

**U.S. Election Assistance Commission
Office of Inspector General**



**Strategic Plan
Fiscal Years 2010-2015**

A Message From The Inspector General

I am pleased to present the Office of Inspector General's Strategic Plan for fiscal years 2010 – 2015. This is the second strategic plan issued by the Office of Inspector General. Since the release of our last strategic plan, the U.S. Election Assistance Commission (EAC) has adopted its first strategic plan. We revised our strategic plan to align our operations with the goals and priorities of the EAC.

We have four strategic goals aimed at helping to ensure efficiency, effectiveness and transparency in EAC programs and operations:

- * Protect the Federal investment in our electoral process.
- * Promote economy, efficiency, and integrity in EAC programs and operations.
- * Effectively communicate successes and opportunities for improvement.
- * Ensure effective and efficient OIG operations.

The OIG recognizes that strategic planning supported by performance goal setting and measurement is an ongoing process and requires continuous monitoring and reevaluation. Furthermore, as EAC's programs develop, it will likely revise its strategic plan. The OIG will monitor its progress toward the goals contained in this strategic plan and assess the continued relevance of the plan on an annual basis.



Curtis Crider
Inspector General



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MISSION

Help to ensure efficient, effective, and transparent EAC operations and programs

VISION

To be a highly effective organization that promotes positive change by identifying opportunities for improvements in the performance and efficiency of the EAC's programs and operations.

CORE PRINCIPLES

The OIG will accomplish its mission and conduct its day-to-day operations consistent with the following core principles:

- **Quality** – Produce high quality products and services that are accurate, relevant and responsive to the needs of the EAC, its programs and operations.
- **Independence and Objectivity** – Ensure that the work of the OIG is free from bias and fairly represents the situation at hand and how it can reasonably be improved.
- **Effectiveness** – Produce products that focus on the greatest risk and effect positive change.
- **Openness** – Foster an environment of respect, equal opportunity and diversity amongst OIG employees, and encourage and reward employee innovation and creativity.



BACKGROUND

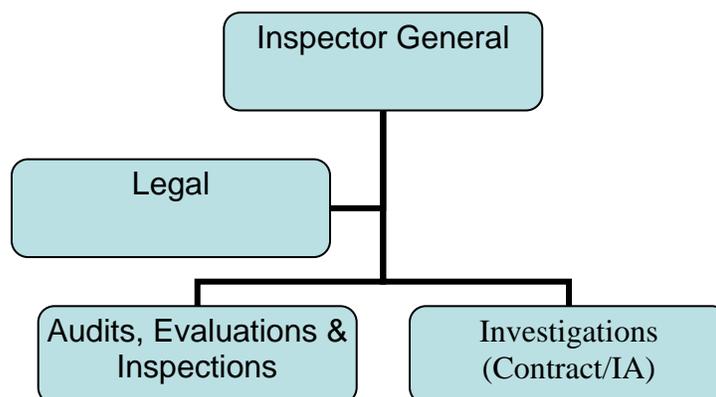
The EAC is a designated federal entity under the Inspector General Act (IG Act) of 1978 (Public Law 95-452, as amended). The EAC is charged with helping states to improve the administration of elections for Federal office by distributing grant funding, providing research on election-related best practices, and establishing and operating a Federal program to accredit laboratories and test and certify voting systems.

In August 2006, the EAC appointed the Inspector General and the Office of Inspector General was created. The OIG functions to support and monitor EAC in the operation of its programs and distribution and management of Federal funding. To fulfill this role, we perform duties of the Inspector General as established in the IG Act, including:

- Conducting and supervising audits, investigations, and other reviews relating to the programs and operations of the EAC;
- Providing leadership and coordination, and recommending actions to management, which (1) promote economy, efficiency, and effectiveness in agency programs and operations; and (2) prevent and detect fraud, waste, abuse, and mismanagement of government resources; and
- Keeping the agency head, management, and Congress fully informed regarding problems and deficiencies, as well as the progress of corrective actions.

ORGANIZATIONAL STRUCTURE

The OIG operates with only three full-time equivalents: the Inspector General, Director of Audits, and General Counsel. To accomplish the mission and duties of an OIG with limited staff, we use contract auditors to conduct many of the agency and state audits and reviews. When conducting an investigation, we work with other federal government agencies to detail or contract for investigative services.





STRATEGIC PLANNING PROCESS

To develop the current strategic plan, we assessed the strategic challenges for both the EAC as well as the OIG. We identified the following strategic challenges.

EAC's Strategic Challenges:

The EAC issued its first Performance and Accountability Report on September 30, 2008, which included the OIG's identified management and performance challenges in two areas: 1) management and accountability, and 2) financial management. A major contributing factor to these challenges is the continued lack of underlying policies and procedures. Recognizing the EAC is a relatively new agency it is imperative that the programs it establishes are sound, coupled with policies and procedures that serve to ensure that the EAC can meet its strategic goals and objectives.

OIG's Strategic Challenges:

Without resolution, EAC's management challenges may preempt the EAC in building effective and efficient programs. Therefore, it is the OIG's major strategic challenge to continue to work with the EAC to ensure that it resolves its top management challenges and builds strong programs that are underpinned by policies and procedures that will help them maintain these programs.

In addition, today's environment of strained budgetary resources, creates a challenge for the OIG's make its resources match the list of audits, evaluations, inspections and evaluations that need to be performed. It is OIG's challenge to seek new and innovative ways to stretch its resources and maximize its impact to ensure the EAC meets its strategic goals and objectives. A portion of the OIG's workload is performed at the discretion of the OIG. Therefore, the OIG must focus its resources on efforts that address the most significant risks and address critical issues that affect EAC programs and operations and its stakeholders.

Based upon these strategic challenges, the OIG developed goals, objectives and strategies that would ensure that the OIG effectively uses its resources to support and monitor the programs operated by EAC. A few assumptions were made when developing these strategic goals:

- * The same or greater funding will be available for OIG operations during the forthcoming fiscal years;
- * The OIG will be able to grow its staff to a total of seven full-time equivalents in the next two to three fiscal years.



- * There will be no significant legislative changes that will alter the mission of EAC or its OIG in the covered period.
- * The OIG will be able to maintain contracts and interagency agreements that support its audit and investigations work.

GOALS, OBJECTIVES, AND STRATEGIES

In consideration of the strategic challenges and our mission and vision, the OIG has developed four strategic goals and fourteen corresponding objectives to focus our workload over the next five years. We have also developed strategies for accomplishing each of the objectives. Annually, using this strategic plan, we will develop a performance plan to help us meet our strategic goals.

GOAL 1: Protect the Federal investment in our electoral system.

Objectives:

1. Ensure that Federal funding distributed to States and local governments is used in accordance with HAVA as well as other applicable Federal laws, regulations, guidelines and circulars
2. Increase the number of HAVA grants audited per fiscal year
3. Increase the coverage in HAVA funds audits
4. Educate States on what is expected when using HAVA funds and what to expect of an audit of HAVA funds

Strategies:

1. Conduct regular audits of HAVA funds using contract auditors and in-house audit staff
2. Hire and train additional auditors to conduct HAVA funds audits
3. Conduct an outreach program to state and local election officials about the requirements associated with using HAVA funds

Performance Measures:

1. Conduct six audits of HAVA funds usage by States each fiscal year
2. Create two teams of in-house auditors to conduct HAVA funds audits by the end of fiscal year 2011
3. Respond to and conduct 100 percent of requests for educational or training sessions



GOAL 2: Promote economy, efficiency and integrity in EAC programs and operations.

Objectives:

1. Identify threats or risks to EAC program economy, efficiency and integrity and help identify solutions to those problems
2. Focus auditing and investigative resources on issues of greatest risk
3. Promote the effective administration of EAC programs and operations

Strategies:

1. Conduct a risk assessment of EAC programs and operations
2. Periodically analyze audits and reviews, as well as investigations of complaints and program participants, to identify trends and systemic weaknesses
3. Develop an annual performance plan including planned audits, evaluations and investigations for the year
4. Focus resources by conducting audits and investigations of high-risk activities and conduct follow-up reviews to assess implementation
5. Work with the EAC to identify, update, and resolve its top management challenges
6. Operate a hotline to receive complaints of fraud, waste, abuse, and mismanagement as well as whistleblower complaints

Performance Measures:

1. Conduct at least one internal audit, inspection, or evaluation each fiscal year
2. Develop an annual audit plan by September 15 of each year
3. Track 100 of audit findings
4. Evaluate all hotline complaints within 30 days of receipt



GOAL 3: Effectively communicate successes and opportunities for improvement

Objectives:

1. Clear and effective communication of weaknesses and recommendations for improvement
2. Regular communication with the EAC and Congress
3. Help EAC and Congress to have a full and accurate picture of the current state of EAC programs and operations as well as the opportunities to improve them
4. Help EAC grant recipients understand how to better manage federal grant funds

Strategies:

1. Ensure that all audit and investigation reports contain accurate, complete information about the subject as well as reasonable, attainable recommendations for improvement
2. Deliver reports in a timely manner so as to have an impact on the subject of the report
3. Conduct monthly briefings with EAC management (Chair)
4. Conduct regular, semiannual briefings with relevant Congressional committees and members
5. Publish a semi-annual newsletter to make EAC, Congress and the public aware of activities of the OIG

Performance Measures:

1. Publish at least two newsletters each fiscal year
2. Respond to Congressional inquiries within five days of receipt
3. Conduct 12 meetings with EAC Chair during each fiscal year

GOAL 4: Ensure effective and efficient OIG operations.

Objectives:

1. Operate under current and appropriate policies, procedures and practices
2. Foster a positive working environment for OIG employees
3. Make the best use of financial and human capital resources available to OIG
4. Foster teamwork, mutual respect and trust amongst OIG employees



Strategies:

1. Develop/maintain appropriate policies, procedures and practices
2. Encourage/support OIG employees in training and development efforts
3. Recruit qualified individuals through an open, inclusive hiring process
4. Reduce reliance on contractors to perform grant audits for the OIG

Performance Measures:

1. Obtain a favorable (pass) rating on the OIG peer review report
2. Help all employees meet or exceed the number of required training hours for the period required
3. Hire up to three additional auditors and one criminal investigator by the end of fiscal year 2011



Appendix



STRATEGIC GOALS, OBJECTIVES & PERFORMANCE MEASURES

STRATEGIC GOALS	STRATEGIC OBJECTIVES	PERFORMANCE MEASURES
Protect the Federal investment in our electoral system.	Ensure that Federal funding distributed to States and local governments is used in accordance with HAVA as well as other applicable Federal laws, regulations, guidelines and circulars.	Conduct six audits of HAVA funds usage by States each fiscal year
	Increase the number of HAVA grants audited per fiscal year.	Create two teams of in-house auditors to conduct HAVA funds audits by the end of fiscal year 2011
	Increase the coverage in HAVA funds audits.	Respond to and conduct 100 percent of requests for educational or training sessions
	Educate States on what is expected when using HAVA funds and what to expect of an audit of HAVA funds.	
Promote economy, efficiency and integrity in EAC programs and operations	Identify threats or risks and provide solutions to EAC program economy, efficiency and integrity.	Conduct at least one internal audit, inspection, or evaluation each fiscal year
	Focus auditing and investigative resources on issues of greatest risk	Develop an annual audit plan by September 15 each year
	Promote the effective administration of EAC programs and operations	Track 100% of audit findings
		Evaluate all hotline complaints within 30 days of receipt



STRATEGIC GOALS	STRATEGIC OBJECTIVES	PERFORMANCE MEASURES
Effectively communicate successes and opportunities for improvement.	Clear and effective communication of weaknesses and recommendations for improvement	Publish at least two newsletters each fiscal year
	Regular communication with the EAC and Congress	Respond to Congressional inquiries within five days of receipt
	Helping EAC and Congress to have a full and accurate picture of the current state of EAC programs and operations as well as the opportunities to improve them	Conduct 12 meetings with EAC Chair during each fiscal year
	Help EAC grant recipients understand how to better manage federal grant funds	
Ensure effective and efficient OIG operations.	Operate under current and appropriate policies, procedures and practices	Obtain a favorable (pass) rating on the OIG peer review report
	Foster a positive working environment for OIG employees	Help all employees meet or exceed the number of required training hours for the period required
	Make the best use of financial and human capital resources available to OIG.	Hire up to three additional auditors and one criminal investigator by the end of fiscal year 2011
	Foster teamwork, mutual respect and trust amongst OIG employees	