

VIII

STRATEGIC GOAL EIGHT:

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

Although the Performance Plan's primary focus is on the programmatic goals related to carrying out the Department's mission, achieving these goals depends upon strong and effective management practices. This section addresses the departmental management priorities for the year ahead and displays associated resources for each strategic goal. Due to the fact that this is a companion document to Strategic Plan, Departmentwide priorities cut across all functional and organizational boundaries and address such fundamental issues as integrity and accountability, planning, evaluation, financial management, information technology and human resources. Many of the performance related measures coincide with the goals and objectives within the President's Management Agenda; therefore, when necessary, annual performance for the President's Management items appear in that section.

STRATEGIC OBJECTIVE & ANNUAL GOAL 8.1: INTEGRITY AND PROFESSIONALISM

Promote integrity and professionalism to ensure the fair and impartial administration of justice

Through the Office of the Inspector General (OIG) and the Office of Professional Responsibility (OPR), the Department will ensure that Department attorneys and law enforcement personnel meet the highest ethical standards, strengthen program accountability and performance and pursue allegations of fraud, waste, and abuse. These priorities are Department wide.

STRATEGIC OBJECTIVE & ANNUAL GOAL 8.2: FINANCIAL MANAGEMENT

Strengthen internal financial systems and promote the efficient and effective use of resources to ensure public trust and confidence

DOJ and its components continue substantive progress in resolving challenges in the areas of financial management and information technology management. As a part of this effort, departmental components will continue to enhance, implement, and maintain financial management systems that substantially comply with federal financial management system requirements, applicable federal accounting standards, and the U.S. Standard General Ledger at the transaction level. Components will continue to focus on ensuring that all financial systems meet federal standards, and that the weaknesses in accounting and reporting practices disclosed in the financial audits are addressed. The Department will also place emphasis on building stronger linkages among planning, budgeting, and resource allocation processes; establishing improved management and performance data systems; and evaluating and assessing priority programs and operations. In early FY 2004, installation of the new Unified Financial Management System will begin.

STRATEGIC OBJECTIVE & ANNUAL GOAL 8.3: GRANT MANAGEMENT

Develop and maintain grant management accountability mechanisms to ensure proper dispensation and monitoring of funds

The Office of Justice Programs (OJP) and the Office of Community Oriented Policing Services (COPS) are the primary grant-making components within the Department of Justice. Since the 1990's, the Department has experienced large increases in its grant funding due to the passage of the Violent Crime Control and Law Enforcement Act of 1994

(the Crime Act), the Violence Against Women Acts I & II, and other significant legislation. Comprehensive grant management and monitoring is essential to ensure the proper administration of programs and reduce the opportunity for fraud, waste and abuse of Departmental funds. During FY 2000, OJP began electronically certifying awards through the Grants Management System, consistent with Public Law 106-107, the federal Financial Assistance Management Improvement Act of 1999, to ease public access to Federal grant programs and reduce the flow of paper award packages. The Department will strengthen accountability mechanisms through the continued improvements to the automated Grants Management System and continue to ensure proper disbursement and monitoring of funds through audits, training, site visits, and technical assistance.

**STRATEGIC OBJECTIVE &
ANNUAL GOAL 8.4: INFORMATION
TECHNOLOGY**

Improve the integrity and security of computer systems and make more effective use of information technology

The Department has a strong commitment to the Administration's efforts to provide the public with efficient and secure electronic access to government services. Information technology (IT) is a catalyst that will transform the way departmental components perform business functions, interact with other government agencies, and deliver services to the public.

Currently, there are several initiatives underway in the Department to develop and extend e-government services and information. An excellent example is the Office of Justice Programs' (OJP) successful implementation of its electronic grant application and review processes called the Grants Management System. OJP expects to provide state, local, and tribal government agencies the ability to complete all of their transactions with OJP electronically (see Strategic Objective 8.3). Also, the Immigration and Naturalization Service (INS) is assessing all of its business processes and plans, over several

years, to automate a large number of transactions with its customers.

This ongoing commitment to electronic government while maintaining current IT capabilities, without significant growth in resources, places increased importance on capital investment, architecture, and security. Sound IT capital programming processes will help to ensure a clear focus on service and performance in terms of timely investment in new technologies and wise management of legacy systems. The developing enterprise architecture will complement capital programming with a business framework for IT technical infrastructure. Finally, strong commitment to security is necessary to protect information and infrastructure by thwarting computer intrusions, protecting individual privacy, and combating cybercrime.

**STRATEGIC OBJECTIVE &
ANNUAL GOAL 8.5: HUMAN RESOURCES**

Strengthen human resource recruitment, and retention and performance to ensure a workforce that is skilled, diverse and committed to excellence

Current assessment of recruitment and retention issues in the Department indicates that recent efforts to attract and retain qualified Border Patrol Agents have been successful.

As a result of initiatives implemented in FY 2000, the INS has been able to overcome difficulties in hiring Border Patrol Agents. Through the use of trained Border Patrol Agents, an advertising campaign, hiring bonuses, and reducing the length of the pre-employment process, INS attracted over 91,000 qualified applicants. INS anticipates opening the hiring register three times a year.

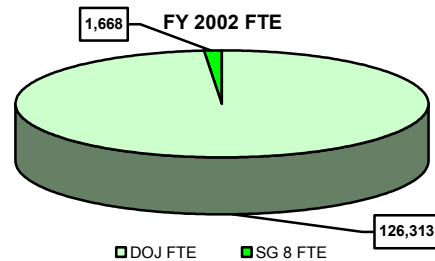
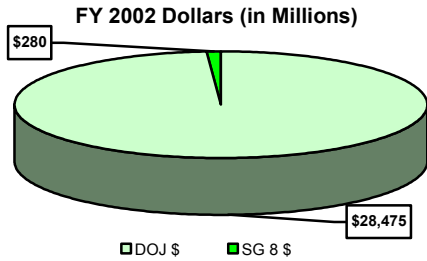
PERFORMANCE SUMMARY

Strategic Objective, Page #		Performance Measure/ Indicator	Was the Target Achieved			FY 2002 Performance		
			Yes	No	N/A	Target	Actual	Performance Improvement From FY 2001
8.1	208	Investigations Closed <ul style="list-style-type: none"> Actual Cases Closed Projected Cases Closed Closed Cases Substantiated 	■		■	N/A 600 N/A	614	
8.1	210	Investigations of Alleged Professional Misconduct by DOJ Attorneys <ul style="list-style-type: none"> Investigations Completed Professional Misconduct Found 		■	■	80 N/A	76 23	
8.2	212	% of Eligible Service Contract Dollars Using Performance Based Contracting	■			20%	24%	
8.2	213	DISCONTINUED MEASURE: % Contracts \$25,000+ Posted Online <ul style="list-style-type: none"> Synopses Solicitations 	■			100% 100%	100% 100%	
8.2	PMA	Conduct A-76 Program Competitions and Accurate FAIR Act Inventories						
8.2	PMA	Budget and Performance Integration						
8.3	215	# of Financial Reviews Conducted	■			990	1,020	
8.3	215	% of Grants Administered Through a Centralized Paperless System	■			80%	84%	
8.4	216	DOJ IT Investments Managed Through the Approved ITIM Processes	■			50%	89%	
8.4	217	% of Information Systems Certified and Accredited by the Component		■		90%	80%	Comprehensive review of DOJ's IT systems continues
8.4	218	MEASURE REFINED: % of Information System with a Tested Contingency Plan		■		40%	34%	
8.4	220	% of GPEA Information Collections Under the PRA Converted to Electronic Format		■		32%	21%	DOJ's continues to work to meet standards of OMB's fully electronic option
8.5	222	DISCONTINUED MEASURE: Border Patrol Agents On-Board		■		10,377	10,052	Creation of the TSA affected INS' ability to retain border patrol agents
8.5	PMA	Streamline Organizations within the Department						

RESOURCES

Appropriation		FY 2002 FTE	FY 2002 Actual \$ (millions)	FY 2003 FTE	FY 2003 Request \$ (millions)	FY 2004 FTE	FY 2004 Request \$ (millions)
8.1	General Administration	188	23	227	24	211	23
8.1	Independent Counsel	--	5	--	10	--	10
8.1	Office of Inspector General	384	50	444	59	448	62
8.1	Office of Pardon Attorney	15	2	15	2	15	2
<i>Subtotal 8.1</i>		587	\$80	686	\$95	674	\$97
8.2	General Administration	40	5	44	15	41	30
8.2	Working Capital Fund	210	--	227	--	227	--
<i>Subtotal 8.2</i>		250	\$5	271	\$15	268	\$30
8.3	<i>Resources shown under SG 3</i>	--	--	--	--	--	--
8.4	General Administration	30	4	35	4	33	4
8.4	Working Capital Fund	288	--	305	--	305	--
8.4	Legal Activities Office Automation	--	16	--	16	--	33
8.4	Identification Systems Integration	4	12	9	24	16	34
8.4	Narrowband Communications	11	117	12	149	12	140
<i>Subtotal 8.4</i>		333	\$149	361	\$193	366	\$211
8.5	General Administration	374	46	438	54	419	60
8.5	Working Capital Fund	124	--	191	--	191	--
<i>Subtotal 8.5</i>		498	\$46	629	\$54	610	\$60
TOTAL SG 8		1,668	\$280	1,947	\$357	1,918	\$398

RESOURCE COMPARISON: Strategic Goal to Total DOJ \$ and FTE



Required Skills	<p>OPR requires experienced attorneys familiar with the Model Rules of Professional Conduct and State bar rules, Federal Criminal Code and Rules of Procedure, Federal Rules of Civil Procedure, and DOJ procedural and ethical guidelines, as well as paralegals and program analysts. Federal Criminal Code and Rules of Procedure, Federal Rules of Civil Procedure, and DOJ procedural and ethical guidelines, as well as paralegals and program analysts. Skilled investigators, auditors, program analysts, attorneys, and support staff are required for the mission of the OIG. Required skills for both OIG and OPR include interviewing and interrogation techniques, research and analytical skills, report writing, statistical sampling, and computer skills. In addition, criminal investigators require expertise in legal and statutory elements of crime, firearms, and physical training.</p> <p>DOJ Finance requires the skills of accountants, financial, budget, program, and system analysts. Procurement personnel must be skilled in Performance Based Contracting; the preparation of a Statement of Work and a Quality Assurance Plan; and developing effective positive and negative performance incentives. Personnel involved in coordinating FAIR Act inventories within their components must understand the provisions of the Act and must have an understanding of the nature of positions, functions, and activities in their organizations. Employees responsible for making cost comparisons for decision-makers regarding outsourcing must understand the elements of the work to be performed as well as cost-benefit analysis.</p> <p>In terms of skills required, to complete its grant-making mission, OJP requires the skills of accountants, financial, budget, program, management, and system analysts.</p> <p>IT and systems management require skills such as network management, Internet, and security skills in all Department components. IT staff must demonstrate expertise in current and emerging technologies and be capable of preparing business justifications and managing technology development and maintenance.</p> <p>Personnel skilled in recruitment are needed as well as personnel involved in reviews and studies attempting to identify opportunities for streamlining and delayering should be competent in business process re-engineering principles and practices, organizational theory, work process flow analysis, group dynamics, work teams and existing personnel rules and regulations.</p>
Information Technology Utilized	<p>OPR uses the Bibliographic Retrieval System case tracking system. The OIG relies upon the Investigations Data Management System (IDMS), which consists of eight computer-based, and four paper-based systems; through which the OIG Investigations Division records and monitors the status of allegations and the progress of investigations. The OIG Investigations Division Monthly Investigative Activity Report provides information that is not tracked in IDMS, such as types and amount of seizures, integrity briefing activity, etc. The OIG Investigations Division Administrative Database tracks the distribution and receipt of customer surveys on completed investigative reports. The OIG Audit Division Management System consists of information that the regional Audit offices provide to headquarters on the status of assignments and the number of workdays expended monthly. The OIG Evaluation and Inspections Division Management Tracking System tracks all assignments by project and report numbers, and includes employee workhours and other information. Additionally, it consolidates biweekly and monthly reports submitted to senior management.</p> <p>Modern financial systems are required to meet federal financial systems requirements. Components of the Department are in the process of implementing new financial systems or enhancing existing systems. The Federal Data Procurement System is used to track the volume of contract activity and the Organizational Structure and Manpower Analysis Report is used to determine characteristics of on-board employees.</p> <p>With respect to information technology, in support of its grant-making mission, OJP's Integrated Financial Management Information System (IFMIS) is the official system of record for all OJP funding, commitments, obligations, expenditures, and payments OJP's Grant Management System (GMS) and IFMIS enable end-to-end Internet based grant application, award, and payment for the Local Law Enforcement Block Grant (LLEBG), State Criminal Alien Assistance Program (SCAAP) and the Bullet Proof Vest (BPV) grant program.</p> <p>The COPS Office uses its COPS Management System (CMS) to track grants from application receipt to closeout. This system includes the Issue Resolution Module, which tracks compliance issues from discovery to resolution, and the Audit Management System, which tracks audit milestones from inception through closure. In FY 2002, the COPS Office will migrate to the new Financial Management Information Systems 2 (FMIS 2).</p> <p>Computer laboratories must be funded and maintained to evaluate new technologies and products before wide-scale deployment. Help desk and operations staff will provide support services to ensure availability of office automation technologies to all users. There is increasing use of web technology for information access and dissemination.</p>

PROGRAM EVALUATIONS

There are no program evaluations planned for FY 2003.

STRATEGIC OBJECTIVE & ANNUAL GOAL 8.1: INTEGRITY AND PROFESSIONALISM
 Promote integrity and professionalism to ensure the fair and impartial administration of justice

8.1A Ensure Departmental Integrity

Background/Program Objectives:

In order for its programs and activities to be effective, all Department personnel, contractors, and grantees must conduct themselves in accordance with the highest standards of integrity, accountability, and efficiency. The Office of the Inspector General (OIG) was established to detect and prevent misconduct and mismanagement on the part of the Department's personnel and programs. OIG investigates alleged violations of criminal and civil laws, regulations, and ethical standards arising from the conduct of the Department's employees in their numerous and diverse activities. OIG provides leadership and assists management in promoting integrity, economy, efficiency, and effectiveness within the Department and in its financial, contractual, and grant relationships with others using the coordinated efforts of OIG's investigative, audit, and inspection resources.

Performance:

Performance Measure: Investigations Closed [OIG]

FY 2002 Target:

600 Investigations Closed

FY 2002 Actual:

614 Investigations Closed;

181 Closed Cases Substantiated

Discussion: The OIG exceeded its target, as a result of its focus in this area.

FY 2003 Performance Plan Evaluation:

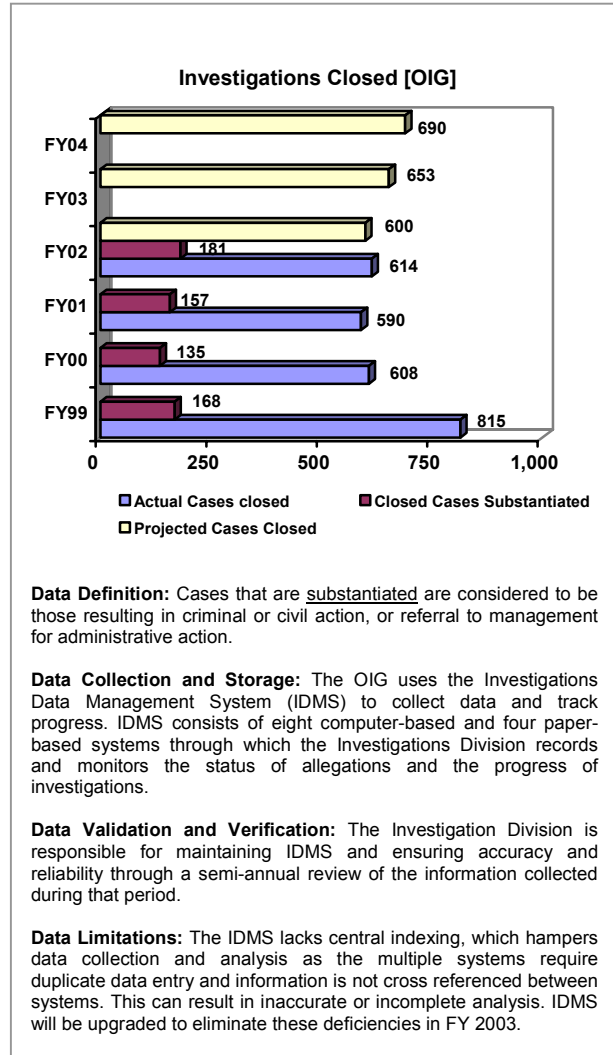
Based on FY 2002 performance, we plan to meet our original FY 2003 goal of 653 Investigations Closed.

FY 2004 Performance Target: 690

Investigations closed.

Public Benefit: The detection and

deterrence of misconduct in programs and operations within or financed by the Department helps ensure the fair and impartial administration of Justice.



Data Definition: Cases that are substantiated are considered to be those resulting in criminal or civil action, or referral to management for administrative action.

Data Collection and Storage: The OIG uses the Investigations Data Management System (IDMS) to collect data and track progress. IDMS consists of eight computer-based and four paper-based systems through which the Investigations Division records and monitors the status of allegations and the progress of investigations.

Data Validation and Verification: The Investigation Division is responsible for maintaining IDMS and ensuring accuracy and reliability through a semi-annual review of the information collected during that period.

Data Limitations: The IDMS lacks central indexing, which hampers data collection and analysis as the multiple systems require duplicate data entry and information is not cross referenced between systems. This can result in inaccurate or incomplete analysis. IDMS will be upgraded to eliminate these deficiencies in FY 2003.

Strategies to Achieve the FY2003/FY 2004 Goal:

In FY 2003 and 2004, OIG will investigate allegations of bribery, fraud, abuse, civil rights violations, and violations of other laws and procedures that govern Department employees, contractors, and grantees, and will develop cases for criminal prosecution and civil and administrative action. OIG will use its audit and inspections resources to review Department

programs or activities identified as high priority areas in the Department's strategic plan and devote resources to review of the OIG Top Ten management issues.

Crosscutting Activities:

These measures are largely internal to DOJ and are administered by the OIG.

8.1B Provide Professional Oversight

Background/Program Objectives:

The Department, through its Office of Professional Responsibility (OPR), will continue to ensure that Department attorneys meet and maintain the high ethical standards expected of the nation's principal law enforcement agency. Specifically, OPR reviews and investigates allegations of professional misconduct by Department attorneys, investigators, or law enforcement personnel where the allegations relate to the exercise of an attorney's authority to investigate, litigate, or provide legal advice. Through the performance of OPR, the Department seeks to ensure that Department attorneys, and investigative and law enforcement personnel working with the attorneys, comply with obligations and standards imposed by law, applicable rules of professional conduct, or Department regulations or policy, and that instances of failure to comply with those standards are identified and attorneys appropriately disciplined.

Performance:

Performance Measure: Investigations of Alleged Professional Misconduct by DOJ Attorneys [OPR]

FY 2002 Target: 80 Investigations

FY 2002 Actual: 76 Investigations; 23 instances of Professional Misconduct Found

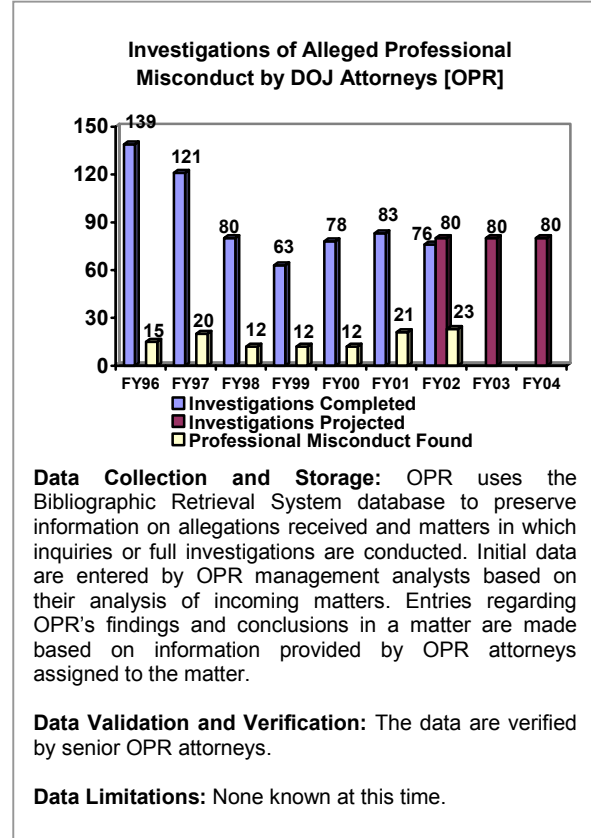
Discussion: Despite fluctuations in the level of attorney and non-attorney staffing, OPR was able to achieve 95% of target for FY 2002 performance.

FY 2003 Performance Plan Evaluation:

Based on FY 2002 performance, we plan to meet our original FY 2003 goal of 80 investigations.

FY 2004 Performance Target: 80

Public Benefit: In the successful accomplishment of its mission OPR ensured that Department attorneys performed their duties in accordance with the professional standards expected of the nation's principal law enforcement agency. Allegations of serious misconduct were promptly and thoroughly investigated. Attorneys who were found to have engaged in professional misconduct were disciplined fairly and uniformly, and these matters were referred to the relevant state bar. Trends in misconduct allegations were brought to the attention of Senior Department Executives for appropriate follow-up action. OPR provided training and participated in



presentations on matters of professional responsibility within and outside the Department to increase the public's confidence in the commitment of the Department to the highest professional standards and accountability of its attorneys.

Strategies to Achieve the FY2003/FY 2004 Goal:

OPR recently modified internal procedures to simplify the process by which investigating attorneys close matters that do not warrant full investigations, thereby enabling OPR to devote more resources to closing full investigations. OPR will continue to review allegations of professional misconduct to determine whether they are within OPR's jurisdiction, and to conduct such investigations as are warranted to determine whether professional misconduct occurred. In addition, OPR will electronically search court decisions published in electronic databases in order to ensure that instances of serious judicial criticism and judicial findings of misconduct are referred to, and reviewed by, OPR. In matters where full

investigations are conducted, OPR will continue to seek to resolve those matters within one year of initiation of the investigation. At the conclusion of the investigation, OPR will provide a report of investigation containing its findings and conclusions to the head of the Department component involved.

While the number of findings of professional misconduct appears likely to remain fairly level, OPR's investigations ensure that matters presenting even the appearance of impropriety receive close review. OPR will periodically review allegations received in order to identify trends and bring such trends to the attention of the Attorney General or the appropriate component head.

Crosscutting Activities:

These measures are largely internal to DOJ and are administered by OPR.

STRATEGIC OBJECTIVE & ANNUAL GOAL 8.2: FINANCIAL MANAGEMENT

Strengthen internal financial systems and promote the efficient and effective use of resources to ensure public trust and confidence

8.2A Obtain a Department-wide Unqualified Audit Opinion and Resolve Financial Management Weaknesses

Full discussion of this topic has been moved to the new PMA section on Improved Financial Management.

8.2B Achieve Procurement Reform

Background/Program Objectives:

DOJ has been participating in two Government-wide procurement initiatives. The first is to encourage the use of performance-based contracts. DOJ will continue to promote the use of performance-based service contracts, where solicitations are structured around the purpose of the work to be performed, rather than the manner in which it is to be performed. Department leadership will encourage contracts that are designed to ensure that: contractors are given freedom to determine how to meet the Government's performance objectives; appropriate performance quality levels are achieved; and payment is made only for services that meet these levels. As a result, the Government should experience fewer cost overruns, schedule delays, and performance problems. The second, the Central Contractor Registration database is an online database serving as the Government-wide single point of vendor registration. It is the single validated source data on vendors doing business with the Government. The Central Contractor Registration database will be established during FY 2003.

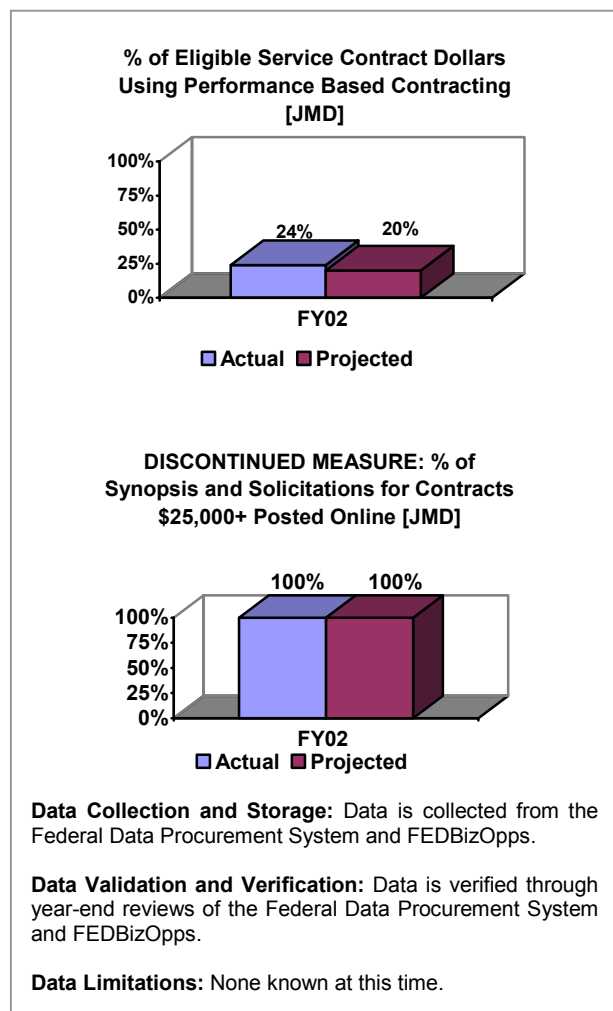
Performance:

Performance Measure: Percent of Eligible Service Contract Dollars Using Performance-Based Contracting [JMD]

FY 2002 Target: 20 %

FY 2002 Actual: 24.5%

Discussion: DOJ provided information about performance-based contracts to bureau procurement organizations as well as direct



assistance in ongoing procurements. As a result, program and procurement personnel were better able to identify and target the types of contracts most amenable to performance based contracts

techniques and to craft appropriate contract vehicles for these relatively complex types.

FY 2003 Performance Plan Evaluation:

The OMB Office of Federal Procurement Policy (OFPP) is re-evaluating performance based contracting. At the time of this plan, there is not an established goal for FY 2003.

FY 2004 Performance Target: OFPP is re-evaluating performance based contracting. At the time of this plan, there is not an established goal for FY 2004.

Public Benefit: See below.

Performance Measure: DISCONTINUED
MEASURE: Percent of Synopsis and Solicitations for Contracts \$25,000+ Posted Online [JMD]

FY 2002 Target: 100 %

FY 2002 Actual: 100 %

Discussion: DOJ completed its integration with the governmentwide point-of-

entry, www.FedBizOpps.gov. This provides the public with electronic access to synopses of proposed contract actions, solicitations, and associated information for Government business opportunities that are greater than \$25,000.

Public Benefit: These methods should lead to more cost-effective acquisitions, better value, and greater competition.

Strategies to Achieve the FY2003/FY 2004 Goal:
N/A

Crosscutting Activities:

These measures are largely internal to DOJ.

8.2C Conduct A-76 Program Competitions and Accurate FAIR Act Inventories

Full discussion of this topic has been moved to the new PMA section on Competitive Sourcing.

8.2D Budget and Performance Integration

Full discussion of this topic has been moved to the new PMA section on Budget and Performance Integration.

STRATEGIC OBJECTIVE & ANNUAL GOAL 8.3: GRANT MANAGEMENT

Develop and maintain grant management accountability mechanisms to ensure proper dispensation and monitoring of funds

8.3A Achieve Effective Grant Management

Background/ Program Objectives:

In an effort to reduce duplication, improve customer service, and strengthen grant oversight, OJP submitted its two-part plan for internal reorganization to the Hill for review and approval. Within the plan, OJP will be consolidating the functions of several support offices that will result in improved responsiveness, assistance and accountability to all customers; elimination of duplicative efforts and overlaps within OJP Bureaus; development of measurable grant and program outcomes; and enhanced communication, cooperation, coordination, and efficiency. The Department has been moving toward implementation of an automated Grants Management System since FY 1999. When fully operational, the Department will be able to fully administer all grants through a centralized, paperless system and electronically process and track grants from application to closeout. This will allow grantees to receive and submit applications, receive awards electronically, reduce the paperwork required by grantees, and standardize the process within program offices. In addition, GMS will assist in setting priorities for program monitoring and facilitate timely program and financial reports from grantees.

Each year, OJP develops a risk-based monitoring plan that considers inherent programmatic and recipient risks, including the amount of funding at risk, known problems, special requests, and a random sample of active awards. OJP currently initiates financial monitoring (covering both OJP and COPS grant programs) and has achieved a reputation for having few reportable problems. When rare instances of waste, fraud, or abuse are reported, OJP quickly responds with direct technical assistance to the recipients to correct serious problems or to the investigators in bringing about appropriate criminal prosecutions. Financial monitoring provides our financial auditors assurance with regard to safeguarding

agency assets and the accuracy of recipient-reported expenditures and related expenditure accrual, one of the largest components of our audited financial statements. Following financial review, OJP's staff provides technical assistance on the recommendations made until all recommendations have been implemented. Once it has been determined that the grantee has sufficiently addressed all issues, the review is officially closed in writing.

The COPS monitoring program has several elements, which assess how grantees are using federal funds, determine to what extent grantees are implementing community policing, and identify potential compliance issues. COPS develops and then shares its site visit monitoring plan with the Office of the Inspector General (OIG), which also selects a number of COPS grantees for review. Site visits yield detailed documentation of how COPS funds are being used, allow COPS to observe the implementation of COPS grants, and reveal the level to which individual jurisdictions have adopted the community policing philosophy in field activities. The agency complements site visits with office-based grant reviews, which begin with an internal review of grant documentation followed by direct contact with the grantee and the collection of additional and/or supporting documentation demonstrating compliance with grant requirements. The COPS Office has centralized its compliance resolution process and developed the Issue Resolution Module, a COPS-wide automated system that allows for the identification and status tracking of specific grantee issues.

Performance:

Performance Measure: Number of Financial Reviews Conducted [OJP]

FY 2002 Target: 990

FY 2002 Actual: 1,020

Discussion: OJP exceeded the target conducting a combination of 456 on-site reviews and 564 in-house financial reviews.

FY 2003 Performance Plan Evaluation:

Based on FY 2002 performance, we plan to meet our original FY 2003 goal of 990 financial reviews.

FY 2004 Performance Target: 990

Public Benefit: The risk-based financial monitoring plan provides assurance to our financial auditors, Congress, and the public, that OJP is minimizing the risk of waste, fraud, and abuse.

Performance Measure: Percent of Grants Administered Through a Centralized Paperless System (OJP Bureau and Program Offices) [OJP]

FY 2002 Target: 80%

FY 2002 Actual: 84%

Discussion: OJP exceeded the target by 4% administering 12,714 awards through a centralized paperless system. Of the 12,714, a total of 11,756 (4%), were processed through an automated Grants Management System. OJP achieved this goal by requiring that program office solicitations be posted and managed through the system.

FY 2003 Performance Plan Evaluation:

Based on FY 2002 performance, we plan to meet our original FY 2003 goal of 84%.

FY 2004 Performance Target: 84%

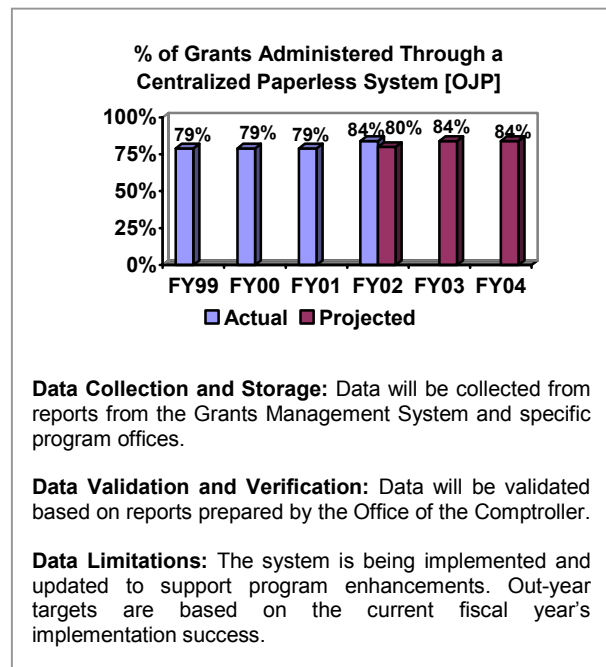
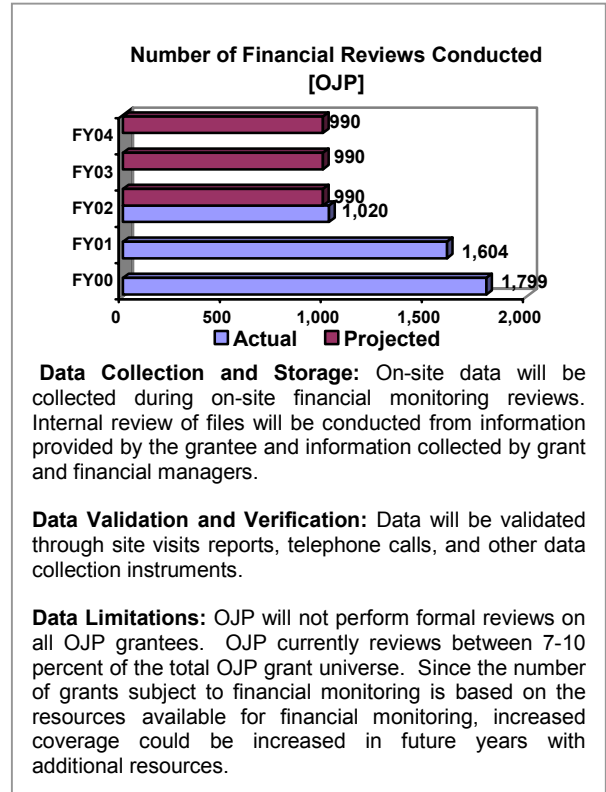
Public Benefit: The automated Grants Management System reduces the paperwork burden of grantees and creates a single, auditable, easily accessible, standardized paperless system for grant applications.

Strategies to Achieve the FY2003/FY 2004 Goal:

In FY 2004, we will continue to demonstrate continued progress towards full implementation of the Grants Management System as a way of standardizing and streamlining the grant process.

Crosscutting Activities:

OJP's Office of the Comptroller works with internal program offices as well as with the GAO and the OIG.



STRATEGIC OBJECTIVE & ANNUAL GOAL 8.4: INFORMATION TECHNOLOGY

Improve the integrity and security of computer systems and make more effective use of information technology (IT)

8.4A Ensure IT Investments are Cost Effective and Meet Programmatic and Customer Needs

Background/Program Objectives:

Under the direction of the DOJ Chief Information Officer (CIO), the Department provides leadership and policy direction to IT programs in over 30 component organizations with widely divergent missions and funding. Cost-effective maintenance of current technology and timely adoption of new technology across the Department increasingly require coordinated management of technical, budgetary, and programmatic issues that impact IT investment.

The Department has established a formal IT investment management (ITIM) policy and process to ensure that investment decisions are aligned with the strategic goals of the Department, are well-planned and justified, fit within the Department's overall IT strategy and enterprise architecture, and are managed effectively throughout the lifecycle.

Performance:

Performance Measure: DOJ IT Investments Managed Through the Approved ITIM (IT Management Investment) Process [JMD]

FY 2002 Target: 50%

FY 2002 Actual: 89%

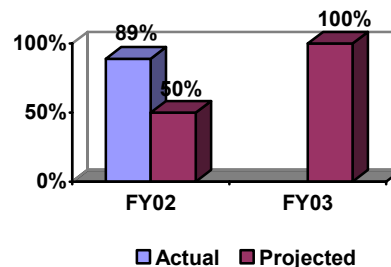
Discussion: In FY 2002, 17 of 19 components received approval from the CIO on their initial ITIM process and implementation schedules. These components meet the required criteria to ensure all information technology related projects are aligned with the strategic goals of the Department. The ITIM is designed to ensure disciplined management of IT investments and the involvement of Department and component leadership in the assessment of cost, risk, and return for all proposed expenditures on IT.

FY 2003 Performance Plan Evaluation:

Based on FY 2002 performance, we plan to meet our original FY 2003 goal of 100%.

FY 2004 Performance Target: N/A

DOJ IT Investments Managed Through the Approved ITIM Processes [JMD]



Data Collection and Storage: Performance data for this indicator will be drawn from the A -11 Exhibit 300 B which is submitted to OMB annually as part of the budget.

Data Validation and Verification: Component and departmental managers reviews data.

Data Limitations: Potential comparability issues across components.

Public Benefit: Implementation of an effective, structured ITIM process will ensure that IT investments are coordinated, systematically selected based on their merits in supporting mission accomplishment, and conform to appropriate standards. Overall, ITIM will help maximize the value of IT spending.

Strategies to Achieve the FY2003/FY 2004 Goal:

We will continue to monitor and assess the ITIM process implementation in DOJ components.

Crosscutting Activities:

These measures are largely internal to DOJ.

8.4B Ensure IT Security

Background/Program Objectives:

To identify IT system vulnerabilities throughout the Department, the CIO's staff launched an intensive certification and accreditation initiative in 2000 involving all components. The Department developed the Security Management and Report Tracking (SMART) database to track security weaknesses and planned corrective actions identified through the certification and accreditation process and in other security reviews, such as IG audits and penetration tests. The Department has continued to update, upgrade and fine-tune the system. In addition, a major effort has been made to enter data for all systems not previously identified in earlier system assessments, update existing information on component systems and input the results of various types of system and program reviews. This program is central to assuring the public's trust that information and IT systems in the Department are adequately protected against unauthorized access and use.

Performance:

Performance Measure: Percent of Information Systems Certified and Accredited by the Component [JMD]

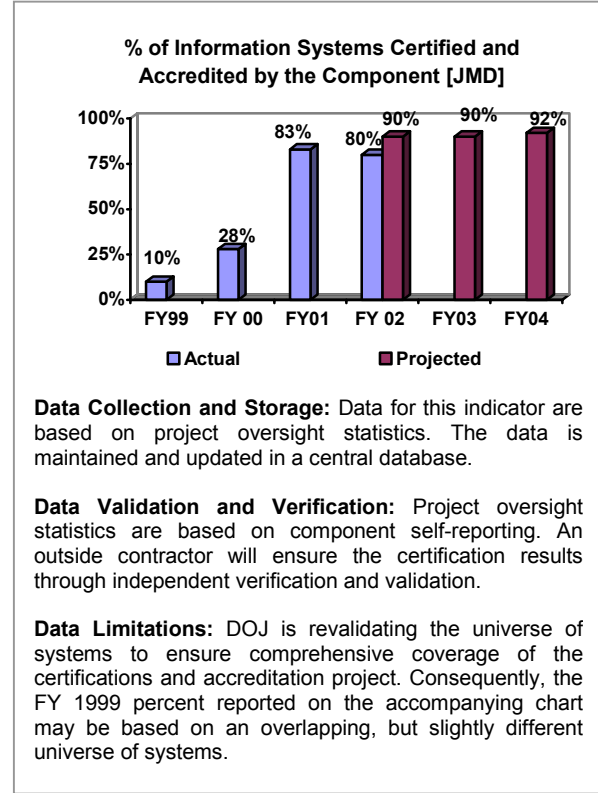
FY 2002 Target: 90% (212 of 235)

FY 2002 Actual: 80% (209 of 275)

Discussion: The Department employed several methods to conduct a more comprehensive and detailed review of its IT security program. To meet the Government Information Security Reform Act (GISRA) requirements for annual system reviews and to identify vulnerabilities for correction, Department components conducted self-assessments on over 168 systems in addition to new certifications and accreditations. The Department's original goal was based on the number of systems previously identified. However, in the past year, additional systems have been identified and new ones developed. As a result, even though the absolute number of systems reviewed increased, the percentage fell short of our target.

In the past year, the Department has made significant progress in meeting its objectives and implementing the requirements of the Security Act. These accomplishments include:

- Appointment of a CIO with a specific mandate



from the Attorney General to provide Department-wide leadership in the IT arena, including security;

- Development of an Information Technology Strategic Plan that sets forth a vision and specific initiatives for enhancing information security;
- Continued implementation and refinement of a Department system for tracking all IT security weaknesses and corrective actions;
- Full integration of security into other IT management processes, such as capital planning;
- Initiation of a project to define requirements for a Department-wide public key infrastructure program;
- Initiation of a project to define requirements for a Department-wide security architecture.

Also, the CIO increased information technology security program oversight reporting within the FBI. The FBI is reporting progress on a monthly basis to the CIO and the Department's Security Officer.

FY 2003 Performance Plan Evaluation:

The Department is updating this performance measure to accurately reflect the various transfers / changes in the Department’s mission and the recently enacted Department of Homeland Security Legislation. The Revised Final FY 2003 goal is 90%.

FY 2004 Performance Target: 92%

Public Benefit: Through proper certification and accreditation activities and effective implementation of IT security controls, the Department will be able to ensure its IT investments are appropriately secured from both internal and external threats.

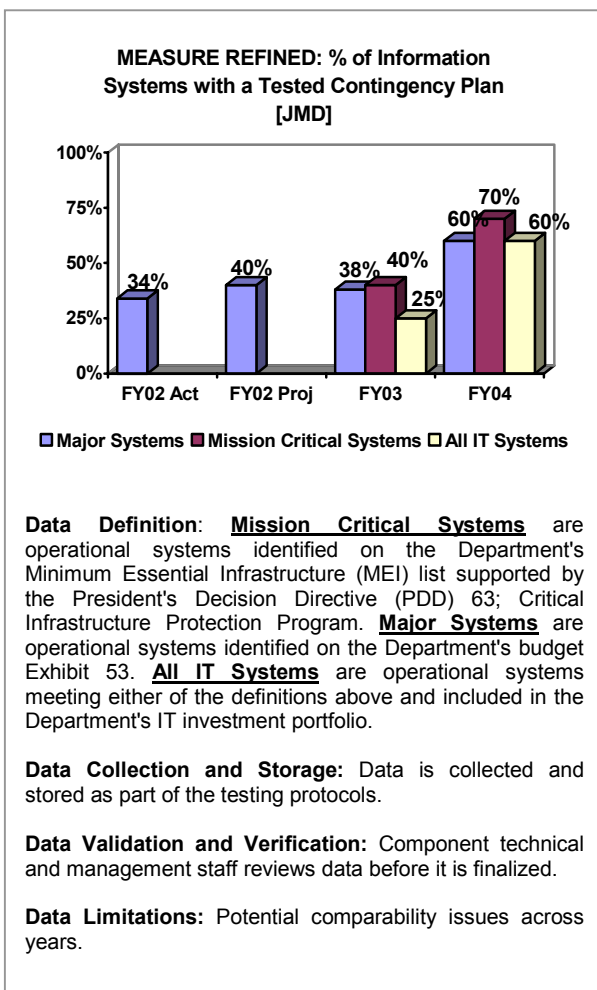
Discussion: The Department fell short of its percentage target even though the absolute number of major systems with tested contingency plans increased. This measure is being revised to include the contingency planning activities for all systems throughout the Department.

FY 2003 Performance Plan Evaluation:

The Department is updating this performance measure to accurately reflect the priority of mission critical systems and the various transfers / changes in the Department’s mission and the recently enacted Department of Homeland Security Legislation. The FY 2003 goal for contingency planning will be divided into three measures: Mission Critical Systems: 40%; Major Systems: 38% and All Systems: 25%.

FY 2004 Performance Target: Mission Critical Systems: 70%; Major Systems: 60%; All Systems: 60%.

Public Benefit: This measure assesses not only whether major information systems have contingency plans but also whether those plans have actually been tested. In the current threat environment, it is especially critical that plans be in place that will ensure rapid recovery from any incidents disrupting services and operations.



Strategies to Achieve the FY2003/FY 2004 Goal:

The results of the initial certification and accreditation initiative will continue to help identify individual system weaknesses and crosscutting areas for intervention and monitoring throughout the Department during FY 2003 and FY 2004. To further this process, the Department will use the security management and reporting tool (SMART) to develop the foundation for system plan and milestones to ensure component actions are completed to close system security gaps. The reports generated from SMART reveal that most common vulnerabilities in DOJ systems are related to audit, authentication, contingency planning, management controls, documentation, and configuration management.

These revised measures will ensure the Department’s security program performance continues to demonstrate its commitment to meet challenges now and in the future. Furthermore, the Department has been adopting the National Institute for Standards Technology (NIST) performance measures, tools and techniques to further strengthen our IT security program and

Performance Measure: MEASURE REFINED: Percent of Information Systems with a Tested Contingency Plan [JMD] (Formerly: % of Major Systems with a Tested Contingency Plan)

FY 2002 Target: 40%

FY 2002 Actual: 34%

show measurable progress. The ASSET tool, designed to facilitate the required, periodic self-assessment of IT systems, was used throughout the Department to record self assessment activities and combine results into Department-level reports for the FY2002 GISRA reporting cycle. We are discussing ways to make the ASSET tool more responsive and effective with NIST and we expect to continue its use. The Department is following NIST guideline developments closely and incorporating them into Department policy and guidance wherever possible. OMB's GISRA reporting guidance regarding specific reporting measures has been fully implemented, including the development of corrective action plans and quarterly status meetings and updates.

Additional information on the IT security program can be found in the Department of Justice *Information Technology Strategic Plan*, July 2002, and the *Department of Justice Information Security Report for the Government Information Security Reform Act*, September 2002.

Crosscutting Activities:

These measures are largely internal to DOJ.

8.4C Expand Electronic Access and Dissemination of Department Information

Background/Program Objectives:

The essence of the Government Paperwork Elimination Act (GPEA) is to provide citizens, businesses, and governmental agencies the option of conducting business with the Federal Government through electronic means. OMB considers that the information collections under the Paperwork Reduction Act (PRA) are the most significant transactions that should offer an electronic option as required by GPEA. Implicit within GPEA is transforming business processes to make them faster, more efficient, and more citizen-centric—key objectives of the “Expanded Electronic Government” initiatives in the President’s Management Agenda. Aggressive implementation of “eGovernment” initiatives is a priority of the Department’s IT Strategic Plan. The Department submitted the *FY 2003 – FY 2004 eGovernment Implementation Plan* to Office of Management and Budget (OMB) in October 2002.

Performance:

Performance Measure: Percent of Information Collections Under the PRA Converted to Electronic Format [JMD]

FY 2002 Target: 32%

FY 2002 Actual: 21%

Discussion: The percentage figure reported for FY 2002 Actual is predicated on the more stringent requirement of a fully electronic option. According to OMB, a fully electronic option for a PRA collection is one that has no compulsory paper-based reporting requirements, signatures, correspondence, or dissemination to or with the respondents. GPEA demands only that an electronic option be available, e.g., fillable and/or downloadable forms accessible on the web. Because of the large number of INS forms available on the Internet, the performance measure for FY 2002 Actual would increase to 47% if this definition were invoked. These two figures clearly bracket the FY 2002 target.

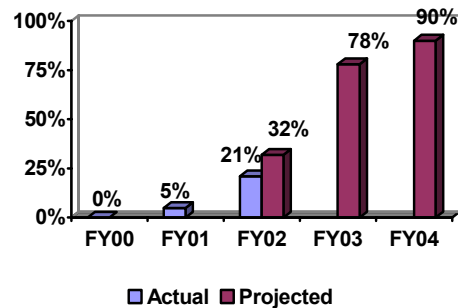
FY 2003 Performance Plan Evaluation:

Based on FY 2002 performance, we have revised our FY 2003 downward. The Revised Final FY 2003 goal is 78%.

FY 2004 Performance Target: 90%

Public Benefit: The growing number of information collections with electronic options

% of GPEA Information Collections Under the PRA converted to Electronic Format [JMD]



Data Collection and Storage: Data are collected and stored centrally and consolidated annually for this report.

Data Validation and Verification: Data are reviewed at the component and Department level.

Data Limitations: As this tracking requirement is new, there may be initial data limitations, as well as potential comparability issues across components.

provides greater convenience and efficiency for both citizen and business transactions with the Federal government. Two examples of information collections that went electronic in FY 2002:

The Student and Exchange Visitor Information System (SEVIS) enables schools and program sponsors to transmit electronic information and event notifications via the Internet to the INS and the Department of State throughout a student or exchange visitor’s stay in the U.S. The initial operational phase of SEVIS began July 1, 2002.

The Office of Attorney Recruitment Management distributes application booklets for the Attorney General’s Honors Program and the Summer Law Intern Program. The application booklets describe the Programs’ criteria and solicit information from applicants interested in entry-level attorney positions and summer law intern positions within the Department of Justice. This information facilitates interviewing and hiring decisions. As of August 1, 2002, the application booklets have been available on the Internet for fully-transactional use (completion and electronic submission).

Strategies to Achieve the FY2003/FY 2004 Goal:

The Department will evaluate completed GPEA projects and draw from these best practices and candidates for solutions that can be applied to other projects as well as seek out best practices and/or solutions from other Federal agency sources. The CIO will require component project plans for each of the DOJ priority GPEA projects, and will monitor these plans monthly thereafter.

Crosscutting Activities:

The Department will continue to work across organizational boundaries and collaborate on joint solutions, such as the Administration's eGovernment Initiatives and other e-government initiatives. Examples of these include, the Department's participation in 17 of the 24 eGovernment Initiatives, and its major role in 4 of the project initiatives: Wireless communications inter-operability, Electronic Grants, Electronic Records, and Electronic Authentication. DEA, as part of its Diversion Control Program, will continue the pilot program with the Veterans Administration, and INS will continue collaborating with the Department of State (STATE) in the use of SEVIS.

STRATEGIC OBJECTIVE & ANNUAL GOAL 8.5: HUMAN RESOURCES

Strengthen human resource recruitment, retention, and performance to ensure a workforce that is skilled, diverse, and committed to excellence

8.5A Increase Hiring and Retention in Key Positions

Background/ Program Objectives:

We have given priority attention to the recruitment of Border Patrol Agents and have been quite successful. INS will continue improvements in this area through the implementation of the following five initiatives: (1) increase the Internet recruiting system that involves twelve different sites; (2) establish overseas testing involving military bases around the world; (3) develop the capacity to conduct walk-in testing or mobile testing; (4) revise the compressed testing process to allow on-site drug testing; and (5) initiate an integrity interview and full field investigation prior to the oral board. Valuable staff hours and resources will be saved by utilizing the Internet and walk-in testing.

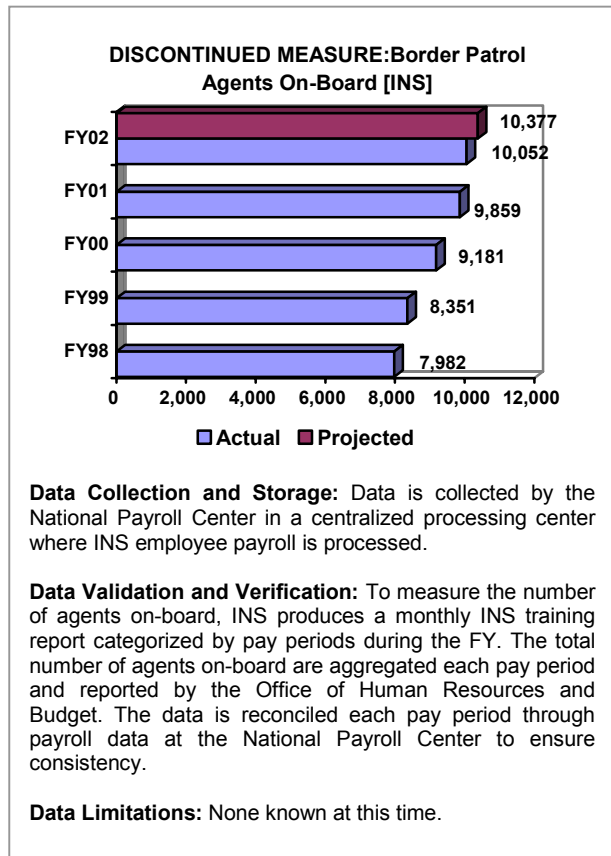
Performance:

Performance Measure: DISCONTINUED MEASURE: Border Patrol Agents On-Board (NOTE: This indicator is being discontinued - the program has been transferred to the Department of Homeland Security)

FY 2002 Target: 10,377/10,551

FY 2002 Actual: 10,052

Discussion: During the fiscal year, as a result of counterterrorism funding enhancements, the target was raised to 10,551. At the end of FY 2002, INS had 10,052 Border Patrol Agents on board. INS did not meet its hiring goal for one reason – a significant increase in losses, particularly to other federal agencies. In FY 2001, the loss rate for Border Patrol Agents was 10.3%. In FY 2002, it ballooned to 18.3% with the increase primarily occurring after January 2002. This corresponded with the creation of the Transportation Security Agency and the Sky Marshall Program. In FY 2001, INS lost 145 agents to other federal agencies. In FY 2002, that number increased to 806 representing an increase of 556% over FY 2001. INS missed its goal by



499 agents whereas the difference between losses in FY 2001 vs. FY 2002 was 661. During FY 2002, INS attracted over 93,000 applications for Border Patrol positions. This was due to a highly successful national multi-million dollar advertising campaign with radio, newspaper, Internet, and other print ads.

Public Benefit: Border Patrol Agents are responsible for the prevention, detection, and apprehension of those illegally entering the United States. Our ability to recruit and hire new Border Patrol Agents helps in this effort while at the same time, maintaining our national homeland security.

8.5B Streamline Organizations within DOJ by Delaying Management Levels

Full discussion of this topic has been moved to the new PMA section on Strategic Management of Human Capital.