

March 2024

# Fiscal Year 2023 Annual Performance Report & Fiscal Year 2025 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) 2023 Annual Performance Report (APR) and FY 2025 Annual Performance Plan (APP). The results for FY 2023 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 2023 APR and FY 2025 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 other challenges during and following 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 2023 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 2023, the OIG:

- Issued 32 audit and other reports that resulted in \$6.3 billion in funds put to better use, \$599 million in questioned costs, and 93 recommendations for corrective action.
- Conducted investigative work that resulted in 480 indictments, 506 convictions, and \$207.9 million in monetary accomplishments.
- Issued a revised DOL-OIG Pandemic Response Oversight Plan – June 2023.<sup>1</sup>
- Issued, as a member of the Pandemic Response Accountability Committee (PRAC), two PRAC Semiannual Reports to Congress.<sup>2</sup>
- Identified 15 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 7 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.
- Testified before the U.S. House of Representatives Committee on Ways and Means and the U.S. House of Representatives Committee on Oversight and Accountability, Subcommittee on Government Operations and the Federal Workforce regarding the OIG's oversight of the unemployment insurance (UI) program during the COVID-19 pandemic.<sup>3</sup>
- Participated as members of the PRAC's first-ever Agile Oversight Forum that featured multiple panels and presentations from key leaders across federal, state, and local oversight offices.

<sup>1</sup> Since we published our 2022 Pandemic Response Oversight Plan update, the OIG has had to substantially reduce our planned pandemic response oversight efforts due to budgetary constraints. For our revised DOL-OIG Pandemic Response Oversight Plan, please visit our website at

<https://www.oig.dol.gov/public/oaprojects/2023%20Revised%20Pandemic%20Response%20Oversight%20Plan.pdf>.

<sup>2</sup> For the PRAC Semiannual Report to Congress covering the period from October 1, 2022, through March 31, 2023 and the PRAC Semiannual Report to Congress covering April 1, 2023, through September 30, 2023, please visit the PRAC's website at <https://www.pandemicoversight.gov/oversight/our-publications-reports>.

<sup>3</sup> For copies or written testimonies, please visit our website at <https://www.oig.dol.gov/testimony.htm>.

## THE OIG AND FISCAL YEAR 2023 SNAPSHOT

**Figure 1: FY 2023 Office of Investigations Selected Accomplishments**

Investigative recoveries, cost-efficiencies, restitutions, fines and penalties, forfeitures, and civil monetary action.....	\$207.9M
Investigative cases opened.....	360
Investigative cases closed/reports issued.....	343
Investigative cases referred for prosecution.....	264
Investigative cases referred for administrative/civil action.....	170
Indictments.....	480
Convictions.....	506
Statutory debarments.....	5

**Figure 2: FY 2023 Office of Audit Selected Accomplishments**

Funds Put to Better Use <sup>4</sup> .....	\$6.3B
Questioned Costs <sup>5</sup> .....	\$599M
Audit Reports issued.....	25
Other reports issued.....	7
<i>Program Reviews</i> .....	0
<i>Single Audits Quality Control Reviews Conducted</i> <sup>6</sup> .....	5
<i>Congressional Testimony</i> .....	2
Recommendations for corrective action.....	93

Figures 1 and 2 above include the OIG’s COVID-19 audit and investigative activities.

<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> According to Office of Management and Budget’s (OMB) *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (2 C.F.R. Part 200), the designated cognizant agency for audit must be the federal awarding agency that provides the predominant amount of funding directly to a non-federal entity unless OMB designates a specific cognizant agency for audit. Cognizant agencies for audit are the federal agencies designated to carry out the responsibilities described in Uniform Guidance § 200.513(a). DOL is currently cognizant for 12 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 2023. The 8 challenges we identified are:

- 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, Secure, and Healthy Learning Environment at Job Corps Centers;
- Managing Medical Benefits in Office of Workers' Compensation Programs; and
- Managing and Securing Data and 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 2023 report.<sup>8</sup>

## RESPONSE TO THE COVID-19 PANDEMIC

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On March 27, 2020, shortly after the onset of the COVID-19 pandemic, the Department and other federal agencies were tasked with rapidly implementing programs in a manner that met the intent of the Coronavirus Aid, Relief, and Economic Security (CARES) Act.<sup>9</sup> An exceptional level of transparency, implementation plans, and oversight controls was critical to ensure the effective and efficient use of the estimated \$2.3 trillion in CARES Act funding, thereby increasing the Inspectors General work to detect and deter fraud, waste, and abuse. Under the CARES Act, the OIG received an appropriation of \$26 million to oversee DOL's response to the COVID-19 pandemic, including \$25 million to oversee the unprecedented expansion of UI programs. On April 27, 2021, shortly after the American Rescue Plan Act of 2021 (ARPA) provided the OIG an additional \$12.5 million to further oversee DOL pandemic response.<sup>10</sup> In total, DOL-OIG received an appropriation of \$38.5 million in supplemental funding during the

<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 2023 report, please visit our website at <https://www.oig.dol.gov/public/DOL%202023%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>.

pandemic to fund the OIG's oversight of expanded Department of Labor (DOL or Department) programs and operations in response to the COVID-19 Pandemic.

## **DOL-OIG PANDEMIC RESPONSE OVERSIGHT PLAN**

Less than a month after the CARES Act passed, on April 15, 2020, we published our first DOL-OIG Pandemic Response Oversight Plan, structuring the work in four phases to address known and expected risks for DOL programs resulting from the pandemic. Our work plans drew heavily from our work on DOL's previous emergency responses, including from the American Recovery and Reinvestment Act of 2009, as well as significant issues we have reported since then. We updated and revised our DOL-OIG Pandemic Response Oversight Plan as we continued to conduct risk assessments to identify specific areas for review.<sup>11</sup>

We designed our four-phased plan to provide recommendations to DOL to address current and emerging vulnerabilities with the COVID-19 response and to prevent similar vulnerabilities from hampering preparedness for future emergencies. During Phases 1 and 2, we reviewed DOL's plans, guidance, and initial implementation, highlighting significant vulnerabilities. During Phase 3, which is ongoing, we are taking a deep dive into key and emerging issues. Our Phase 4 work plans include reporting on lessons learned for UI, worker safety and health, and employment training and recovery from the overall toll on workers since COVID-19 first appeared in the U.S.

The OIG has had to substantially reduce our planned pandemic response oversight efforts due to budgetary constraints, as we noted in our revised DOL-OIG Pandemic Response Oversight Plan in June 2023.<sup>12</sup> We will continue to efficiently use our available resources for pandemic-related audit and investigative efforts; however, at current funding levels, resource limitations have resulted and will continue to result in a reduction of effort in pandemic-related oversight. Moreover, the statute of limitations for pandemic-related fraud will soon expire and we continue to face challenges with data access. The plan revision provides the following: (1) details of the budgetary impact to investigative and audit work as well as from the President's recent proposal, including the design of and impact to the status of our work plans; (2) impact of the expiration of the statute of limitations; (3) impact from the data access challenges; (4) a summary description of our results so far; and (5) a list of in-progress and planned work.<sup>13</sup>

### **Ongoing Work—Phase 3**

The OIG's Phase 3 audit work focuses 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 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 ARPA equity grants. To date, our Phase 3 work has included the identification of approximately \$46.9 billion in potential UI fraud as well as nearly \$5 billion in UI emergency funds left unexpended within state accounts more than 22 months after the benefit eligibility period expired. Our work has also identified that states may have inadvertently applied a racial or gender bias when providing UI benefits to claimants, and did not provide adequate protections for claimants' personal data. Additionally,

<sup>11</sup> We issued DOL-OIG's initial Pandemic Response Oversight Plan in April 2020 followed by updates and revisions in April 2021, March 2022, and June 2023.

<sup>12</sup> For our revised DOL-OIG Pandemic Response Oversight Plan, please visit our website at <https://www.oig.dol.gov/public/oaprojects/2023%20Revised%20Pandemic%20Response%20Oversight%20Plan.pdf>.

<sup>13</sup> Ibid.



our Phase 3 work identified that Occupational Safety and Health Administration's (OSHA) actions had not effectively addressed the high injury and illness rates occurring in warehouses.

The immense challenges we continue to face have not stopped OIG auditors or investigators from producing impactful oversight. As reported in our September 30, 2023 *Semiannual Report to Congress*, the OIG's pandemic response oversight work has resulted in 47 published audit reports with 136 recommendations to reduce programmatic vulnerabilities, over \$74 billion in funds for better use and more than \$277 million in questioned costs. Our pandemic-related investigations have resulted in 1,552 indictments/initial charges with 957 convictions, over 19,000 months of incarceration ordered, and monetary results in excess of \$1 billion (see Table 1).

**Table 1: DOL OIG's Cumulative Pandemic-Related Results, as of September 30, 2023<sup>14</sup>**

Results	As of September 30, 2023
Audit Reports	47
Recommendations	136
Funds Put to Better Use	\$74+B
Questioned Costs	\$277+M
Indictments/Initial Charges	1,552
Convictions	957
Months of Incarceration Ordered	19,000+
Investigative Monetary Results	\$1+B

As of September 30, 2023, the OIG has 15 ongoing and 7 planned audits focused on UI, job training, OSHA, the Mine Safety and Health Administration, and Veterans Employment and Training Service programs. We also are planning to complete as many UI fraud investigations as possible with the time remaining on the statute of limitations.<sup>15</sup>

#### **Planned Work—Phase 4**

Subject to resource limitations, we plan to begin our Phase 4 work as we are wrapping up our Phase 3 work. We estimate our audit work completing by September 2025 and our investigative work continuing to at least September 2026. For audit, our Phase 4 work plans include reporting on lessons learned for UI, worker safety and health, and employment training and recovery from the overall toll on workers since COVID-19 first appeared in the United States. This phase will also include after-the-fact assessments of pandemic program results, including for other DOL programs. As we focus on the future in Phase 4, our oversight will include these lessons learned to assist DOL in improving its programs and operations for future emergencies.

<sup>14</sup> As required by the Inspector General Act of 1978, DOL-OIG reports semiannually to the head of the Department and the Congress on the activities of the office during the 6-month periods ending March 31 and September 30. The DOL-OIG Semiannual reports are available on our website at <https://www.oig.dol.gov/semiannual.htm>.

<sup>15</sup> A list of in-progress and planned work is provided in our revised DOL-OIG Pandemic Oversight Plan, available at <https://www.oig.dol.gov/public/oaprojects/2023%20Revised%20Pandemic%20Response%20Oversight%20Plan.pdf>.

## **Risk Factors for Ongoing and Planned Work**

The OIG has had to substantially reduce our planned pandemic response oversight efforts due to budgetary constraints. The degree to which we can continue our oversight work depends on the availability of resources. We will continue to efficiently use our available resources for pandemic-related audit and investigative efforts; however, at current funding levels, resource limitations have resulted and will continue to result in a reduction of effort in pandemic-related oversight. Moreover, the statute of limitations for pandemic-related fraud will soon expire and we continue to face challenges with data access.<sup>16</sup>

## **PANDEMIC RESPONSE ACCOUNTABILITY COMMITTEE**

Established in March 2020 by the CARES Act, the PRAC is a CIGIE Committee.<sup>17</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>18</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 2023 PRAC SEMIANNUAL REPORT ACCOMPLISHMENTS**

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 2023, the PRAC issued two Semiannual Reports to Congress.<sup>19</sup> Table 2 provides the audit and investigative activities for 24 OIGs in the PRAC Semiannual reports, including DOL-OIG. Table 3 provides solely the audit and investigative activities for DOL-OIG included in the PRAC Semiannual reports.

<sup>16</sup> For further details, please see the sections on *Budgetary Impact on Pandemic Response Oversight*, on the *Statute of Limitations' Expiration*, and on *Data Access* in our revised DOL-OIG Pandemic Oversight Plan found at <https://www.oig.dol.gov/public/oaprojects/2023%20Revised%20Pandemic%20Response%20Oversight%20Plan.pdf>.

<sup>17</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>18</sup> For the full strategic plan, please visit the PRAC's website at <https://www.pandemicoversight.gov/media/file/prac-strategic-plan>.

<sup>19</sup> For the PRAC Semiannual Report to Congress covering the period from October 1, 2022, through March 31, 2023 and the PRAC Semiannual Report to Congress covering April 1, 2023, through September 30, 2023, please visit the PRAC's website at <https://www.pandemicoversight.gov/oversight/our-publications-reports>.

**Table 2: PRAC COVID-19  
Audit and Investigative Activities from October 1, 2022, through September 30, 2023**

Audit Activities	
Number of OIGs	24
Oversight Reports	159
Recommendations	373
Monetary Findings <sup>a</sup>	\$13,266,265,816
Investigative Activities	
Number of OIGs	24
Arrests/Indictments	1652
Convictions	942

<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 3: DOL-OIG COVID-19 Included in PRAC Semiannual Reports  
Audit and Investigative Activities from October 1, 2022, through September 30, 2023**

Audit Activities	
Oversight Reports	13
Recommendations	44
Monetary Findings <sup>a</sup>	\$5,277,717,531
Investigative Activities	
Arrests/Indictments	439
Convictions	371

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

Appendix D contains additional information and details for the 16 COVID-19 Pandemic-related oversight reports issued by DOL-OIG.<sup>20</sup> We will continue to work with our OIG partners to identify major risks that cut across DOL programs and agency boundaries.

<sup>20</sup> The OIG issued 3 additional reports that are not directly pandemic-related oversight reports, but contained significant pandemic-related impact in FY 2023. The 3 additional reports are also noted separately in Appendix D.

# 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>21</sup>

## FYs 2023 AND 2024 MEASURE CHANGES, AND FY 2025 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>22</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 2023 and will continue employing these strategies in future FYs.

**Table 4: 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	65	13
FY 2024	63	13

<sup>21</sup> See Appendix A for an overview of some of the statutory laws with provisions affecting the OIG's mission and work.

<sup>22</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, as well as developed new measures for FYs 2024 and 2025, to enhance organizational performance and improve the accuracy and quality of performance data and progress.

Appendix C contains the targets and results for FY 2018 through FY 2023 measures that the OIG retired in FY 2018 through FY 2023.

The OIG leveraged baseline data and benchmarks from the previous 6 fiscal years to set performance targets for FYs 2024 and 2025. Going forward, the OIG may update FYs 2024 and 2025 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 5: 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 6: 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	X
Goal 3: Promote responsible stewardship of OIG financial and non-financial resources	–	–	–	–	X

# OVERVIEW OF FY 2023 PERFORMANCE

To present the most current information, this FY 2023 APR and FY 2024 – FY 2025 APP integrates reporting of OIG’s FYs 2018 through 2023 performance with its updated performance plan for the current fiscal year (FY 2024) and next fiscal year (FY 2025). This combined approach provides a retrospective and prospective view of OIGs performance, consistent with OMB guidelines.

**Table 7: Overview of OIG’s FY 2023 Performance**

	Missed Target	Met Target	Exceeded Target	N/A	Total KPIs for FY 2023	New FY 2024 and (Retired) FY 2023 KPIs	N/A KPIs for FY 2024	Total KPIs for FY 2024
<b>Strategic Goal 1</b>	<b>3</b>	<b>1</b>	<b>23</b>	<b>1</b>	<b>28</b>	<b>2 (3)</b>	<b>1</b>	<b>28</b>
<i>Objective 1.1</i>	0	0	6	0	6	1 (1)	0	6
<i>Objective 1.2</i>	3	1	10	1	15	0 (1)	1	15
<i>Objective 1.3</i>	0	0	3	0	3	0 (0)	0	3
<i>Objective 1.4</i>	0	0	2	0	2	1 (1)	0	2
<i>Objective 1.5</i>	0	0	2	0	2	0 (0)	0	2
<b>Strategic Goal 2</b>	<b>0</b>	<b>4</b>	<b>16</b>	<b>0</b>	<b>20</b>	<b>0 (2)</b>	<b>1</b>	<b>19</b>
<i>Objective 2.1</i>	0	2	5	0	7	0 (0)	0	7
<i>Objective 2.2</i>	0	0	3	0	3	0 (0)	0	3
<i>Objective 2.3</i>	0	1	4	0	5	0 (1)	0	4
<i>Objective 2.4</i>	0	1	4	0	5	0 (1)	1	5
<b>Strategic Goal 3</b>	<b>0</b>	<b>4</b>	<b>12</b>	<b>1</b>	<b>17</b>	<b>1 (2)</b>	<b>0</b>	<b>16</b>
<i>Objective 3.1</i>	0	0	5	0	5	0 (0)	0	5
<i>Objective 3.2</i>	0	2	0	0	2	0 (0)	0	2
<i>Objective 3.3</i>	0	0	7	0	7	1 (2)	0	6
<i>Objective 3.4</i>	0	2	0	1	3	0 (0)	0	3
<b>Total</b>	<b>3</b>	<b>9</b>	<b>51</b>	<b>2</b>	<b>65</b>	<b>3 (7)</b>	<b>2</b>	<b>63</b>

Note: Two biennial KPIs will not be measured in FY 2024 (listed as N/A).

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 FY 2018 through FY 2023 measures that OIG retired from FY 2018 through FY 2023.

## **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 to identify potential audits and investigations.

## GOAL 1 STRATEGIC OBJECTIVES

**Table 8: 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 found that Employment and Training Administration (ETA) did not provide adequate oversight of the emergency UI administrative grants. Specifically, ETA did not verify if states were qualified for the grants before transferring all grant funds to the states' accounts. In our review of 14 states, we found ETA qualified these states to receive more than \$136 million in emergency administrative grant funds. Additionally, we found ETA could not provide reasonable assurance that states used the emergency administrative grants to administer UI programs. These funds were monitored through single audits that did not disclose how states used the funds.<sup>23</sup>
- We contracted with an independent certified public accounting firm (Firm) to conduct an independent performance audit on DOL's FY 2022 information security program for the period October 1, 2021, through June 30, 2022. The Firm identified recurring deficiencies in the Department's efforts to manage and implement security controls throughout its information security program. While the Department has moved information systems to its IT shared services model to improve management and security of the systems, the Department has not adequately implemented information security controls and technology tools required to manage and monitor IT security. Further, we are still concerned that the remaining systems and agencies that are not part of the IT shared services environment are not receiving the governance and oversight required to sufficiently secure all of DOL's data and information systems. These areas

<sup>23</sup> Report No. 19-23-006-03-315, *ETA Did Not Provide Adequate Oversight of Emergency Administrative Grants*, (July 27, 2023) found at <https://www.oig.dol.gov/public/reports/oa/2023/19-23-006-03-315.pdf>.

represent ongoing risks to the confidentiality, integrity, and availability of DOL's information systems, which are necessary to support the Department's mission.<sup>24</sup>

- The OIG issued an Alert Memorandum to notify ETA that we identified nearly \$1.3 billion in potentially fraudulent UI payments made during the pandemic in two high-risk age categories, to individuals with Social Security numbers: (1) of children under the age of 14 and (2) of elderly persons 100 years of age or older. We noted our concern that ETA currently does not have direct access to state UI claims data, and that ETA does not have the capability to analyze said data, which would allow it to better identify fraud and other improper payments, as well as other trends or emerging issues, such as timeliness or equity.<sup>25</sup>
- The OIG found that OSHA's enforcement activities did not sufficiently protect workers from pandemic health hazards because OSHA: (1) did not issue citations to enforce the standard for recording and reporting occupational injuries and illnesses in 15 percent of sampled fatality inspections, (2) lacks complete information on COVID-19 infection rates at worksites, and (3) closed inspections without ensuring it received and reviewed all items requested from employers to demonstrate alleged COVID-19 health hazards had been mitigated. We found that OSHA had not established controls to ensure citations were issued or to document the rationale, does not require employers to report all COVID-19 cases among workers, and does not have a tool to ensure it receives and reviews all requested documentation prior to closing inspections. As a result, there is a heightened risk that workers suffered unnecessary exposure to the virus.<sup>26</sup>
- We contracted with an independent accounting firm (Firm) to conduct an audit to determine whether the Office of Workers' Compensation Programs (OWCP) effectively managed pharmaceutical spending in the FECA program. The Firm found that OWCP did not effectively manage pharmaceutical spending in the FECA program from FY 2015 through FY 2020. Specifically, OWCP did not pay the best available prices for prescription drugs and the Firm identified up to \$321 million in excess spending during the audit period. In addition, the Firm also found that OWCP did not effectively monitor pharmaceutical policy changes to ensure implementation, resulting in claimants receiving thousands of inappropriate prescriptions and potentially lethal drugs, including 1,330 prescriptions for fast-acting fentanyl after issuing a policy that restricted its use. The Firm also found OWCP failed to timely identify and address emerging issues and did not perform sufficient oversight of prescription drugs that are highly scrutinized and rarely covered in workers' compensation programs. As a result, OWCP spent hundreds of millions of dollars on drugs that may not have been necessary or appropriate for FECA claimants. Finally, the Firm found OWCP lacked sufficient clinical expertise and

<sup>24</sup> Under the Federal Information Security Modernization Act of 2014, the OIG is required to perform annual independent evaluations of the Department's information security program and practices. These annual reports have consistently identified such deficiencies. For the most recent, see: *FY 2022 FISMA DOL Information Security Report: DOL's Information Security Program Not Remaining Current with Security Requirements*, Report No. 23-23-001-07-725 (February 10, 2023), available at: <https://www.oig.dol.gov/public/reports/oa/2023/23-23-001-07-725.pdf>.

<sup>25</sup> Report No. 19-23-012-03-315, *Alert Memorandum: ETA Needs to Incorporate Data Analytics Capability to Improve Oversight of the Unemployment Insurance Program*, (September 25, 2023) found at <https://www.oig.dol.gov/public/reports/oa/2023/19-23-012-03-315.pdf>.

<sup>26</sup> Report No. 19-23-001-10-105, *COVID-19: OSHA's Enforcement Activities Did Not Sufficiently Protect Workers from Pandemic Health Hazards*, (October 31, 2022) found at <https://www.oig.dol.gov/public/reports/oa/2023/19-23-001-10-105.pdf>.



guidelines to ensure appropriate pharmaceutical decisions, which could negatively impact claimants' health, recovery, and return to work.<sup>27</sup>

- We contracted with an independent certified public accounting firm (Firm) to conduct an audit to determine to what extent OSHA ensured complaints and referrals were adequately and timely addressed. The Firm found that the OSHA lacks: (1) a methodology to determine when complainants and witnesses should be interviewed and the appropriate amount of their involvement, (2) a process for documenting supervisory reviews and decision approvals within case files, and (3) controls to ensure enforcement of abatement deadlines for employers. As a result, OSHA may have conducted incomplete inspections and workers may have been exposed to hazardous working conditions for an extended period of time.<sup>28</sup>

## GOAL 1 SELECTED ACCOMPLISHMENTS – OFFICE OF INVESTIGATIONS

- Natalie Le Demola, who is currently serving a life sentence in state prison for murder, was sentenced to 84 months in federal prison, to be served consecutively, and ordered to pay more than \$933,000 in restitution for leading a pandemic-related benefits scheme from behind bars, involving more than \$1.5 million in UI benefits. From June 2020 until April 2021, Demola and her co-conspirators acquired the Personally Identifying Information (PII) of individuals ineligible for UI benefits as they were either employed, retired, or incarcerated. They used the PII to file fraudulent online applications for UI benefits with the State of California's Employment Development Department. Demola also obtained the PII of identity theft victims and filed fraudulent UI applications in their names. Once the fraudulent applications were approved by the Employment Development Department, members of the conspiracy received Employment Development Department-funded debit cards that allowed them to withdraw money from ATMs across Southern California.<sup>29</sup>
- Heather Ann Huffman, a former registered nurse employed with the U.S. Department of Veterans Affairs, was sentenced in the Commonwealth of Virginia to 18 years in prison for her role in a conspiracy to defraud at least five State Workforce Agencies (SWA) of more than \$3.5 million in pandemic-related UI benefits. She was also ordered to pay more than \$2 million in restitution to multiple SWAs jointly with her co-conspirators. From April 2020 through at least March 2021, Huffman led and organized several others, including family members and close friends, in a conspiracy that specifically targeted UI benefits expanded to offset the economic impacts of the COVID-19 pandemic. To obtain these benefits, she and others filed false and misleading UI applications in the names of identity theft victims, co-conspirators, and inmates of state and federal prisons. To further their conspiracy, Huffman and others identified addresses in each of the targeted states in which they falsely claimed the applicants lived and worked. She also opened a post office box in the Commonwealth of Virginia in the name of a fictitious nonprofit organization, to which she directed the targeted SWAs to mail the prepaid debit cards.

<sup>27</sup> Report No. 03-23-001-04-431, *OWCP Did Not Ensure Best Prices and Allowed Inappropriate, Potentially Lethal Prescriptions in the FECA Program*, (March 31, 2023) found at <https://www.oig.dol.gov/public/reports/oa/2023/03-23-001-04-431.pdf>.

<sup>28</sup> Report No. 02-23-001-10-105, *OSHA Needs to Better Address Complaints and Referrals for Increased Worker Safety*, (March 6, 2023) found at <https://www.oig.dol.gov/public/reports/oa/2023/02-23-001-10-105.pdf>.

<sup>29</sup> This was a joint investigation with the El Camino Real Financial Crimes Task Force, a multi-agency task force led by Homeland Security Investigations that includes federal and state investigators who are focused on financial crimes in Southern California. *United States v. Natalie Le Demola et al.* (C.D. California).

Huffman, who was then employed as a registered nurse at a U.S. Department of Veterans Affairs Medical Center in Richmond, Virginia, used her work computer to research available UI benefits, file and access fraudulent UI claims, and falsify documents. In total, Huffman and her conspirators submitted more than 220 fraudulent UI claims in the names of more than 120 individuals to at least five different SWAs through which they sought to receive more than \$3.5 million and actually obtained more than \$2 million. Huffman's sentencing was originally scheduled for November 2022, but she failed to appear that day without notice or explanation. Prior to her disappearance, she took measures to flee prosecution, conceal her whereabouts, and obtain the PII of another individual. Huffman assumed the individual's identity and procured counterfeit government identification and credit cards in the name of her false alias. An extensive joint investigation with the U.S. Department of Veterans Affairs OIG and the United States Marshals Service uncovered evidence that the defendant was living and working under a false identity as a registered nurse in the State of Kansas. Representatives from the United States Marshals Service Fugitive Task Force arrested Huffman on March 4, 2023, in Lenexa, Kansas.<sup>30</sup>

- Daniel Ira Johnson, also known as “Shotta” also known as “Lajon Black,” was sentenced to 90 months in prison for shipping firearms to the United Kingdom and committing wire fraud and aggravated identity theft in connection with receiving fraudulently obtained COVID-19 pandemic UI relief payments. Johnson was also ordered to pay restitution totaling more than \$580,000. In December 2019 and January 2020, Johnson shipped firearms to a co-conspirator in Rugby, England, concealing them in a safe, wrapping them to avoid detection, and declaring them to be “car parts” on customs paperwork. Additionally, in March 2020, following the pandemic-related expansion of UI benefits, Johnson and co-conspirators used the PII of victims without their knowledge to apply for and receive UI benefits. The benefits were loaded onto prepaid debit cards delivered to addresses to which Johnson and others had access. Johnson and his co-conspirators then obtained the debit cards and withdrew the fraudulently obtained funds and used the funds to purchase United States Postal Service money orders. Johnson and his co-conspirators are linked to at least \$1.9 million in attempted fraudulent UI claims submitted to 19 SWAs.<sup>31</sup>
- Sirce Rodriguez pled guilty for her involvement in a conspiracy to commit theft of government funds by diverting federal funds for her personal benefit and the benefit of her co-conspirators. The funds were diverted from Transition, Inc., a not-for-profit organization that received WIOA funds, which are administered by DOL, and Improved Reentry Project Grant funds, which are administered by the U.S. Department of Education. The WIOA funds were supposed to be used for job training and placement services. Rodriguez conspired with a former employee of Transition, Inc., and others, to divert WIOA funds to her personal account and the personal and corporate accounts of coconspirators. To steal the funds, a co-conspirator created fraudulent employee files and wage records showing that individuals were employed at specific companies when they were not. Rodriguez provided the PII of others in order to create the employee files. Rodriguez also referred others to a co-conspirator to receive wages for work they did not

<sup>30</sup> This was a joint investigation with the U.S. Department of Veterans Affairs OIG. *United States v. Huffman et al.* (E.D. Virginia).

<sup>31</sup> This was a joint investigation with the U.S. Postal Inspection Service (USPIS); U.S. Department of Commerce Bureau of Industry and Security; Homeland Security Investigations; the Bureau of Alcohol, Tobacco, Firearms, and Explosives; and the National Crime Agency of the United Kingdom. *United States v. Johnson* (M.D. Florida).

perform. The information of these individuals was inputted into a web-based program run by Transition, Inc.'s payroll processor, which then paid wages to the purported employees, with the money often being deposited into bank accounts controlled by Rodriguez and her co-conspirator.<sup>32</sup>

- Anthony Riccardi pled guilty to conspiracy to commit wire fraud and bank fraud for a widespread scheme to misappropriate and steal client health care funds and defraud multiple lenders. In connection with the guilty plea, he agreed to pay more than \$14.8 million in restitution and to forfeit \$2 million. From at least 2015 and continuing through 2019, Riccardi was a co-owner and Executive Vice President of Employee Benefit Solutions, which, among other things, provided third-party health care claims administration services to clients that elected to self-fund their employee health care plans. During this time, the company transferred approximately \$26 million to Employee Benefit Solutions for the payment of health care claims. However, much of this money was never sent to pay the claims. Instead, approximately \$17.87 million was misappropriated, most of which was used to pay expenses incurred by Employee Benefit Solutions or its managers, including home mortgage expenses and personal credit card charges relating to boating, luxury cars, and golf. Additionally, in mid-2017, Riccardi and his co-conspirators began fraudulently applying for and receiving millions of dollars in loans under the auspices of financing the purchase of billing software for Employee Benefit Solutions.<sup>33</sup>
- Bladimir Moreno was sentenced for his role in leading a federal racketeering and forced labor conspiracy that victimized Mexican agricultural workers admitted to the United States under the H-2A temporary visa program. He was sentenced to 118 months in prison and was ordered to pay restitution of more than \$170,000 to the victims. Moreno was the owner and manager of Los Villatoros Harvesting, a labor contracting company that employed Mexican H-2A workers to harvest fruits and vegetables in the States of Florida, Kentucky, Indiana, Georgia, and North Carolina. Through his business, he conspired with others to commit racketeering offenses, including subjecting H-2A workers to forced labor, harboring, visa fraud, and fraud in foreign labor contracting. Moreno and his co-conspirators used coercive means to obtain thousands of hours of physically demanding agricultural labor from victimized H-2A workers, all for less pay than required by law. The coercive means used included confiscating the workers' passports; subjecting the workers to crowded, unsanitary, and degrading living conditions; isolating the workers; limiting their ability to interact with anyone other than Los Villatoros Harvesting employees; and subjecting workers to debt manipulation. In order to conceal aspects of the criminal enterprise, he provided false statements and information to federal investigators and directed his employees to do the same.<sup>34</sup>
- Khyati Undavia, a pharmacist who controlled and operated Memorial Pharmacy, was sentenced to 27 months in prison and ordered to pay approximately \$12 million in restitution, which she paid at the time of sentencing. The sentencing is a result of Undavia's conviction for her role in a conspiracy to pay and receive kickbacks that defrauded federal health care programs, including those administered by OWCP. From

<sup>32</sup> This was a joint investigation with the Miami-Dade County OIG. *United States v. Salado Garcia et al.* (S.D. Florida).

<sup>33</sup> This was a joint investigation with the Employee Benefits Security Administration (EBSA), U.S. Postal Inspection Service, and the Secret Service. *United States v. Anthony Riccardi, et al.* (S.D. New York).

<sup>34</sup> This was a joint investigation with the Palm Beach County Human Trafficking Task Force (including the Federal Bureau of Investigation (FBI), Homeland Security Investigations, and the Palm Beach County Sheriff's Office) and the Diplomatic Security Service. *United States v. Bladimir Moreno* (M.D. Florida).

December 2012 through December 2018, Undavia hired employees to market Memorial Pharmacy to physicians as a place to submit compounded drug prescriptions. She paid kickbacks through the marketers to physicians in order to induce them to write prescriptions and submit them to Memorial Pharmacy on behalf of their patients. This practice was in lieu of providing the prescription directly to the patient, which would have allowed the patient to select a pharmacy of their choice.<sup>35</sup>

<sup>35</sup> This was a joint investigation with the USPS-OIG, Department of Defense's Defense Criminal Investigative Service, Drug Enforcement Administration, FBI, and Internal Revenue Service. *United States v. Khyati Undavia* (S.D. Texas).

## GOAL 1 PERFORMANCE RESULTS



Table 9: Performance Results for Goal 1.<sup>36</sup>

Strategic Objective 1.1

FY 2023 Performance Indicators	Responsible Component	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 2023 Results	FY 2024 Targets	FY 2025 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%	95%	80%	89%	80%	93%	85%	94%	90%	100%	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	60%	67%	60%	60%	60%	58%	60%	73%	60%	81%	50%	87%	50%	50%	

<sup>36</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 2023 Performance Indicators	Responsible Component	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 2023 Results	FY 2024 Targets	FY 2025 Targets	Notes
Percentage of simple Freedom of Information Act (FOIA) and Privacy Act requests for OIG records completed within 20 business days.	OLS	90%	100%	90%	100%	90%	100%	90%	89%	90%	100%	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 business days.	OLS	90%	69%	90%	100%	90%	98%	90%	96%	90%	100%	90%	100%	90%	90%	
Reduce backlog of outstanding audit reports.	OA	New FY 2019 Measure	New FY 2019 Measure	10%	59%	75%	59%	75%	88%	75%	50%	75%	77%	70%	70%	
Percentage of formal Congressional requests acknowledged within 2 business days.	OCPR	New FY 2024 Measure	New FY 2024 Measure	New FY 2024 Measure	New FY 2024 Measure	New FY 2024 Measure	New FY 2024 Measure	New FY 2024 Measure	New FY 2024 Measure	New FY 2024 Measure	New FY 2024 Measure	New FY 2024 Measure	New FY 2024 Measure	95%	95%	

Strategic Objective 1.2

FY 2023 Performance Indicators	Responsible Component	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 2023 Results	FY 2024 Targets	FY 2025 Targets	Notes
Percentage of allegations that are either closed or converted to full investigations within 90 calendar days of receipt.	OSI	88%	98%	88%	90%	88%	90%	88%	88%	90%	86%	90%	92%	90%	90%	
Percentage of investigations completed (referred for prosecution/administrative/civil proceedings, or closed) within 12 months of case opening.	OSI	70%	92%	80%	80%	85%	88%	90%	87%	90%	94%	90%	91%	90%	90%	
Percentage of Complaints referred from the Hotline that are evaluated and closed to a final disposition or converted to an investigation within 180 calendar days of receipt by the investigating field office.	OI	80%	96%	80%	90%	80%	87%	80%	52%	80%	74%	80%	95%	80%	80%	

Strategic Objective 1.2 - continued

FY 2023 Performance Indicators	Responsible Component	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 2023 Results	FY 2024 Targets	FY 2025 Targets	Notes
Percentage of audits completed within 12 months of initiation (entrance conference).	OA	New FY 2020 Measure	New FY 2020 Measure	New FY 2020 Measure	70%	86%	75%	75%	78%	80%	54%	80%	52%	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%	92%	90%	100%	90%	89%	90%	99%	90%	99%	90%	100%	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%	92%	90%	95%	90%	83%	90%	100%	90%	97%	90	98%	90%	90%	Previous FYs measurement stated "35 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.

Strategic Objective 1.2 - continued

FY 2023 Performance Indicators	Responsible Component	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 2023 Results	FY 2024 Targets	FY 2025 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	60%	0%	70%	70%	70%	80%	70%	90%	70%	70%	
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	575	1560	575	1365	533	533	
Investigations involving Whistleblower retaliation by a contractor or grantee are completed within the 180 calendar days or 360 calendar 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	85%	57%	85%	75%	85%	85%	
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 calendar 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	80%	100%	80%	80%	

Strategic Objective 1.2 - continued

FY 2023 Performance Indicators	Responsible Component	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 2023 Results	FY 2024 Targets	FY 2025 Targets	Notes
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	1	1	N/A	N/A	1	1	N/A	1	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	60%	75%	N/A	N/A	60%	100%	N/A	N/A	60%	100%	N/A	N/A	60%	60%	
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	90%	75%	80%	96%	80%	96%	90%	96%	90%	100%	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.
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	60%	92%	70%	92%	75%	90%	75%	94%	75%	75%	Previous measurement stated "... or within agreed upon timelines..."; as such, prior results are not directly comparable.
Percentage of draft audit reports approved by the Assistant Inspector General within 90 calendar days following audit field work.	OA	75%	76%	75%	78%	75%	87%	80%	83%	85%	96%	85%	61%	85%	85%	

Strategic Objective 1.3

FY 2023 Performance Indicators	Responsible Component	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 2023 Results	FY 2024 Targets	FY 2025 Targets	Notes
Percentage of discretionary audits designed to address significant risks impacting DOL's Top Management Challenges or OIG's Significant Concerns.	OA	75%	90%	85%	90%	85%	89%	85%	90%	90%	100%	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	50%	87%	65%	81%	75%	86%	75%	96%	80%	95%	80%	94%	80%	80%	
Percentage of new investigative cases that are considered Tier 1.	OSI	75%	87%	75%	94%	85%	95%	90%	100%	95%	100%	95%	100%	95%	95%	

Strategic Objective 1.4

FY 2023 Performance Indicators	Responsible Component	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 2023 Results	FY 2024 Targets	FY 2025 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	90%	100%	95%	100%	95%	100%	95%	100%	95%	100%	95%	95%	
Percentage of relevant audit reports provided to cognizant Congressional committees within two business days, and made available to the public within three business days after receiving final, approved versions.	OCPR	New FY 2024 Measure	New FY 2024 Measure	New FY 2024 Measure	New FY 2024 Measure	New FY 2024 Measure	New FY 2024 Measure	New FY 2024 Measure	New FY 2024 Measure	New FY 2024 Measure	New FY 2024 Measure	New FY 2024 Measure	New FY 2024 Measure	95%	95%	



Strategic Objective 1.5

FY 2023 Performance Indicators	Responsible Component	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 2023 Results	FY 2024 Targets	FY 2025 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	12	15	12	13	12	34	12	12	Previous FYs 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	258	685	258	849	282	282	

## GOAL 1 PERFORMANCE IMPROVEMENT PLAN

Table 10: Performance Improvement Plan for Goal 1 KPIs Not Met

Strategic Objective	FY 2023 Performance Indicators	Responsible Component	FY 2023 Targets	FY 2023 Results	Performance Improvement Plan
1.2	Percentage of audits completed within 12 months of initiation (entrance conference).	OA	85%	52%	<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.</p> <p>Re-evaluate scope of audit work we plan to execute and ensure our portfolio of audits can accomplish our audit timeliness objectives with the mix of audits to be completed within 12 months.</p> <p>Recommend to follow new escalation policy when thresholds or deadlines are exceeded by DOL Agencies.</p> <p>Take advantage of group editing of reports.</p> <p>OA hosts lessons learned to prevent duplication of previously made mistakes and discuss new ideas and approaches.</p> <p>Improve contract pre-award evaluation, specify contract terms, deliverables and improve selection.</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%	75%	<p>Continue to work the investigations and also work with/through OLS (who is understaffed) to get these investigations and the required reviews completed and referred within the timeframes.</p>
1.2	Percentage of draft audit reports approved by the Assistant Inspector General within 90 calendar days following audit field work.	OA	80%	61%	<p>Enhance controls to ensure our timeliness metrics can be met.</p>

## **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 the OIG’s principles of organizational development focused on activities impactful to OIG staff, stakeholders, and taxpayers.

### **GOAL 2 STRATEGIC OBJECTIVES**

**Table 11: 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**

- Provided quarterly professional employee and supervisor training on topics that focused on leadership, communication, and engagement.
- Achieved unprecedented levels of participation in Federal Employee Viewpoint Survey which showed that the OIG is above government wide results for all indexes.
- Conducted a structured and externally facilitated OIG Leadership Conference, and conducted the Office of Audit (OA) Continuing Professional Education Conference, Office of Investigations (OI) New Agent training, and an OIG Executive offsite.
- Established the OIG’s inaugural Diversity, Equity, Inclusion, and Accessibility Advisory Committee (DEIA-AC). The DEIA-AC's mission is to improve DEIA outcomes throughout the agency through a coordinated and integrated approach. This committee provides guidance, advice, and support in our endeavor to foster an inclusive workplace – an environment where every voice is heard and valued.

## GOAL 2 PERFORMANCE RESULTS



Table 12: Performance Results for Goal 2

Strategic Objective 2.1

FY 2023 Performance Indicators	Responsible Component	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 2023 Results	FY 2024 Targets	FY 2025 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	90%	100%	90%	100%	90%	90%	
Conduct 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	90%	0%	90%	100%	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	90%	100%	90%	100%	90%	90%	

Strategic Objective 2.1 - continued

FY 2023 Performance Indicators	Responsible Component	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 2023 Results	FY 2024 Targets	FY 2025 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	90%	100%	90%	100%	90%	90%	
Percentage of reasonable accommodation request acknowledgements provided to requestor within 48 hours.	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	100%	100%	100%	100%	100%	100%	
Percentage of reasonable accommodation request decision memos issued within 60 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	100%	100%	100%	100%	100%	100%	
Conduct a minimum of 2 EEO/DEIA trainings for managers and supervisors and 2 EEO/DEIA 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	4	6	4	4	



Strategic Objective 2.2

FY 2023 Performance Indicators	Responsible Component	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 2023 Results	FY 2024 Targets	FY 2025 Targets	Notes
Percentage of both employees and supervisors participating in the OIG mentoring program.	OIG	15%	6%	15%	20%	8%	33%	15%	22%	15%	16%	15%	20%	20%	20%	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	95%	100%	95%	96%	95%	92%	95%	100%	95%	100%	95%	98%	95%	95%	
Make hiring selections or non-selections on General Schedule certificates within 30 calendar 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	30	28	30	30	

Strategic Objective 2.3

FY 2023 Performance Indicators	Responsible Component	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 2023 Results	FY 2024 Targets	FY 2025 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	90%	100%	95%	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	8	12	10	10	10	10	
Achieve an average time to hire of 180 calendar 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	180	171	180	180	
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	2	3	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 2023 Performance Indicators	Responsible Component	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 2023 Results	FY 2024 Targets	FY 2025 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	75%	82%	75%	93%	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	75%	100%	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	80%	99%	80%	81%	N/A	N/A	80%	86%	N/A	N/A	80%	84%	N/A	80%	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 2023 Performance Indicators	Responsible Component	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 2023 Results	FY 2024 Targets	FY 2025 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	75%	78%	75%	83%	75%	99%	75%	100%	80%	95%	80%	80%	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	95%	100%	95%	99%	95%	99%	95%	100%	95%	100%	95%	99%	95%	95%	

## **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, provided decision support analysis, including organizational and Component-level productivity dashboards, 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.
- Developed and implemented a variety of performance dashboards to assist with monitoring projects.
- Launched the Training and Workforce Development shared mailbox. This mailbox serves as the primary communications tool for general training and workforce development inquiries, requests for assistance, upcoming training offerings, and mandatory course due dates.
- Conducted OIG-wide administrative training including Marking Documents Containing Controlled Unclassified Information, Records Management for OIG-Employees, and Review of U.S. Office of Government Ethics (OGE) Form 450 Financial Disclosure Forms for Supervisors and Managers.



## GOAL 3 PERFORMANCE RESULTS



Table 14: Performance Results for Goal 3

Strategic Objective 3.1

FY 2023 Performance Indicators	Responsible Component	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 2023 Results	FY 2024 Targets	FY 2025 Targets	Notes
Percentage of audit projects that do not exceed planned hours.	OA	80%	81%	80%	77%	80%	81%	80%	86%	80%	100%	80%	93%	80%	80%	
Percentage of employee hours charged to investigative activities compared to administrative time.	OI	90%	95%	90%	95%	90%	95%	90%	96%	90%	95%	90%	96%	90%	90%	
Percentage of employee hours charged to investigative activities compared to administrative time.	OSI	75%	82%	75%	94%	80%	88%	85%	94%	88%	96%	88%	95%	88%	88%	

Strategic Objective 3.1 - continued

FY 2023 Performance Indicators	Responsible Component	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 2023 Results	FY 2024 Targets	FY 2025 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	30%	72%	40%	74%	30%	68%	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	70%	74%	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 2023 Performance Indicators	Responsible Component	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 2023 Results	FY 2024 Targets	FY 2025 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	1	8	1	1	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	4	4	4	4	

Strategic Objective 3.3

FY 2023 Performance Indicators	Responsible Component	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 2023 Results	FY 2024 Targets	FY 2025 Targets	Notes
Percentage of audit projects that leverage data analytics to maximize the impact of the audit.	OA	25%	36%	40%	48%	50%	50%	60%	66%	65%	80%	65%	80%	65%	65%	
Percentage of investigative requests for digital evidence acquisitions are completed, (processed and available for examination by requesting party) within 30 calendar days of the forensic acquisition.	OI	85%	86%	85%	87%	85%	91%	85%	94%	85%	93%	85%	96%	85%	85%	Previous FY's measurement stated "forensic acquisitions..." 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	85%	100%	85%	100%	85%	100%	90%	99%	95%	98%	95%	99%	95%	95%	

Strategic Objective 3.3 - continued

FY 2023 Performance Indicators	Responsible Component	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 2023 Results	FY 2024 Targets	FY 2025 Targets	Notes
Percentage of investigative requests for investigative data analytics are completed (provided to requesting party) within 25 calendar days of the service request.	OI	New FY 2020 Measure	New FY 2020 Measure	New FY 2020 Measure	New FY 2020 Measure	85%	89%	85%	92%	85%	88%	85%	92%	85%	85%	
Percentage of investigative requests for digital media analysis are completed (available to the requesting party) within 60 calendar days of the service request.	OI	New FY 2024 Measure	New FY 2024 Measure	New FY 2024 Measure	New FY 2024 Measure	New FY 2024 Measure	New FY 2024 Measure	New FY 2024 Measure	New FY 2024 Measure	New FY 2024 Measure	New FY 2024 Measure	New FY 2024 Measure	New FY 2024 Measure	85%	85%	
Percentage availability during business hours of internal IT network resources such as applications, networks, email, e-OIG, remote access and servers.	OMAP	90%	99%	90%	99%	94%	99%	94%	100%	94%	100%	94%	99%	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 2023 Performance Indicators	Responsible Component	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 2023 Results	FY 2024 Targets	FY 2025 Targets	Notes
Conduct quarterly executive budget and hiring review sessions 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	4	4	4	4	
Ensure component spend plans are finalized 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	100%	100%	100%	100%	
Percentage of audit projects that do not exceed planned travel costs.	OA	80%	86%	80%	100%	80%	97%	90%	100%	90%	100%	N/A	N/A	90%	90%	Suspended for FY 2023. Reinstated for FY 2024.

## 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>37</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 our automated ERM system and associated processes introduced in FY 2022, we matured to “managed” (Level 4) maturity, improved mission delivery, reduced costs, and focused corrective actions towards key risks.<sup>38</sup> We remained “managed” in FY 2023.

<sup>37</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>38</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>Activity and Project Reports</b>	<p>The Office of Audit (OA) uses a project inventory to monitor project development and timelines and a dashboard to provide OA staff the status of all ongoing projects.</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 regular 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 Director 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 bi-weekly, monthly, and quarterly 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 2023 QUARTERLY PERFORMANCE REVIEW SUMMARY

The OIG measured each KPI on a cumulative 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 2023, 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 2024 and 2025. 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 2023 with 73 percent of KPI cumulative quarterly targets met at the end of the first quarter to closing FY 2023 (cumulative 4 quarters) with 81 percent of KPIs exceeding annual targets.

**Table 16: FY 2023 QPR Results Summary**

Cumulative Rating	Quarter 1	Quarter 2	Quarter 3	Quarter 4 (FY 2023)
Exceeded (4 <sup>th</sup> Quarter Only)	-	-	-	81%
Met—Green (Quarters 1 – 4)	73%	83%	87%	14%
In Process/On-Track—Yellow (Quarters 1 – 3)	6%	3%	3%	-
Not Met—Red (Quarters 1 – 4)	5%	5%	5%	5%
N/A <sup>39</sup> (Quarters 1 – 4)	16%	10%	5%	0%

<sup>39</sup> Some KPIs were N/A in FY 2023 for some quarters given pre-existing timeframes and normal lifecycles for related activities to occur. In addition, one biennial KPI and one temporarily suspended KPI were not measured in FY 2023, and we did not include them in the percentages in Table 16.

## CONCLUSION

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Despite facing significant resource constraints and other 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 moves forward from this disease.

In addition to our continued 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 2023 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>40</sup> The following tables present some of the laws and professional standards with provisions affecting the OIG's mission and work:

### 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>41</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>40</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>41</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>42</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 (ARPA 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>

## REGULATORY POLICIES

**Table 18: Regulatory Policies**

Regulatory Policies	Requirements
<b>OMB Circular No. A-123</b>	<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>

<sup>42</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 (cont'd)	Requirements (cont'd)
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	Requires Federal agencies to move to a fully electronic records environment, where appropriate.  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.
Special Deputation Agreement with the United States Department of Justice and the Federal Bureau of Investigation	Expands the OIG's the authority to investigate Organized Crime/Labor Racketeering and labor trafficking cases. <sup>43</sup>

## PROFESSIONAL STANDARDS

Table 19: Professional Standards

Professional Standards	Requirements
Attorney General Guidelines for OIGs with Statutory Law Enforcement Authority	Applies to qualifying personnel in those offices of presidentially appointed IGs with law enforcement powers received from the Attorney General under section 6(e) of the IG Act, as amended. Qualifying personnel include the IG, AIG of Investigations, and all special agents supervised by the AIG of Investigations, provided that those individuals otherwise meet the training and qualifications requirements contained in these Guidelines.  These mandatory guidelines do not limit OIGs from exercising any statutory law enforcement authority derived from a source other than section 6(e). These Guidelines may be revised by the Attorney General, as appropriate. These Guidelines may be supplemented by agency-specific agreements between an individual OIG and the Attorney General.
GAO, Government Auditing Standards ("Yellow Book") ("Generally Accepted Government Auditing Standards") <sup>44</sup>	Provides a framework for conducting high quality audits with competence, integrity, objectivity, and independence.  Provides uniform rules and standards for federal government audits.
GAO, Standards for Internal Control in the Federal Government ("Green Book")	Provides the standards for an effective internal control system for federal agencies.  Provides the overall framework for designing, implementing, and operating an effective internal control system.
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>43</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>44</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**

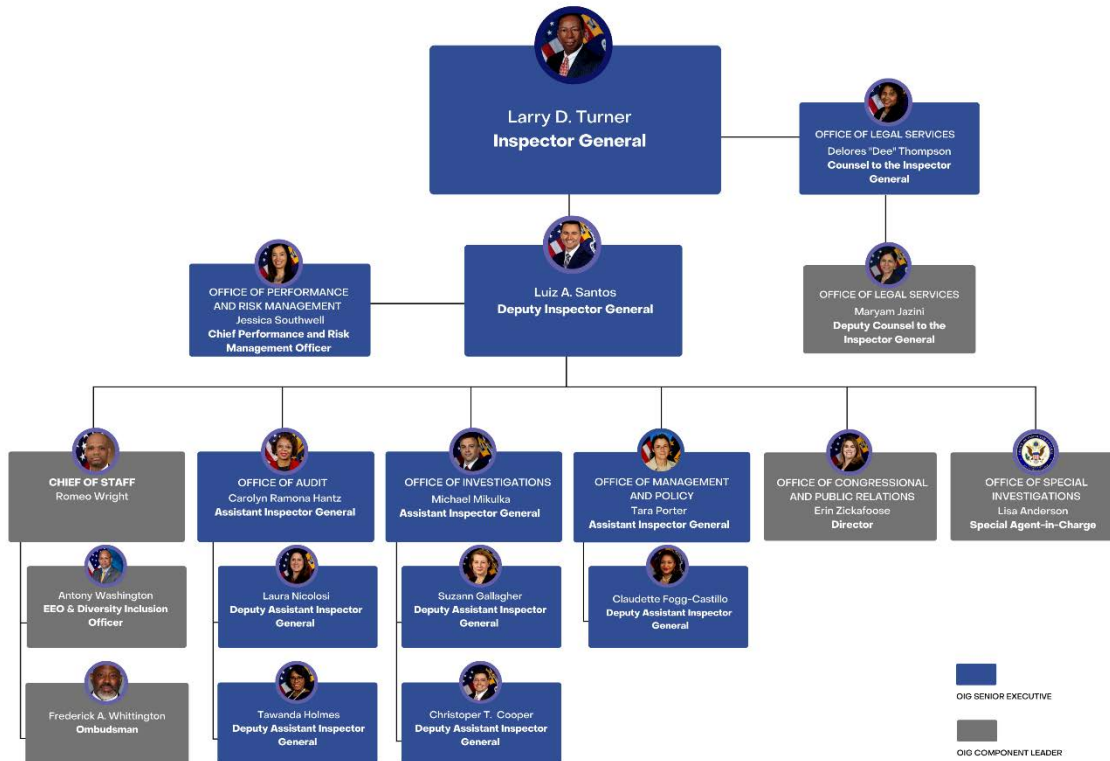
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# OIG ORGANIZATIONAL STRUCTURE

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 2018 THROUGH 2023 RETIRED MEASURES**

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## FYs 2018 THROUGH 2023 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 2018 - 2023 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.



Table 20: Performance Results for FYs 2018 through 2023 Retired KPIs

Strategic Objective 1.1														
Performance Indicators	Responsible Component	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 2023 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	70%	38%	Retired	Retired	Retired	Retired	
Percentage of audit recommendations accepted by DOL within 12-months of issuance of final audit report.	OA	90%	93%	90%	86%	90%	92%	90%	92%	90%	91%	Retired	Retired	
Percentage of audit recommendations implemented within 5 years.	OA	New FY 2019 Measure	New FY 2019 Measure	85%	75%	85%	89%	85%	84%	85%	89%	Retired	Retired	
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	70%	24%	Retired	Retired	
Percentage of formal Congressional requests acknowledged within 5 business days.	OCPD	90%	100%	90%	100%	95%	100%	95%	100%	95%	100%	95%	100%	



Strategic Objective 1.2

Performance Indicators	Responsible Component	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 2023 Results	Notes
Percentage of audits completed within 12 months of initiation, or as prescribed by OIG leadership.	OA	70%	68%	Retired	Retired	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	70%	48%	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	50%	73%	50%	82%	65%	71%	65%	82%	Retired	Retired	Retired	Retired	
Percentage of Tier 2 investigations completed (referred for prosecution / administrative / civil proceedings) within 12 months of case opening.	OI	60%	68%	60%	88%	65%	71%	65%	86%	Retired	Retired	Retired	Retired	
Number of internal policies, including Inspector General Directives that are updated to reflect current law, regulation, and operational mission requirements.	OCPD	1	1	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.	OI	4	4	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	

Strategic Objective 1.2 - continued

Performance Indicators	Responsible Component	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 2023 Results	Notes
Number of internal policies, including Inspector General Directives that are updated to reflect current law, regulation, and operational mission requirements.	OLS	2	4	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.	OMAP	10	28	Retired	Retired	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	90%	32%	Retired	Retired	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	70%	98%	Retired	Retired	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 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 2023 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	N/A	N/A	9/30/2019	4/4/2019	N/A	N/A	Retired	Retired	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	80%	100%	80%	94%	80%	83%	80%	95%	85%	97%	Retired	Retired	
Percentage of subpoena requests reviewed by OLS within 3 business days.	OLS	90%	97%	90%	73%	90%	94%	90%	90%	90%	86%	Retired	Retired	

Strategic Objective 1.3

Performance Indicators	Responsible Component	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 2023 Results	Notes
Adopt and build on the existing risk-based annual workplan development process within the TeamRisk module of TeamMate.	OA	8/31/2018	6/28/2018	Retired	Retired	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	70%	64%	80%	33%	Retired	Retired	

Strategic Objective 1.4

Performance Indicators	Responsible Component	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 2023 Results	Notes
Percentage of congressionally-mandated OIG reports, including the Semiannual Reports to Congress, provided to stakeholders within statutory or agreed upon timeframes.	OCPR	100%	100%	Retired	Retired	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.	OCPR	90%	100%	Retired	Retired	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 three business days after receiving final, approved versions.	OCPR	New FY 2019 Measure	New FY 2019 Measure	90%	100%	95%	100%	95%	100%	95%	100%	95%	100%	

Strategic Objective 1.5

Performance Indicators	Responsible Component	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 2023 Results	Notes
Number of meetings or focus groups with DOL or OIG community regarding areas of potential audit risks.	OA	32	82	Retired	Retired	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	12	12	19	12	13	Retired	Retired	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	702	370	691	450	771	450	628	Retired	Retired	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	80%	82%	80%	91%	85%	88%	85%	100%	Retired	Retired	

Strategic Objective 2.1

Performance Indicators	Responsible Component	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 2023 Results	Notes
Complete component-specific EVS action plan to increase employee engagement index scores.	OIG	2/28/2018	2/28/2018	2/28/2019	1/21/2019	12/27/2020	12/27/2020	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	100%	100%	Retired	Retired	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	N/A	N/A	Retired	Retired	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 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 2023 Results	Notes
Percentage of OIG training funds obligated.	OIG	90%	79%	Retired	Retired	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	85%	90%	85%	40%	85%	38%	Retired	Retired	

Strategic Objective 2.3

Performance Indicators	Responsible Component	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 2023 Results	Notes
Percentage of departing employees who complete exit interviews.	OMBUDSMAN	65%	52%	Retired	Retired	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	90%	100%	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	
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	80%	100%	Retired	Retired	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	80%	100%	Retired	Retired	Retired	Retired	Retired	Retired	



Strategic Objective 2.3 - continued

Performance Indicators	Responsible Component	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 2023 Results	Notes
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	75%	100%	Retired	Retired	Retired	Retired	
Percentage of Non-SES/SL vacancies filled within 90 days from posting date to selection.	OMAP	90%	95%	90%	100%	90%	100%	90%	68%	90%	24%	Retired	Retired	
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	90%	100%	90%	100%	90%	100%	Retired	Retired	
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	75%	100%	75%	100%	75%	100%	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.

Strategic Objective 3.1

Performance Indicators	Responsible Component	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 2023 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	30%	50%	Retired	Retired	Retired	Retired	
Percentage of employee hours charged to audit activities compared to administrative time.	OA	75%	79%	75%	77%	75%	75%	75%	72%	70%	75%	Retired	Retired	

Strategic Objective 3.2

Performance Indicators	Responsible Component	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 2023 Results	Notes
Develop action plans to mitigate highest organizational risks as identified in OIG's Enterprise Risk Management process.	OA	9/30/2018	Apr 2018	Retired	Retired	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	9/30/2018	9/30/2018	Retired	Retired	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	100%	100%	100%	100%	Retired	Retired	

Strategic Objective 3.2 - continued

Performance Indicators	Responsible Component	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 2023 Results	Notes
Develop action plans to mitigate highest organizational risks as identified in OIG's Enterprise Risk Management process.	OI	9/30/2018	9/30/2018	Retired	Retired	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	9/30/2018	9/30/2018	Retired	Retired	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	9/30/2018	9/19/2018	Retired	Retired	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	9/30/2018	9/30/2018	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	

Strategic Objective 3.2

Performance Indicators	Responsible Component	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 2023 Results	Notes
Percentage of ERM mitigation plan activities completed (Tier 1).	OIG	New FY 2019 Measure	New FY 2019 Measure	70%	90%	Retired	Retired	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	70%	81%	Retired	Retired	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	9/30/2018	7/26/2018	9/30/2019	7/9/2019	9/30/2020	7/1/2020	Retired	Retired	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	100%	100%	Retired	Retired	Retired	Retired	

Strategic Objective 3.3

Performance Indicators	Responsible Component	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 2023 Results	Notes
Percentage of investigative requests for investigative data analytics are completed (provided to requesting party) within 30 days of the service request.	OI	85%	95%	85%	91%	Retired	Retired	Retired	Retired	Retired	Retired	Retired	Retired	OIG refined this KPI to ...“25 days” in FY 2020.”
Percentage of investigative requests for digital media extractions are completed (available to requesting party) within 60 days of the service request.	OI	85%	89%	85%	91%	85%	89%	85%	92%	85%	91%	85%	94%	Previous FYs measurement stated “forensic examinations...” and this refinement did not affect prior FY performance results.
Percentage of requests for reports of digital media analysis are completed (available to requesting party) within 45 days.	OI	<b>New FY 2019 Measure</b>	<b>New FY 2019 Measure</b>	85%	96%	85%	86%	85%	94%	85%	91%	85%	94%	

Strategic Objective 3.4

Performance Indicators	Responsible Component	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 2023 Results	Notes
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	100%	N/A	100%	N/A	Retired	Retired	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%	Retired	Retired	
OIG Financial resource utilization rate in accordance with detailed budget allocation.	OMAP	95%	100%	95%	99%	97%	100%	97%	99%	97%	100%	Retired	Retired	

## **APPENDIX D – FY 2023 PANDEMIC-RELATED OVERSIGHT REPORTS ISSUED BY DOL-OIG**

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## DOL-OIG ISSUED 16 PANDEMIC-RELATED OVERSIGHT REPORTS IN FY 2023

A key role of OIGs is to provide oversight of Federal Government funds and programming and to issue corresponding oversight reports.<sup>45</sup>

**Table 21: DOL-OIG Pandemic-Related Oversight Reports**

Oversight Report	Issue Date
Report No. 19-23-001-10-105, <i>COVID-19: OSHA's Enforcement Activities Did Not Sufficiently Protect Workers From Pandemic Health Hazards</i>	October 31, 2022
Report No. 19-23-002-04-001, <i>Insights on Telehealth Use and Program Integrity Risks in DOL Workers' Compensation Programs During the Pandemic</i>	December 13, 2022
Report No. 19-23-003-03-315, <i>The Greatest Theft of American Tax Dollars: Unchecked Unemployment Fraud</i>	February 8, 2023
Report No. 19-23-004-03-315, <i>Waste, Fraud, and Abuse Go Viral: Inspectors General on Curing the Disease</i>	March 9, 2023
Report No. 19-23-005-03-315, <i>Alert Memorandum: ETA and States Need to Ensure the Use of Identity Verification Service Contractors Results in Equitable Access to UI Benefits and Secure Biometric Data</i>	March 31, 2023
Report No. 19-23-007-03-315, <i>Tracking the Department of Labor's Unemployment Insurance Response to Local Communities During the Pandemic</i>	July 10, 2023
Report No. 19-23-006-03-315, <i>ETA Did Not Provide Adequate Oversight of Emergency Administrative Grants</i>	July 27, 2023
Report No. 19-23-009-10-105, <i>COVID-19: OSHA Needs To Strengthen Its Process for Awarding Future Emergency Supplemental Funds to State Plans</i>	August 30, 2023
Report No. 19-23-008-03-315, <i>COVID-19 - Audit of State Workforce Agencies' Information Technology Systems Capability in Processing Unemployment Insurance Claims</i>	September 19, 2023
Report No. 19-23-010-03-315, <i>COVID-19: Unemployment Relief For Governmental Entities And Nonprofit Organizations Should Have Been Better Managed</i>	September 21, 2023
Report No. 19-23-011-03-315, <i>COVID-19 - ETA Can Improve its Oversight to Ensure Integrity over CARES Act UI Programs</i>	September 22, 2023
Report No. 19-23-012-03-315, <i>Alert Memorandum: ETA Needs to Incorporate Data Analytics Capability to Improve Oversight of the Unemployment Insurance Program</i>	September 25, 2023
Report No. 19-23-014-03-315, <i>COVID-19: Pandemic Unemployment Assistance For Non-Traditional Claimants Weakened By Billions In Overpayments, Including Fraud</i>	September 27, 2023
Report No. 19-23-013-10-105, <i>OSHA Needs to Do More to Address High Injury Rates of Warehouse Workers</i>	September 27, 2023
Report No. 19-23-016-03-391, <i>COVID-19: The Employment and Training Administration Needs to Improve Oversight of Grants Awarded in New Jersey</i>	September 28, 2023
Report No. 19-23-015-03-315, <i>COVID-19: ETA Needs a Plan to Reconcile and Return to the U.S. Treasury Nearly \$5 Billion Unused by States for a Temporary Unemployment Insurance Program</i>	September 28, 2023

<sup>45</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).

## DOL-OIG ISSUED 3 ADDITIONAL REPORTS WITH SIGNIFICANT PANDEMIC-RELATED IMPACT

The OIG issued 3 additional reports that are not directly pandemic-related oversight reports, but contained significant pandemic-related impact in FY 2023.

**Table 22: Other DOL-OIG Reports with Significant Pandemic-Related Impact**

Reports with Significant Pandemic-Related Impact	Issue Date	Impact
Report No. 22-23-002-13-001, <i>FY 2022 Independent Auditor's Report on the DOL Financial Statements</i> . <sup>46</sup>	December 13, 2022	DOL-OIG issued DOL a qualified opinion on its consolidated financial statements and reported a material weakness related to pandemic-related UI funding. <sup>47</sup>
Report No. 22-23-006-13-001, <i>The U.S. Department of Labor Did Not Meet the Requirements for Compliance with the Payment Integrity Information Act for FY 2022</i> . <sup>48</sup>	June 9, 2023	DOL-OIG reported that for FY 2022, DOL did not meet all the requirements for compliance with the Payment Integrity Information Act of 2019 (PIIA) for the UI program and the Pandemic Unemployment Assistance (PUA) program.
Report No. 24-23-003-50-598, <i>Quality Control Review: Single Audit of South Carolina Department of Employment and Workforce for the Year Ended June 30, 2021</i> . <sup>49</sup>	September 26, 2023	DOL-OIG reported on deficiencies in the single audit performed by Scott and Company, LLC ("the Firm"). We found deficiencies in the Firm's planning and testing of UI, reporting on the lack of internal controls in the PUA program, and reporting the federal expenditures.

<sup>46</sup> Report No. 22-23-002-13-001, *FY 2022 Independent Auditor's Report on the DOL Financial Statements*, (December 13, 2022) found at <https://www.oig.dol.gov/public/reports/oa/2023/22-23-002-13-001.pdf>.

<sup>47</sup> A material weakness is a deficiency, or a combination of deficiencies, in internal control, such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented, or detected and corrected, on a timely basis.

<sup>48</sup> Report No. 22-23-006-13-001, *The U.S. Department of Labor Did Not Meet the Requirements for Compliance with the Payment Integrity Information Act for FY 2022*, (June 9, 2023) found at <https://www.oig.dol.gov/public/reports/oa/2023/22-23-006-13-001.pdf>.

<sup>49</sup> Report No. 24-23-003-50-598, *Quality Control Review Single Audit of South Carolina Department of Employment and Workforce for the Year Ended June 30, 2021*, (September 26, 2023) found at <https://www.oig.dol.gov/public/reports/oa/2023/24-23-003-50-598.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