

Inspectors General

United States

Department of Defense

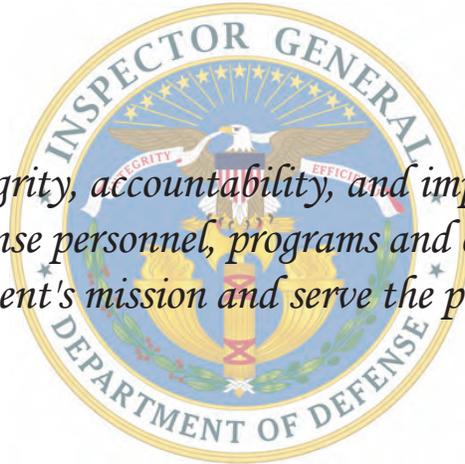
Inspections and Evaluations Directorate

Strategic Plan 2009 - 2013

DEPARTMENT OF DEFENSE
OFFICE OF INSPECTOR GENERAL

MISSION STATEMENT

*Promote integrity, accountability, and improvement of
Department of Defense personnel, programs and operations to support
the Department's mission and serve the public interest.*





Inspections & Evaluations

VISION

We will evolve into the premier Inspections & Evaluations organization.

MISSION

To provide policy guidance and oversight to the DoD inspections and evaluations community, and to conduct objective and independent customer-focused management and program assessments that address areas of interest to Congress and the Department of Defense.

CORE VALUES

Accountability
Integrity
Efficiency

FIRST PRINCIPLES

Relevance
Reliability
Timeliness
Collaboration

www.dodig.mil

Executive Summary

Civilian and military members of the Inspections and Evaluations Directorate (I&E) should read this plan. I&E customers and clients should also read this plan to understand the Directorate's capability, products, and services. The plan presents the vision, mission, operational concepts, goals, and objectives to guide I&E over the next 5 years. This strategic plan is consistent with and supports the strategic plans of the DoD Office of Inspector General (OIG) and the Office of Policy and Oversight (P&O).

Conceptually, I&E is organized for six administrative divisions. Because of resource constraints, however, the Directorate is operating at half capacity and is structured with three divisions. Operationally, when organizing project teams, members are matrixed from any division to best meet project objectives. As required, we will augment our teams with personnel from other DoD OIG components, other agencies, and/or contractors.

I&E GOALS AND OBJECTIVES. To meet our vision and mission requirements, we have established three strategic goals with supporting objectives. Those goals and objectives are further defined in the I&E Annual Work Plan and are reflected in individual performance plans.

STRATEGIC GOAL 1: To perform important, relevant, reliable, and timely customer-oriented projects that improve the economy, efficiency, and effectiveness of DoD programs and operations.

Strategic Objective 1.1: To select projects that are important and relevant to customers' decision-making needs.

Strategic Objective 1.2: To conduct projects that meet or exceed customer expectations of timeliness and reliability.

Strategic Objective 1.3: To assess the impact of our projects on the economy, efficiency, and effectiveness of DoD programs and operations.

STRATEGIC GOAL 2: To ensure DoD stakeholders understand that I&E is essential to the IG mission and organization.

Strategic Objective 2.1: To develop the I&E message for all DoD stakeholders.

Strategic Objective 2.2: To publish, implement, and assess a communications and coordination process that successfully delivers the I&E message to internal DoD OIG stakeholders.

STRATEGIC GOAL 3: To improve I&E's capacity to perform its mission.

Strategic Objective 3.1: To maximize Human Capital.

Strategic Objective 3.2: To enhance organizational capabilities.

Strategic Objective 3.3: To ensure I&E operates within defined policies, procedures, and processes.

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VISION

To evolve into the premier Inspections and Evaluations organization.

The I&E Directorate Vision. The DoD IG announced the startup of the Inspections and Evaluations Directorate in September 2003, and approved our programming plan in March 2004. As a relatively new directorate, I&E will evolve into the premier Inspections and Evaluations organization. In order to achieve this vision, we will recruit highly qualified and experienced employees; define our strategies; institutionalize policies, procedures, and processes; refine our tools, methodologies, and quality standards; establish communications and marketing practices; develop individual staff member's skills and talents; improve the quality of our products and services; act with integrity; and respect others. We are committed to helping our customers achieve success. To accomplish these activities, we will work as a team to be the leader in the federal inspections and evaluations community.

MISSION

To provide policy guidance and oversight to the DoD inspections and evaluations community, and to conduct objective and independent customer-focused management and program assessments that address areas of interest to Congress and the Department of Defense.

The I&E Directorate Mission. Our mission statement conveys the purpose of the I&E Directorate to internal and external customers. Mission capabilities are tailored to accommodate customer requirements and desired outcomes. Mission activities include policy formulations, evaluations and assessments, systemic reviews, directed inquiries, and oversight inspections. To accomplish our mission, I&E employs professional, experienced evaluators who are trained to design project objectives and plans, analyze data and observations, report findings, and make actionable recommendations. I&E executes its mission with a strong emphasis on knowledge management, constructive engagements, and collaboration methodologies. To leverage those methodologies, the staff applies the "One Team" philosophy and fosters partnerships with DoD process owners, functional managers, and stakeholders and congressional entities. When appropriate, I&E seeks assistance from subject matter experts at other Federal, state, or local agencies, and from contractors.

CORE VALUES



The DoD IG expects that each staff member will behave according to three OIG core values:

Accountability – Applying legal and ethical judgments in accordance with appropriate policies, regulations, and standards.

Integrity – Ensuring adherence to accepted codes of ethics and practices, while demonstrating objectivity, independence, professional judgment, and confidentiality.

Efficiency – Managing available resources at the least cost to produce the greatest results in terms of public benefit, return on investment, and risk reduction.

PRINCIPLES



I&E operates according to the principles of:

Relevance – Providing analyses that decision makers need to make improved plans, policies, programs, and processes.

Reliability – Providing results that decision makers accept as objective, credible, and accurate.

Timeliness – Providing information that decision makers can use in time to make a positive difference.

Collaboration – Promoting teamwork, partnerships, and intra- and inter-agency cooperation and communications to improve DoD programs and operations.

GOALS AND OBJECTIVES

This Strategic Plan establishes I&E long-range goals for FY 2009 - 2013.

GOAL 1:

To perform important, relevant, reliable, and timely customer-oriented projects that improve the economy, efficiency, and effectiveness of DoD programs and operations.

Strategic Objective 1.1: To select projects that are important and relevant to customers' decision-making needs.

Judging importance and relevance. DoD is a large, dynamic, complex organization. Consequently, leaders and managers confront a broad spectrum of challenges and issues to accomplish DoD's mission. When management requests I&E's assistance, we must carefully consider a number of factors before committing resources to a project

- **Source.** Project selection is largely customer driven. From the customer's perspective, their request for assistance is important and relevant to their mission and objectives. I&E can expect requests primarily from congressional and Department officials. Additionally, projects can be the result of interagency collaboration on cross-cutting programs and issues. Finally, I&E may self-initiate projects based on foresight and insight indicators.
- **Government-wide Enterprise Priorities.** Assessment of each potential project should be judged against existing strategic plans and institutional priorities. For example, the SecDef and DoD IG Top Priorities lists, the President's Management Agenda, the GAO High Risk Areas, congressional interests, and the Council of Inspectors General on Integrity and Efficiency/interagency initiatives should be considered when committing resources to a project..
- **Timing.** The duration of I&E projects vary from quick-look inquiries to long-term systemic evaluations depending on project scope, objectives, methodologies, and customer expectations. Before deciding to schedule a project, we will carefully consider available resources in order to ensure that products and services are responsive to customer requirements.

Strategic Objective 1.2: To conduct projects that meet or exceed customer expectations of timeliness and reliability.

Customer-focus. Our customers are decision makers in the Federal Government who need objective and reliable information. Each project will have one or more office(s) of primary responsibility (OPR) and one or more office(s) of collateral responsibility (OCR).

Customer expectations. Customers have implicit expectations, such as the independence, reliability, and responsiveness of the OIG. Additionally, customers have explicit expectations that should be defined up-front and further refined through constructive engagement and interim progress reports/briefings.

CUSTOMER EXPECTATIONS



Independence is Paramount. Independence refers to impartiality—being free from personal, external, and organizational impairments including biases, conflicts of interests, preconceived ideas, undue influence, and interference.¹ Guidance from the Office of Management and Budget (OMB)² to the President’s Management Council states, in part:

By providing objective information to promote government management, decision making, and accountability, the OIG contributes to the Agency’s success. . . . The OIG and Agency management will work cooperatively in identifying the most important areas for OIG work, as well as the best means of addressing the results of that work, while maintaining the OIG’s statutory independence of operation. In addition, agencies need to recognize that the OIG also will need to carry work that is self-initiated, congressionally requested, or mandated by law.

Moreover, the guidance in other quality standards publications³ encourages working with customers while avoiding impairments to impartiality. Furthermore, experience shows that customers value our independence and understand our charter to provide objective and transparent assistance.

Reliability. Our information must be reliable, but “reliable” is a relative term. Project managers determine what degree of precision, accuracy, detail, or “proof” is sufficient to help the client make an informed decision. The approach will vary with the client and the scope of the project. In all cases, analyst will apply professional judgment to determine if the information and data collected are sufficient to provide a reasonable basis for reaching credible conclusions.

Responsiveness. Responsiveness equals timeliness—providing the information in time for the customer to make an informed decision. Being responsive also means providing the customers with the needed information in a context that they can use. The deliverable will be in the form that best communicates the assessment results. If the customer requests survey data, we should provide the database, consistent with principles of confidentiality and independence. These matters are best agreed upon at the beginning of the project and detailed in the project plan.

¹ Association of Inspectors General, “Principles and Standards for Offices of Inspector General,” May 2004, p. 8.

² Memorandum to the President’s Management Council, “Agency and OIG Working Relationships,” July 20, 2006.

³ President’s Council on Integrity and Efficiency, “Quality Standards for Federal Inspectors General (Silver Book),” October 2003, and “Quality Standards for Inspections (Blue Book),” January 2005.

Strategic Objective 1.3: To assess the impact of our projects on the economy, efficiency, and effectiveness of DoD programs and operations.

Long-term outcome. Measuring outcomes is a long-term process and depends on the scope of the project. The directed inquiry may recommend a quick-fix. On the other hand, the evaluation or systemic review may suggest remedies that require extensive reorganization, policy and doctrinal revisions, and reallocation of resources. Rather than rely on the final written report, I&E will foster constructive engagements with the customer(s) and stakeholders to affect long-term outcomes as the project progresses. Therefore, our ability to be change agents must not solely rest on publishing a report.

Value of reports. Reports document “as is” conditions and describe findings, conclusions, recommendations, and opportunities to improve DoD programs. Furthermore, reports can document the client’s “buy-in,” progress, improvement actions, and/or positive results, which are by-products of the evaluation process, rather than the report itself. An integral part of all reports is the inclusion of management comments and the fair and balanced treatment of the customer’s feedback.

Feedback. Customer satisfaction is a key performance measure and an important indicator of I&E capabilities and products. Project managers and team leaders should exploit all means to get feedback from customers and stakeholders.

GOAL 2:
**To ensure DoD OIG stakeholders understand that I&E is essential
to the IG mission and organization.**

Strategic Objective 2.1: To develop and deliver the I&E message for all DoD stakeholders.

Multiple stakeholders—Multiple messages. For the purpose of this goal, DoD stakeholders are our customers—who are internal and external to I&E staff. Stakeholders contribute to our success. They are a source for subject matter expertise, advice, and assistance that can contribute to the quality of our products and services.

Diverse Methodology. We formulate policy and perform evaluations and assessments, systemic reviews, directed inquiries, and oversight inspections. These activities are respectively different in terms of approach, methodology, and duration. Although the distinctions may not be obvious or relevant to our external stakeholders, we will determine the type of approach necessary to accomplish the objective(s) and to provide customers with valuable information to make the right decision at the right time in the right context.

Strategic Objective 2.2: To publish, implement, and assess a communications and coordination process that successfully delivers the I&E message to internal and external DoD OIG stakeholders.

I&E will create a communications plan that institutionalizes how it will communicate, coordinate, and collaborate with internal and external stakeholders. That plan will describe the communication objectives, procedures, and methodologies. Once published, the plan will be reviewed and updated periodically.

GOAL 3:
To improve I&E’s capacity to perform its mission.

Strategic Objective 3.1: To maximize Human Capital.

The I&E Directorate must ensure that procedures are in place to sustain the work force and to recruit high-quality candidates to backfill attrition. All I&E staff members are subject matter experts—civilians provide continuity and necessary corporate knowledge, and military members provide a Service perspective and operational experience.

I&E will identify the mix of skills, experience, education, and training that is needed to attain our vision. We will develop our staff using all means and opportunities available, to include conventional instructor-led classes, online training, professional reading, coaching, participation in communities of practice, professional conferences, and temporary assignments.

Strategic Objective 3.2: To enhance organizational capabilities.

Organizational Learning. Just as individuals learn by reflecting on their experiences, so too do organizations. I&E will incorporate lessons learned into its processes so that new, more effective ideas and practices are shared across team and divisional boundaries.

Collaborative Technologies. High-performing organizations recognize the balance between people, processes, and technology. As we strive for high performance, I&E will continuously improve its processes and leverage existing and emerging technologies to accomplish its mission. Some tools will incrementally improve our efficiency, while others will transform how we do business. We will build a culture that exploits collaborative technologies to facilitate our communications and productivity objectives.

Strategic Objective 3.3: To ensure I&E operates within defined policies, procedures, and processes.

We will develop an I&E Operations Handbook that will detail resource management and project management policies, procedures, and processes. We will also develop and comply with an I&E Quality Assurance Guide to ensure our work products satisfy the “Silver” and “Blue” books quality standards.

DIRECTORATE ORGANIZATION

The organizational structure serves two purposes. First, the structure provides a means for taking care of people. It provides a chain of command to supervise and manage human capital and administrative matters. Second, the structure provides a matrix of subject matter experts/professional analysts who can be assigned to I&E project teams.

At full strength, I&E is organized into six administrative divisions.

Target Administrative Structure

Target Administrative Structure. The DoD IG approved the I&E Programming Plan (P-Plan) in March 2004. The P-Plan established a requirement for 50 employees—34 civilian and 16 military—divided among 6 divisions (see Figure 1). The P-Plan was not funded and manpower for the initial cadre of 11 civilians and 7 military was “out-of-hide” from other components. The array of 6 functional divisions was designed to provide a structure for recruiting and hiring subject matter experts and experienced analysts. This administrative organization also provided the framework to manage human resources—employee performance and appraisals, counseling, career development planning, training, leave scheduling—and other administrative requirements, such as budget, equipment, and facility management.

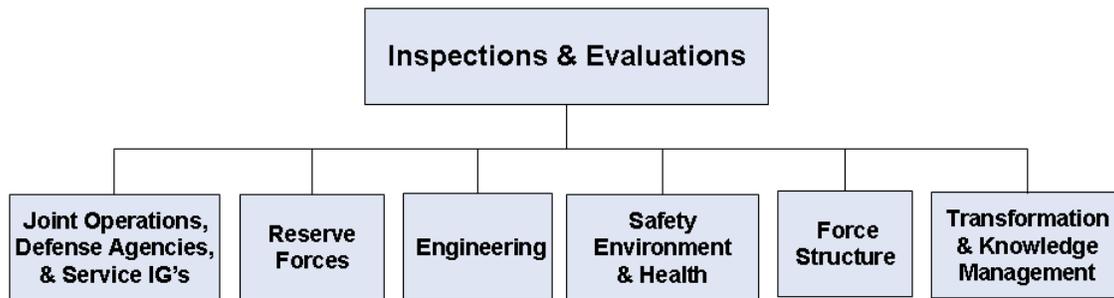


Figure 1. Target Organization

Since inception, the Directorate employed an average of 22 personnel per quarter and reached a peak of 29 assigned employees during the 1st Quarter Fiscal Year 2008.

Interim Organization. Given the actual staffing during 2005-2008, we combined the “target” divisions and settled into a 3-division organization—Joint Operation, Defense Agencies, and Service IG Division; Engineering, Safety, Environment, and Health Division; and Transformational Assessments Division.

In March 2008, as part of the DoD IG reorganization initiative, we changed the names of the 3-division to Policy and Programs Division, Oversight Division, and Assessments Division (see Figure 2).

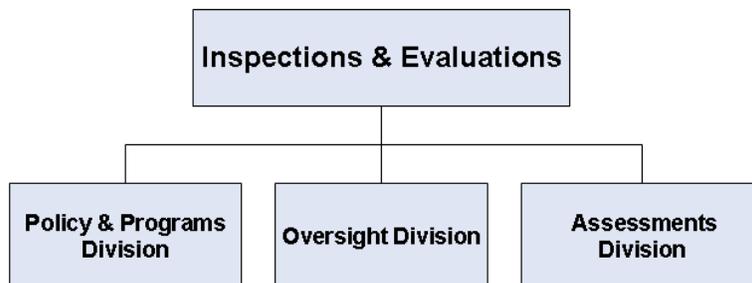
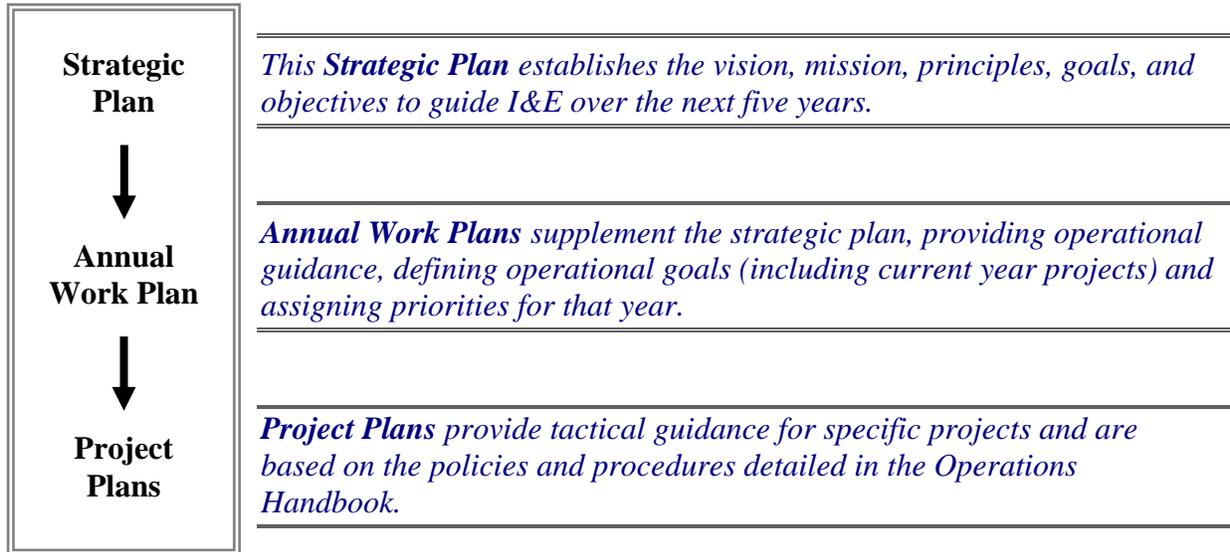


Figure 2. Interim Organization

Project Teams. Generally, the cross-disciplinary nature of I&E projects means that divisions may not necessarily deploy as project teams. I&E will form specially tailored teams for specific projects, drawing personnel from one or more divisions, as appropriate.

LEVELS OF PLANNING



I&E operates at interlocking levels. I&E operates through three interrelated levels of thought and action: Strategic—Operational—Tactical.

The **strategic** level identifies the long-range direction for I&E, with a time horizon of 3 to 5 years. Strategic planning occurs at least every 2 years to remain responsive to major changes in the environment. However, the strategic direction should not change dramatically, but remain fairly constant. This Strategic Plan captures the essence of that level.

The **operational** level provides resource guidance to attain objectives with a time horizon of 12 to 24 months. This level provides focus and priorities for groups and individuals to orient themselves. Individual staff performance plans are derived from actions identified in the I&E Annual Work Plan. For instance, when the FY 2009 Annual Work Plan specifies that I&E will conduct a 6-month project related to “Cyber-Security,” staff assigned to that project will link their individual performance plan objectives to how they will support that project.

The **tactical** level is where actual work is done. A particular project plan identifies the specific objectives, timeline, and resources for that project.⁴ The time horizon for this level is from 1 week to 6 months. It is during this phase that people produce results. Projects may be external or internal in focus.

⁴ The term “project” includes engagements with external customers, as well as internal customers within DoD OIG.

DEPARTMENT OF DEFENSE



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