



GOAL SEVEN

Ensure Excellence,
Accountability and
Integrity in the
Management and
Conduct of Department
of Justice Programs

VII

GOAL SEVEN:

Ensure Excellence, Accountability and Integrity in the Management and Conduct of Department of Justice Programs



Achieving our strategic goals and objectives depends greatly on how well we manage and implement our programs. Because of the priority we attach to good management, we have established a separate goal within our Strategic Plan to highlight corporate-level objectives and strategies that cut across component boundaries and that are key to mission accomplishment. Our aim is to create a Department of Justice that is looked to by the public and by our stakeholders as an exemplar of integrity, efficient stewardship, and managerial excellence.

STRATEGIC OBJECTIVE 7.1

INTEGRITY

Foster integrity, strengthen management accountability, and promote efficiency and effectiveness to ensure public trust and confidence in Department of Justice programs.

In order to be effective and to engender public trust in the Department's programs and activities, Department employees must be held accountable for their actions. This objective is crucial to ensure that the Department is managed, and that Department personnel, contractors, and grantees conduct themselves, in accordance with the highest standards of integrity, accountability, and efficiency.

The Department's Office of the Inspector General (OIG) and Office of Professional Responsibility (OPR) were established to detect and prevent misconduct and mismanagement on the part of Department personnel and programs. Specifically, OPR has the jurisdiction to investigate allegations of misconduct by Department attorneys that relate to the exercise of their authority to investigate, litigate, or provide legal advice; and to investigate allegations of misconduct by law enforcement personnel when they are related to allegations of misconduct by attorneys within the jurisdiction of OPR. The OIG investigates alleged violations of criminal and civil laws, regulations, and ethical standards arising from the conduct of the Department's employees in their numerous and diverse activities. The OIG provides leadership and assists management in promoting integrity, economy, efficiency, and effectiveness within the Department and in its financial, contractual, and grant relationships with others using the coordinated efforts of the OIG's investigative, audit, and inspection resources.

Strategies to Achieve the Objective

Public trust and confidence are critical as we look to the challenges facing the federal government in the 21st century. The OIG is in a unique position—given its independence, experience, and integrity—to provide a high level of public

accountability needed in an oversight body. The OPR is also in a position to provide accountability to the Attorney General and Deputy Attorney General through its responsibilities for receiving, reviewing, investigating, and reporting on allegations of prosecutorial misconduct of Department attorneys and in some cases, criminal investigators or other law enforcement personnel. Both offices will attempt to achieve the strategic objective through the following strategies that were developed to foster integrity, strengthen management accountability, and promote efficiency and effectiveness:

Focus audit, inspections, and other evaluative efforts on Department programs and expenditures in order to strengthen accountability and performance.

Among the OIG's major functions are to conduct, report, and follow up on financial and performance audits and inspections of Department 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 works closely with Department management to develop recommendations for corrective actions that will resolve identified weaknesses and as such remains responsive to its customers and promotes more efficient and effective Department operations.

Use investigative resources to pursue allegations of fraud, waste, and abuse against Department personnel, contractors, and grantees.

The OIG employs criminal investigators to investigate allegations of bribery, fraud, abuse, civil rights violations, and violations of other laws and procedures that govern Department employees, contractors, and grantees. The OPR uses attorneys to receive, review, investigate, and report on allegations of prosecutorial misconduct by Department attorneys and, in some cases, criminal investigators and other law enforcement personnel.

Key Crosscutting Programs

President's Council on Integrity and Efficiency (PCIE). The Department's OIG is a member of the PCIE. The PCIE comprises all Presidentially-appointed Inspectors General and is charged with conducting interagency and intra-entity audit, inspections, and investigations projects to effectively and efficiently deal with government-wide issues of waste, fraud, and abuse. The PCIE accomplishes these projects through committee activity. The Department's OIG is a participant on several committees and is currently engaged in PCIE-sponsored audits, inspections, and other reviews.

The PCIE has issued interim quality standards for the management, operation, and conduct of federal OIGs. While they are advisory and not intended to impose requirements, these standards are a guide to the conduct of official duties in a professional manner. The PCIE has also issued quality standards applicable to investigative efforts conducted by criminal investigators working for the OIGs, and standards to guide the conduct of inspection work. Audit work is conducted in accordance with the Comptroller General's Government Auditing Standards and related professional auditing standards.

In August 1993, the PCIE established the Inspector General Criminal Investigator Academy to provide a cadre of experienced professional IG investigators, to concentrate efforts to improve course content and instruction, and to develop and present additional advanced training specific to the needs of the IG special agent. This training is designed to help in the fight against fraud, waste, and abuse in government programs and to assist in promoting economy, efficiency, and effectiveness in the administration of those programs. The Inspectors General Auditor

Training Institute, established by the PCIE in 1991, provides training that will enhance the skills, abilities, and knowledge of federal OIG auditors.

Professional Responsibility Advisory Office (PRAO). In April 1999, the Department established the PRAO, whose mission includes providing definitive advice and guidance to Department attorneys and assisting in training programs on professional responsibility and professional ethics issues. In addition to its advice-giving role, the PRAO assembles and maintains the codes of ethics, relevant court decisions and bar opinions of every state and territory; serves as a repository for briefs and pleadings as ethics cases arise; and coordinates with the litigating components to defend attorneys in any disciplinary proceeding where it is alleged they failed to meet their ethical obligations. An independent component reporting to the Deputy Attorney General, the PRAO is designed to provide consistent and useful guidance to all Department attorneys and client agencies so that they can conduct themselves in accordance with the highest standards of professional integrity.

STRATEGIC OBJECTIVE 7.2

FINANCIAL MANAGEMENT

Improve the effectiveness of Department of Justice operations by strengthening and enforcing controls over assets, improving the usefulness and reliability of financial data for planning and reporting, and maximizing the use of available resources in accomplishing programmatic missions.

To meet the programmatic strategic goals and objectives set forth in this plan, the Department's financial systems must operate efficiently, effectively, and with integrity. By employing sound financial management practices, the Department can make maximum use of the resources it is provided through appropriations, fees, and forfeited assets, and other funding mechanisms. The Department receives appropriations each year that exceed \$20 billion, and also collects billions of dollars in fee receipts from those to whom it provides direct benefits, particularly in providing immigration services. Properly accounting for these resources is of paramount concern.

Strategy to Achieve the Objective

■ *Ensure sound and effective financial management policies and practices.*

The Department received a qualified audit opinion in fiscal year 1999. It anticipates receiving an unqualified opinion for fiscal year 2000 and beyond. The audit opinion for the Department's consolidated statements is dependent upon the opinions of the auditors on the financial statements of the reporting entities of the Department, since the consolidated financial statements are based on those entities' statements. The following reporting entities of the Department issue audited financial statements: Justice Management Division (for the Offices, Boards and Divisions); the Assets Forfeiture Fund and Seized Asset Deposit Fund; the Working Capital Fund; the major bureaus (FBI, DEA, INS, OJP, USMS, BOP); and the Federal Prison Industries, Inc.

Key Crosscutting Programs

In implementing this strategy we will collaborate with our financial and budget partners through the Chief Financial Officers Council and the Budget Officers Advisory Council. Other crosscutting vehicles for implementing the Department's strategy are the departmentwide financial statements working group and the Department's Financial Managers Council. The financial statement working group, which includes representatives from each bureau component and Office

of Inspector General, develops policy and resolves issues in regard to financial statements. The Department's Financial Managers Council, which includes financial managers from the bureaus, discusses and resolves financial management issues of the Department. The Department will continue to participate in the Financial Accounting Standards Advisory Board, the U.S. Government Standard General Ledger (SGL) Board, and the SGL Issues Resolution Committee meetings.

STRATEGIC OBJECTIVE 7.3

INFORMATION TECHNOLOGY

Make effective use of information technology (IT).

Department components rely on a wide range of information technologies to support the Department's mission. Together, these technologies are used to enable communication among departmental components and with other federal, state and local law enforcement agencies, as well as with other countries; permit the exchange of information with our business partners and the public; and improve operational efficiencies. Positioning and integrating these rapidly evolving technologies to connect components having different missions, program needs, and funding resources will continue to pose serious challenges to the Department over the next five years.

The foundation for improving the integration of IT capabilities and program needs is a secure, interoperable network infrastructure including wireless and remote telecommunications. This communications capability enables components to exploit the use of new technologies to share, exchange, and disseminate program information without compromising the privacy of individuals or the confidentiality of the data. As these capabilities expand, we must act aggressively to find new ways to prevent cybercrime and prosecute cyber-criminals.

Strategies to Achieve the Objective

Develop and implement information systems that improve access to information across the Department of Justice and other federal, state, and local legal and law enforcement entities.

Given the wide range of activity that occurs across jurisdictions and the need to coordinate among the diverse agencies, sharing of information is an increasingly important aspect of law enforcement. IT can facilitate this communication, by speeding the delivery of information across jurisdictions and opening up new avenues of information. The Department has several initiatives underway to enhance the interagency communication abilities of law enforcement organizations. We already provide a number of resources to facilitate information flow across the criminal justice community through existing systems such as the National Crime Information Center (NCIC 2000) system, Law Enforcement Online (LEO), and the Regional Information Sharing Systems (RISS) program. We are committed to using new technologies (such as the Internet) to expand the availability and types of information accessible by the law enforcement community. Key projects underway include the Justice Consolidated Network (JCN) which will provide the enabling infrastructure; the Joint Automated Booking System (JABS) which will provide improved booking capability and sharing of offender information within the Department; the Global Justice Information Network which will increase access to federal, state, and local law enforcement data; implementation of public key encryption to allow the Department to conduct electronic business with the public securely over the Internet; and integration of fingerprint databases maintained by the INS and the FBI.

■ *Increase the ability to provide information to the public electronically.*

The Department recognizes the mutual benefits to the U.S. Government and the public to collect and disseminate information electronically. Business conducted electronically can result in more efficient and accurate information collection and dissemination for both the public and the Federal Government. It also makes the Government information more widely available and should improve departmental responsiveness to public requests for specific information. Toward this end, the Department is committed to utilizing the Internet in general, and the Department's web site in particular, as an avenue to communicate with the public. The Department is exploring ways to improve its web site. In addition, Justice components such as the INS, the DEA, and the OJP have begun efforts to allow the public to transact specific business with Department over the Internet. OJP has implemented the Grants Management System which expedites the grant application and award process by replacing over 100 separate grant administration applications and enabling applicants to access the system from any personal computer connected to the Internet. The DEA Diversion Control program is developing an electronic means for pharmaceutical companies and distributors to file required reports electronically. The INS currently provides customers with the capability to obtain information and benefit forms on the INS web site. The INS is planning to create a "virtual office" that can provide services and conduct much of the essential business of the agency's core service missions including electronic filing and payment of fees, paperless A-files, and electronically-effected and controlled adjudications processes.

■ *Enhance the security and reliability of information systems to ensure systems are available to support core mission functions.*

As the Department becomes more dependent on IT, the need to enhance computer systems' security rises. Since the Department's computer systems now hold a majority of the sensitive information used in the course of business, our systems security planning must identify how we will protect this data from being destroyed, altered, or disclosed to unauthorized persons. In addition, the compromise of our data systems could render important tools useless, and greatly impede the Department's ability to conduct its core business functions. To address these important concerns, the Department is engaged in an active process of certifying and accrediting all computer-based information systems and networks. The certification and accreditation effort is the foundation for the Department's critical infrastructure planning. Through these activities, the Department will ensure that all systems have appropriate security controls in place and that contingency plans are drafted and implemented to allow for continuity of operations should a system failure occur.

■ *Implement a systematic process for selecting, controlling, and evaluating IT investments to protect taxpayer dollars.*

The Department spends \$1.5 billion on IT each year. To ensure that these funds are used efficiently, the Department has been systematically implementing guidelines on how the money will be spent, identifying life cycle costs and processes to monitor the expenditures during system development and deployment, and mechanisms to assess how well our IT investments have met planned objectives. The Department continues to evaluate its investment management program to ensure that the best available technology is acquired and used in support of our law enforcement and litigation programs.

Key Crosscutting Programs

Because of the increased need to share data across organizations worldwide, the Department has begun emphasizing the need to integrate component computer-

based information systems. The Department is developing an enterprise architecture that will provide a framework for data sharing and guide the development of the next generation of Justice computer-based information systems. To address departmentwide IT issues, we have created an IT Investment Board (ITIB). The ITIB is comprised of senior Justice executives and is indicative of the involvement of senior leadership in the management of IT.

In addition, the Department is developing systems and services to connect and integrate existing data systems. These efforts include basic infrastructure projects such as the JCN, departmentwide applications such as the Justice electronic mail and directory services and the JABS projects, and the integration of specific component systems such as the IDENT/IAFIS initiative.

STRATEGIC OBJECTIVE 7.4

HUMAN RESOURCES

Strengthen human resource recruitment and retention efforts and provide for a workforce that is skilled, diverse, and committed to excellence.

Both the General Accounting Office (GAO) and the Office of Personnel Management have emphasized that there is a clear link between an agency's human capital and its ability to meet its strategic goals. The GAO's Comptroller General, for example, recently told a conference sponsored by the National Academy for Public Administration that "the key competitive difference in the 21st century will be people. It will not be process. It will not be technology. It will be people." This is especially true at the Department. Our success in achieving our mission is clearly dependent on our ability to hire and retain a talented cadre of people to serve in our legal, law enforcement and related occupational areas.

A survey conducted by the National Partnership for Reinventing Government in the Fall of 1999 found that about 70 percent of Justice employees (excluding the INS and FBI) are satisfied with their jobs (nearly 10 percentage points higher than that reported governmentwide or in private industry). In addition, about two-thirds of Justice employees agreed that differences among individuals are respected and valued within the Department, again substantially higher than the 58 percent agreeing governmentwide. At the same time, the survey highlighted needs to improve communication about training and worklife opportunities.

In 2000, the Department will complete its examination of law enforcement hiring, attrition, retention and diversity directed by the Attorney General. As part of this review, short and long-term hiring needs are being identified, along with recruitment tools for selected priority occupations. In addition, improvements are being made in disseminating information on training and worklife issues to existing staff.

Strategies to Achieve the Objective

Continue to meet the needs and expectations of Department employees by providing opportunities for training and career development, offering a range of worklife options, fostering diversity, and other means.

The Department will continue to meet the needs and expectations of its employees. It will emphasize being a "family friendly" workplace by providing a wide range of worklife options and dependent care services. It will also emphasize the importance of employee development by ensuring that high quality training is available for law enforcement and legal staff as well as for managers and support personnel. Communication about training and worklife opportunities will be enhanced by use of a redesigned and improved intranet web site.

■ *Develop and implement a plan of action to ensure critical skill needs are met.*

As part of the law enforcement assessment noted above, it has become clear that problems in obtaining a sufficient number of qualified applicants for key occupations, combined with a lengthy screening and hiring process, have made it difficult for the Department to meet these needs in certain critical job and skill areas. The Department is developing a specific action plan to meet these needs, including the development of specific recruitment tools to be used for targeted occupations departmentwide. The Department will continue to monitor and evaluate its workforce needs and to reassess its plans based on experience and changing requirements.

Key Crosscutting Programs

None.

MANAGEMENT CHALLENGES

Financial Management. Over the past several years, the Department has made significant progress in correcting weaknesses in its accounting and financial management systems. This progress has been reflected in the audit opinions received on its financial statements. However, further work is required. Every Justice component with responsibility for maintaining an official financial system is either implementing a new system, in the final phases of implementing a new system, or beginning the planning to identify and acquire a new system. Improvements in INS accounting systems are a high priority. By the end of fiscal year 2001, INS expects to complete corrective actions to have in place policies and procedures that ensure all accrual transactions are recorded in line with federal accounting standards. The Department will continue to aggressively monitor financial management activities departmentwide to ensure that all reportable conditions and weaknesses are corrected.

Information Technology Security. Security will continue to dominate management attention as cybercrime emerges on an international scale and demands new technological crime-fighting tools and methods. As the technology advances, so, too, do the threats posed by increasingly sophisticated cyber-criminals. Given our role in fighting cybercrime, the Department itself has become a target for attack. We must upgrade our systems constantly to maintain adequate security, as well as to keep pace with our business partners. Another key challenge is to transform the way organizations collect, store, and display information to deliver trusted, timely, and easily understood information to all users through web-based portals at the desktop and in remote locations.