

MANAGING THE DOJ MISSION

Every business depends on its administrative management foundation to enable its operations. DOJ is no different. Without strong assistance in areas such as management policy and planning, information management, budget and finance, human resources, procurement, security, facilities, and business ethics, the Department's programs could not function. Continuous development and refinement of a solid, central administrative management capability is necessary to ensure that the Department develops policies, establishes procedures, obtains resources and creates the management environment and service infrastructure necessary to enable our components to meet the Department's mission.

DOJ promotes and is pursuing myriad, cross-cutting management initiatives aimed at ensuring that the many goals and objectives of the Department are met. While the President's Management Agenda (PMA) has provided a useful framework to help achieve management efficiency and effectiveness within the Department, there are ongoing collaborative efforts that impact how DOJ conducts business. Some of the Department's management initiatives are presented below, along with our plans to continue supporting the PMA and programs that ensure integrity and efficiency. The Department is committed to continuously identifying ways to improve its operations.

Major Management Initiatives

Human Resources and Administration

DOJ is the Nation's law enforcement agency, and its most important resource is its people. With a diverse and talented workforce of over 100,000 men and women, we lead the Nation in ensuring the protection of all Americans while preserving their constitutional freedoms. The DOJ mission and our strategic goals could not be achieved without these loyal, skilled, and dedicated employees.

The following initiatives will help DOJ continue to attract and retain the best and brightest workforce in order to achieve our goals.

Strategic Alignment. At DOJ, workforce analysis and succession planning are the foundation of a human capital management program that ensures employees are capable of accomplishing the Department's important mission and varied strategic goals. DOJ will continue to conduct workforce planning by assessing the current skills and the skill needs of employees, identifying skills gaps, and developing plans for closing the gaps. An automated planning model that predicts future changes in the workforce, such as expected separations in each mission-critical occupation, will assist us in planning for the future. Plans will be implemented to strengthen employee skills through learning and development programs and to replenish the workforce through strategic recruitment initiatives to recruit for the skill sets needed for the future. These initiatives will ensure that DOJ's tradition of excellence carries forward to future generations.

Accountability. DOJ remains committed to building a human capital program that is results-oriented, adaptable, and supports its mission and strategic goals. In accordance with the Chief Human Capital Act of 2002, DOJ developed a human capital Accountability System that includes defined measures, automation, and surveys to conduct independent audits of Departmentwide human resources functions. DOJ will form multi-component teams to conduct these audits and identify corrective actions for areas needing improvement, including those areas not in compliance with laws and regulations. The results of these accountability activities will help DOJ ensure its human resources programs support the DOJ mission and workforce.

Employee Satisfaction. DOJ is an active participant in the Office of Personnel Management's Federal Human Capital Survey

(FHCS). This survey helps to assess employee satisfaction in areas such as leadership, performance management, and work environment. The FHCS and other employee survey results are being addressed by annual improvement plans developed by each DOJ component. By addressing the concerns of its employees, DOJ will position itself to attract and retain a talented and diverse workforce capable of fulfilling DOJ's essential mission.

Continuity of Operations Planning. DOJ will continue to ensure the safety, health and security of its employees and seamless continuation of essential functions through the development, testing, and training of Continuity of Operations (COOP) and Emergency Preparedness Plans. DOJ will continue to participate in the Government-wide exercises on continuity of Government. The COOP plans include arrangements for the safety and health of employees while maintaining mission critical operations during a pandemic outbreak through the use of telework, social distancing, and information technology (IT) enhancements.

Litigation Security. As required by the Classified Information Procedures Act, the Department provides security assistance to Federal courts when classified information is introduced into criminal prosecutions. When requested, similar assistance is also provided in civil litigation. Security specialists will continue to assist the courts and litigants in civil and criminal cases throughout the United States by providing guidance relating to personnel, physical, information, communications, and computer security, thus allowing court proceedings to function efficiently, while providing safeguards against unauthorized disclosure of classified information.

Information Technology

Enterprise Architecture. DOJ will continue to work with its components to ensure that IT systems developed and implemented at the Department conform to the Federal Enterprise Architecture Framework adopted by and promulgated across DOJ to address business, data, application and technology needs. This entails reviewing, approving, and overseeing implementation of component system plans and acquisitions to achieve value and systems effectiveness. Examples of major new systems

under development at DOJ over the coming years are the Department's Unified Financial Management System (UFMS) and the FBI's Sentinel System. UFMS will establish a single financial accounting and accountability system for better managing DOJ resources. Sentinel will support all of FBI's operations.

Information Technology Security. To address security risks associated with IT systems, the Department will continue its aggressive efforts to ensure that systems remain safe and secure to the greatest extent possible against cyber attacks. We will continue to develop our certification and accreditation programs to ensure compliance with system security standards and requirements. In addition, we will continue to ensure DOJ protection of employee information and fully implement the new IT Privacy Impact Assessments program to protect privacy information. We also will continue to train employees on and remind them of IT security requirements.

Enterprise Solutions. The Department has adopted a strategy of building program management offices (PMOs) to centrally manage major, cross-cutting, high-impact IT projects. Some of these are cutting edge technology solutions with federal-wide implications. These are long term efforts involving significant investment of resources. Examples of projects we will continue to pursue are **Homeland Security Presidential Directive #12 (HSPD-12)** and the **DOJ Litigation Case Management System (LCMS)**. HSPD-12 calls for establishing a mandatory, Government-wide standard for secure and reliable forms of identification issued by the Federal Government to its employees and contractors (including contractor employees). LCMS will acquire and implement a single core case management system for the seven litigating divisions of the Department. OMB identified this as a Line of Business (LoB) that will have widespread positive business impact, possible beyond DOJ.

Operations. The Department will continue to improve and refine its efforts to provide a secure, reliable, and highly available IT infrastructure that enables information sharing and fulfills program needs throughout DOJ. This will be achieved by carefully guiding the acquisition, development, deployment,

operations, and maintenance of a robust IT infrastructure that includes computing platforms, telecommunications networks, desktops, messaging, and web services. A major planned initiative in this area is completion of the current Operations Support Staff competition under the PMA competitive sourcing program to determine the future course for DOJ to manage these functions more efficiently and effectively.

Finance

Unified Financial Management System. This system is critical to the effective management of the Department. A separate PMO oversees this system's development and implementation to ensure that the Department performs its fiscal duties more effectively. The UFMS PMO has issued a task order authorizing the development and provision of Familiarization Training courses for component implementation teams to help prepare for UFMS setup activities. The Integration and Implementation Team is developing two different reusable UFMS training courses – functional training and system administration training. The overall goals of this training are to familiarize participants with momentum features and capabilities as they relate to system setup, use, and operations, and to help them make informed decisions as they implement UFMS.

In addition, progress is being made in implementing UFMS in the components. Members of the Component UFMS Program Management Staffs, in conjunction with the UFMS PMO and Team IBM, have been working to initiate the early phases of implementation in the DEA and the Asset Forfeiture Program. A task order authorizing initial implementation planning for the DEA was awarded in August 2006. The Asset Forfeiture Program will soon follow.

Asset Forfeiture and Debt Collection. The Department has long applied statutes allowing law enforcement agencies to seize property used by criminals for the perpetration of crimes, dispose of it, and use the proceeds to further law enforcement purposes. In addition, DOJ has aggressively pursued the collection of debt owed the government as a result of civil and criminal debt or to victims as restitution. DOJ plans to continue improving in these areas to afford opportunity for greater enforcement and

financial benefit to the government on behalf of taxpayers.

Purchase Card Program. DOJ continues to explore ways to expand and promote the use of purchase cards to obtain rebates and financial benefits that come with broader card use. DOJ will continue to promote and monitor card use across its components and as appropriate, negotiate with service providers to increase rebates, ultimately making additional funds available to DOJ components. The cards may also be used to identify opportunities for strategic sourcing.

Policy, Management and Planning

Organization Management. In recent years, following 9/11, the Department has supported and facilitated extensive reorganization by its entities aimed at better support for the CT mission. In addition to earlier facilitation of the massive transitions of DOJ's Immigration and Naturalization Service to DHS, and ATF's move from Treasury to DOJ, we continue to facilitate FBI's large-scale, ongoing restructuring to address terrorism and recently we helped establish the new NSD, which combined CT elements of DOJ's Criminal Division and Office of Intelligence Policy and Review. We anticipate continued organizational change and refinement to meet the Department's mission and will provide this support as needed.

Strengthened Acquisition Process. DOJ recently set up an Acquisition Council for DOJ Procurement Chiefs, intended to leverage best practices and improve procurement coordination across DOJ. Initial efforts of the Council identified specific topics for collaboration, including agreement on four Commodity Teams to implement a Strategic Sourcing effort across the department and gain economies from joint purchases of common items. Such opportunities aimed at cost savings will continue to be pursued. In addition, the Council is collaborating on and will develop plans to address training requirements and the continuing need to increase the retention of procurement personnel.

Internal Review and Evaluation. DOJ recently created an Office of Internal Review and Evaluation to ensure that DOJ implements an

effective internal controls program in compliance with OMB Circular A-123. Having this new Office, working closely with the Finance Staff, but retaining its independence, will result in a much stronger ability to accomplish preliminary A-123 program planning.

Records Management. Accessible, accurate, and reliable information and records underlie needed communication throughout program and law enforcement activities to document the essential evidence of DOJ functions, policies, and actions that engender public trust and confidence. Historically, the Department has followed best business practices for managing paper records.

Recently, DOJ established a Records Management Office and established a Departmental Records Council, surveyed components regarding their records activities and established a program to better manage records by maximizing technical tools and eliminating the need to maintain duplicate paper records where electronic records exist.

Over the next three to five years, the Records Management Program staff plans to conduct an analysis of the current functions and activities for handling departmental records and information, and then establish a foundation for an ongoing records management program. In turn, this will lead to the development of critical institutions, policies, and processes to support a comprehensive program. Specific strategic goals and objectives include completing a basic needs assessment, developing appropriate directives, policies, and procedures; developing a full scale training program; and developing collaborative processes among records professionals, IT professionals, and managers of departmental programs.

President's Management Agenda

In its continuing efforts to attain superior management performance, the Department is constantly striving toward the President's vision of a citizen-centered, results-oriented Government. To help agencies move toward this vision, in August 2001, the Administration issued the PMA, a list of administrative

functions, common to all agencies, that the President believes should be priorities. The PMA includes five Governmentwide initiatives:

- Strategic Management of Human Capital
- Competitive Sourcing
- Improved Financial Performance
- Expanded Electronic Government
- Budget and Performance Integration

In addition, the PMA includes nine program initiatives, two of which, "Faith-Based and Community Initiative" and "Federal Real Property Asset Management," apply to the Department.

To ensure on-going, high-level attention to each of the PMA initiatives, the Department's lead individual for each initiative works with OMB to establish yearly goals and milestones. Synopses of the plans for each of the initiatives are below.

Strategic Management of Human Capital

Long before the President issued the PMA, DOJ held its employees to very high standards and provided them with the tools necessary to accomplish the mission. The focus provided by the PMA has helped the Department prioritize improvements needed for the continuous growth of its human capital program.

In recent years, human capital issues have taken on a new urgency, with the expectation that the baby-boomer population is aging and will be retiring from Federal service in large numbers in the near future. This potential loss of institutional knowledge and experience has required redesigning traditional policies and procedures, as well as ensuring successful recruitment programs and career development for all employees.

Strategic management of human capital has become increasingly important in order for DOJ to meet its mission. During FY 2007, the Department will update its Human Capital Strategic Plan to reflect developing goals and strategies for FY 2007 - 2010. In early FY 2007, the Department expects to complete its skills gap analysis and identify competency targets for leadership positions and human resources, IT, and mission-critical occupations. During that same timeframe, it expects to attain a 45-day hiring decision for 50 percent of non-SES hires and develop a model for hiring SES career positions. The Department will continue to focus on recruitment and retention strategies in order to ensure a highly qualified and diverse talent pool.

Longer-term goals include the creation of a mid-level employee career development program. In addition, the Department is participating in OPM's Career Patterns Initiative, a new approach for bringing the next generation of employees into Federal Government positions, and introducing appropriate workplace flexibilities for employees in various stages of their careers.

Competitive Sourcing

The Department uses the tools of Competitive Sourcing to ensure that those commercial activities supporting the mission are performed efficiently and cost effectively.

The Department has prepared and submitted a new competition plan, under review by OMB, for FY 2007 and FY 2008. It includes one competition for each bureau and the Justice Management Division over the 2-year period. Five of these competitions will be streamlined competitions, involving organizations having more than 10 full-time equivalency (FTE) positions. One will be a large standard competition of more than 65 FTE.

An ambitious goal for the Department is combining the human capital and competitive sourcing PMA initiatives to look at the possibilities of competing commercial functions where competency and skill gaps have been identified. Competitions with most efficient organizations (MEOs) have the benefit of allowing the restructuring of in-house operations

for greater efficiencies if the MEO wins. If the private sector wins, or if the MEO wins with fewer FTE than currently are onboard, resources can be redeployed to higher program priorities.

To track actual savings realized through competitive sourcing, the Department will implement the common methodology developed by OMB, and will enter data into the competitive sourcing database when it becomes operational.

Improved Financial Performance

Organizations must have timely and accurate financial reports, combined with key performance information, in order to improve the way they manage. It is equally important that organizations operate with business practices that comply with federal financial management accounting standards.

The future efficiency of financial management depends to a large extent on implementation of a single accounting system Departmentwide. The unification of DOJ financial management systems represents a singular opportunity to develop true Departmentwide business practices and implement a federally compliant core financial system while supporting the PMA. The UFMS will provide timely financial and procurement information available on demand, consolidate cross-component financial and procurement information, and standardize that information. UFMS will take advantage of government and industry best practices, DOJ business practices will be re-engineered, and decision-making and managerial activities will be enhanced. Until such time as UFMS is fully designed, implemented and deployed, the Department is making strides to ensure that it continues to receive an unqualified audit opinion, despite the disparate accounting systems.

Expanded Electronic Government

DOJ components actively participate in 19 of the President's 24 electronic government (e-Gov) initiatives identified by OMB. The Department also participates in all nine broad-based LoBs, and is the managing partner for the Case Management LoB. Through our participation, we have improved information-sharing and

expanded services to our components, outside agencies, and the public.

In FY 2007, the Department will contribute to the Information Sharing Environment by publishing Version 1.0 of the National Information Exchange Model, specifying a standard Information Exchange Package Document to facilitate sharing law enforcement information across systems, and establishing connections between the DOJ Regional Data Exchange and regional information sharing systems. DEA and its Asset Forfeiture Program will transition to the new UFMS.

Budget and Performance Integration

Budget and performance integration links program performance to budget decisions and improves management by identifying outcome measures, monitoring progress, and accurately presenting associated costs.

The Department has begun developing the Justice Performance Planning and Reporting System (JPPRS). This web-enabled performance management system will contain all of the Department's performance and efficiency measures, including those in the Program Assessment Rating Tool (PART) and the Performance and Accountability Report (PAR). The anticipated operational date for JPPRS is the close of 2007.

Faith-Based and Community Initiative

The Faith-Based and Community Initiative strives to help people in need by eliminating the institutional barriers that prevent community and faith-based groups from helping to solve our Nation's social problems. Faith-based and community organizations (FBCOs) have a long tradition of helping Americans in need and represent an integral part of our Nation's social service network. Yet, in the past, the rules and regulations of the Federal Government have made it difficult for FBCOs to compete for funds on an equal footing with other organizations. Such an approach can waste taxpayer dollars and cut off those in need from successful programs. Thus, a main priority of this initiative has been to "level the playing field" for FBCOs, i.e., to ensure that they have the information and fair consideration necessary to compete for

federal grants. A major and on-going component of this initiative in the Department is outreach. Organizations, as well as state and local administrators of funding programs, need technical assistance, training, and information.

Further outreach efforts will include disseminating a free training curriculum designed for a broad audience of offender employment service providers, including FBCOs. Also, DOJ will launch, on the National Institute of Corrections' web site, a page for FBCOs and will provide a database addressing faith-based and community-based corrections programs. DOJ also will include subgrantee FBCOs in its grant solicitations mailing lists and database of FBCOs interested in state- and locally-administered discretionary grant programs.

Federal Real Property Asset Management

Like most organizations, DOJ performs its duties out of innumerable buildings at innumerable sites. As with most organizations, it is not clear how many of these properties are actually being used in an efficient manner. The Federal Real Property Asset Management initiative addresses this issue.

Throughout FY 2007 and beyond, the Department plans to issue its final data validation methodology to the bureaus, establish performance measure targets and goals, develop and implement a plan and methodology for using inventory/performance measure targets to manage for results, and begin the use of the disposition decision tool for real property assets. Other plans include developing a methodology for identification of mission critical and mission dependent assets prioritized for investment and establishing disposal targets for real property assets that are either inactive or excess. The Department will demonstrate a measurable change to its real property portfolio in the areas of facility condition, operating costs, and disposition of unneeded assets.

Integrity in the DOJ

In order to be effective and to engender public trust in DOJ's programs and activities,

Department personnel, whether employees, contractors, or grantees, must be held accountable for their actions. DOJ uses various tools to monitor and ensure the progress and effectiveness of its administrative functions. Primary among these tools are its own internal controls, instituted by management, to protect against waste, fraud, and abuse. Management at all levels is responsible for monitoring and assessing its controls and reporting material weaknesses to the Attorney General. However, there are other resources to promote effectiveness and integrity: the OIG, the Office of Professional Responsibility (OPR), and the Professional Responsibility Advisory Office (PRAO) all play important roles in strengthening accountability and performance.

Office of the Inspector General

The audits, inspections, investigations, special reviews, and other activities performed by the OIG illustrate the Department's ongoing commitment to promote accountability, efficiency, and effectiveness in its programs and operations. The OIG investigates alleged violations of criminal and civil laws, regulations, and ethical standards arising from the conduct of Department employees in their numerous and diverse activities. These include allegations of bribery, fraud, abuse, civil rights violations, and violations of other laws and procedures that govern DOJ employees, contractors, and grantees. The Inspector General's mission responds directly to the Attorney General's priority to combat public and corporate corruption.

The OIG also conducts, reports, and follows up on financial and performance audits and inspections of DOJ organizations, programs, contracts, grants, and other agreements. These audits, inspections, and reviews are designed to provide timely notification to Department management of issues needing attention. The OIG will work closely with DOJ management to develop recommendations for corrective actions and to resolve identified weaknesses that inhibit efficient and effective operations and customer service.

Office of Professional Responsibility

The work of the OPR relates directly to the Attorney General's priority to fight public

corruption. The OPR will review and investigate allegations of professional misconduct by Department attorneys, investigators, or law enforcement personnel where the allegations relate to the exercise of an attorney's authority to investigate, litigate, or provide legal advice. Periodically, OPR will identify and report trends in professional misconduct allegations to the Attorney General and the Deputy Attorney General. The OPR will issue annual reports that describe its mission and procedures, and provide statistical information about the number, source, category of allegations, and outcome of OPR investigations. These reports will serve to inform DOJ attorneys of proper standards of conduct, and will provide the Department with an accounting of attorney conduct and discipline.

Professional Responsibility Advisory Office

As the Nation's chief litigators, DOJ attorneys represent the United States Government in court, enforcing federal civil and criminal statutes. In that role, they must be held to the highest standards of professional behavior. It is the mission of the PRAO to ensure prompt, consistent advice to Department attorneys and Assistant United States Attorneys with respect to their professional responsibilities. To meet that mission, PRAO coordinates with other Department components to conduct training for Department attorneys and client agencies to provide them with the tools they need to make informed judgments about meeting the Ethical Standards for Attorneys for the Government Act. Such training is particularly critical in high profile terrorist cases where prosecutors must ensure that evidence is solid, properly obtained and developed, and appropriately preserved, while classified evidence and other intelligence interests are protected.