

PMA

The President's Management Agenda

This section outlines the five overarching criteria of the PMA and two additional initiatives that help strengthen and improve the management of the Department of Justice. The following provides detailed information regarding the status of each goal and initiative and highlights the progress the Department has made in implementing the PMA throughout FY 2006 against each of the criteria items. Overall, the Department has made significant progress in supporting the strategies outlined in the PMA.

PMA 1. Strategic Management of Human Capital

Overall Status as of 9/30/06: Green

President Bush's Management Agenda seeks to flatten the federal hierarchy and make government more citizen-centered by reducing the number of layers within government. Through workforce planning, agencies can redistribute higher-level positions to aid timely decision-making and more effectively interact with citizens. The Department's main initiatives under the umbrella of strategic management of human capital include: streamlining, eliminating and/or consolidating duplicative functions and focusing resources on front-line positions, and strengthening hiring, training and diversity policies throughout the Department.

Criteria	FY 2006 Progress
<ul style="list-style-type: none"> Implemented a comprehensive Human Capital Plan, that is fully integrated with the agency's overall strategic plan, analyzes the results relative to the plan, and uses them in decision making processes to drive continuous improvement; 	<ul style="list-style-type: none"> In September 2006, DOJ component Human Resource leadership participated in a one-day meeting to develop a framework for the new <i>2007-2010 Department of Justice Human Capital Strategic Plan</i>. Meeting participants identified key human capital critical success factors and related issues and challenges. Data collected from this meeting is being analyzed and transposed into a draft Human Capital Strategic Plan, which will contain short and long-term human capital goals and objectives. The resulting plan will reflect the human resources community strategies in support of the DOJ mission.
<ul style="list-style-type: none"> Analyzed existing organizational structures from service and cost perspectives and is implementing a plan to optimize them using redeployment, restructuring, competitive sourcing, and E-Gov solutions and delayering, as necessary; and has process(es) in place to address future changes in business needs; 	<ul style="list-style-type: none"> A Department-wide comprehensive assessment of FY 2006 organizational restructuring efforts revealed that the majority of DOJ components continue to implement activities that improve organizational efficiency through delayering, increasing span of control, and redeploying resources. Examples of DOJ component organizational restructuring efforts include: co-locating similar programs to reduce overlap and duplication; creating staffing models to measure workload and optimum workforce structure and allocations within budget and safety requirements; and conducting (or still in the process of conducting) A-76 competitions. The Department's components met to discuss these results and organizational restructuring best practices.
<ul style="list-style-type: none"> Succession strategies, including structured executive development programs, result in a leadership talent pool and agency meets its targets for closing leadership competency gaps; 	<ul style="list-style-type: none"> The Department's components continued to offer numerous training opportunities to strengthen competencies in leadership positions and mission-critical occupations. Training and other development programs are targeted to address specific skills and are evaluated to determine effectiveness. The Department's Justice Virtual University, an E-learning program, was piloted by five components. Issues and challenges identified through the pilot program have been assessed and will be addressed during the development of DOJ-wide Enterprise E-Learning Program.

Criteria	FY 2006 Progress
<ul style="list-style-type: none"> Demonstrates that it has fair, credible, and transparent performance appraisal plans and awards programs for all SES and managers, and more than 60% of the workforce, that adhere to merit system principles (efficient, effective, and compliant); hold supervisors accountable for the performance management of subordinates as reflected in their performance plans and ratings; include employee involvement and feedback; and result in employee ratings that differentiate between various levels of performance and employees getting higher cash awards and/or recognition that those they outperform. The agency is working to include all agency employees under such systems; 	<ul style="list-style-type: none"> Each federal agency was directed by the Office of Personnel Management (OPM) to select a test site (i.e., beta site) in which to apply OPM's Performance Appraisal Assessment Tool (PAAT) before implementation throughout the entire agency. In FY 2006, DOJ selected the Antitrust Division (ATR) as its test site. ATR completed its performance management cycle and will review findings and update its PAAT in FY 2007. DOJ recently selected the Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF) as its second test site. The Department awarded a contract to develop and implement E-Appraise, an automated SES performance management system. On April 11, 2006, the Department issued a new Awards Administration Policy. Prior to expending monies on performance awards, DOJ components prepared and submitted awards implementation plans for approval by the Department's HR Director to ensure consistency. The link between the Human Capital PMA scorecard and the Budget and Performance Integration scorecard for this criterion was eliminated during third quarter 2006.
<ul style="list-style-type: none"> Reduced under-representation, particularly in mission-critical occupations and leadership ranks; established processes to sustain diversity; 	<ul style="list-style-type: none"> The Department's components participated in internal meetings to discuss strategies and best practices to enhance diversity within the Department's workforce. DOJ bureaus and litigating divisions regularly attended conferences and career fairs targeted to under-represented groups and maintained or established agreements with minority serving institutions.
<ul style="list-style-type: none"> Meets targets for closing competency gaps in mission critical occupations, and integrates appropriate competitive sourcing and E-Gov solutions into gap closure strategy; 	<ul style="list-style-type: none"> From March to July 2006, the Department's Personnel Staff administered the 2006 DOJ Skill Gaps Survey to all DOJ managers and supervisors. The survey results will help the Department's components assess and track the occupational competencies needed for leadership positions in human resources, information technology, and mission-critical occupations. Survey results for all DOJ components were shared during the 3rd and 4th Quarters of FY 2006. The Department's components reviewed results; compared results to the 2004 DOJ Skill Gaps Survey results; and have begun to develop strategies to meet competency targets for above referenced positions and occupations.
<ul style="list-style-type: none"> Is on track to meet its planned aggressive hiring timeline goals and hiring process improvements; 	<ul style="list-style-type: none"> The Department is meeting the 45-day hiring decision for 63% of non-SES hires. The Department is also reviewed its hiring systems. Currently, applicants are notified via an automated process or manually. For those DOJ components currently utilizing automation without the ability to electronically notify applicants, DOJ will examine the possibility of adding automated notification capabilities within these hiring systems.
<ul style="list-style-type: none"> Periodically conducts accountability reviews with OPM participation, taking corrective action based on findings, results, and providing annual reporting to agency leadership and OPM for review and approval. 	<ul style="list-style-type: none"> In accordance with the 2002 Chief Human Capital Act, DOJ developed a <i>Human Capital Accountability Interim Policy and Plan</i>. The Policy and Plan establishes a clear methodology and multi-year schedule to conduct comprehensive reviews of all DOJ HR functions. Periodically, DOJ will review and refine the Policy and Plan to ensure continual alignment with Department-wide human capital goals; changing DOJ mission; and lessons learned

PMA 2. Competitive Sourcing

Overall Status as of 9/30/06: Yellow

The President has proposed to increase competition for activities performed by the government as listed on agency FAIR Act inventories. DOJ will use competitive sourcing as a tool for getting departmental commercial-type work done efficiently, considering the full cost of in-house performance.

DOJ will strive to conduct accurate FAIR Act inventories that reflect closer scrutiny of functions performed within the Department to determine those that are commercial in nature. Additionally, as appropriate, the Department will conduct A-76 competitions to achieve economies and enhance productivity.

Criteria	FY 2006 Progress
<ul style="list-style-type: none"> Has an OMB approved "green" competition plan to compete commercial activities available for competition; 	<ul style="list-style-type: none"> The Department's Competitive Sourcing Council has developed a competition plan for FYs 2007 and 2008. This plan was submitted to OMB and includes 1 standard competition and 5 streamlined competitions with more than 10 FTE in each activity.
<ul style="list-style-type: none"> Publicly announces standard competitions in accordance with the schedule outlined in the agency "green" competition plan; 	<ul style="list-style-type: none"> No new standard competitions were announced in FY 2006. The Department's Justice Management Division standard competition of Information Technology functions has progressed on schedule to the "evaluation of offers" stage.
<ul style="list-style-type: none"> Since January 2001, has completed at least 10 competitions (no minimum number of positions required per competition) or has completed a sufficient number of large competitions to demonstrate meaningful use of competitive sourcing; 	<ul style="list-style-type: none"> The FBI, ATF, and BOP all completed streamlined competitions as scheduled. The Department has completed 2 standard competitions and 11 streamlined competitions.
<ul style="list-style-type: none"> In the past four fiscal quarters, completed 90% of all standard competitions in a 12-month timeframe or timeframe otherwise approved in accordance with the Circular; 	<ul style="list-style-type: none"> No standard competitions were scheduled for completion in FY 2006.
<ul style="list-style-type: none"> In the past four fiscal quarters, completed 95% of all streamlined competitions in a 90-day timeframe or timeframe otherwise approved in accordance with the Circular; 	<ul style="list-style-type: none"> In the past four quarters, all 3 streamlined competitions were completed within the time limits.
<ul style="list-style-type: none"> In the past year, canceled fewer than 10% of publicly announced standard and streamlined competitions; 	<ul style="list-style-type: none"> No competitions were cancelled.
<ul style="list-style-type: none"> Has OMB reviewed written justifications for categories of commercial activities determined to be unsuitable for competition; 	<ul style="list-style-type: none"> OMB has reviewed all justifications for activities designated as commercial "A" codes.
<ul style="list-style-type: none"> Structures competitions in a manner to encourage participation by both private and public sectors as typically demonstrated by receipt of multiple offers and/or by documented market research, as appropriate; 	<ul style="list-style-type: none"> The Department structures all competitions to allow for maximum participation by private and public sectors.
<ul style="list-style-type: none"> Regularly reviews work performed once competitive sourcing studies are implemented to determine if performance standards in contract or agreement with agency provider are met and takes corrective action when provided services are deficient. 	<ul style="list-style-type: none"> The Department's component managers monitor performance whether by contract or in-house performance.

PMA 3. Improved Financial Performance

Overall Status as of 9/30/06: Red

Timely and accurate financial reports, combined with key performance information, are critical to improving agency management, program performance, and overall cost effectiveness. It is vital for agencies to have reliable and functionally capable financial and associated performance systems that can provide that critical information. It is equally important that agencies operate with efficient business practices that are compliant with federal financial management and accounting standards. The Department continues to improve its systems and practices in order to provide management and the public with reliable and timely financial management information.

Criteria	FY 2006 Progress
<ul style="list-style-type: none"> Receives an unqualified audit opinion on its annual financial statements; 	<ul style="list-style-type: none"> The Department received an unqualified opinion on its FY 2006 consolidated financial statements. All ten of the Department's components that produce financial statements received unqualified opinions as well.
<ul style="list-style-type: none"> Meets financial statement reporting deadlines; 	<ul style="list-style-type: none"> The Department has met OMB's accelerated November 15th due date for Fiscal Years 2004, 2005, and 2006 consolidated financial statements. For FY 2006, the Department continued to emphasize the importance in meeting year-end requirements including key dates for the FY 2006 audit and critical deadlines for submission of financial data to the Department of the Treasury. Ensuring deadlines would be met required planning and coordination. The Department issued the annual Financial Statements Requirements and Preparation Guide to components, which included a detailed timeline of major events and interim milestones. Other factors included quarterly confirmations of intra-Departmental business activity and preparation of a draft Performance and Accountability Report that was circulated for comments on May 19, 2006.
<ul style="list-style-type: none"> Reports in its audited annual financial statements that its systems are in compliance with the Federal Financial Management Improvement Act (FFMIA); 	<ul style="list-style-type: none"> The Department continues to implement corrective action plans in order to achieve compliance with FFMIA. The implementation of a single accounting system will strengthen internal controls and facilitate decision-making. These efforts represent a singular opportunity to develop Departmentwide business practices and a federally compliant core financial system.
<ul style="list-style-type: none"> Has no chronic or significant Anti-Deficiency Act Violations; 	<ul style="list-style-type: none"> The Department has no Anti-Deficiency Act violations of any kind, nor are any foreseen. Through careful oversight by Departmental management, funds continued to be obligated and disbursed in compliance with appropriations law.
<ul style="list-style-type: none"> Has no material auditor-reported internal control weaknesses; 	<ul style="list-style-type: none"> The Department has corrective action plans in place to remediate internal control weaknesses, which include milestones for tracking and measuring timely compliance and resolution.
<ul style="list-style-type: none"> Has no material non-compliance with laws or regulations; 	<ul style="list-style-type: none"> The Department expects to eliminate all material non-compliances with laws and regulations. The Department has no programs that are susceptible to improper payments exceeding both 2.5 percent of program payments and \$10 million. The Department continues to recognize the importance of maintaining adequate internal controls to ensure proper payments, and its commitment to continuous improvement in the overall disbursement management

Criteria	FY 2006 Progress
	<p>process remains very strong. During FY 2006, Prompt Payment training was provided to individuals involved in the payment process.</p>
<ul style="list-style-type: none"> Has no material weaknesses or non-conformances reported under Section 2 and Section 4 of the Federal Managers' Financial Integrity Act that impact the agency's internal control over financial reporting or financial systems; 	<ul style="list-style-type: none"> During FY 2006, the Department continued to perform rigorous oversight and ensured that targeted corrective action plans are in place to further improve the Department's accounting and financial reporting procedures and general controls over information systems supporting financial processes. In addition, the Department continued to make progress and remains resolute in its goal to timely implement a single integrated financial management system across all Departmental components.
<ul style="list-style-type: none"> Is implementing a single accounting system agency-wide; 	<ul style="list-style-type: none"> Progress in FY 2006 regarding the Department's implementation of its Unified Financial Management System included: awarding an Integration and Implementation Services contract to support system deployment (work commenced on project familiarization, analyses of existing business processes, and development of appropriate system implementation plans); awarding an Independent Verification and Validation Services contract; completion of Foundation Build v1.0 Findings and Recommendations; awarding planning task orders for the first two components in the Department's phased-in implementation schedule and planning activities have commenced; and business transformation activities in the areas of Business Process Reengineering and Organizational Change Management.
<ul style="list-style-type: none"> Currently produces accurate and timely financial information that is used by management to inform decision-making and drive results in key areas of operations; 	<ul style="list-style-type: none"> The Department continues to produce and enhance its reporting methodology on certain key information. This key information supports sound decision-making and drives results in key areas of operation. The Department's components are required to perform periodic self assessments in an effort to meet management goals and drive results.
<ul style="list-style-type: none"> Is implementing a plan to continuously expand the scope of its routine data use to inform management decision-making in additional areas of operations. 	<ul style="list-style-type: none"> The Department continues to refine its financial reports, training materials on systems operations, and financial processes to inform management decision-making and enhance current business practices. In addition, the Department facilitates the use of ad-hoc reporting capabilities for its routine data to monitor and track performance. This also assists components in meeting the standard for producing accurate and timely information, as well as utilizing the information in decision-making.

PMA 4. Expanding E-government

Overall Status as of 9/30/06: Yellow

Focusing the application of Information Technology (IT) on improving agency mission performance, enhancing information security, maintaining privacy, reducing duplications and coordinating efforts with other agencies in an integrated manner is vital to the success of this agenda item. The Department of Justice's Office of the Chief Information Officer (OCIO) has made significant progress in implementing the DOJ IT Strategic Plan. Additionally, savings achieved through e-Government solutions will allow the Attorney General to achieve the reallocation of resource in support of anti-terrorism activities.

Criteria	FY 2006 Progress
<ul style="list-style-type: none"> Has an Enterprise Architecture linked to the Federal Enterprise Architecture (FEA) with a score of "3" in both the "Completion" and "Use" sections OR at least "3" in the "Results section. 	<ul style="list-style-type: none"> Achieved "green" on the OMB's 2.0 Assessment Framework in FY 2006 with a score of "3.3" in Completion, "3.6" in Use, and "2.3" in Results.
<ul style="list-style-type: none"> Has acceptable business cases for all major systems investments; 	<ul style="list-style-type: none"> Submitted the Department's FY 2008 business cases to OMB in September 2006. An OMB response concerning the acceptability of the business cases is expected during the first quarter of FY 2007.
<ul style="list-style-type: none"> Has demonstrated appropriate planning, execution, and management of major IT investments using Earned Value Management (EVM) or operational analysis, and has portfolio performance within 10% of cost, schedule, and performance goals; 	<ul style="list-style-type: none"> Completed validations on 12 major DOJ IT projects/programs verifying compliance of IT projects/programs with the ANSI/EIA-748 standard on EVM. In FY 2006, the DOJ IT portfolio demonstrated performance within 10% of cost, schedule, and performance goals for those IT projects/programs that have been validated for compliance with the ANSI/EIA-748 standard on EVM.
<ul style="list-style-type: none"> Inspector General verifies the effectiveness of the Department-wide IT Security Remediation Process and rates the agency certification and accreditation process as "Satisfactory" or better; 	<ul style="list-style-type: none"> In the Department's FY 2006 Federal Information Security Management Act (FISMA) Report, the Inspector General (IG) found that the Department has a "good" certification and accreditation process that includes adherence to Federal Information Processing Standards (FIPS) and National Institute of Standards Technology (NIST) standards. The IG's assessment reflects the opinion of experienced auditors who have performed IT security control reviews throughout the government and private sector.
<ul style="list-style-type: none"> Has 90% of all IT systems properly secured (certified, and accredited); 	<ul style="list-style-type: none"> As reported in the Department's FY 2006 FISMA Report, the Department Chief Information Officer has ensured 100% of all Department systems are certified and accredited. Known IT security weaknesses associated with IT systems are tracked and managed through plans of actions and milestones to ensure weaknesses are addressed in a timely manner and receive appropriate resources.
<ul style="list-style-type: none"> Has implemented all of the appropriate E-Gov/Lines of Business/SmartBuy initiatives and has transitioned and/or shut down investments duplicating these initiatives in accordance with the OMB-approved implementation plan. 	<ul style="list-style-type: none"> The Department continues to implement E-Gov/Lines of Business/SmartBUY initiatives in accordance with the approved E-Gov plan submitted to OMB during the fourth quarter of FY 2006.

PMA 5. Budget and Performance Integration

Overall Status as of 9/30/06: Green

Beginning with the FY 2004 budget submission, the Administration began formally integrating review of performance with budget decisions seeking to improve the performance and management of the federal government. This initiative seeks to link program performance to budget decisions and improve tracking and management, it is expected that agencies will be able to identify effective outcome measures, monitor their progress, and accurately present the associated costs.

Criteria	FY 2006 Progress
<ul style="list-style-type: none"> Senior agency managers meet at least quarterly to examine reports that integrate financial and performance information that covers all major responsibilities of the Department. Agency achieves planned improvements in program performance and efficiency in achieving results; 	<ul style="list-style-type: none"> The Department continued its Department-wide Quarterly Status Reporting (QSR) that requires all components to provide financial and performance information. Component meetings took place on a quarterly basis with the Assistant Attorney General for Administration and members of the Deputy Attorney General's staff. The outcomes of all meetings were then shared with the Deputy Attorney General, via memorandum. The results of all quarterly reviews are used to guide Departmental decision making in a variety of programmatic areas and inform leadership when corrective actions may be necessary.
<ul style="list-style-type: none"> Strategic plans contain a limited number of outcome-oriented goals and objectives. Annual budget and performance documents incorporate measures identified in the PART and focus on the information used in the senior management report described in the first criterion; 	<ul style="list-style-type: none"> The Department's FY 2003-2008 Strategic Plan contains a four-goal structure that includes specific, long-term measurable outcome goals in key priority areas. In May 2006, the Department began drafting its FY 2007-2012 Strategic Plan. A full review of the existing long-term measurable outcome goals was conducted and the new Plan will include an updated list of goals with targets to FY 2012. Additionally, the Department's budget submissions, as well as QSR documents, include all performance measures identified as a result of the PART process.
<ul style="list-style-type: none"> Demonstrates that it has fair, credible, and transparent performance appraisal plans and awards programs for all SES and managers, and more than 60% of the workforce, that adhere to merit system principles (efficient, effective, and compliant); hold supervisors accountable for the performance management of subordinates as reflected in their performance plans and ratings; include employee involvement and feedback; and result in employee ratings that differentiate between various levels of performance and employees getting higher cash awards and/or recognition than those they outperform. The agency is working to include all agency employees under such systems; 	<ul style="list-style-type: none"> The link between the Human Capital PMA scorecard and the Budget and Performance Integration scorecard for this criterion was eliminated during third quarter 2006.
<ul style="list-style-type: none"> Reports the full cost of achieving performance goals accurately in budget and performance documents and can accurately estimate the marginal cost of changing performance goals; 	<ul style="list-style-type: none"> The Department continues to report the full and marginal cost of achieving performance goals within its annual budget and performance documents.
<ul style="list-style-type: none"> Has at least one efficiency measure for all PARTed programs; 	<ul style="list-style-type: none"> The Department has OMB-approved efficiency measures for 100% of its 35 programs assessed by the PART.
<ul style="list-style-type: none"> Uses PART evaluations to direct program improvements, and PART ratings and performance information are used consistently to justify funding requests, management actions, and legislative proposals. Less than 10% of the agency programs 	<ul style="list-style-type: none"> The Department uses the results of our PART reviews to improve our programs and aid in the refinement of long-term measurable outcome goals, where appropriate. In FY 2006, PART follow-up actions were discussed on a quarterly basis during QSR meetings with components

