



CHAPTER III

Supporting the Mission: Efficiency and Integrity in the Department of Justice

The Department of Justice's mission "...to ensure fair and impartial administration of justice for all Americans" establishes an unequivocal mandate that requires a professional workforce and enlightened management practices. Achieving our strategic goals and objectives depends greatly on how well we manage and implement our programs. Our aim is to create an agency that is regarded by the public and by our stakeholders as an exemplar of integrity, efficient stewardship, and managerial excellence.

EFFICIENCY IN THE DOJ

We at the Department of Justice recognize that success at the front lines cannot be achieved without a foundation of strong, reliable management support. As priorities change, so too must the infrastructure that is in place to support them. Two complementary efforts go to the heart of DOJ's management infrastructure. First is the Attorney General's 10 management initiatives, designed to meet the demands of DOJ's multi-faceted mission. The initiatives correlate closely with the President's Management Agenda (PMA), which reflects the President's vision of a citizen-centered, results-oriented government. Both efforts are described below.

THE ATTORNEY GENERAL'S 10 MANAGEMENT INITIATIVES

In November 2001, the Attorney General announced a comprehensive review and reorganization of the Department of Justice to

enhance its focus on its counterterrorism mission. His vision included 10 management initiatives to provide a road map for the Department to achieve the President's expected long-term results of creating flatter, more responsive organizations with an emphasis on results, rather than process; to eliminate overlapping functions; and to strengthen the knowledge, skills, and abilities of DOJ's personnel. The initiatives are:

Develop Performance-Based, Mission-Focused Leadership

The Department is developing consistent, valid measures to gauge its progress in meeting its strategic goals and to promote accountability for their accomplishment. To this end, the Department is working closely with its components and OMB to refine its annual performance measures to include clear, consistent targets that support the long-term goals and objectives of the strategic plan.

Together with measuring its organizational goals, DOJ is working to link individual performance with organizational performance. To do that, the Department is evaluating components' performance management programs, and developing a performance management mandate that the broadly-stated goals and objectives of the strategic plan translate into specific annualized performance goals and targets. This initiative closely links to the "Budget and Performance Integration" PMA item discussed below.

CHAPTER III

Supporting the Mission: Efficiency and Integrity in the Department of Justice

Streamline, Eliminate or Consolidate Duplicative Functions

With an expanding workload, there is an increasing urgency that needless duplication of effort be eliminated. To that end, the Department is working to consolidate duplicative functions within its components, to streamline departmental processes and eliminate inefficiencies, and to achieve savings to be applied to countering terrorism. DOJ has already identified opportunities for and achieved savings in many areas. These efforts will continue.

Focus Resources on Front-line Positions

Since most of the Department's caseload is handled in the field, concentrating resources there, where they are needed most, is a goal of DOJ management. To ensure that the front lines have the resources they need to perform their functions, the Department is creating a methodology to assess front-line needs. Where necessary, the Department will reallocate caseload and positions consistent with the mission and needs. Many FBI agent positions have been reallocated to address counterterrorism, while Congress and DOJ leadership are looking to reallocate attorneys among the U.S. Attorney offices as well.

Reform the Federal Bureau of Investigation

A new mission requires a new way of doing business. The Department is implementing a reform and reorganization of the

FBI in a deliberate, phased approach, focused on the Bureau's new priority of fighting terrorism. The first phase installed a top-level management structure to ensure a solid framework for realigning resources to address national priorities. The next phase implemented an operations-focused alignment supporting the deployment of FBI resources to counter the terrorism threat, as well as address other national priorities. The next phase will reconfigure and enhance the FBI's intelligence collection and analytical ability and create reliable, formal mechanisms to disseminate and share intelligence. (This effort is one of the strategies found under Goal I in Chapter II of this document.)

Restructure the Immigration and Naturalization Service and the Executive Office for Immigration Review

As part of the Homeland Security Act, the INS was transferred to the Department of Homeland Security on March 1, 2003. Throughout the transfer, DOJ worked closely with DHS to ensure consistency with the President's objective of restructuring the INS into separate enforcement and service functions, with an aim of reducing backlogs in application processing, improving effectiveness and accountability, and strengthening border security and interior enforcement.

Eliminating backlogs of immigration appeals remains the responsibility of the Department of Justice, through its Board of Immigration Appeals (BIA) within the Executive Office of Immigration Review.

CHAPTER III

Supporting the Mission: Efficiency and Integrity in the Department of Justice

BIA has been restructured to streamline its processes, improve its organizational effectiveness, and eliminate case backlogs.

Restructure the Office of Justice Programs and Reform Grant Management

Because federal support to state, local, and tribal governments is so critical, as well as costly, the assessment of grant management effectiveness is a high priority. In order to improve the accountability, reliability, and efficiency of the grant system, the Department has developed and implemented a unified grant application and award system, the Grants Management System (GMS). The Department continues to work with OMB and Congress to restructure the OJP to flatten its organizational structure; improve its operational efficiency; and improve its accessibility and service to state and local law enforcement, crime victims, and other constituencies. (Grant management figures prominently in Goal III of this document.)

Coordinate Communications and Outreach

The Department continues to take the leadership role in information sharing and operational cooperation, particularly in the area of countering terrorism. For example, the Attorney General, on September 25, 2003, announced that the Nation's existing 93 Anti-Terrorism Task Forces (ATTFs) would be reconstituted as Anti-Terrorism Advisory Councils. The specific primary responsibilities of these Councils, com-

prised of 5,300 state and local law enforcement agencies, will be to coordinate anti-terrorism initiatives, initiate training programs, and facilitate information sharing. U.S. Attorneys will continue to serve as the head of each Council, which will not only continue to work in partnership with the nation's 66 Joint Terrorism Task Forces (JTTFs), but will also provide a central forum for agencies to identify potential terrorism links among their investigations.

Improve Departmentwide Financial Performance

Providing management and the public with reliable and timely financial management information is key to attaining citizens' confidence in the ability of the Department to manage the monies entrusted by tax-paying citizens. A full discussion of efforts in this area is contained in the PMA "Improved Financial Performance" section below.

Strengthen Hiring, Training, and Diversity Policies

Improving our recruitment and workforce development strategies is crucial to providing the best service possible to the citizens of the United States. Promoting diversity within the Department is critical to ensuring that our management and staff reflect the diverse ethnic and racial cultures that make our nation great. To that end, the Office of the Deputy Attorney General is spearheading an ongoing effort to enhance diversity within DOJ. These issues are

CHAPTER III

Supporting the Mission: Efficiency and Integrity in the Department of Justice

described in detail in the PMA "Strategic Management of Human Capital" section below.

Utilize Technology to Improve Government

No modern organization can meet its mission without strong information technology (IT) support. Foremost among the many IT projects in the Department is the development and implementation of a service plan that is citizen-centered and includes online citizen accessibility. At the same time, accessibility must be tempered by sufficient security to protect systems from outside intrusions, as well as internal misconduct. The PMA "Expanded E-Government" section below discusses many of the Department's efforts in this area.

THE PRESIDENT'S MANAGEMENT AGENDA

In August 2001, the Administration issued the President's Management Agenda (PMA), a list of administrative functions, common to all agencies, that the President believed should be priorities. The list reflected the President's vision of a citizen-centered, results-oriented Government. The PMA includes five Governmentwide initiatives:

Strategic Management of Human Capital

Competitive Sourcing

Improved Financial Performance

Expanded Electronic Government

Budget and Performance Integration

In addition, the PMA includes nine program initiatives, one of which, "Faith-Based and Community Initiative," applies to the Department.

The PMA captures much of the information the Department had been tracking in its previous Strategic Plan (Goal Eight: Ensure Professionalism, Excellence, Accountability, and Integrity in the Management and Conduct of Department of Justice Activities and Programs). It also has introduced a meaningful measurement tool, the quarterly scorecard issued by the Office of Management and Budget (OMB). For each PMA initiative, OMB issues two scores to agencies: the first tracks the agency's status against established criteria for "getting to green" (see Appendix B); the second tracks its progress toward meeting the criteria.

As of the print date of this strategic plan, the Department had a score of "green" for progress toward meeting all five Govern-

CHAPTER III

Supporting the Mission: Efficiency and Integrity in the Department of Justice

PMA RATINGS AS OF THIRD QUARTER, FY 2003

President's Management Agenda Goals	Progress
Strategic Management of Human Capital	Green
Competitive Sourcing	Green
Improved Financial Performance	Green
Expanded Electronic Government	Green
Budget and Performance Integration	Green
Faith-Based and Community Initiative	Yellow

mentwide initiatives and "yellow" for the Faith-Based and Community Initiative. The breakdown is illustrated in the following chart.

Complete details of the Department's progress and scores can be found in the Department of Justice Performance and Accountability Reports for FY 2002 and FY 2003.

To promote accountability, the Department has appointed a lead individual for each initiative. That individual is responsible for developing and monitoring actions to improve the performance of the initiative. Working with OMB, each lead has established goals and milestones to get us to "green." In the short term, the Department has rigorous plans in place to improve its status scores in each initiative. These plans are described below.

Strategic Management of Human Capital

Status by July 1, 2004 - YELLOW

The Department will have completed a full-scale workforce analysis and planning initiative that will identify specific human capital shortcomings and concomitant strategies to overcome them. A new unified performance management system will be in place for Senior Executive Service (SES) managers, General Schedule (GS) managers and supervisors, and all non-bargaining unit employees. At that time, DOJ will be ready to assess organizational performance, link that assessment to appropriate financial recognition, and ensure that financial recognition is distributed to the front-line based on achievement of the Department's goals.

CHAPTER III

Supporting the Mission: Efficiency and Integrity in the Department of Justice

Information on workforce diversity will be captured and shared routinely. The Department will institutionalize the use of unified recruitment strategies, exit interviews, organization surveys, and mentoring programs. Succession planning efforts will include diversity as an important objective. The SES Candidate Development Program will be implemented and will promote diversity in senior leadership positions.

The Department's workforce analyses have indicated that DOJ presently has few skill gaps in mission-critical occupations. Strategies for filling gaps that have been identified are being developed or implemented. DOJ intends to establish stronger measurement and tracking mechanisms to enable successful identification of future gaps that may be less discernible. The results from the measures will be fed routinely into the management decision-making process.

Progress Beyond July 2004

Although tremendous strides will have occurred prior to July 2004, it is likely that the Department still will be in the process of implementing its business change strategy, including reorganization, at that time. In the summer of 2003, the Chief Information Officer (CIO) and Human Resources functions began major realignments to ensure that leadership is in place to address important business change issues. In addition, significant organizational reforms conducted by the Federal Bureau of Investigation (FBI) and the Office

of Justice Programs (OJP) will be entering their final stages.

Competitive Sourcing

Status by July 1, 2004 - GREEN

During the summer of 2003, OMB changed the criteria for public-private job competitions from a percentage of commercial FTE to a number of competitions. This represents a significant change to DOJ since, based on its previously approved competition plan and assessments of its commercial inventory, the Department had elected to undertake two very large competitions, a decision which would have met the established goals. As the strategic plan goes to press, the Department is working with OMB to align with the new criteria while still meeting the intent of this initiative.

Improved Financial Performance

Status by July 1, 2004 - GREEN

The Department will develop unified procedures and policies beginning with its planning for the Unified Financial Management System (UFMS) during FY 2004. In that regard, DOJ is committed to implementing a core system certifiable by the Joint Financial Management Improvement Program. The implementation of a UFMS will enable DOJ to strengthen internal controls, performance measurement, and decision-making. Installing the UFMS across the Department will take time. Meanwhile, components with system weaknesses will implement compensating controls

CHAPTER III

Supporting the Mission: Efficiency and Integrity in the Department of Justice

to mitigate the weaknesses and enable the Department to be substantially compliant with the Federal Financial Management Improvement Act (FFMIA).

Additionally, the Department has issued an FY 2004 financial statement preparation schedule designed to meet new year-end and quarterly reporting deadlines set by OMB. To support this effort, the Justice Management Division Finance Staff is in the process of implementing the Hyperion Financial Management Reporting tool to facilitate the preparation of consolidated financial statements.

As in FY 2002 and 2001, the Department fully expects to receive unqualified audit opinions on its FY 2003 and 2004 consolidated financial statements. Complementing the anticipated unqualified opinions, the Department plans to have achieved a 100% reduction in Auditor and Integrity Act Section 2 and Section 4 weaknesses.

The Department's planning, budgetary, and program evaluation processes will make routine use of financial and performance information. Existing financial models (such as those used to monitor daily allotments and expenditures of the Offices, Boards, and Divisions within DOJ, as well as those used by BOP to monitor detailed cost, capacity, and routing information for prisoner transportation) will serve as examples for routine oversight programs. These models will be expanded to other DOJ offices. The Department plans to adopt the OMB Governmentwide financial

management performance indicators when finalized, and will report and provide analyses of results using this new reporting tool.

DOJ components have implemented internal controls to prevent improper payments and perform ongoing reviews of disbursements. During FY 2003, the Department engaged a contractor to perform recovery audit activities and provide payment data of the Offices, Boards, and Divisions, and the Bureau of Prisons. Based on the contractor's initial review and findings, the Department will evaluate other targets where recovery audit activities may be implemented. Presently, the Department has no Anti-Deficiency Act violations, and does not anticipate any in the future.

As a complement to the Government portal, DOJ offers web-based applications for most of its grant programs; offers web-based reporting options for progress reports; and uses automated reporting requirements that offer a web-based financial reporting option. The Department is a dynamic partner in the e-grants initiative and an active participant on many Grant Simplification Act committees. We will continue to automate administrative grant processes and change business practices to effect standardization in accordance with the Act and the e-grants initiative.

Finally, efforts are under way to develop new timelines for the FBI to complete its migration to the Department of Agriculture National Finance Center (NFC) for payroll

CHAPTER III

Supporting the Mission: Efficiency and Integrity in the Department of Justice

services in FY 2005. When that is completed, all ten DOJ payroll systems will be served by NFC.

Progress Beyond July 2004

As mentioned above, the Department is in the midst of a major systems replacement project that will provide a single UFMS across components and will support timely access to key financial and selected performance data for leadership decision-making. Initially, the UFMS will replace an FFMIA non-compliant system at the FBI and the legacy system of the Asset Forfeiture Management Staff. It will replace systems at the other components incrementally between FY 2004 and FY 2007.

Expanded Electronic Government

Status by July 1, 2004 - YELLOW

By the end of the third quarter of FY 2004, the Department will have defined and begun implementation of an enterprise architecture; begun implementing a web services redesign initiative affecting approximately 12 million citizens annually; implemented a web-based victim notification system serving approximately 100,000 individuals each year; and completed additional elements of a Grants Management System (GMS) that will feature fast response time and improved search and sort capabilities. As a supplement to these efforts to modernize, the Department is participating fully in all four categories of the E-Gov initiatives and will adhere to the migration plans for implementing them.

Computer system security is of utmost importance to DOJ and its components, and is a major factor in all information technology systems planning and operations. By July 2004, over 90 percent of the Department's IT systems will be certified, accredited, or otherwise authorized as being properly secure.

Progress Beyond July 2004

The Office of the Chief Information Officer has been reorganized to oversee and manage IT operations and expenditures more effectively. The Department anticipates that several priority projects, such as data center consolidation, consolidation of financial management systems, identification of common solutions for case management, and office automation, will provide future costs savings.

By July 2004, cost and schedule overruns and performance shortfalls will average less than 30 percent for all major IT projects. Beyond then, the Department will institute policies and processes to govern and monitor project performance against baseline cost, schedule, and goals. More than 50 percent of major systems investments will have acceptable business cases.

Budget and Performance Integration

Status by July 1, 2004 - YELLOW

The Department has implemented a quarterly financial and performance review process with the full participation of each component. Whenever possible, budget

CHAPTER III

Supporting the Mission: Efficiency and Integrity in the Department of Justice

and performance documents will include the full cost of achieving performance goals and estimates of the marginal costs of changing performance goals. (Calculating precise marginal costs for many of the Department's activities may be cost prohibitive.) Budget submissions will include a discussion of specific milestones that address OMB recommendations and findings resulting from the Program Assessment Rating Tool (PART) process. By July 2004, the Department anticipates that it will have assessed 60 percent of its programmatic resources using the PART.

Although some DOJ programs cannot be measured appropriately by cost efficiency measures, others can. In addition to incarceration and detention programs that already have cost-per-capita efficiency measures, the Department is working with OMB to develop similar measures for other programs.

Progress Beyond July 2004

The Department will continue to use the results of the PART assessments to improve programs, processes, and long-term measurable performance goals.

Faith-Based and Community Initiative

Status by July 1, 2004 - YELLOW

By July 1, 2004, the Department will have implemented user-friendly, web-based announcements for all relevant competitive grant awards; established mechanisms to pro-

vide technical assistance to faith-based and community-based organizations (FBO/CBOs) applying for discretionary grants for the first time; and implemented a plan for enhancing the opportunities of FBO/CBOs to receive block/formula grant funds at the state and local levels.

In an effort to simplify the applications process for grant applicants, DOJ will have begun to reduce the page limits for grant solicitations, application package instructions, and application narratives. The Department expects to have implemented training for peer-group reviewers regarding the rights and capabilities of FBO/CBOs, and to have expanded the pool of reviewers to include persons knowledgeable of the capabilities of the applicant organizations. Along with eliminating regulatory barriers identified in agency audits, DOJ will fully implement the principles of Executive Order 13279, Equal Protection of the Laws for Faith-based and Community Organizations, in regulatory and subregulatory materials.

Three pilot programs, designed to further the partnership between FBO/CBOs and federal, state, and local governments will be implemented by July 2004. These pilots are designed to mentor returning offenders; counsel prisoners; and address issues of juvenile delinquency, drug use, and gang activity.

Finally, in order to gauge performance, the Department will establish measurable goals for increasing participation of FBO/CBOs in selected agency programs.

CHAPTER III

Supporting the Mission: Efficiency and Integrity in the Department of Justice

Progress Beyond July 2004

The Department will evaluate the pilot programs it has implemented and will continue to increase the number of applications from FBO/CBOs.

INTEGRITY IN THE DOJ

In order to be effective and to engender public trust in DOJ's programs and activities, Department personnel, whether employees, contractors, or grantees, must be held accountable for their actions. DOJ uses various tools to monitor and ensure the progress and effectiveness of its administrative functions. Primary among these tools are its own internal controls, instituted by management to protect against waste, fraud, and abuse. Management at all levels is responsible for monitoring and assessing its controls and reporting material weaknesses to the Attorney General. However, there are other resources to promote effectiveness and integrity: the Office of the Inspector General (OIG) and the Office of Professional Responsibility (OPR) both play important roles in strengthening accountability and performance.

The OIG and OPR were established to detect and prevent misconduct and mismanagement on the part of Department personnel and programs. The OIG investigates alleged violations of criminal and civil laws, regulations, and ethical standards arising from the conduct of DOJ employees in their diverse activities. Using the coordinated efforts of its investigative,

audit, and inspection resources, the OIG provides leadership and assists management in promoting integrity, economy, efficiency, and effectiveness both within the Department and in its financial, contractual, and grant relationships with others.

OPR is responsible for investigating allegations that Department attorneys have engaged in misconduct in connection with their duties to investigate, represent the Government in litigation, or provide legal advice. In addition, OPR has jurisdiction to investigate allegations of misconduct by law enforcement personnel when such allegations are related to attorney misconduct within the jurisdiction of OPR. Given their independence, experience, and integrity, the OIG and OPR are in position to provide the high level of oversight conducive to accountability.

Office of the Inspector General

The OIG conducts, reports, and follows up on financial and performance audits and inspections of DOJ organizations, programs, contracts, grants, and other agreements. These audits, inspections, and reviews are designed to provide timely notification to Department management of issues needing attention. The OIG will work closely with DOJ management to develop recommendations for corrective actions and to resolve identified weaknesses that inhibit efficient and effective operations and customer service. Additionally, the OIG will investigate allegations of bribery, fraud, abuse, civil rights violations,

CHAPTER III

Supporting the Mission: Efficiency and Integrity in the Department of Justice

and violations of other laws and procedures that govern DOJ employees, contractors, and grantees.

Office of Professional Responsibility

The OPR will review and investigate allegations of professional misconduct by Department of Justice 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. Periodically, OPR will identify and report trends in profes-

sional misconduct allegations to the Attorney General and the Deputy Attorney General. The OPR will issue annual reports that describe its mission and procedures, and provide statistical information about the number, source, category of allegations, and outcome of OPR investigations. These reports will serve to inform DOJ attorneys of proper standards of conduct, and will provide the Department with an accounting of attorney conduct and discipline.