

FY2023 Performance Plan

Office of Inspector
General



U.S. DEPARTMENT OF
ENERGY

TABLE OF CONTENTS

Overview	1
Our Organization.....	1
Agency Performance Plan: 2023	4

OVERVIEW

In accordance with Federal statute and regulations,¹ in April 2022, the Inspector General released the *U.S. Department of Energy Office of Inspector General Strategic Plan 2022 – 2026*.² This report articulates the Office of Inspector General’s (OIG) performance metrics for fiscal year 2023. The performance metrics are derived from the goals as written in the Strategic Plan. This Agency Performance Plan will be used to report upon the Agency’s annual performance, as required, in November 2023.

OUR ORGANIZATION

The OIG’s headquarters is in Washington, DC, with field offices in Livermore, CA; Denver, CO; Idaho Falls, ID; Chicago, IL; Lexington, KY; Germantown, MD; Las Vegas, NV; Albuquerque, NM; Los Alamos, NM; Pittsburgh, PA; Savannah River, SC; Oak Ridge, TN; and Richland, WA. The OIG is organized into the following program offices and supporting offices:

OFFICE OF AUDITS conducts audits on Department of Energy programs and operations. Efforts are concentrated on providing reliable and credible financial and performance information to senior management, Congress, and the United States taxpayer. A risk-based process is used to identify areas for audit coverage based on known or emerging risks and the greatest vulnerabilities. This process ensures comprehensive coverage over Department organizations, programs, and operations while meeting the Department’s evolving needs. Special reviews of high-profile, unplanned, or immediate matters can also be addressed by audits throughout the year. The OIG Office of Audits recently added an Incurred Cost Division that is responsible for a new major portfolio of work—to perform independent audits of the Department’s management and operating contractors’ incurred costs.

OFFICE OF INVESTIGATIONS addresses alleged violations of law that impact Department programs, operations, facilities, and personnel. Priority is given to investigations of suspected violations of criminal and civil statutes as well as serious administrative misconduct. Investigations are also used to identify opportunities for improving the economy and efficiency of Department programs and operations by identifying recommendations for positive change. Investigators work closely with Department of Justice prosecutors and other Federal, state, and local law enforcement organizations.

¹ The Government Performance and Results Act of 2010, Section 2, and OMB Circular A-11, Sections 230 and 240.

² [*U.S. Department of Energy Office of Inspector General Strategic Plan 2022 – 2026*](#)

OFFICE OF INSPECTIONS, INTELLIGENCE OVERSIGHT, AND SPECIAL PROJECTS conducts independent and thorough reviews of Department programs and operations to evaluate operational efficiency, effectiveness, and vulnerability. Inspections consist of three types of assessments and reviews: (1) Performance-Based Inspections—centered on fact-finding and analyses concerning specific issues and topics; (2) Allegation-Based Inspections—focused, fact-finding efforts that are typically responsive to allegations of waste, fraud, abuse, or mismanagement; and (3) Special Projects—expedited reviews responsive to requests from entities such as Congress, the Secretary, senior Department officials, the Inspector General, or the Deputy Inspector General. These reviews typically concern high-profile or particularly sensitive matters and may be performance-based or allegation-based in nature. In addition, this office has responsibility for reviewing the Department’s Intelligence and Counterintelligence programs and operations, including the Department’s oversight responsibility in accordance with Executive Order 12333, *United States Intelligence Activities*. Further, this office also includes the OIG Hotline, which facilitates the reporting and resolution of allegations received from Department employees, contractors, and the public. Upon receipt of a specific allegation, the OIG may open an investigation, audit, or inspection; refer the matter to Department management for appropriate review and action; or refer the allegation to another Federal agency. Finally, this office also conducts whistleblower investigations under Title 41 United States Code § 4712, *Enhancement of contractor protection from reprisal for disclosure of certain information*.

OFFICE OF CYBER ASSESSMENTS AND DATA ANALYTICS promotes the effective, efficient, and economical operation of the Department's programs and operations, including the National Nuclear Security Administration and the Federal Energy Regulatory Commission, through audits, inspections, and other reviews regarding the identification and analysis of Department data. This office combines audit and data evidence to address management and security issues. Also, this organization conducts audits, inspections, and assessments of the Department’s information technology systems and related initiatives with a focus on cybersecurity, information management, and the Federal Information Security Modernization Act. The data analytics team provides timely, reliable expert data analysis in support of ongoing audits, inspections, and investigations; develops risk models; and coordinates data mining efforts. The Office of Cybersecurity Assessments and Data Analytics uses the latest technology and techniques to discover current and emerging cyber and economic threats and to coordinate data analysis. The combined efforts of this team help to ensure that information technology issues are properly addressed and not overlooked.

ADMINISTRATIVE REMEDIES DIVISION advances the OIG’s statutory mission to promote and support the appropriate use of administrative remedies by the Department. The division proposes and maintains policies regarding administrative remedies, provides training for employees likely to encounter material that may support the imposition of administrative remedies, coordinates with other Department OIG elements and stakeholders throughout the Government, prepares appropriate referrals to suspension and debarment officials, and supports those referrals throughout the administrative

process. This division also provides ethics support for OIG personnel. This ethics support applies to both OIG employees' application of Government ethics to their own affairs and the preparation of criminal, civil, or administrative matters based on the violation of ethics statutes and regulations.

OFFICE OF COUNSEL provides legal advice to senior leadership on a broad range of complex issues. The Office of Counsel also provides legal advice and support to the other components of the OIG such as the Office of Audits; the Office of Investigations; the Office of Inspections, Intelligence Oversight, and Special Projects; the Office of Cyber Assessments and Data Analytics; and the Office of Management and Administration. This office is also responsible for responding to Freedom of Information Act and Privacy Act requests and providing guidance on records management and privacy issues. Also within this office is the OIG Whistleblower Protection Coordinator, who provides information to Department employees about whistleblower protection rights and remedies.

OFFICE OF MANAGEMENT AND ADMINISTRATION directs the development, coordination, and execution of overall OIG management and administrative policy and planning. This responsibility includes human resource activities and consultation, the OIG's strategic planning process, financial management activities, personnel management and security programs, administrative support services, and information technology programs.

AGENCY PERFORMANCE PLAN: 2023

GOAL 1: OUR PEOPLE. BE AN EMPLOYER OF CHOICE BY CULTIVATING A DIVERSE, SKILLED, AND ENGAGED WORKFORCE AND FOSTERING AN INCLUSIVE, COLLABORATIVE ENVIRONMENT

1A - Demonstrated progress in developing and maintaining a proactive communications plan

- Timely acknowledgment of employee excellence using OIG recognition programs
- Conduct quarterly All-Hands meetings to communicate effectively
- Conduct periodic Town Hall meetings/site visits
- Implement actions to address items identified by the Federal Employee Viewpoint Survey; Diversity, Equity, and Inclusion Committee; Employee Council, or other mechanisms

1B - Demonstrated completion of training and development plans for staff

- Percentage of staff who submit Individual Development Plans on time
- Percentage of annual performance plans established on time
- Percentage of annual performance appraisals completed on time
- Percentage of staff who comply with position-specific training requirements
- Number of staff that participate in voluntary development programs
- Percentage of staff who comply with required financial disclosures in a timely and complete manner

GOAL 2: OUR WORK. CONDUCT INDEPENDENT OVERSIGHT TO STRENGTHEN THE INTEGRITY, ECONOMY, AND EFFICIENCY OF DEPARTMENT PROGRAMS AND TO DETER AND DETECT FRAUD, WASTE, ABUSE, AND MISMANAGEMENT

2A - Percentage of high-impact written products delivered to stakeholders within established timeframes

- Audits percent
- Investigations percent
- Inspections, Intelligence Oversight, and Special Projects percent
- Cyber Assessments and Data Analytics percent
- Percentage of products issued that address top Management Challenges, Department high-risk areas, or OIG mission priorities
- Percentage of discretionary reports that result in improvement in Department operations, programs, or projects as demonstrated by corrective actions taken during the engagement, or the inclusion of, findings, suggestions, and/or recommendations in the report

- Percentage of Hotline complaints processed for OIG leadership disposition decision within 14 days from receipt of complaint
- Percentage of products issued on time to address mandated reviews, particularly those related to financial management, cybersecurity, and agency management challenges

2B - Demonstrated results that OIG reviews are based on solid legal foundation

- Ensure OIG written products that address legal issues receive Office of Counsel review prior to issuance
- Ensure the Office of Counsel provides timely and legally sound assistance to OIG components

2C - Demonstrated results in holding individuals and business entities accountable through high-impact administrative remedies

2D - Demonstrated effective use of a team-based, cross functional approach to oversight for the most challenging high-risk projects

GOAL 3: OUR OPERATIONS. MODERNIZE OIG OPERATIONS THROUGH INNOVATION AND TECHNOLOGY

3A - Demonstrated increased capabilities and outcomes from deployment of innovative information technology

- Number of proactive analytic projects utilizing data to identify high-risk areas or areas of concern for further analysis and review by audits, inspections, and/or investigations
- Continue to use and develop the Office of Investigation's eDiscovery program and Relativity as tools for modernizing OIG operations

3B - Demonstrated strategic management of OIG organizational growth

- Develop funding requests and operating budgets commensurate with operational and strategic requirements
- Develop an OIG Staffing Plan within 30 days of budget being passed

GOAL 4: OUR STAKEHOLDERS. ENHANCE MISSION SUCCESS THROUGH EFFECTIVE OUTREACH, STAKEHOLDER ENGAGEMENT, AND COALITION BUILDING

4A - Demonstrated results in improved communications with external stakeholders

- Hold outreach meetings with the Office of Management and Budget and congressional committees on challenges, risks, successes, and opportunities
- Ensure fraud/cyber awareness briefings are conducted to educate and inform Department employees, contractors, and grant recipients of the OIG mission and means of submitting allegations of fraud, waste, and abuse
- Engage with local, state, and Federal counterparts in the law enforcement community and oversight community to increase collaboration in casework

4B - Demonstrated results in improved communication with top Department leadership

- Proactively coordinate and collaborate with Department leadership on the front end of oversight activities
- Meet with Department leadership as needed to address concerns, share information, or clarify issues
- Ensure timely notification to Department leadership of critical issues