

January 2023

# Fiscal Year 2022 Annual Performance Report & Fiscal Year 2024 Annual Performance Plan

*Office of Inspector General for the U.S. Department of Labor*



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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) 2022 Annual Performance Report (APR) and FY 2024 Annual Performance Plan (APP). The results for FY 2022 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 2022 APR and FY 2024 APP presents the OIG's organizational performance results and plans based on the OIG's FY 2022 – 2026 Strategic Plan. This report highlights the OIG's: strategic goals with their related strategic objectives, organizational performance results against Key Performance Indicators (KPI), and accomplishments.

Despite significant resource constraints and challenges during the COVID-19 pandemic, OIG staff continued to produce extensive, high-quality oversight work and remained dedicated to promoting the economy, efficiency, effectiveness, and integrity of DOL's programs.

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 2022 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 2022, the OIG:

- Issued 25 audit and other reports that resulted in \$29.6 billion in funds put to better use; conducted investigative work that resulted in 624 indictments, 403 convictions, and \$145.3 million in monetary accomplishments.
- Issued an updated *DOL-OIG Pandemic Response Oversight Plan – March 2022*.<sup>1</sup>
- Issued, as a member of the Pandemic Response Accountability Committee, 2 *PRAC Semiannual Reports to Congress*.<sup>2</sup>
- Identified 14 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 2 awards from the Council of the Inspectors General on Integrity and Efficiency (CIGIE) for exemplary work identifying fraud and weaknesses in DOL and other federal programs.
- Earned 17 awards from the Secretary of Labor for achievements in uncovering fraud and inefficiencies in DOL programs, as well as exceptional service.
- Received a rating of pass with no recommendations from a peer review conducted by the U.S. Department of Health and Human Services of the system of quality control for DOL-OIG's audit function. The peer review covered audit work performed during the unprecedented COVID-19 pandemic.
- Issued Version 3.0 of the OIG Framework for Enterprise Risk Management (ERM). With the launch of our automated ERM system and associated processes, OIG has matured to the "managed" or level four maturity.<sup>3</sup>
- Testified before Congress on OIG's oversight of the unemployment insurance (UI) program during the COVID-19 pandemic.

<sup>1</sup> For our updated DOL-OIG Pandemic Oversight Plan, please visit our website at <https://www.oig.dol.gov/public/oaprojects/Updated%20Pandemic%20Response%20Oversight%20Plan%202022%20of%20Publication.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, 2021, through March 31, 2022 and the *PRAC Semiannual Report to Congress* covering April 1, 2022, through September 30, 2022, please visit the PRAC's website at <https://www.pandemicoversight.gov/oversight/our-publications-reports>.

<sup>3</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>.

**THE OIG AND FISCAL YEAR 2022 SNAPSHOT**

**Figure 1: FY 2022 Office of Investigations Selected Accomplishments**

Investigative recoveries, cost-efficiencies, restitutions, fines and penalties, forfeitures, and civil monetary action.....	\$145.3M
Investigative cases opened.....	344
Investigative cases closed/reports issued.....	299
Investigative cases referred for prosecution.....	282
Investigative cases referred for administrative/civil action.....	105
Indictments.....	624
Convictions.....	403
Statutory debarments.....	14

**Figure 2: FY 2022 Office of Audit Selected Accomplishments**

Funds Put to Better Use <sup>4</sup> .....	\$29.6B
Questioned Costs <sup>5</sup> .....	\$0
Audit Reports issued.....	18
Other reports issued.....	7
<i>Program Reviews</i> .....	3
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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>4</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>5</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>6</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>7</sup> These challenges are included in DOL's "Agency Financial Report" for FY 2022. 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;
- Maintaining the Integrity of Foreign Labor Certification Programs;
- Protecting Retirement, Health, and Other Benefit Plans for Workers, Retirees, and their Families;
- Providing a Safe and Healthy Learning Environment at Job Corps Centers;
- Managing Medical Benefits in Office of Workers' Compensation Programs; 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 2022* report.<sup>8</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>9</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>10</sup>

<sup>7</sup> The Reports Consolidation Act of 2000 requires OIG to identify the most serious management and performance challenges facing DOL.

<sup>8</sup> For the *Top Management and Performance Challenges Facing the Department of Labor – November 2022* report, please visit our website at <https://www.oig.dol.gov/public/DOL%202022%20Top%20Management%20and%20Performance%20Challenges.pdf>.

<sup>9</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>10</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

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DOL-OIG updated its Pandemic Oversight Plan (published in March 2022) as we continued to conduct risk assessments to identify specific areas for review.<sup>11</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>12</sup>

#### *Audit Oversight Focus:*

During the first two phases, we alerted the Department to urgent concerns through 13 reports, including 3 alert memoranda, containing 31 recommendations. While primarily focused on the Employment and Training Administration's (ETA) UI programs, issuing six UI audit reports, we also reviewed other DOL agencies and programs, including those overseeing workers' compensation, worker safety and health, and job training.

At the start of the pandemic, we had significant concerns regarding the UI programs, based on both previous OIG work regarding emergency response and on the high-risk nature of the programs. Further, our work found that states had been slow to modernize their legacy IT systems in the more than a decade between the Great Recession and the COVID-19 pandemic. The OIG expressed its concern that staffing challenges, coupled with the state of legacy systems, would continue to impede the management and oversight of UI benefits. Our subsequent reports identified continued programmatic weaknesses in each of these same areas, leading to workers unemployed through no fault of their own suffering lengthy delays for basic subsistence funds—likely increasing bad outcomes such as food scarcity and homelessness—while a substantial amount of benefits were left vulnerable to fraud, waste, and abuse.

Our pandemic response oversight under Phases 1 and 2 also covered other DOL agencies and programs.<sup>13</sup> We issued eight reports and made 24 recommendations to address weaknesses relating to worker safety and health and program effectiveness. In some instances, in response to identifying significant issues, we expanded coverage of agency activities to include areas originally planned for Phase 3. The 13 reports we issued during Phases 1 and 2 are available at our Pandemic Response Portal and the audit reports section of the OIG's website.<sup>14</sup>

#### *Investigative Oversight Focus:*

During Phase 1 and Phase 2 of our pandemic response oversight plan, the OIG focused our investigative and data analytical resources to identify and investigate Department programs that

<sup>11</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>12</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>13</sup> 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.

<sup>14</sup> Our Pandemic Response Portal is available at [https://www.oig.dol.gov/OIG\\_Pandemic\\_Response\\_Portal.htm](https://www.oig.dol.gov/OIG_Pandemic_Response_Portal.htm), and OIG audit reports including pandemic-related audit reports are available at <https://www.oig.dol.gov/auditreports.htm>.



had the greatest vulnerability for abuse, with a significant focus on large-scale identity theft related unemployment insurance fraud.

The scope of UI fraud in pandemic-related programs is unprecedented. With its limited resources, the OIG expanded its reach by partnering with the U.S. Department of Justice to create the National UI Fraud Task Force. The Task Force consists of DOL-OIG, Federal Bureau of Investigation, U.S. Secret Service, U.S. Postal Inspection Service, Homeland Security Investigations, Internal Revenue Service-Criminal Investigation Division, Social Security Administration OIG, and the Department of Homeland Security OIG. The Task Force continues to focus on intelligence sharing, deconfliction, joint national messaging, and effective use of investigative and prosecutorial resources.

The OIG also created and coordinated the release of various public and law enforcement sensitive messages to alert and aid stakeholders in detecting and preventing fraud. These messages included a UI Fraud Consumer Protection Guide<sup>15</sup>, UI Fraud Investigations Guide, fraud alerts for state/local law enforcement organizations, bilingual alerts regarding UI fraud, phishing, and identity theft<sup>16</sup>, and a joint OIG / U.S. Secret Service alert on the detection and mitigation of UI fraud for financial institutions. The OIG has also done extensive outreach to educate and raise awareness regarding fraud trends, best practices, red flags, and more. Our special agents conveyed critical information on UI fraud investigations and data analytics to many organizations during the pandemic including the National Association of Attorney's General, the Pandemic Response Accountability Committee, the Council of Inspectors General on Integrity and Efficiency, the American Bankers Association, the Independent Community Bankers of America, the Federal Bureau of Investigation, DOL's Office of Unemployment Insurance, and the State Workforce Agencies (SWA).

DOL-OIG's Special Agents used data analytics extensively on a national and state level to proactively identify those areas that pose the greatest risk to the UI program. Our data analytics program identified numerous fraud typologies plaguing the UI program nationwide, allowing our special agents and Task Force partners to focus their efforts on investigative matters that involve the greatest loss of funds to the UI program. It has further allowed us to share information with ETA so that they can better assist SWAs in detecting fraud sooner and implementing safeguards to avoid paying fraudulent claims.

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

OIG's Phase 3 audit work is focusing on significant issues identified during Phase 2, impacts on normal operations at both the national and state levels, and agency activities not previously covered during the first two phases. We have also expanded our Phase 3 work in response to emerging issues—such as the OIG's lack of direct access to UI and wage data, rising worker injury rates at online retailers' warehouses, and states' use of ARP Act equity grants. Collaboratively, the OIG's audit and investigative activities have identified \$45.6 billion of potential fraud paid in the previously identified four high-risk areas, such as UI benefits paid to individuals with social security numbers filed in multiple states and those of deceased persons.<sup>17</sup> We shared our methodology and the underlying data with the Department and the SWAs, and

<sup>15</sup> For the UI Fraud and Consumer Protection Guide is available at <https://www.oig.dol.gov/public/Unemployment%20Insurance%20Fraud%20Consumer%20Protection%20Guide,%20Final.pdf>.

<sup>16</sup> Our Pandemic Response Portal features bilingual fraud alerts and much more, available at [https://www.oig.dol.gov/OIG\\_Pandemic\\_Response\\_Portal.htm](https://www.oig.dol.gov/OIG_Pandemic_Response_Portal.htm).

<sup>17</sup> Potential fraud identified grew from \$17 billion as of March 2022 to \$45.6 billion as of September 2022.

we recommended they establish effective controls to mitigate fraud and other improper payments to ineligible claimants, including the four high-risk areas identified in the memoranda.

As of February 2022, the OIG's investigative and data analytical resources resulted in the OIG opening over 38,000 investigative matters related to the pandemic. In addition, we have received over 140,000 UI fraud complaints from the Department of Justice's National Center for Disaster Fraud (NCDF). The vast majority of these matters involve identify theft-related UI fraud. We have leveraged technology to automate the processing of NCDF complaints so that they are directly ingested into our case management system. This process allows us to provide victim resource information to potential victims, while also allowing for deconfliction with other federal law enforcement agencies to avoid duplication of efforts. We have significantly expanded the size of our hotline staff to process both hotline and NCDF complaints. Matters that meet guidelines for federal prosecution are referred to our field offices or to our federal law enforcement partners for further investigation. Matters that do not meet federal prosecution guidelines are referred back to SWAs for whatever action they deem appropriate.

For Phase 4 activities, the OIG will continue to monitor and assess DOL's actions relating to COVID-19 in response to any new legislation enacted by Congress, as well as continue our investigative efforts. 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.

## PANDEMIC RESPONSE ACCOUNTABILITY COMMITTEE

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Established in March 2020 by the CARES Act, the PRAC is a CIGIE Committee.<sup>18</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>19</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 2022 PRAC SEMI-ANNUAL REPORT ACCOMPLISHMENTS

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The PRAC was established to serve the American public by promoting transparency and facilitating coordinated oversight of the federal government's COVID-19 pandemic response and associated spending. In FY 2022, the PRAC issued 2 Semiannual Reports to Congress.<sup>20</sup>

<sup>18</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>19</sup> For the full strategic plan, please visit the PRAC's website at <https://www.pandemicoversight.gov/media/file/prac-strategic-plan>.

<sup>20</sup> For the *PRAC Semiannual Report to Congress* covering the period from October 1, 2021, through March 31, 2022 and the *PRAC Semiannual Report to Congress* covering April 1, 2022, through September 30, 2022, please visit the PRAC's website at <https://www.pandemicoversight.gov/oversight/our-publications-reports>.

**Table 1: PRAC COVID-19  
Audit and Investigative Activities from October 1, 2021, through September 30, 2022**

Audit Activities	
Number of OIGs	33
Oversight Reports	193
Monetary Findings <sup>a</sup>	\$41,062,719,372
Recommendations	527
Investigative Activities <sup>21</sup>	
Number of OIGs	20
Arrests/Indictments	1485
Convictions	768

<sup>a</sup> "Monetary findings" include all questioned costs and funds put to better use identified by each OIG. Note: Investigative work often involves several law enforcement agencies working on the same case. OIGs may conduct cases with other OIGs, other Federal law enforcement agencies, and State and local law enforcement entities. The counts above credit all OIGs involved in the case and do not represent unique cases.

**Table 2: Specific DOL-OIG COVID-19  
Audit and Investigative Activities from October 1, 2021, through September 30, 2022  
(included in Table 1 above)**

Audit Activities	
Oversight Reports	9
Monetary Findings <sup>a</sup>	\$29,607,092,604
Recommendations <sup>b</sup>	36
Investigative Activities <sup>22</sup>	
Arrests/Indictments	458
Convictions	248

<sup>a</sup> "Monetary findings" include all questioned costs and funds put to better use identified by each OIG.

<sup>b</sup> One recommendation was \$29,600,000,000.

Appendix D contains additional information and details for the 9 COVID-19 Pandemic-related oversight reports issued by DOL-OIG listed in the FY 2022 PRAC Semiannual Reports to Congress. We will continue to work with our OIG partners to identify major risks that cut across DOL programs and agency boundaries.

<sup>21</sup> Data assembled by the PRAC from the U.S. Department of Justice RSS feed.

<sup>22</sup> Ibid.

# 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>23</sup>

## FYs 2022 AND 2023 MEASURE CHANGES, AND FY 2024 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>24</sup> In collaboration with the Inspector General (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 2022 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 2018	56	13
FY 2019	56	13
FY 2020	60	13
FY 2021	65	13
FY 2022	70	13
FY 2023	66	13

<sup>23</sup> See Appendix A for an overview of some of the statutory laws with provisions affecting the OIG's mission and work.

<sup>24</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 2023 and 2024, to enhance organizational performance and improve the accuracy and quality of performance data and progress.

Appendix C contains the targets and results for FYs 2017 through 2022 measures that the OIG retired in FYs 2017 through FY 2022.

The OIG leveraged baseline data and benchmarks from the previous 6 fiscal years to set performance targets for FYs 2023 and 2024. Going forward, the OIG may update FYs 2023 and 2024 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 2022 PERFORMANCE

To present the most current information, this FY 2022 APR and FY 2023 – FY 2024 APP integrates reporting of OIG’s FYs 2017 through 2022 performance with its updated performance plan for the current fiscal year (FY 2023) and next fiscal year (FY 2024). This combined approach provides a retrospective and prospective view of OIGs performance, consistent with OMB guidelines.

**Table 6: Overview of OIG’s FY 2022 Performance**

	Missed Target	Met Target	Exceeded Target	N/A	Total KPIs for FY 2022	New FY 2023 and (Retired) FY 2022 KPIs	N/A KPIs for FY 2023	Total KPIs for FY 2023
<b>Strategic Goal 1</b>	<b>8</b>	<b>0</b>	<b>25</b>	<b>1</b>	<b>34</b>	<b>0 (7)</b>	<b>1</b>	<b>28</b>
<i>Objective 1.1</i>	2	0	7	0	9	0 (3)	0	6
<i>Objective 1.2</i>	5	0	10	1	16	0 (2)	1	15
<i>Objective 1.3</i>	1	0	3	0	4	0 (1)	0	3
<i>Objective 1.4</i>	0	0	2	0	2	0 (0)	0	2
<i>Objective 1.5</i>	0	0	3	0	3	0 (1)	0	2
<b>Strategic Goal 2</b>	<b>3</b>	<b>2</b>	<b>13</b>	<b>1</b>	<b>19</b>	<b>4 (3)</b>	<b>0</b>	<b>20</b>
<i>Objective 2.1</i>	1	2	3	0	6	1 (0)	0	7
<i>Objective 2.2</i>	1	0	2	0	3	1 (1)	0	3
<i>Objective 2.3</i>	1	0	4	0	5	2 (2)	0	5*
<i>Objective 2.4</i>	0	0	4	1	5	0 (0)	0	5
<b>Strategic Goal 3</b>	<b>0</b>	<b>2</b>	<b>15</b>	<b>0</b>	<b>17</b>	<b>4 (4)</b>	<b>1</b>	<b>18</b>
<i>Objective 3.1</i>	0	0	5	0	5	1 (1)	0	5
<i>Objective 3.2</i>	0	1	1	0	2	1 (1)	0	2
<i>Objective 3.3</i>	0	0	7	0	7	0 (0)	0	7*
<i>Objective 3.4</i>	0	1	2	0	3	2 (2)	1	4
<b>Total</b>	<b>11</b>	<b>4</b>	<b>53</b>	<b>2</b>	<b>70</b>	<b>8 (14)</b>	<b>2</b>	<b>66</b>

\* OIG reassigned 2 KPIs within Strategic Objective 2.3 and 1 KPI within Strategic Objective 3.3 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 2017 through 2022 measures that OIG retired from FY 2017 through FY 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 and 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 issued the Department a qualified opinion, for the first time in 25 years, on its consolidated financial statements and reported one material weakness related to UI COVID-19 funding. This was partially due to the Department being unable to provide sufficient evidence for \$47.3 billion it estimated for UI claims for unemployed weeks that occurred prior to the expiration of the UI pandemic programs that were still in appeal or had not yet been processed as of September 30, 2021. This was also due to unreliable reporting of \$4.4 billion in UI benefit overpayments due to certain states non-reporting of UI overpayment activity.<sup>25</sup>
- The OIG assessed DOL's information security program as not effective because the majority were rated "Consistently Implemented (Level 3)" and not "Managed and Measurable (Level 4)", which is a requirement for an information security program to be considered effective. Although DOL established and maintained its information security program and practices for its information systems for the five Cybersecurity Functions and nine Federal Information Security Modernization Act of 2014 (FISMA) Metric Domains, we found weaknesses that demonstrated the information security program had not achieved a Level 4 rating in three of the five Cybersecurity Functions: Identify, Detect, and Recover.<sup>26</sup>

<sup>25</sup> Report No. 22-22-003-13-001, *FY 2021 Independent Auditor's Report on the DOL Financial Statements*, (November 19, 2021) found at <https://www.oig.dol.gov/public/reports/oa/2022/22-22-003-13-001.pdf>.

<sup>26</sup> Report No. 23-22-001-07-725, *FY 2021 FISMA DOL Information Security Report: Information Security Continuous Monitoring Controls Remain Deficient*, (January 28, 2022) found at <https://www.oig.dol.gov/public/reports/oa/2022/23-22-001-07-725.pdf>.

- The OIG found that the Occupational Safety and Health Administration (OSHA) had not collaborated with external federal agencies' enforcement or oversight personnel to help safeguard mission critical U.S. workers during the pandemic. We found that OSHA neither tracked nor analyzed inspection-related referrals made by external federal agencies to determine if those agencies were regularly referring potential hazards; and if not, OSHA did not gauge their related outreach and training needs. We also determined OSHA did not have up-to-date agreements with federal counterparts conducting enforcement or oversight activities during the pandemic that would have enabled OSHA to capitalize on collaborative efforts.<sup>27</sup>
- The OIG identified an increase of \$29.6 billion in potentially fraudulent pandemic benefits paid in 3 of the 4 specific high-risk areas to individuals with Social Security numbers: (1) filed in multiple states, (2) of deceased persons, and (3) used to file UI claims with suspicious email accounts. This raised the cumulative total for these 3 high-risk areas and the fourth high risk area, (4) benefits paid to federal prisoners, to \$45.6 billion. We determined ETA's lack of sufficient action significantly increases the risk of even more UI payments to ineligible claimants. Our identification of the additional potentially fraudulent payments emphasized the need for increased ETA engagement and assistance to mitigate fraud and protect the UI program's integrity.<sup>28</sup>
- The OIG found ETA and states did not ensure pandemic-related UI funds were paid only to eligible individuals promptly. Of the 4 states we tested, we estimated \$30.4 billion of the \$71.7 billion in Pandemic Unemployment Assistance (PUA) and Federal Pandemic Unemployment Compensation (FPUC) benefits were paid improperly (42.4 percent). We estimated \$9.9 billion of that was paid to likely fraudsters (13.8 percent). Notably, in the 4 states, 1 in 5 dollars initially paid in PUA benefits went to likely fraudsters.<sup>29</sup>

## GOAL 1 SELECTED ACCOMPLISHMENTS – OFFICE OF INVESTIGATIONS

- Brandi Hawkins was sentenced for her role in a multi-million dollar UI fraud scheme aimed at defrauding the State of Michigan and the U.S. government of funds earmarked for unemployment assistance during the COVID-19 pandemic. Hawkins was sentenced to 58 months in prison and ordered to pay restitution of almost \$3.8 million. Hawkins was a State of Michigan Unemployment Insurance Agency contract employee hired as an Unemployment Insurance examiner. Hawkins's duties included reviewing, processing, and verifying the legitimacy of UI claims. Hawkins worked with outside actors who entered numerous false claims into the State of Michigan's Unemployment Insurance Agency system, many of which were filed using stolen identities. Once the claims were filed, the outside actors signaled Hawkins, who then released payment on the claims in exchange for bribes. Hawkins used her insider access to fraudulently release payment on more than 700 claims, resulting in the fraudulent disbursement of more than \$3.7 million of federal and state funds intended for unemployment assistance during the

<sup>27</sup> Report No. 19-22-003-10-105, *COVID-19: To Protect Mission Critical Workers, OSHA Could Leverage Inspection Collaboration Opportunities with External Federal Agencies*, (March 31, 2022) found at <https://www.oig.dol.gov/public/reports/oa/2022/19-22-002-03-391.pdf>.

<sup>28</sup> Report No. 19-22-005-03-315, *Alert Memorandum: Potentially Fraudulent Unemployment Insurance Payments in High-Risk Areas Increased to \$45.6 Billion*, (September 21, 2022) found at <https://www.oig.dol.gov/public/reports/oa/2022/19-22-005-03-315.pdf>.

<sup>29</sup> Report No. 19-22-006-03-315, *COVID-19: ETA and States Did Not Protect Pandemic-Related UI Funds from Improper Payments Including Fraud or From Payment Delays*, (September 30, 2022) found at <https://www.oig.dol.gov/public/reports/oa/2022/19-22-006-03-315.pdf>.

pandemic. If every fraudulent claim released by Hawkins had been disbursed in full, the resulting loss of federal and state funds would have exceeded \$12 million.<sup>30</sup>

- Paul Idrovo pled guilty to conspiring to commit an act of extortion under cover of his brother's position as a compliance safety and health officer (CSHO) with the Occupational Safety and Health Administration (OSHA). Paul Idrovo was previously charged along with his brother, Alvaro Idrovo, with conspiring to commit an offense against the United States based on the extortion of a New Jersey contractor. According to court documents and statements made in open court, while acting in an official capacity as an OSHA CSHO, Alvaro Idrovo misrepresented to contractors in New Jersey that they were facing significant OSHA fines and penalties if they did not obtain OSHA safety training from a specific individual. Alvaro Idrovo would provide the contractors with the phone number for the required trainer, allegedly named "Jose Diaz" or "Paul Mejia," when in fact the phone number actually belonged to Paul Idrovo, posing under these names to conceal the brothers' relationship. In furtherance of their fraud scheme, the brothers, who initially demanded higher sums of cash, ultimately charged the contractors \$4,000 to \$6,000 each for the safety training. Paul Idrovo collected the cash and provided the contractors with fraudulent computer generated safety and health certificates that falsely stated the employees had received OSHA-certified safety training from "Jose Diaz" and "Paul Mejia." Paul Idrovo shared portions of the extortion payments with Alvaro Idrovo.<sup>31</sup>
- Timothy Edmunds, a former United Auto Workers (UAW) Local 412 Financial Secretary-Treasurer, was sentenced to 57 months in prison and ordered to pay approximately \$2 million in restitution and approximately \$1 million in fines based on his convictions for embezzling union funds and laundering the proceeds. Edmunds admitted he embezzled approximately \$2 million from UAW Local 412 and laundered it through a secondary bank account he personally controlled. He used the embezzlement proceeds to gamble and to purchase luxury clothing, firearms, cocaine, and high-end automobiles. In an effort to conceal his embezzlement, Edmunds provided fake bank statements to international UAW auditors and caused false labor management reports to be filed with DOL.<sup>32</sup>
- Two members of the Robles Park criminal enterprise, who previously entered guilty pleas, were sentenced. Robles Park is a criminal organization whose members and associates engaged in acts involving murder, assault, intimidation, narcotics trafficking, access device fraud, identity theft, obstruction of justice, and other crimes. Tywon Spann, also known as "Weez," was sentenced to 81 months in prison after pleading guilty to racketeering conspiracy in furtherance of a criminal enterprise, conspiracy to commit fraud, aggravated identity theft, use of one or more unauthorized access devices, and possession of 15 or more unauthorized access devices. Eriaius Bentley was sentenced to 12 months and 1 day in prison following a previous guilty plea to conspiracy to commit fraud and aggravated identity theft. Spann, Bentley, and others conspired to conduct and participate in the criminal enterprise through a pattern of racketeering activity that included narcotics trafficking, wire fraud, and identity theft. In

<sup>30</sup> This was a joint investigation with the Federal Bureau of Investigation (FBI), the Internal Revenue Service Criminal Investigations Division (IRS-CI), U.S. Secret Service (USSS), and USPIA. *United States v. Brandi Hawkins* (E.D. Michigan).

<sup>31</sup> This was a joint investigation with the FBI. *United States v. Alvaro Idrovo et al.* (D. New Jersey).

<sup>32</sup> This was a joint investigation with the FBI, DOL's Office of Labor Management Standards, and the IRS-CI. *United States v. Timothy Edmunds* (E.D. Michigan).



pleading guilty, Spann and Bentley admitted to unlawfully obtaining the Personally Identifiable Information (PII) of others in order to submit false applications for UI benefits. More than \$420,000 in UI benefits were paid to Robles Park members in the form of bank debit cards issued in the names of victims who did not give permission to use their PII.<sup>33</sup>

- YouTube rapper Fontrell Antonio Baines, also known as “Nuke Bizzle,” pled guilty to mail fraud charges related to his role in a pandemic-related UI fraud scheme. Baines also pled guilty to unlawful possession of a firearm and ammunition by a convicted felon. From July to September 2020, Baines assisted in executing a scheme to submit, or cause to be submitted, fraudulent UI benefit applications in the names of others, including identity theft victims. Baines utilized addresses he had access to in Beverly Hills and Los Angeles to take possession of and use the fraudulently obtained State of California Employment Development Department (EDD) UI debit cards. This scheme caused more than 90 fraudulent PUA claims to be filed with the State of California’s EDD. Baines’s scheme resulted in attempted losses that exceeded \$1 million and actual losses of more than \$700,000. Baines also bragged about his ability to defraud the State of California’s EDD in a music video posted on YouTube and in postings on his Instagram account. He even used the fraudulently obtained UI debit cards in a music video called “EDD” and boasted about the scheme.<sup>34</sup>

<sup>33</sup> This was a joint investigation with the FBI and the Tampa Police Department. *United States v. Tywon Spann* (M.D. Florida), *United States v. Eriaius Bentley* (M.D. Florida).

<sup>34</sup> This is a joint investigation with the USFIS. *United States v. Baines* (C.D. California).

## GOAL 1 PERFORMANCE RESULTS



Table 8: Performance Results for Goal 1<sup>35</sup>

Strategic Objective 1.1																
FY 2022 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 2022 Results	FY 2023 Targets	FY 2024 Targets	Notes
Percentage of audit recommendations stemming from discretionary audits that address the risks reflected or included in DOL's Top Management Challenges or OIG's Significant Concerns.	OA	70%	91%	70%	95%	80%	89%	80%	93%	85%	94%	90%	100%	90%	90%	KPI wording is not a significant change; rather, it reflects the criteria used to evaluate DOL's missions.
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%	81%	50%	50%	

<sup>35</sup> OA = Office of Audit, OCPD = 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 2022 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 2022 Results	FY 2023 Targets	FY 2024 Targets	Notes
Percentage of formal Congressional requests acknowledged within 5 business days.	OCPR	90%	100%	90%	100%	90%	100%	95%	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%	100%	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%	100%	90%	90%	
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%	50%	75%	75%	

Strategic Objective 1.2

FY 2022 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 2022 Results	FY 2023 Targets	FY 2024 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%	96%	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%	86%	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%	94%	90%	90%	
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%	74%	80%	80%	

Strategic Objective 1.2 - continued

FY 2022 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 2022 Results	FY 2023 Targets	FY 2024 Targets	Notes
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%	100%	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.
Percentage of audits completed within 12 months of initiation (entrance conference).	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%	54%	80%	80%	Previous FYs 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%	99%	90%	90%	Previous FYs 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.
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%	97%	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 3 <sup>rd</sup> Quarter. Prior to FY 2020, OLS was responsible for this KPI.



Strategic Objective 1.2 - continued

FY 2022 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 2022 Results	FY 2023 Targets	FY 2024 Targets	Notes
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%	80%	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%	90%	75%	75%	Previous measurement stated "...or within agreed upon timelines..."; as such, prior results are not directly comparable.
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	1560	575	575	
Investigations involving Whistleblower retaliation by a contractor 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%	57%	85%	85%	

Strategic Objective 1.2 - continued

FY 2022 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 2022 Results	FY 2023 Targets	FY 2024 Targets	Notes
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 180 days of receipt by the investigating field office.	OI	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	80%	80%	
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	N/A	1	N/A	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 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%	100%	N/A	60%	

Strategic Objective 1.3

FY 2022 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 2022 Results	FY 2023 Targets	FY 2024 Targets	Notes
Percentage of discretionary audits designed to address significant risks impacting DOL's Top Management Challenges or OIG's Significant Concerns.	OA	75%	88%	75%	90%	85%	90%	85%	89%	85%	90%	90%	100%	90%	90%	KPI wording is not a significant change; rather, it reflects the criteria used to evaluate DOL's missions.
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%	95%	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%	100%	95%	95%	

Strategic Objective 1.4

FY 2022 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 2022 Results	FY 2023 Targets	FY 2024 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%	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%	100%	95%	95%	

Strategic Objective 1.5

FY 2022 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 2022 Results	FY 2023 Targets	FY 2024 Targets	Notes
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.	O CPR	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	13	12	12	Previous FY's 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	685	258	258	



## GOAL 1 PERFORMANCE IMPROVEMENT PLAN

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

Strategic Objective	FY 2022 Performance Indicators	Responsible Component	FY 2022 Targets	FY 2022 Results	Performance Improvement Plan
1.1	Reduce backlog of outstanding audit reports.	OA	75%	50%	Continue to maintain focus to stay within the average 12-Months Cycle.
1.2	Percentage of allegations that are either closed or converted to full investigations within 90 days of receipt.	OSI	90%	86%	Full staffing in FY 2023 will provide for addressing allegations.
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%	74%	The process for reviewing and delegating complaints has changed, which has resulted in a more efficient and effective process for delegating pertinent complaints to the field.
1.2	Percentage of audits completed within 12 months of initiation (entrance conference).	OA	80%	54%	<p>Work actively to enhance future performance audit contracts to clarify requirements and to ensure we meet schedule for planned issuance dates.</p> <p>Enhance controls to ensure our timeliness metric can be met, as well as audit resources by hiring at all staffing levels.</p> <p>Re-evaluate scope of audit work to ensure the portfolio of audits can achieve audit timeliness objectives.</p>
1.2	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	85%	57%	Full staffing in FY 2023 will provide for completing and reporting on investigations.

## **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

- Beginning with the FY 2022 Performance Cycle, OIG transitioned to using the USA Performance system to fully automate the OIG performance management process.
- Relunched the OIG Mentoring Program to include more training opportunities for the participants.
- Held a variety of workshops to provide practical, engaging training in areas such as conversational intelligence, emotional intelligence, conflict management and resolution, communication, implicit bias, organizational and group conflict, and outward mindset.
- Held a variety of Brown Bag Lunch Meetings and Success Chats to provide staff an opportunity to generate and/or participate in fruitful discussions to engage directly with the IG and enhance their professional development.

## GOAL 2 PERFORMANCE RESULTS

Missed Target	Met Target	Exceeded Target
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Table 11: Performance Results for Goal 2

Strategic Objective 2.1

FY 2022 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 2022 Results	FY 2023 Targets	FY 2024 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%	100%	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%	0%	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%	100%	90%	90%	

Strategic Objective 2.1 - continued

FY 2022 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 2022 Results	FY 2023 Targets	FY 2024 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%	100%	90%	90%	
Percentage of reasonable accommodation request acknowledgements provided to requestor within 48 hours.	OMAP	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%	100%	100%	
Percentage of reasonable accommodation request decision memos issued within 60 calendar days.	OMAP	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%	100%	100%	
Conduct a minimum of 2 EEO for managers and supervisor and 2 EEO employee trainings throughout the Fiscal Year.	EEO	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	4	4	



Strategic Objective 2.2

FY 2022 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 2022 Results	FY 2023 Targets	FY 2024 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%	16%	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%	100%	95%	95%	
Make hiring selections or non-selections on General Schedule certificates within 30 days.	OMAP	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	30	30	

Strategic Objective 2.3

FY 2022 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 2022 Results	FY 2023 Targets	FY 2024 Targets	Notes
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%	100%	95%	95%	
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	12	10	10	
Achieve an average time to hire of 180 days from the date that the hiring manager identifies the need for a vacancy announcement to the employee's effective onboarding date.	OMAP	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	180	180	
Percentage of quarterly summary exit survey feedback reports to Senior Managers and Executives.	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	75%	100%	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, and returned to the OMBUDSMAN in FY 2023.
At least two briefings of exit survey trends provided to Senior Managers and Executives.	OMBUDSMAN	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	2	2	OIG transferred this KPI from OMBUDSMAN to EEO in FY 2022, and returned to the OMBUDSMAN in FY 2023. Changed measuring scheme from percentage to number. As such, prior results are not directly comparable.

Strategic Objective 2.4

FY 2022 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 2022 Results	FY 2023 Targets	FY 2024 Targets	Notes
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%	82%	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%	100%	75%	75%	
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	N/A	80%	N/A	OIG introduced this KPI as an annual metric; however, OIG refined this measurement to a biennial basis (every 2 years) beginning in FY 2019.

Strategic Objective 2.4 - continued

FY 2022 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 2022 Results	FY 2023 Targets	FY 2024 Targets	Notes
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%	95%	80%	80%	Previous FY's measurement stated "IG." Refinement made to state "AIG." This refinement did not affect prior FY performance results.
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%	100%	95%	95%	

## GOAL 2 PERFORMANCE IMPROVEMENT PLAN

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

Strategic Objective	FY 2022 Performance Indicators	Responsible Component	FY 2022 Targets	FY 2022 Results	
2.1	Conducting at least 3 Inclusion Cafés during the Fiscal Year.	EEO	90%	0%	The new EEO/D&I Director will reinstitute this program during FY 2023.



## **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

- Based on OIG’s Risk Management Council (RMC) activities, Components developed key risk indicators (KRI) as part of the risk action planning process of OIG’s ERM program that will allow OIG to identify and respond to risks and events throughout the fiscal year.
- OPRM led extensive reviews and provided decision support analysis to the CPRMO, DIG, IG and the OIG executive team in the areas of strategic planning, organizational performance, ERM, and other mission areas such as audits, investigations, resource management and operations.
- Launched the electronic FOIAXpress system that automates the lifecycle of a Freedom of Information Act (FOIA) request from submission to the final delivery of documents and includes request and correspondence management, electronic receipt, document review and redaction, an electronic records repository, and reliable annual and ad hoc FOIA reporting.
- The OIG Records Officer, in conjunction with OIG Records Liaison Officers, worked to ensure all records of the OIG are created, retained, and managed in electronic formats, with appropriate metadata, as well as ensure the OIG manages all temporary records electronically to the fullest extent possible in accordance with OMB/National Archives and Records Administration (NARA) M-19-21 Directive, Transition to Electronic Records.

## GOAL 3 PERFORMANCE RESULTS

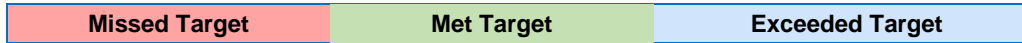


Table 14: Performance Results for Goal 3

Strategic Objective 3.1																
FY 2022 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 2022 Results	FY 2023 Targets	FY 2024 Targets	Notes
Percentage of audit projects that do not exceed planned hours.	OA	80%	83%	80%	81%	80%	77%	80%	81%	80%	86%	80%	100%	80%	80%	
Percentage of employee hours charged to investigative activities compared to administrative time.	OI	90%	93%	90%	95%	90%	95%	90%	95%	90%	96%	90%	95%	90%	90%	
Percentage of employee hours charged to investigative activities compared to administrative time.	OSI	95%	63%	75%	82%	75%	94%	80%	88%	85%	94%	88%	96%	88%	88%	

Strategic Objective 3.1 - continued

FY 2022 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 2022 Results	FY 2023 Targets	FY 2024 Targets	Notes
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%	74%	30%	30%	
Percentage of employee hours charged to audit activities compared to administrative time.	OA	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	70%	70%	Previous FY's measurement language is the same; however, the methodology materially changed. As such, prior results are not directly comparable. Please see Appendix C for historical results of previous KPI, and applicable performance improvement plans.

Strategic Objective 3.2

FY 2022 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 2022 Results	FY 2023 Targets	FY 2024 Targets	Notes
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	8	1	1	
Conduct 4 internal control reviews that focus on OMAP operations and procedures.	OMAP	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	4	4	

Strategic Objective 3.3

FY 2022 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 2022 Results	FY 2023 Targets	FY 2024 Targets	Notes
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%	80%	65%	65%	
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%	93%	85%	85%	Previous FY's 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%	91%	85%	85%	Previous FY's measurement stated "forensic examinations..." and this refinement did not affect prior FY performance results.
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%	98%	95%	95%	



Strategic Objective 3.3 - continued

FY 2022 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 2022 Results	FY 2023 Targets	FY 2024 Targets	Notes
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%	91%	85%	85%	
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%	88%	85%	85%	
Percentage availability during business hours of internal IT network resources such as applications, networks, email, e-OIG, remote access and servers.	OMAP	Retired	Retired	90%	99%	90%	99%	94%	99%	94%	100%	94%	100%	94%	94%	OIG retired this KPI in FY 2017; however, OIG reinstated this KPI for FY's 2018 and 2019.  OIG transferred this KPI from OMAP to CTO in FY 2021. CTO realigned under OMAP in FY 2023.



Strategic Objective 3.4

FY 2022 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 2022 Results	FY 2023 Targets	FY 2024 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%	100%	N/A	N/A	Suspended for FY 2023. May reinstate for FY 2024.
Percentage of quarterly executive budget and hiring review sessions conducted to ensure transparency on the budget and hiring process.	OMAP	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	4	4	
Ensure component spend plans are finalized in Q1 of each fiscal year.	OMAP	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	New FY 2023 Measure	100%	100%	

## 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>36</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. With the introduction of our automated ERM system and associated processes in FY 2022, OIG matured to the "managed" (Level 4) maturity and improved mission delivery, reduced costs, and focused corrective actions towards key risks.<sup>37</sup>

<sup>36</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 2022 – 2026 Strategic Plan, please visit our website at [https://www.oig.dol.gov/public/reports/FINAL\\_12-January-2022\\_OIG%20Strategic%20Plan%202022%20-%202026.pdf](https://www.oig.dol.gov/public/reports/FINAL_12-January-2022_OIG%20Strategic%20Plan%202022%20-%202026.pdf).

<sup>37</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 15: 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 2022 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 2022, 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 2023 and 2024. 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 2022 with 71 percent of KPI cumulative quarterly targets met at the end of the first quarter to closing FY 2022 (cumulative 4 quarters) with 78 percent of KPIs exceeding annual targets.

**Table 16: FY 2022 QPR Results Summary**

Cumulative Rating	Quarter 1	Quarter 2	Quarter 3	Quarter 4 (FY 2021)
Exceeded (4 <sup>th</sup> Quarter Only)	-	-	-	78%
Met—Green (Quarters 1 – 4)	71%	75%	72%	6%
In Process/On-Track—Yellow (Quarters 1 – 3)	4%	6%	12%	-
Not Met—Red (Quarters 1 – 4)	19%	15%	12%	16%
N/A <sup>38</sup> (Quarters 1 – 4)	6%	4%	4%	0%

<sup>38</sup> Some KPIs were N/A in FY 2022 for some quarters given pre-existing timeframes and normal lifecycles for related activities to occur. In addition, 2 biennial KPIs were not measured in FY 2022.

## CONCLUSION

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Despite significant resource constraints and challenges during the COVID-19 pandemic, OIG staff continued to produce extensive, high-quality oversight work and remained dedicated to promoting the economy, efficiency, effectiveness, and integrity of DOL's programs. As the federal agency with primary oversight of DOL, the OIG remains committed to conducting independent and objective oversight work to improve DOL programs relied upon by millions of Americans.

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. 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. 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 2022 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.

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>39</sup> The following tables present some of the key laws and professional standards with provisions affecting the OIG's mission and work:

### KEY STATUTORY RESPONSIBILITIES

Table 17: 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>40</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>39</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>40</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>41</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>41</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 18: 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 to submit strategic plans, annual performance budgets, and annual program performance reports to the President, Congress, and OMB.
OMB/NARA Directive M-23-07, Transition to Electronic Records Update	<p>Requires Federal agencies to move to a fully electronic records environment, where appropriate.</p> <p>Reaffirms the underlying goal of the transition to electronic records as a priority to enable and increase the ability of the public to engage with Government in new and more efficient and effective ways, and embrace the opportunities afforded to improve Government by transitioning fully to an electronic environment.</p>
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>42</sup>

## PROFESSIONAL STANDARDS

Table 19: Professional Standards

Professional Standards	Requirements
GAO, Government Auditing Standards (“Yellow Book”) (“Generally Accepted Government Auditing Standards”) <sup>43</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>42</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>43</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**

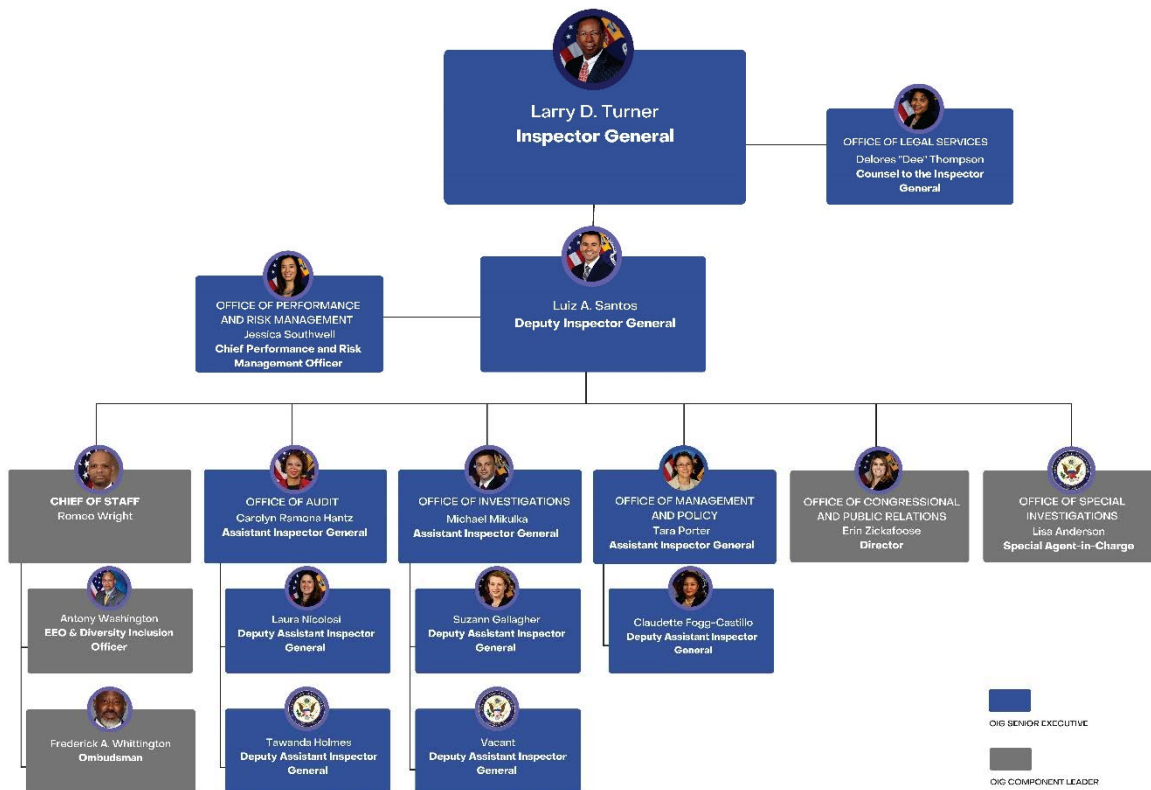
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# OIG ORGANIZATIONAL STRUCTURE

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, operations research, 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, space and facilities, and information technology services.

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

The Office of Performance and Risk Management leads reviews and provides decision support analysis for 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.

## **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 2017 THROUGH 2022 RETIRED MEASURES**

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## FYs 2017 THROUGH 2022 RETIRED MEASURES

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, the OIG may also retire KPIs due to comprising activities being completed within one fiscal year.

### FYs 2017 - 2022 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 20.

Missed Target	Met Target	Exceeded Target
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Table 20: Performance Results for FYs 2017 through 2022 Retired KPIs

Strategic Objective 1.1														
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 2022 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	70%	38%	Retired	Retired	
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%	91%	
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%	89%	
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%	24%	

Strategic Objective 1.2

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 2022 Results	Notes
Percentage of audits completed within 12 months of initiation, or as prescribed by OIG leadership.	OA	70%	61%	70%	68%	Retired	Retired	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	70%	48%	Retired	Retired	Retired	Retired	Retired	Retired	
Percentage of allegations that are either closed or converted to a full investigation within 90 days of receipt.	OI	65%	94%	Retired	Retired	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	50%	46%	Retired	Retired	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	50%	73%	50%	82%	65%	71%	65%	82%	Retired	Retired	

Strategic Objective 1.2 - continued

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 2022 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	60%	68%	60%	88%	65%	71%	65%	86%	Retired	Retired	
Percentage of Priority 3 investigations completed (referred for prosecution / administrative / civil proceedings) within 12 months of case opening.	OI	75%	81%	Retired	Retired	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	50%	64%	Retired	Retired	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.	O CPR	New FY 2018 Measure	New FY 2018 Measure	1	1	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.	OI	New FY 2018 Measure	New FY 2018 Measure	4	4	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	



Strategic Objective 1.2 - continued

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 2022 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	2	4	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.	OMAP	New FY 2018 Measure	New FY 2018 Measure	10	28	Retired	Retired	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	90%	32%	Retired	Retired	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	Retired	Retired	Retired	Retired	70%	98%	Retired	Retired	Retired	Retired	Retired	Retired	OIG retired this KPI in FY 2017; however, OIG reinstated this KPI only for FY 2019.

Strategic Objective 1.2 - continued

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 2022 Results	Notes
Issue a biennial OMAP Customer Satisfaction Survey to seek stakeholder feedback and assess the effectiveness of mission support activities within the OIG.	OMAP	9/30/2017	8/24/2017	N/A	N/A	9/30/2019	4/4/2019	N/A	N/A	Retired	Retired	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.
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%	97%	
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%	86%	

Strategic Objective 1.3

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 2022 Results	Notes
Percentage completion of a new, repeatable audit workplan process that leverages the use of survey instruments to key stakeholders.	OA	100%	100%	Retired	Retired	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%	Retired	Retired	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%	87%	Retired	Retired	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	8/31/2018	6/28/2018	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	
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%	33%	

Strategic Objective 1.4

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 2022 Results	Notes
Percentage of congressionally-mandated OIG reports, including the Semiannual Reports to Congress, provided to stakeholders within statutory or agreed upon timeframes.	O CPR	100%	100%	100%	100%	Retired	Retired	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.	O CPR	90%	100%	90%	100%	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	

Strategic Objective 1.5

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 2022 Results	Notes
Number of meetings or focus groups with DOL or OIG community regarding areas of potential audit risks.	OA	32	32	32	82	Retired	Retired	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	15	12	12	12	19	12	13	Retired	Retired	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	607	370	702	370	691	450	771	450	628	Retired	Retired	
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%	100%	

Strategic Objective 2.1

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 2022 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	Feb 2017	Feb 2017	Retired	Retired	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	2/28/2018	2/28/2018	2/28/2019	1/21/2019	12/27/2020	12/27/2020	Retired	Retired	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	Feb 2017	Feb 2017	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	



Strategic Objective 2.1 - continued

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 2022 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	Feb 2017	Feb 2017	Retired	Retired	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	100%	100%	Retired	Retired	
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	N/A	N/A	Retired	Retired	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 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 2022 Results	Notes
Percentage of OIG training funds obligated.	OIG	95%	96.00%	90%	79%	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	
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%	38%	

Strategic Objective 2.3

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 2022 Results	Notes
Develop a framework for an "OIG Strategic Human Capital Plan" that includes strategies for recruitment, talent development, and succession planning.	OMAP	Sep 2017	Jul 2017	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	
Percentage of departing employees who complete exit interviews.	OMBUDSMAN	65%	17%	65%	52%	Retired	Retired	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	90%	100%	Retired	Retired	Retired	Retired	Retired	Retired	

Strategic Objective 2.3 - continued

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 2022 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	80%	100%	Retired	Retired	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	80%	100%	Retired	Retired	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	75%	100%	Retired	Retired	
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%	24%	
At least two briefings of exit survey trends provided to Senior Managers and Executives.	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%	90%	100%	90%	100%	

Strategic Objective 2.5

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 2022 Results	Notes
Percentage of auditors in compliance with mandatory professional training within prescribed timelines.	OA	100%	100%	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	
Percentage of investigators completing mandatory professional training within prescribed timelines.	OI	100%	100%	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	
Percentage of investigators completing mandatory professional training within prescribed timelines.	OSI	100%	100%	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	
Percentage of OA employees who have employee development plans.	OA	100%	100%	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	
Percentage of OI employees who have employee development plans.	OI	70%	78%	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	

Strategic Objective 2.5 - continued

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 2022 Results	Notes
Percentage of OSI employees who have employee development plans.	OSI	70%	75%	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	
Percentage of OMAP employees who have employee development plans.	OMAP	70%	51%	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	
Percentage of OLS employees who have employee development plans.	OLS	70%	0%	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	
Percentage of OCPR employees who have employee development plans.	OCPR	70%	100%	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	

Strategic Objective 2.7

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 2022 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%	Retired	Retired	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%	Retired	Retired	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%	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	



Strategic Objective 2.7 - continued

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 2022 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%	0%	Retired	Retired	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%	Retired	Retired	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%	100%	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	

Strategic Objective 2.8

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 2022 Results	Notes
Percentage completion of OIG-wide mandatory on-line annual training.	OMAP	100%	94%	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	

Strategic Objective 3.1

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 2022 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	30%	50%	Retired	Retired	
Percentage of employee hours charged to audit activities compared to administrative time.	OA	75%	79%	75%	79%	75%	77%	75%	75%	75%	72%	70%	75%	

Strategic Objective 3.2

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 2022 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	9/30/2018	Apr 2018	Retired	Retired	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	9/30/2018	9/30/2018	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	
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%	

Strategic Objective 3.2 - continued

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 2022 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	9/30/2018	9/30/2018	Retired	Retired	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	9/30/2018	9/30/2018	Retired	Retired	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	9/30/2018	9/19/2018	Retired	Retired	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	9/30/2018	9/30/2018	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	

Strategic Objective 3.2 - continued

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 2022 Results	Notes
Percentage completion of planned milestones to re-engineer the Audit Work plan Development process based on a risk-informed methodology.	OA	100%	100%	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	
Percentage completion of an OA-specific risk inventory based on OIG's ERM Framework.	OA	100%	100%	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	
Percentage completion of an OI-specific risk inventory based on OIG's ERM Framework.	OI	100%	100%	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	
Percentage completion of an OMAP-specific risk inventory based on OIG's ERM Framework.	OMAP	100%	100%	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	

Strategic Objective 3.2 - continued

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 2022 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	70%	90%	Retired	Retired	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	70%	81%	Retired	Retired	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	9/30/2018	7/26/2018	9/30/2019	7/9/2019	9/30/2020	7/1/2020	Retired	Retired	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	100%	100%	Retired	Retired	

Strategic Objective 3.3

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 2022 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	85%	95%	85%	91%	Retired	Retired	Retired	Retired	Retired	Retired	OIG refined this KPI to ...“25 days” in FY 2020.”

Strategic Objective 3.4

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 2022 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	Sep 2017	Feb 2017	Retired	Retired	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	100%	N/A	100%	N/A	Retired	Retired	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.
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%	100%	



## PERFORMANCE IMPROVEMENT PLAN FOR RETIRED FY 2022 KPIS NOT MET

Table 21: Performance Improvement Plan for Retired FY 2022 KPIS Not Met

Strategic Objective	FY 2022 Performance Indicators	Responsible Component	FY 2022 Targets	FY 2022 Results	Performance Improvement Plan
1.1	Percentage of COVID-19 related recommendations implemented within 1 year of final report issuance.	OA	70%	24%	Work actively with the agencies to address the COVID related recommendations to resolve, close, and implement.
1.2	Percentage of subpoena requests reviewed by OLS within 3 business days.	OLS	90%	86%	Records Manager assigned as backup to check matters and ensure no matters remain unassigned. All matters are promptly assigned to the appropriate attorney.
1.3	Percentage of COVID-19 related engagements completed within 12 months of initiation during the Fiscal Year (entrance conference).	OA	80%	33%	A number of COVID-19 related engagements require more than 12 months to complete when planned.
2.2	Make hiring selections or non-selections on General Schedule certificates within 25 days.	OMAP	85%	38%	New processes that OMAP put in place are working to improve the overall time to hire.
2.3	Percentage of Non-SES/SL vacancies filled within 90 days from posting date to selection.	OMAP	90%	24%	Revised methodology to capture days from date of vacancy opening to effective date, and remove other non-applicable vacancies from measurement.

**APPENDIX D – FY 2022 PANDEMIC-RELATED  
OVERSIGHT REPORTS ISSUED BY DOL-OIG  
CONTAINED IN THE PRAC SEMI-ANNUAL REPORTS**

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## FY 2022 PANDEMIC-RELATED OVERSIGHT REPORTS ISSUED BY DOL-OIG CONTAINED IN THE PRAC SEMI-ANNUAL REPORTS

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 listed in the FY 2022 PRAC Semiannual Reports to Congress.<sup>44</sup>

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

Oversight Report	Issue Date
Report No. 19-22-001-03-370, <i>COVID-19: Safety and Remote Learning Challenges Continue for Job Corps</i>	November 12, 2021
Report No. 22-22-003-13-001, <i>FY 2021 Independent Auditor's Report on the DOL Financial Statements</i>	November 19, 2021
Report No. 22-22-004-13-001, <i>Management Advisory Comments Identified in an Audit of the Consolidated Financial Statements for the Year Ended September 30, 2021</i>	December 20, 2021
Report No. 19-22-002-03-391, <i>COVID-19: Delays In Providing Disaster Relief Jeopardize \$366 Million Disaster Worker Grant Program</i>	January 28, 2022
Report Number 19-22-003-10-105, <i>COVID-19: To Protect Mission Critical Workers, OSHA Could Leverage Inspection Collaboration Opportunities with External Federal Agencies</i>	March 31, 2022
Report Number 22-22-007-13-001, <i>The U.S. Department of Labor Did Not Meet the Requirements for Compliance with the Payment Integrity Information Act for FY 2021</i>	July 1, 2022
Report Number 19-22-004-03-315, <i>Alert Memorandum: Employment and Training Administration Needs to Ensure State Workforce Agencies Report Activities Related to CARES Act Unemployment Insurance Programs</i>	August 2, 2022
Report No. 19-22-005-03-315, <i>Alert Memorandum: Potentially Fraudulent Unemployment Insurance Payments in High-Risk Areas Increased to \$45.6 Billion</i>	September 21, 2022
Report Number 19-22-006-03-315, <i>COVID-19: ETA and States Did Not Protect Pandemic-Related UI Funds from Improper Payments Including Fraud or from Payment Delays</i>	September 30, 2022

Note: Table 22 excludes the March 17, 2022, Congressional Testimony: Report Number 19-22-003-03-315, *Pandemic Response and Accountability: Reducing Fraud and Expanding Access to COVID-19 Relief through Effective Oversight*.<sup>45</sup>

<sup>44</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).

<sup>45</sup> 19-22-003-03-315, *Pandemic Response and Accountability: Reducing Fraud and Expanding Access to COVID-19 Relief through Effective Oversight*, (March 17, 2022) found at <https://www.oig.dol.gov/public/reports/oa/2022/19-22-003-03-315.pdf>.

## 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