; increasing accountability; and reducing costs. The OIG leverages technology to enhance audit, investigative, and business processes to ensure effective use of limited resources. Effective stewardship of OIG resources further enables achievement of Goal 3, as well as other OIG strategic objectives and priorities. This allows for the OIG to systematically prioritize critical work such as auditing of DOL financial statements; conducting work under the Federal Information Security Management Act (FISMA) to ensure that DOL information technology (IT) systems are secure; identifying DOL's Top Management and Performance Challenges; and helping to ensure that DOL administrative processes comply with pertinent regulations and laws.

### GOAL 3 STRATEGIC OBJECTIVES

**Table 13: Strategic Objectives for Goal 3**

<b>3.1</b>	Implement OIG operational improvements based on strategic mission priorities, areas of risk, operational needs, and cost effectiveness.
<b>3.2</b>	Ensure proper oversight of OIG resources through effective internal controls.
<b>3.3</b>	Improve mission achievement and increase efficiency through evidence-based techniques and data analytics.
<b>3.4</b>	Enhance the effectiveness of mission support activities by focusing on quality and customer service.

### GOAL 3 SELECTED EXAMPLES

- Launched the Legal Information System for Administration, Records, and Disclosure (LISARD) system to manage requests for assistance from OLS programs (Legal Services, Information Disclosure, and Records Management).
- Identified and collected risks as part of our collaborative ERM risk identification process. We revisited existing risks and developed a comprehensive list of additional risks and events that may potentially impact the achievement of OIG's mission and strategic objectives, as well as risks that can impact operational, reporting, and compliance mandates.
- Launched a new IT Helpdesk Ticketing System for incident reporting and service requests.
- Issued 2 new Inspector General Directives to better regulate the outside employment and activities process, and to streamline and strengthen the OIG's Freedom of Information Act and/or Privacy Act requests.
- Implemented plans to acquire and use the USA Performance system to fully automate the OIG performance management process beginning with the FY 2022 Performance Cycle.

## GOAL 3 PERFORMANCE RESULTS



Table 14: Performance Results for Goal 3

Strategic Objective 3.1														
FY 2021 Performance Indicators	Responsible Component	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2021 Results	FY 2022 Targets	FY 2023 Targets	Notes
Percentage of audit projects that do not exceed planned hours.	OA	80%	83%	80%	81%	80%	77%	80%	81%	80%	86%	80%	80%	
Percentage of employee hours charged to audit activities compared to administrative time.	OA	75%	79%	75%	79%	75%	77%	75%	75%	75%	72%	70%	70%	
Percentage of employee hours charged to investigative activities compared to administrative time.	OI	90%	93%	90%	95%	90%	95%	90%	95%	90%	96%	90%	90%	

Strategic Objective 3.1 - continued

FY 2021 Performance Indicators	Responsible Component	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2021 Results	FY 2022 Targets	FY 2023 Targets	Notes
Percentage of employee hours charged to investigative activities compared to administrative time.	OSI	95%	63%	75%	82%	75%	94%	80%	88%	85%	94%	88%	88%	
Percentage of employee hours charged to COVID-19 related investigative activities compared to non COVID-19 investigative activities.	OI	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	30%	72%	40%	40%	

Strategic Objective 3.2

FY 2021 Performance Indicators	Responsible Component	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2021 Results	FY 2022 Targets	FY 2023 Targets	Notes
Percentage of quarterly internal control reviews conducted as required by OMB Circular A-123 and submit all reports within OMB and DOL prescribed timeframes, and all remedial action plans when control deficiencies are identified within 60 days of the report finding.	OMAP	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	100%	100%	100%	100%	In FY 2021, OIG updated the measuring scheme to allow for combined quarterly meetings to reflect changing environments.

Strategic Objective 3.3

FY 2021 Performance Indicators	Responsible Component	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2021 Results	FY 2022 Targets	FY 2023 Targets	Notes
Percentage availability during business hours of internal IT network resources such as applications, networks, email, e-OIG, remote access and servers.	CTO	Retired	Retired	90%	99%	90%	99%	94%	99%	94%	100%	94%	94%	OIG retired this KPI in FY 2017; however, OIG reinstated this KPI for FYs 2018 and 2019.  OIG transferred this KPI from OMAP to CTO in FY 2021.
Conduct Risk Management Council meetings to identify and monitor existing and emerging risks, and mitigation activities.	OIG	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	New FY 2022 Measure	1	1	
Percentage of audit projects that leverage data analytics to maximize the impact of the audit.	OA	New FY 2018 Measure	New FY 2018 Measure	25%	36%	40%	48%	50%	50%	60%	66%	65%	65%	

Strategic Objective 3.3 - continued

FY 2021 Performance Indicators	Responsible Component	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2021 Results	FY 2022 Targets	FY 2023 Targets	Notes
Percentage of investigative requests for investigative data analytics are completed (provided to requesting party) within 25 days of the service request.	OI	New FY 2020 Measure	New FY 2020 Measure	New FY 2020 Measure	New FY 2020 Measure	New FY 2020 Measure	New FY 2020 Measure	85%	89%	85%	92%	85%	85%	
Percentage of investigative requests for digital evidence acquisitions are completed (processed and available for examination by requesting party) within 30 days of the forensic acquisition.	OI	New FY 2018 Measure	New FY 2018 Measure	85%	86%	85%	87%	85%	91%	85%	94%	85%	85%	Previous FYs measurement stated "forensic acquisitions..." and this refinement did not affect prior FY performance results.
Percentage of investigative requests for digital media extractions are completed (available to requesting party) within 60 days of the service request.	OI	New FY 2018 Measure	New FY 2018 Measure	85%	89%	85%	91%	85%	89%	85%	92%	85%	85%	Previous FYs measurement stated "forensic examinations..." and this refinement did not affect prior FY performance results.

Strategic Objective 3.3 - continued

FY 2021 Performance Indicators	Responsible Component	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2021 Results	FY 2022 Targets	FY 2023 Targets	Notes
Percentage of availability of the Digital Forensic Network and its services by ensuring security protocols, redundancy, data/system backups, and load balancing are enforced through regularly scheduled maintenance.	OI	New FY 2018 Measure	New FY 2018 Measure	85%	100%	85%	100%	85%	100%	90%	99%	95%	95%	
Percentage of requests for reports of digital media analysis are completed (available to requesting party) within 45 days.	OI	New FY 2019 Measure	New FY 2019 Measure	New FY 2019 Measure	New FY 2019 Measure	85%	96%	85%	86%	85%	94%	85%	85%	



Strategic Objective 3.4

FY 2021 Performance Indicators	Responsible Component	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2021 Results	FY 2022 Targets	FY 2023 Targets	Notes
Percentage of audit projects that do not exceed planned travel costs.	OA	80%	83%	80%	86%	80%	100%	80%	97%	90%	100%	90%	90%	
Percentage of quarterly executive budget review sessions conducted to ensure proper budget planning and expenditures tracking, including human capital, procurement, facilities and IT activities.	OMAP	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	
OIG Financial resource utilization rate in accordance with detailed budget allocation.	OMAP	New FY 2018 Measure	New FY 2018 Measure	95%	100%	95%	99%	97%	100%	97%	99%	97%	97%	Technical correction made from 95% to 99% in FY 2019. OIG remained in the "Exceeded Target" range for this KPI.

## GOAL 3 PERFORMANCE IMPROVEMENT PLAN

Table 15: Performance Improvement Plan for Goal 3 KPIs Not Met

Strategic Objective	FY 2021 Performance Indicators	Responsible Component	FY 2021 Targets	FY 2021 Results	Performance Improvement Plan
3.1	Percentage of employee hours charged to audit activities compared to administrative time.	OA	75%	72%	<p>OA significantly increased indirect activity in these 2 categories, (1) Physical Fitness, and (2) OIG Internal Meetings/Committee Work. With attrition of auditors OA is losing economies of scale with support functions.</p> <p>Although there has been direct work by staff, OA has not included Top Management Challenges and Leadership of OA. Currently, OA charges this time to indirect time. In FY 2022, OA will add these 2 categories as direct time.</p>

## STRATEGIC PLANNING AND ACCOUNTABILITY

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OIG's FY 2022 – 2026 Strategic Plan outlines the OIG's vision for the future and provides a clear, unified, and enduring direction for all of our activities.<sup>33</sup> This plan is the foundation on which we will build and measure the success of our activities, and we will use this plan to align resources to accomplish our goals in the best way possible.

The OIG measures its success in achieving its strategic goals in terms of how well OIG work products effect positive change. Positive change includes improving program effectiveness at DOL, reducing vulnerabilities that make programs susceptible to abuse, achieving savings, reducing criminal activity in the form of fraud and labor racketeering, and optimizing OIG's organizational performance, including the use of resources.

The OIG implemented a continuous cycle of OIG organizational performance, ERM, and other improvement activities that promote strategic management and accountability, including:

- Enhancing our performance measurement strategy and framework, including verification and validation, to measure organizational performance against strategic objectives;
- Evaluating progress towards achieving performance plans and engaging stakeholders at all levels;
- Identifying and responding to high-priority risks, including aligning resources to address risks; and
- Reporting performance information to OIG leaders and external stakeholders.

## ENTERPRISE RISK MANAGEMENT

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ERM has grown across the evolving landscapes of both the private and public sectors as each seeks to identify and adapt to threats and take advantage of opportunities that could affect operations and the achievement of goals. ERM refers to the culture, capabilities, and practices that organizations rely on to manage risk in creating, preserving, and realizing public value. ERM is also essential to achieving an open, efficient, resilient, and transparent government. Failure to address both simple and complex risks—exposure to uncertainty—and how these risks interact at both the component and enterprise level can have increasingly negative impacts on compliance, internal controls, operations, reporting, strategic objectives, and ultimately mission accomplishment.

The ERM approach is an important step in OIG's growth and evolution toward maturity and becoming a resilient organization that successfully addresses challenges due to an ever-changing federal landscape and also takes advantage of opportunities when presented. OMB emphasized the importance of having appropriate risk management processes and systems to identify challenges early, bring them to the attention of agency leadership, and develop solutions. By maturing our ERM program, we expect to improve mission delivery, reduce costs, and focus corrective actions towards key risks.<sup>34</sup>

<sup>33</sup> The OIG develops strategic plans and priorities through consultations with its stakeholders, administration officials, and Congress. For more information on the OIG's FY 2018 – 2022 Strategic Plan, please visit our website at <https://www.oig.dol.gov/public/reports/OIG%20Strategic%20Plan%202018-2022.pdf>. The OIG will issue its FY 2022 – 2026 Strategic Plan in early 2022.

<sup>34</sup> For more information on the OIG's Framework for ERM, please visit our website at <https://www.oig.dol.gov/public/OIG%20DOL%20ERM%20Framework.pdf>.

# MEASUREMENT AND VALIDATION OF OIG PERFORMANCE AND PROGRESS

The OIG monitors and evaluates performance toward its plans and commitments using ongoing, periodic, and one-time assessments, through which OIG senior leadership identifies issues, measures OIG component-specific and overall organizational health, and provides appropriate data and evidence to the IG, DIG, CPRMO, AIGs and the Counsel to the IG. The OIG uses these assessments, combined with explanations of the ratings and sources provided by each component, to review and validate each rating.

Beginning in FY 2018, the OIG internally evaluated progress towards achieving its annual performance targets each quarter using a Quarterly Performance Review (QPR) process as part of our efforts to continue optimization of our performance measurement strategy. These QPRs leveraged a traffic light rating system—green (met), yellow (in-process/on track), and red (not met) color ratings—and integrated key activities such as priority goals and risk mitigation activities.

## VERIFICATION AND VALIDATION

Verification and validation of performance and progress assessments include the following:

**Table 16: OIG Verification and Validation Activities**

Activity	Description
<b>Weekly Activity and Project Reports</b>	<p>The Office of Audit (OA) provides a weekly project inventory that is distributed to the IG and all of OA.</p> <p>The Office of Investigations (OI) leverages weekly significant activities reports provided to management and leadership for internal tracking of activities.</p> <p>The Office of Management and Policy (OMAP) provides weekly significant activity reports outlining significant budgetary, staffing, and operational issues. Senior leadership regularly reviews activities reported.</p>
<b>Stakeholder Outreach and Engagement</b>	<p>Staff from the Office of Congressional and Public Relations (OCPR) document the number of congressional meetings and briefings, and other presentations and speeches for key mission areas, which the AIG for OCPR reviews and reports.</p> <p>OIG Components provide travel and training data based upon selected time and effort reporting software and financial data reports. Both OA and OI track stakeholder outreach and engagement activities, and senior leadership regularly reviews activities reported.</p> <p>OMAP validates financial information.</p>
<b>OA Functions</b>	<p>OA leverages the TeamMate suite of modular applications for staff management, data processing, evidence collection, reference, and reporting; and to meet the U.S. Government Accountability Office’s (GAO) Government Auditing Standards (“Yellow Book”), peer review needs, and records retention requirements. OA management has ready visibility into all TeamMate project files, and regularly reviews work completed and reports produced by staff. OA management reports aggregate data for sharing with senior leadership and making critical decisions in the time and effort placed into various OA functions.</p> <p>For risk assessments and management planning, OA uses the TeamRisk component of TeamMate to perform risk assessments of major DOL program areas, and contributes to the development of Top Management and Performance Challenges reported annually in the Agency Financial Report as well as the significant concerns reported in Semiannual Reports to Congress. For audit resolution and post-report tracking, OA uses TeamCentral, another component of TeamMate.</p>

Activity (cont'd)	Description (cont'd)
<b>OI Functions</b>	OI leverages data housed and reported from their Labor OIG Case Activity Tracking system (LOCATS), which OI management analyzes and reviews on a regular basis. OI investigations are prioritized based on documented criteria which includes two categories (Tier 1 and Tier 2). OI management and OIG senior officials also validate investigative priorities, and selected statistics are included in OIG's Semiannual Reports to Congress.
<b>OMAP Functions</b>	OMAP leverages a variety of data and reports housed in the New Core Financial Management System (NCFMS), human resource tracking databases, and centralized procurement systems. OMAP uses these sources to ensure that OIG spending is in alignment with its operating plan, to ensure compliance with the Anti-deficiency Act, and to recommend operational adjustments based on available funding and staffing levels.
<b>OPRM Functions</b>	The Office of Performance and Risk Management (OPRM) leverages data and reports from across the OIG on a monthly basis to analyze and improve how OIG manages performance, strategy, and risks to the OIG mission.
<b>OIG Quarterly Performance</b>	The OIG internally evaluates progress towards achieving its annual performance measures on a traffic light rating system— green (met), yellow (in-process/on track), and red (not met) color ratings—and provides summary information of these quarterly results in Annual Performance Reports.

## FY 2021 QUARTERLY PERFORMANCE REVIEW SUMMARY

The OIG measured each KPI on a cumulative, or as of, basis each quarter. Narratives supplied by each OIG component accompanied the quarterly cumulative progress for each KPI to describe achievements, challenges, and risks, as well as factors (in- and out of control) and trends for these challenges and risks.

For each KPI where an OIG component did not meet their cumulative quarterly performance progress target, AIGs and responsible OIG senior executives and senior managers submitted ongoing corrective action plans that integrated key activities such as priority goals and risk mitigation activities.

In FY 2021, the QPR process resulted in enhanced organizational performance management, refinement and in some cases retirement of existing KPIs, and development of new KPIs for FYs 2022 and 2023. In addition, our results show that the QPR process has improved our cumulative quarterly progress towards achieving annual performance targets since we implemented the process.

OIG improved throughout FY 2021 with 68 percent of KPI cumulative quarterly targets met at the end of the first quarter to closing FY 2021 (cumulative 4 quarters) with 71 percent of KPIs exceeding annual targets.

**Table 17: FY 2021 QPR Results Summary**

Cumulative Rating	Quarter 1	Quarter 2	Quarter 3	Quarter 4 (FY 2021)
Exceeded (4 <sup>th</sup> Quarter Only)	-	-	-	71%
Met—Green (Quarters 1 – 4)	68%	71%	75%	12%
In Process/On-Track—Yellow (Quarters 1 – 3)	9%	11%	8%	-
Not Met—Red (Quarters 1 – 4)	9%	6%	5%	12%
N/A <sup>35</sup> (Quarters 1 – 4)	14%	12%	12%	5%

<sup>35</sup> Some KPIs were N/A in FY 2021 for some quarters given pre-existing timeframes and normal lifecycles for related activities to occur. In addition, 2 KPIs were not measured in 2021 (one biennial KPI, one a two-year horizon), and another could not be measured due to an error by the Department (Federal Employee Viewpoint Survey results and related Component-level action plans).



## CONCLUSION

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The COVID-19 Pandemic has been extremely challenging on a global scale. DOL programs, such as UI and occupational health and safety protection, play a vital role in securing the financial well-being, health, and safety of all Americans. It is imperative that these programs continue to deliver on their essential missions effectively and efficiently.

As the federal agency with primary oversight of DOL, the OIG remains committed to meeting these challenges head-on and assisting DOL and Congress in protecting the American workforce. We are diligently focused on limiting the negative impacts of the COVID-19 Pandemic as the nation continues to combat this disease.

In addition to our extensive work relating to the COVID-19 Pandemic, the OIG contributes significantly towards the achievement of DOL's mission and goals through improved efficiency, effectiveness, and integrity of DOL programs and operations, reduced vulnerabilities, and identified cost savings. The OIG's results for FY 2021 continue to demonstrate its commitment to the American people, DOL, and Congress by providing independent and objective oversight of DOL programs through our auditing and investigative efforts, and by combatting the influence of labor racketeering and organized crime in the nation's labor unions and employee benefit plans.

The OIG is a performance-based organization committed to managing towards specific, measurable goals derived from the OIG's mission, using performance data to continually improve operations, as well as continuing to cultivate a culture of engagement that values our employees.

Enhancing the OIG's internal capabilities and practices to proactively manage risks and create public value are of critical importance, and the OIG will continue to use and leverage ERM and emerging technologies, such as predictive data analytics, to transform the way the OIG initiates and conducts investigations and audits, focusing on high-impact issues, including existing and emerging risks facing DOL.

## **APPENDIX A – STATUTORY RESPONSIBILITIES AND PROFESSIONAL STANDARDS**

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## STATUTORY RESPONSIBILITIES, REGULATORY POLICIES, AND PROFESSIONAL STANDARDS

The OIG complies with laws and their implementing regulations, instructions or information provided by OMB, as well as federal law enforcement and auditing policies, guidance, and professional standards.<sup>36</sup> The following tables present some of the laws and professional standards with provisions affecting the OIG's mission and work:

### STATUTORY RESPONSIBILITIES

Table 18: Statutory Responsibilities

Legislation	Requirements
<b>Inspector General (IG) Act of 1978, as amended</b>	The IG Act established OIGs across the executive branch to conduct audits and investigations; to promote economy, efficiency, and effectiveness; and to prevent waste, fraud, and abuse. Among other things, the Act requires the Inspector General to prepare and submit to the Secretary of Labor semiannual reports summarizing our activities for the preceding six-month period, which the Secretary is required to transmit to Congress within thirty days.  The OIG follows the Attorney General's Guidelines for OIGs with Statutory Law Enforcement Authority. <sup>37</sup>
<b>Federal Managers' Financial Integrity Act of 1982 (FMFIA)</b>	Requires Executive agencies to establish internal accounting and administrative controls which include standards to ensure the prompt resolution of all audit findings; take corresponding corrective actions, and report annually on its evaluation of such controls.
<b>Chief Financial Officers Act of 1990</b>	Requires Inspectors General to annually submit to Congress, the Director of OMB, and the head of the agency an audited financial statement for the preceding fiscal year covering all account associated activities of the agency.
<b>Government Performance and Results Act of 1993 (GPRA)</b>  <b>GPRA Modernization Act of 2010 (GPRAMA)</b>	Requires federal agencies to prepare a strategic plan covering a multiyear period and requires each agency to submit an annual performance plan and an annual performance report, including an assessment of the internal control environment over DOL's performance measures.
<b>Government Management Reform Act of 1994</b>	Requires an assessment and evaluation of the 1) reliability of DOL's performance data and 2) extent to which DOL's performance plan meaningfully describes its planned and actual performance.
<b>Federal Financial Management Improvement Act of 1996</b>	Requires the Inspector General to evaluate DOL's financial systems compliance with federal standards.
<b>Reports Consolidation Act of 2000</b>	Requires the Inspector General to provide a summary and assessment of the most serious management and performance challenges facing federal agencies and their progress in addressing them.
<b>Federal Information Security Management Act of 2002</b>	Requires the Inspector General to evaluate the effectiveness of DOL's overall information security program and practices.

<sup>36</sup> For more information on IGs in the federal government, please visit the CIGIE website at <https://www.ignet.gov/> and <https://www.oversight.gov/>.

<sup>37</sup> These guidelines are required by section 6(e)(4) of the IG Act, as amended, and govern the exercise of law enforcement authorities for those OIGs that have been granted statutory law enforcement authorities pursuant to that Act.

Legislation (cont'd)	Requirements (cont'd)
<b>Payment Integrity Information Act (PIIA) of 2019</b>	<p>Requires agencies to (1) conduct a program-specific risk assessment for each required program or activity, (2) publish and meet annual reduction targets for each program assessed to be at risk for improper payments, and (3) report information on the efforts of each program to reduce improper payments.</p> <p>Requires the Inspector General to review the reports provided by the agencies. The Inspector General shall review the level of risk associated with the applicable programs and the quality of the improper payment estimates and methodology; review oversight or financial controls to identify and prevent improper payments under the programs; and provide the agency head with recommendations. The Inspector General will determine whether the agencies complied with PIIA and may also evaluate the accuracy and completeness of reporting and performance in reducing and recapturing improper payments.</p>
<b>Death in Custody Reporting Act (DCRA) of 2013</b>	<p>Requires the head of each Federal law enforcement agency to report to the Attorney General on an annual basis information regarding the death of any person who is (1) detained, under arrest, or is in the process of being arrested by any officer of such Federal law enforcement agency; (2) en route to be incarcerated or detained, or is incarcerated or detained at any facility (including any immigration or juvenile facility) pursuant to a contract with such Federal law enforcement agency; or any State or local government facility used by such Federal law enforcement agency; or (3) incarcerated in any Federal correctional facility or Federal pre-trial detention facility located within the United States.</p>
<b>Foundations for Evidence-Based Policymaking Act of 2018 (“Evidence Act”)</b>	<p>Mandates Federal evidence-building activities, open government data, and confidential information protection and statistical efficiency. Requires agencies to make any data asset maintained by the agency available, upon request, to any statistical agency or unit for purposes of developing evidence.<sup>38</sup></p>
<b>Coronavirus Aid, Relief, and Economic Security Act (“CARES Act”)</b>	<p>Mandates 9 Federal Inspectors General to carry out oversight activities of their respective agency’s response to the COVID-19 Pandemic. Requires DOL OIG to oversee the expansion of the UI programs provisioned by the Act and oversight of DOL activities supported with funds appropriated to prepare for and respond to the coronavirus Pandemic.</p>
<b>American Rescue Plan Act of 2021 (ARP Act)</b>	<p>Provided FY 2021 for federal activities relating to the administration of unemployment compensation programs; and (2) to detect and prevent fraud, promote equitable access, and ensure the timely payment of benefits for unemployment compensation programs, including programs extended under the ARP Act.</p>

<sup>38</sup> The Evidence Act broadly defines “evidence” and includes four interdependent components of evidence: foundational fact finding, performance measurement, policy analysis, and program evaluation.

**REGULATORY POLICIES**

Table 19: Regulatory Policies

Regulatory Policies	Requirements
OMB Circular No. A-123	<p>Defines management's responsibility for enterprise risk management and internal control in federal agencies. Provides guidance to Federal managers on improving the accountability and effectiveness of Federal programs and operations by establishing, assessing, correcting, and reporting on internal control.</p> <p>Provides specific requirements for assessing and reporting on controls in the federal government.</p>
OMB Circular No. A-11, Part 6	Requires agencies are required to submit strategic plans, annual performance budgets, and annual program performance reports to the President, Congress, and OMB.
Special Deputation Agreement with the United States Department of Justice and the Federal Bureau of Investigation	Gives the OIG the authority to investigate Organized Crime/Labor Racketeering cases and labor trafficking cases. <sup>39</sup>

**PROFESSIONAL STANDARDS**

Table 20: Professional Standards

Professional Standards	Requirements
GAO, Government Auditing Standards ("Yellow Book") ("Generally Accepted Government Auditing Standards") <sup>40</sup>	<p>Provides a framework for conducting high quality audits with competence, integrity, objectivity, and independence.</p> <p>Provides uniform rules and standards for federal government audits.</p>
GAO, Standards for Internal Control in the Federal Government ("Green Book")	<p>Provides the standards for an effective internal control system for federal agencies.</p> <p>Provides the overall framework for designing, implementing, and operating an effective internal control system.</p>
CIGIE, Quality Standards for Inspection and Evaluation ("Blue Book")	Establishes standards for inspections and evaluations conducted by IGs.
CIGIE, Quality Standards for Investigations	Establishes standards for investigations conducted by IGs.
CIGIE, Quality Standards for Federal Offices of Inspector General ("Silver Book")	Provides the overall quality framework for managing, operating, and conducting the work of IGs.

<sup>39</sup> The authority derived from the Agreement is different than, and in addition to, the authority derived from the IG Act, as amended. The agreement is not public.

<sup>40</sup> For more information on the GAO, please visit GAO's website at [www.gao.gov/](http://www.gao.gov/).

## **APPENDIX B – OIG ORGANIZATIONAL STRUCTURE AND COMPONENTS**

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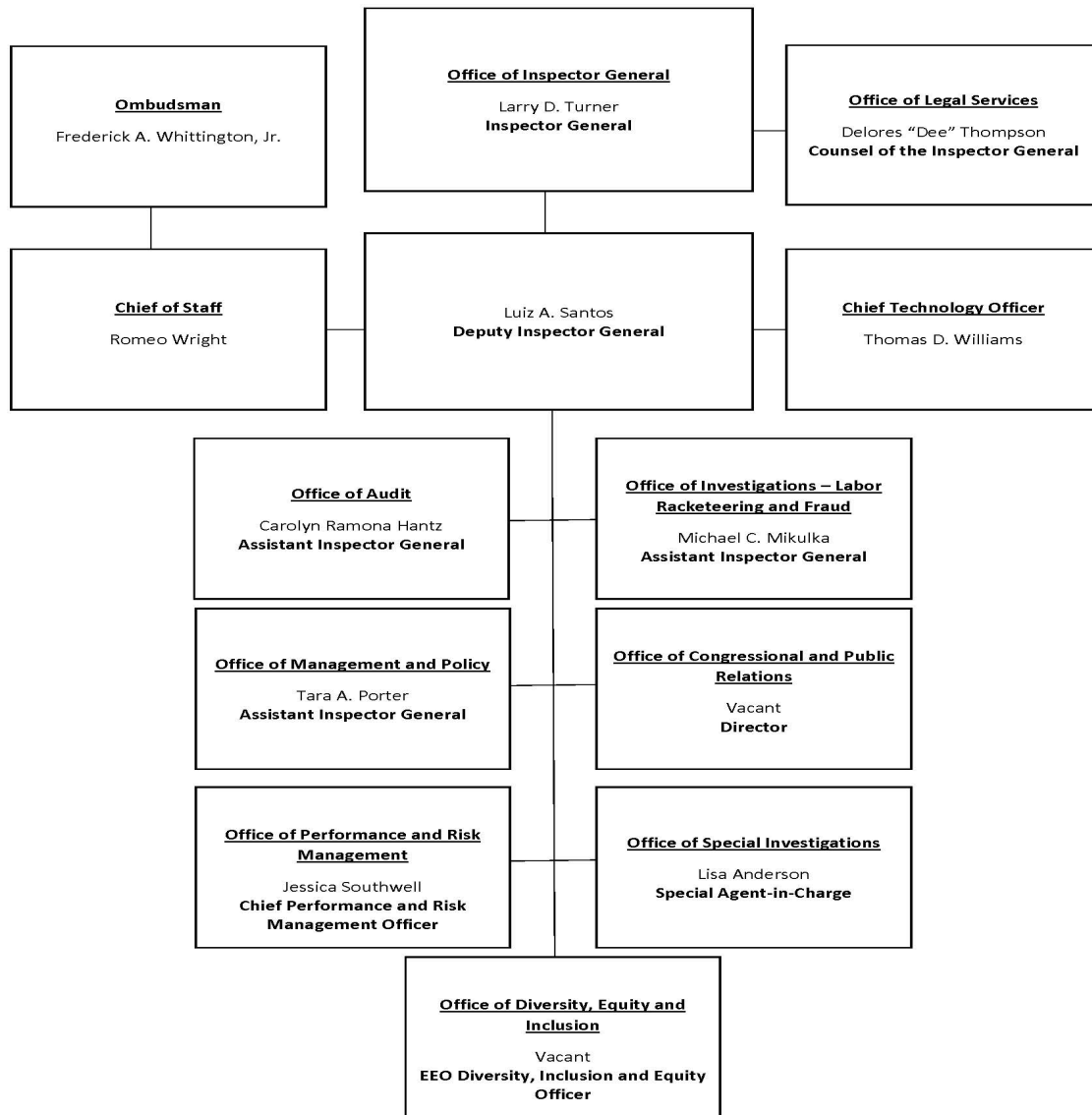
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# OIG ORGANIZATIONAL STRUCTURE

The OIG offices are located in Washington, D.C. (Headquarters), and several field and regional locations across the United States and Puerto Rico.

Figure 3: OIG Organization Chart



The OIG workforce is comprised of more than 300 employees with expertise in accounting, auditing, criminal justice, economics, finance, information technology, law, public and business administration, risk and performance management, and social and physical sciences, among other fields.

## OIG COMPONENTS

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In carrying out its statutory responsibility to conduct and supervise audits and investigations relating to the programs and operations of the DOL, the IG provides program direction over: the Office of Audit, the Office of Investigations, and the Executive Direction and Management function.

### OFFICE OF AUDIT

The Office of Audit is responsible for conducting and supervising audits relating to the Department's programs and operations; recommending policies for activities designed to promote economy, efficiency, and effectiveness in the administration of the Department's programs and operations preventing and detecting fraud, waste, abuse, and mismanagement in these programs and operations.

### OFFICE OF INVESTIGATIONS - LABOR RACKETEERING AND FRAUD

The Office of Investigations – Labor Racketeering and Fraud is responsible for conducting criminal, civil, and administrative investigations relating to violations of Federal laws, rules, or regulations as they pertain to DOL programs, grants, contracts, and operations, as well as allegations of criminal activity and serious misconduct on the part of DOL employees. In addition, the Office of Investigations has the responsibility to investigate labor racketeering and organized crime influence involving unions, employee benefit plans, and labor-management relations.

### EXECUTIVE DIRECTION AND MANAGEMENT

This function provides the overall direction, planning, management, administration, and inspections necessary to independently carry out the OIG's nationwide mission, supplying centralized management of OIG headquarters and regional staff. The major Components of the Executive Direction and Management function include:

### OFFICE OF CONGRESSIONAL AND PUBLIC RELATIONS

The Office of Congressional and Public Relations carries out liaison functions with respect to Congress, the media, other governmental agencies, the public, and internally within the OIG; prepares statutorily mandated reports such as the Semiannual Report to Congress; and coordinates all legislative review activities.

### OFFICE OF DIVERSITY, EQUITY, INCLUSION, AND ACCESSIBILITY

The Office of Diversity, Equity, Inclusion, and Accessibility provides strategic direction and guidance on a wide range of OIG's equal employment opportunity (EEO) and diversity, equity, inclusion, and accessibility (DEIA) programs and activities.

## **OFFICE OF LEGAL SERVICES**

The Office of Legal Services consists of the OIG's legal advisors and stewards of the OIG's Information Disclosure and Records Programs. OIG Attorneys advise the Inspector General, OIG senior leadership, and OIG's mission and operational programs, and represent the OIG in litigation and related matters. The Information Disclosure Program manages OIG's Freedom of Information Act (FOIA) and Privacy Act functions, and the Records Program is responsible for ensuring OIG maintains a National Archives and Records Administration (NARA)-compliant records program.

## **OFFICE OF MANAGEMENT AND POLICY**

The Office of Management and Policy provides for overall direction, planning, management, and administration necessary to carry out the nationwide responsibilities of the Office of Inspector General. This includes providing the full range of human resources, budget, procurement, and Equal Employment Opportunity services.

## **OFFICE OF PERFORMANCE AND RISK MANAGEMENT**

The Office of Performance and Risk Management leads a variety of organizational performance, strategic planning, evidence-based reviews, and risk management activities across the OIG, working closely with the Assistant Inspector Generals and senior leadership to improve how OIG manages performance, strategy, and risks to the OIG mission.

## **OFFICE OF SPECIAL INVESTIGATIONS**

The Office of Special Investigations conducts employee integrity investigations involving allegations of fraud and wrongdoing by OIG employees and high-level DOL employees.

## **CHIEF TECHNOLOGY OFFICER**

The Chief Technology Officer conducts long-range planning and integration of OIG information technology (IT) systems and services. This includes providing professional advice on IT trends, innovation, and solutions; managing the OIG IT infrastructure and cybersecurity; and managing the OIG IT program by providing broad guidance on IT policy, programmatic, and technical issues.

## **OMBUDSMAN**

An independent, neutral, confidential, and informal resource to all OIG employees. Increases organizational focus on mission critical activities by helping senior leaders, managers, supervisors, and staff minimize unwarranted distractions in the workplace, increase employee engagement, and address individual and organizational matters.

## **APPENDIX C – FYs 2016 THROUGH 2021 MEASURES RETIRED**

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## FYs 2016 THROUGH 2021 MEASURES RETIRED

The OIG retired strategic objectives and KPIs between fiscal years and APRs to enhance organizational performance and the accuracy and data quality of performance and progress. KPI changes may include text edits that while minor, may constitute material modifications to performance measurement. Finally, KPI may also be retired due to comprising activities being completed within one fiscal year.

### FYs 2016 - 2021 TARGETS AND RESULTS FOR RETIRED KPIS

For those KPIs that the OIG presented as consolidated summaries with OIG component detail, the OIG provides solely the detail for each OIG component below in Table 21.

Missed Target	Met Target	Exceeded Target
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Table 21: Performance Results for FYs 2016 through 2021 Retired KPIs

Strategic Objective 1.1														
Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2021 Results	Notes
Percentage of COVID-19 related recommendations implemented within 2 years of final report issuance.	OA	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	70%	38%	

Strategic Objective 1.2

Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2021 Results	Notes
Percentage of audits completed within 12 months of initiation, or as prescribed by OIG leadership.	OA	70%	59%	70%	61%	70%	68%	Retired	Retired	Retired	Retired	Retired	Retired	
Percentage of audits completed within 12 months of initiation (date of engagement letter)	OA	New FY 2019 Measure	New FY 2019 Measure	New FY 2019 Measure	New FY 2019 Measure	New FY 2019 Measure	New FY 2019 Measure	70%	48%	Retired	Retired	Retired	Retired	
Percentage of allegations that are either closed or converted to a full investigation within 90 days of receipt.	OI	70%	79%	65%	94%	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	
Percentage of Priority 1 and 2 investigations completed (referred for prosecution / administrative / civil proceedings) within 12 months of case opening.	OI	New FY 2017 Measure	New FY 2017 Measure	50%	46%	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	
Percentage of Tier 1 investigations completed (referred for prosecution / administrative / civil proceedings) within 24 months of case opening.	OI	New FY 2018 Measure	New FY 2018 Measure	New FY 2018 Measure	New FY 2018 Measure	50%	73%	50%	82%	65%	71%	65%	82%	

Strategic Objective 1.2 - continued

Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2021 Results	Notes
Percentage of Tier 2 investigations completed (referred for prosecution / administrative / civil proceedings) within 12 months of case opening.	OI	New FY 2018 Measure	New FY 2018 Measure	New FY 2018 Measure	New FY 2018 Measure	60%	68%	60%	88%	65%	71%	65%	86%	
Percentage of Priority 3 investigations completed (referred for prosecution / administrative / civil proceedings) within 12 months of case opening.	OI	New FY 2017 Measure	New FY 2017 Measure	75%	81%	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	
Percentage of OMAP IG Directives that are updated to reflect current regulations, and operational mission requirements.	OMAP	New FY 2017 Measure	New FY 2017 Measure	50%	64%	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	
Number of internal policies, including Inspector General Directives that are updated to reflect current law, regulation, and operational mission requirements.	OCPR	New FY 2018 Measure	New FY 2018 Measure	New FY 2018 Measure	New FY 2018 Measure	1	1	Retired	Retired	Retired	Retired	Retired	Retired	
Number of internal policies, including Inspector General Directives that are updated to reflect current law, regulation, and operational mission requirements.	OI	New FY 2018 Measure	New FY 2018 Measure	New FY 2018 Measure	New FY 2018 Measure	4	4	Retired	Retired	Retired	Retired	Retired	Retired	



Strategic Objective 1.2 - continued

Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2021 Results	Notes
Number of internal policies, including Inspector General Directives that are updated to reflect current law, regulation, and operational mission requirements.	OLS	New FY 2018 Measure	New FY 2018 Measure	New FY 2018 Measure	New FY 2018 Measure	2	4	Retired	Retired	Retired	Retired	Retired	Retired	
Number of internal policies, including Inspector General Directives that are updated to reflect current law, regulation, and operational mission requirements.	OMAP	New FY 2018 Measure	New FY 2018 Measure	New FY 2018 Measure	New FY 2018 Measure	10	28	Retired	Retired	Retired	Retired	Retired	Retired	
Percentage of OIG new hires trained on employee records management requirements within 45 days of their onboarding with the OIG.	OLS	New FY 2018 Measure	New FY 2018 Measure	New FY 2018 Measure	New FY 2018 Measure	90%	32%	Retired	Retired	Retired	Retired	Retired	Retired	Training slides provided by OMAP rendering this KPI redundant.
Provide legal guidance and assistance for routine audit and investigative requests for legal support within 20 business days from receipt of the request, or within agreed upon timelines.	OLS	90%	90%	Retired	Retired	Retired	Retired	70%	98%	Retired	Retired	Retired	Retired	OIG retired this KPI in FY 2017; however, OIG reinstated this KPI only for FY 2019.
Issue a biennial OMAP Customer Satisfaction Survey to seek stakeholder feedback and assess the effectiveness of mission support activities within the OIG.	OMAP	New FY 2017 Measure	New FY 2017 Measure	9/30/2017	8/24/2017	N/A	N/A	9/30/2019	4/4/2019	N/A	N/A	Retired	Retired	OIG introduced this KPI as an annual metric; however, OIG refined this measurement to a biennial basis (every 2 years) beginning in FY 2019. In FY 2021, OIG updated the measuring scheme from a date to a number.

Strategic Objective 1.3														
Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2021 Results	Notes
Percentage completion of a new, repeatable audit workplan process that leverages the use of survey instruments to key stakeholders.	OA	New FY 2017 Measure	New FY 2017 Measure	100%	100%	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	
Percentage of new cases that are considered Critical Risk (priority 1) or High Risk (priority 2).	OI	75%	88%	75%	88%	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	
Percentage of new investigative cases that are considered Critical Risk (priority 1), or High Risk (priority 2) due to potential impact to the DOL.	OSI	75%	71%	75%	87%	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	
Adopt and build on the existing risk-based annual workplan development process within the TeamRisk module of TeamMate.	OA	New FY 2018 Measure	New FY 2018 Measure	New FY 2018 Measure	New FY 2018 Measure	8/31/2018	6/28/2018	Retired	Retired	Retired	Retired	Retired	Retired	

Strategic Objective 1.4														
Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2021 Results	Notes
Percentage of congressionally-mandated OIG reports, including the Semiannual Reports to Congress, provided to stakeholders within statutory or agreed upon timeframes.	OCPR	100%	100%	100%	100%	100%	100%	Retired	Retired	Retired	Retired	Retired	Retired	
Percentage of relevant audit reports provided to cognizant Congressional committees within one business day, and made available to the public within two business days after receiving final, approved versions.	OCPR	90%	100%	90%	100%	90%	100%	Retired	Retired	Retired	Retired	Retired	Retired	

Strategic Objective 1.5

Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2021 Results	Notes
Number of meetings or focus groups with DOL or OIG community regarding areas of potential audit risks.	OA	32	31	32	32	32	82	Retired	Retired	Retired	Retired	Retired	Retired	
Number of briefings and consultations per year offered to cognizant Senate and House committees regarding OIG work priorities and areas of Congressional interest.	OCPR	12	13	12	15	12	12	12	19	12	13	Retired	Retired	
Number of outreach, liaison, and educational sessions with internal and external stakeholders to identify areas of high risk that could lead to potential investigations.	OI	370	370	370	607	370	702	370	691	450	771	450	628	

Strategic Objective 2.1

Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2021 Results	Notes
Complete an OMAP EVS action plan to increase employee engagement index scores in 2017, with a focus on increasing "Leaders Lead", "Supervisors" and "Intrinsic Work Experience" subfactors.	OMAP	New FY 2017 Measure	New FY 2017 Measure	Feb 2017	Feb 2017	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	
Complete component-specific EVS action plan to increase employee engagement index scores.	OIG	New FY 2018 Measure	New FY 2018 Measure	New FY 2018 Measure	New FY 2018 Measure	2/28/2018	2/28/2018	2/28/2019	1/21/2019	12/27/2020	12/27/2020	Retired	Retired	
Complete an OI EVS action plan to increase employee engagement index scores in 2017, with a focus on increasing "Leaders Lead", "Supervisors" and "Intrinsic Work Experience" subfactors.	OI	New FY 2017 Measure	New FY 2017 Measure	Feb 2017	Feb 2017	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	

Strategic Objective 2.1 - continued

Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2021 Results	Notes
Complete an OA EVS action plan to increase engagement index scores in 2017, with a focus on increasing "Leaders Lead", "Supervisors" and "Intrinsic Work Experience" subfactors.	OA	New FY 2017 Measure	New FY 2017 Measure	Feb 2017	Feb 2017	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	
By March 31, 2021, complete a Component-specific OIG Cultural Transformation Action Plan for the period of 2021-2023. The plan should include activities to improve communications, collaboration, accountability, training and development.	OIG	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	100%	100%	
Percentage of employee engagement improvement activities completed that are based on OIG EVS action plans.	OIG	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	N/A	N/A	OIG could not measure this KPI due to an error by DOL in transmitting Component-level data to OPM.  OIG will also not be able to measure Component-level activity for FY 2021 given an OPM decision to limit reporting granularity government-wide.

Strategic Objective 2.2

Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2021 Results	Notes
Percentage of OIG training funds obligated.	OIG	95%	94%	95%	96.00%	90%	79%	Retired	Retired	Retired	Retired	Retired	Retired	

Strategic Objective 2.3

Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2021 Results	Notes
Develop a framework for an "OIG Strategic Human Capital Plan" that includes strategies for recruitment, talent development, and succession planning.	OMAP	New FY 2017 Measure	New FY 2017 Measure	Sep 2017	Jul 2017	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	
Percentage of departing employees who complete exit interviews.	OMBUDSMAN	65%	18%	65%	17%	65%	52%	Retired	Retired	Retired	Retired	Retired	Retired	
Percentage of departing employees informed of the exit survey.	OMBUDSMAN	New FY 2019 Measure	New FY 2019 Measure	New FY 2019 Measure	New FY 2019 Measure	New FY 2019 Measure	New FY 2019 Measure	90%	100%	Retired	Retired	Retired	Retired	

Strategic Objective 2.3 - continued

Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2021 Results	Notes
Provide summary exit survey feedback reports to Senior Managers and Executives at least once quarterly.	OMBUDSMAN	New FY 2020 Measure	New FY 2020 Measure	New FY 2020 Measure	New FY 2020 Measure	New FY 2020 Measure	New FY 2020 Measure	New FY 2020 Measure	New FY 2020 Measure	80%	100%	Retired	Retired	In FY 2021, OIG updated the measuring scheme to allow for combined quarterly meetings to reflect changing environments.
Conduct a total of eight climate surveys or team building facilitations during FY 2020.	OMBUDSMAN	New FY 2020 Measure	New FY 2020 Measure	New FY 2020 Measure	New FY 2020 Measure	New FY 2020 Measure	New FY 2020 Measure	New FY 2020 Measure	New FY 2020 Measure	80%	100%	Retired	Retired	
Percentage of climate surveys or team building facilitations during the Fiscal Year.	OMBUDSMAN	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	75%	100%	



Strategic Objective 2.5

Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2021 Results	Notes
Percentage of auditors in compliance with mandatory professional training within prescribed timelines.	OA	100%	100%	100%	100%	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	
Percentage of investigators completing mandatory professional training within prescribed timelines.	OI	100%	100%	100%	100%	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	
Percentage of investigators completing mandatory professional training within prescribed timelines.	OSI	100%	100%	100%	100%	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	
Percentage of OA employees who have employee development plans.	OA	100%	100%	100%	100%	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	
Percentage of OI employees who have employee development plans.	OI	70%	45%	70%	78%	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	

Strategic Objective 2.5 - continued

Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2021 Results	Notes
Percentage of OSI employees who have employee development plans.	OSI	70%	50%	70%	75%	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	
Percentage of OMAP employees who have employee development plans.	OMAP	70%	0%	70%	51%	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	
Percentage of OLS employees who have employee development plans.	OLS	70%	70%	70%	0%	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	
Percentage of OCPR employees who have employee development plans.	OCPR	70%	100%	70%	100%	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	

Strategic Objective 2.7

Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2021 Results	Notes
Percentage of OMAP supervisors with at least 6 months of supervisory tenure who complete a 360 degree evaluation or an online survey to gather feedback from staff.	OMAP	100%	100%	100%	100%	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	
Percentage of OA supervisors with at least 6 months of supervisory tenure who complete a 360 degree evaluation or an online survey to gather feedback from staff.	OA	100%	100%	100%	100%	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	
Percentage of OI supervisors with at least 6 months of supervisory tenure who complete a 360 degree evaluation or an online survey to gather feedback from staff.	OI	100%	100%	100%	100%	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	

Strategic Objective 2.7 - continued

Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2021 Results	Notes
Percentage of OSI supervisors with at least 6 months of supervisory tenure who complete a 360 degree evaluation or an online survey to gather feedback from staff.	OSI	100%	Result Not Received	100%	0%	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	
Percentage of OLS supervisors with at least 6 months of supervisory tenure who complete a 360 degree evaluation or an online survey to gather feedback from staff.	OLS	100%	100%	100%	100%	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	
Percentage of OCPR supervisors with at least 6 months of supervisory tenure who complete a 360 degree evaluation or an online survey to gather feedback from staff.	OCPR	100%	0%	100%	100%	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	

Strategic Objective 2.8

Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2021 Results	Notes
Percentage completion of OIG-wide mandatory on-line annual training.	OMAP	90%	100%	100%	94%	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	

Strategic Objective 3.1

Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2021 Results	Notes
Percentage of employee hours charged to COVID-19 related audit activities compared to non COVID-19 audit activities.	OA	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	30%	50%	

Strategic Objective 3.2

Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2021 Results	Notes
Develop action plans to mitigate highest organizational risks as identified in OIG's Enterprise Risk Management process.	OA	New FY 2018 Measure	New FY 2018 Measure	New FY 2018 Measure	New FY 2018 Measure	9/30/2018	Apr 2018	Retired	Retired	Retired	Retired	Retired	Retired	
Develop action plans to mitigate highest organizational risks as identified in OIG's Enterprise Risk Management process.	OCPR	New FY 2018 Measure	New FY 2018 Measure	New FY 2018 Measure	New FY 2018 Measure	9/30/2018	9/30/2018	Retired	Retired	Retired	Retired	Retired	Retired	

Strategic Objective 3.2 - continued

Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2021 Results	Notes
Develop action plans to mitigate highest organizational risks as identified in OIG's Enterprise Risk Management process.	OI	New FY 2018 Measure	New FY 2018 Measure	New FY 2018 Measure	New FY 2018 Measure	9/30/2018	9/30/2018	Retired	Retired	Retired	Retired	Retired	Retired	
Develop action plans to mitigate highest organizational risks as identified in OIG's Enterprise Risk Management process.	OLS	New FY 2018 Measure	New FY 2018 Measure	New FY 2018 Measure	New FY 2018 Measure	9/30/2018	9/30/2018	Retired	Retired	Retired	Retired	Retired	Retired	
Develop action plans to mitigate highest organizational risks as identified in OIG's Enterprise Risk Management process.	OMAP	New FY 2018 Measure	New FY 2018 Measure	New FY 2018 Measure	New FY 2018 Measure	9/30/2018	9/19/2018	Retired	Retired	Retired	Retired	Retired	Retired	
Develop action plans to mitigate highest organizational risks as identified in OIG's Enterprise Risk Management process.	OSI	New FY 2018 Measure	New FY 2018 Measure	New FY 2018 Measure	New FY 2018 Measure	9/30/2018	9/30/2018	Retired	Retired	Retired	Retired	Retired	Retired	

Strategic Objective 3.2 - continued

Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2021 Results	Notes
Percentage completion of planned milestones to re-engineer the Audit Work plan Development process based on a risk-informed methodology.	OA	New FY 2017 Measure	New FY 2017 Measure	100%	100%	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	
Percentage completion of an OA-specific risk inventory based on OIG's ERM Framework.	OA	New FY 2017 Measure	New FY 2017 Measure	100%	100%	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	
Percentage completion of an OI-specific risk inventory based on OIG's ERM Framework.	OI	New FY 2017 Measure	New FY 2017 Measure	100%	100%	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	
Percentage completion of an OMAP-specific risk inventory based on OIG's ERM Framework.	OMAP	New FY 2017 Measure	New FY 2017 Measure	100%	100%	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	



Strategic Objective 3.2 - continued

Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2021 Results	Notes
Percentage of ERM mitigation plan activities completed (Tier 1).	OIG	New FY 2019 Measure	New FY 2019 Measure	New FY 2019 Measure	New FY 2019 Measure	New FY 2019 Measure	New FY 2019 Measure	70%	90%	Retired	Retired	Retired	Retired	
Percentage of ERM mitigation plan activities completed (Tier 2).	OIG	New FY 2020 Measure	New FY 2020 Measure	New FY 2020 Measure	New FY 2020 Measure	New FY 2020 Measure	New FY 2020 Measure	New FY 2020 Measure	New FY 2020 Measure	70%	81%	Retired	Retired	
Conduct internal control reviews required by OMB Circular A-123 and submit all reports within OMB and DOL prescribed timeframes, and all remedial action plans when control deficiencies are identified within 60 days of the report finding.	OMAP	New FY 2018 Measure	New FY 2018 Measure	New FY 2018 Measure	New FY 2018 Measure	9/30/2018	7/26/2018	9/30/2019	7/9/2019	9/30/2020	7/1/2020	Retired	Retired	In FY 2021, OIG updated the measuring scheme from a date to a percentage.
Support no less than two Risk Management Council meetings to monitor Active ERM mitigation activities and internal controls.	OIG	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	New FY 2021 Measure	100%	100%	

Strategic Objective 3.3

Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2021 Results	Notes
Percentage of investigative requests for investigative data analytics are completed (provided to requesting party) within 30 days of the service request.	OI	New FY 2018 Measure	New FY 2018 Measure	New FY 2018 Measure	New FY 2018 Measure	85%	95%	85%	91%	Retired	Retired	Retired	Retired	OIG refined this KPI to ... "25 days" in FY 2020.*

Strategic Objective 3.4

Performance Indicators	Responsible Component	FY 2016 Targets	FY 2016 Results	FY 2017 Targets	FY 2017 Results	FY 2018 Targets	FY 2018 Results	FY 2019 Targets	FY 2019 Results	FY 2020 Targets	FY 2020 Results	FY 2021 Targets	FY 2021 Results	Notes
Develop an "OIG IT Strategic Plan" that provides a roadmap to use IT strategically to optimize capabilities, adapt to change, and support initiatives that demonstrably support the OIG mission and improve IT performance.	OMAP	New FY 2017 Measure	New FY 2017 Measure	Sep 2017	Feb 2017	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	
Ensure at least 90 percent integrity and accuracy of acquisition data submitted to the Federal Procurement Data System (FPDS) through the results of the FPDS system.	OMAP	New FY 2018 Measure	New FY 2018 Measure	New FY 2018 Measure	New FY 2018 Measure	100%	N/A	100%	N/A	Retired	Retired	Retired	Retired	DOL did not identify the cohort of contracts to be included in the FY 2018 or FY 2019 FPDS audits prior to the close of those FYs.

## **APPENDIX D – PANDEMIC-RELATED OVERSIGHT REPORTS ISSUED BY DOL-OIG**

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## PANDEMIC-RELATED OVERSIGHT REPORTS ISSUED BY DOL-OIG

A key role of OIGs is to provide oversight of Federal Government funds and programming and to issue corresponding oversight reports. DOL-OIG issued a total of 9 COVID-19 Pandemic-related oversight reports in FY 2021.<sup>41</sup>

**Table 22: DOL-OIG Pandemic-Related Oversight Reports**

Oversight Report	Issue Date
Report Number 19-21-001-03-315, <i>COVID-19: States Cite Vulnerabilities in Detecting Fraud While Complying with the CARES Act UI Program Self-Certification Requirement</i>	October 21, 2020
Report Number 19-21-002-03-315, <i>Alert Memo: The Employment and Training Administration (ETA) Needs to Ensure State Workforce Agencies (SWA) Implement Effective Unemployment Insurance Program Fraud Controls for High Risk Areas</i>	February 22, 2021
Report Number 19-21-003-10-105, <i>COVID-19: Increased Worksite Complaints and Reduced OSHA Inspections Leave U.S. Workers' Safety at Increased Risk</i>	February 25, 2021
Report Number 19-21-004-03-315, <i>COVID-19: States Struggled to Implement CARES Act Unemployment Insurance Programs</i>	May 28, 2021
Report Number 19-21-005-03-315, <i>Alert Memorandum: The Employment and Training Administration Needs to Issue Guidance to Ensure State Workforce Agencies Provide Requested Unemployment Insurance Data to the Office of Inspector General</i>	June 16, 2021
Report Number 19-21-006-03-315, <i>Alert Memorandum: The Employment and Training Administration Does Not Require the National Association of State Workforce Agencies to Report Suspected Unemployment Insurance Fraud Data to the Office of Inspector General or the Employment and Training Administration</i>	July 1, 2021
Report Number 22-21-007-13-001, <i>The U.S. Department of Labor Complied with The Payment Integrity Information Act for FY 2020, but Reported Unemployment Insurance Information Did Not Represent Total Program Year Expenses</i>	August 6, 2021
Report Number 19-21-007-04-431, <i>COVID-19: Pandemic Causes Delays in FECA Claims Adjudication</i>	September 23, 2021
Report Number 19-21-008-15-001, <i>COVID-19: The Pandemic Highlighted the Need to Strengthen Wage and Hour Division's Enforcement Controls</i>	September 30, 2021

Note: Table 22 excludes the *Update Top Challenges in Pandemic Relief and Response – February 2021* report.

<sup>41</sup> For copies of these COVID-19 Pandemic-related oversight reports and other published DOL-OIG COVID-19 Pandemic-related activities, please visit DOL-OIG's *Pandemic Response Online Portal* on our website at [https://www.oig.dol.gov/OIG\\_Pandemic\\_Response\\_Portal.htm](https://www.oig.dol.gov/OIG_Pandemic_Response_Portal.htm).

## OIG HOTLINE

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The OIG operates a hotline to receive and process allegations of fraud, waste, and abuse concerning DOL grants, contracts, programs and operations. The OIG also addresses allegations of criminal activity and serious misconduct involving DOL employees. Moreover, the OIG has jurisdiction to investigate allegations of labor racketeering and organized crime influence in the workplace, including the misuse of union benefit plan assets or power, labor-management relations, and internal union affairs.

### TO REPORT FRAUD, WASTE, OR ABUSE, PLEASE CONTACT:

Online: <https://www.oig.dol.gov/hotline.htm>

Telephone: 1-800-347-3756 or 202-693-6999

Fax: 202-693-7020

Address: Attention: Hotline  
Office of Inspector General  
U.S. Department of Labor  
200 Constitution Avenue, N.W.  
Washington, D.C. 20210