



Fortieth Anniversary
Pioneering the Future



NASA Office of Inspector General

Fiscal Year 1999

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Introduction

We are committed to protecting NASA personnel and resources through providing the finest audit, investigative, inspection, and process review capabilities available. We are proud of our many accomplishments in support of the NASA mission and look forward to a new millennium.

This performance plan supports our mission, vision, strategic plan, and the annual goals we have established for FY 1999. It contains elements required by the Government Performance and Results Act (GPRA) of 1993.

We have coordinated the FY 1999 annual goals stated in this plan to accomplish those strategic goals set forth in our Strategic Implementation Plan published October 1997. In addition, this plan describes:

- Our FY 1999 outcome goals
- Our performance measures for achieving the FY 1999 annual goals
- Our resource requirements
- Our challenges in accomplishing FY 1999 annual goals
- Our program evaluation, validation, and verification strategies.

During the FY 1999 performance period, we will assess our Strategic Implementation Plan to assure its applicability and usefulness. We will reevaluate our strategic goals and seek improvements relative to program and agency requirements. This Annual Performance Plan, like the Strategic Implementation Plan, is an evolving document subject to reevaluation and modification to improve our service to NASA and, ultimately, the tax payers.

OIG Mission

The Office of Inspector General (OIG) is an independent office created by the Inspector General Act of 1978, as amended (Inspector General Act, P.L. 95-452). That act prescribes that the IG will:

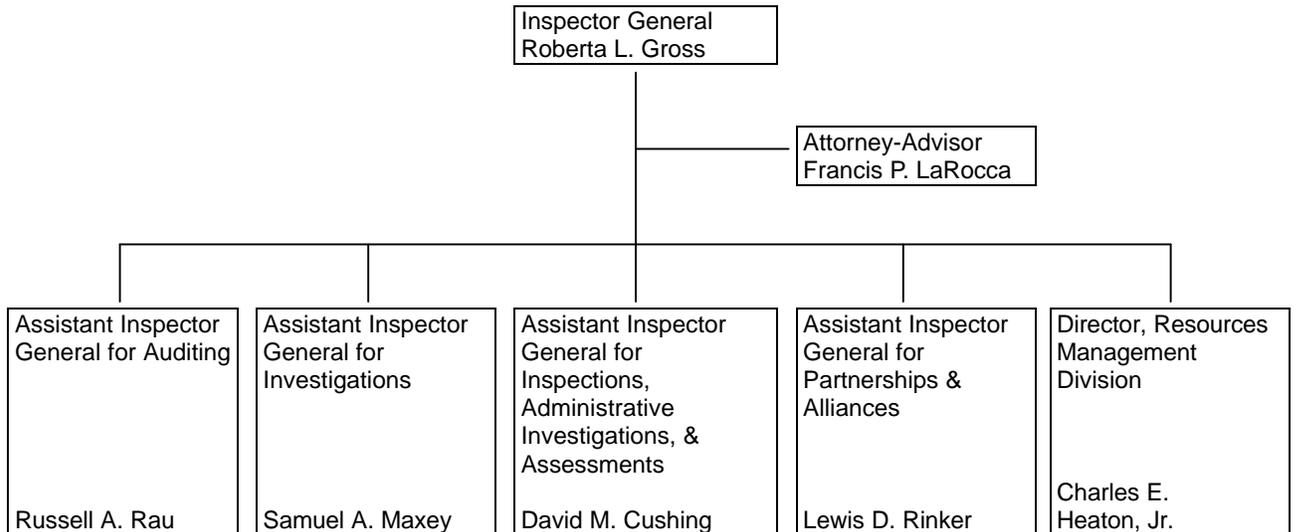
- Conduct and supervise independent and objective audits, investigations, inspections, and other reviews
- Promote economy, efficiency, and effectiveness
- Prevent and detect fraud, waste, and mismanagement
- Recommend improvements to legislation and regulations
- Keep the Administrator and Congress informed

OIG Values

The employees of the NASA OIG place great value on:

- Products and services that are timely, accurate, relevant, and useful

- Independence, integrity, creativity, and objectivity in our work
- Cooperation and effective communication among ourselves and with others
- A service-oriented attitude toward our customers and key decision-makers
- A work environment that provides for professional growth and diversity



Organization

The NASA OIG consists of the Inspector General, four program offices, and two support components. The program offices are the Office of Auditing; the Office of Investigations; the Office of Inspections, Administrative Investigations, and Assessments; and the Office of Partnerships and Alliances. Each of the program offices is administered by an Assistant Inspector General. The two support components are Legal Services and the Resources Management Division. To maximize resources and respond efficiently to evolving requirements, the OIG effectively uses matrixed teams to perform assignments.

Office of Audits

The Office of Audits provides a full range of value-added professional audit and review services in response to our assessment of the high risk areas in the audit universe; statutory and regulatory requirements; and the needs of Congressional and NASA leadership. Audit emphasis is placed on issues involving safety, procurement, information technology, fiscal operations, NASA enterprise management and the environment.

Office of Investigations

The Office of Investigations conducts criminal investigations in which NASA is a victim. These investigations involve false claims; false statements; conspiracy; theft; mail fraud; violations of Federal laws, such as the Procurement Integrity Act and the Anti-Kickback Act. They also investigate acts of noncompliance with NASA Management Instructions, the Federal Acquisition

Regulation (FAR), and the Code of Federal Regulations (CFR). NASA's vulnerability to cyber attacks requires an investigative emphasis on computer and network intrusions.

Office of Inspections, Administrative Investigations, and Assessments

The Office of Inspections, Administrative Investigations, and Assessments (IAIA) provides independent and objective inspections and assessment of the effectiveness, efficiency, and economy of NASA's programs and operations. They also conduct administrative investigations of noncriminal matters.

Office of Partnerships and Alliances

The Office of Partnerships and Alliances (P&A) provides proactive assistance and information to NASA managers by identifying opportunities to foster, expand, and enhance partnership activities.

Legal Services

Legal Services provides legal advice and assistance to the Inspector General and all members of the OIG staff on a variety of matters relating to the OIG's review of Agency programs and operations.

Resources Management Division

The Resources Management Division supports administrative functions of the OIG that include budget formulation and execution, personnel, training, travel, facilities, logistics, and information technology systems.

Crosscutting Programs

The OIG is a matrix organization having responsibilities that crosscut all program areas. This performance plan addresses the coordination among the various OIG program areas as well as with federal agencies and other entities. For example, auditors may work on IAIA and P&A reviews or investigations; and, personnel from other OIG disciplines work within the P&A or Audit program to improve NASA's ability to foster, expand, and enhance its internal and external partnerships and alliances. Also, P&A participates with other Government entities in the review of crosscutting issues that confront their respective organizations.

Challenges

The FY 1999 annual performance period presents us with several challenges pertaining to resources and data tracking issues.

Resource Challenge

The NASA OIG mission is a challenge by virtue of our level of funding and authorized Full-Time Equivalent (FTE) level.

Data Tracking Challenge

We are in the midst of upgrading our Nationwide Information System (NIS) and expect the upgraded system, NIS II, to be delivered and operational by early FY 1999. NIS II is the essential automated system we will use to track the data by which we measure, report, and assess the status of our annual performance goals. As with any system upgrade, we may encounter initial implementation problems such as slippage in the delivery date or software and hardware malfunctions. Although we can track performance data on our current systems, NIS II offers advanced capabilities that provide more complete data and analyses for reporting performance information.

Outcome Goals

Our Strategic Implementation Plan established three outcome goals we expect to achieve during the five year period FY 1998 to 2002. Those goals are:

Promote and support management actions to improve NASA programs, procedures, and operations

Enhance productivity and product quality within the OIG

Increase recognition for the value and use of OIG products, services, and capabilities

FY 1999 Outcomes

In consideration of those overarching goals, we intend to achieve the following outcomes in FY 1999:

- A work plan that incorporates input from the OIG internal elements, NASA management, and other concerned entities
- Timely, useful products and services
- Realization of employee competencies
- Effective outreach initiatives
- Operational processes that promote continuous improvements

We have established specific performance goals and the performance measures necessary to achieve our FY 1999 outcome goals.

Strategic Goal 1:
Provide Cost Effective, Value-Added Products and Services to Decision-Makers for Guidance in Improving NASA Programs, Procedures, and Operations

Strategic Objectives:

- Focus resources on major areas and issues to identify preventive measures as well as operational, financial, and technical improvements
- Produce timely, high-quality reports and investigations that result in significant process improvements, prosecutions, and recoveries
- Identify and use new technologies and approaches to audits, investigations and reviews
- Establish quality standards and implement effective control systems

Annual Performance Goal: Provide Value-Added Products and Services

Criteria For Achieving Annual Performance Goal	Definition	Performance Measures *
Leadership and Inventiveness	We believe leadership is paramount. Our managers will lead the effort to develop and apply innovative techniques and organizational processes that complement internal and agency goals. We will foster an environment of creativity that encourages employees to test new methods and adopt improved processes.	<ul style="list-style-type: none"> • Pursue and apply innovations that enhance the performance of audits, investigations, inspections, reviews, evaluations, and consulting services
Timely Products	We will deliver key information to management and the decision-makers in sufficient time to use in making informed decisions.	<ul style="list-style-type: none"> • Reduce the average time of report and information delivery to our clients
Appropriate Response	We will assure that we readily reply or react to inquiries and requests for information.	<ul style="list-style-type: none"> • Respond to NASA, congressional, and general public concerns, inquiries, and request for information within the scope of applicable laws regulations, and resources
Prioritization	We will provide an appropriate planning process that assures we apply our resources to important, timely issues and challenges.	<ul style="list-style-type: none"> • Conduct task reviews to ensure relevance, priority, and progress • Perform a qualitative self assessment to determine whether we successfully accomplished this goal
Productiveness	We will constantly strive to improve the quality, efficiency, and effectiveness of our products and services.	<ul style="list-style-type: none"> • Reduce the total cycle time to complete work assignments by a minimum of 10 percent annually • Increase our output and outreach over that of FY 1998 and increase the FY 2000 output over that of FY 1999

Criteria For Achieving Annual Performance Goal	Definition	Performance Measures *
Quality Processes	We will continuously review and reengineer our procedures and processes to make sure our products and services are accurate, objective, complete, useful, and timely.	<ul style="list-style-type: none"> • Implement: <ul style="list-style-type: none"> – Standard policies and procedures to conform with government and professional standards, and President's Council for Integrity and Efficiency (PCIE) standards – Style manuals for writing reports – Administrative procedures – Internal reporting requirement for tracking resource status, acquisition, utilization, and product quality • Perform quality and management control reviews to assess whether our work and products meet established standards
Follow-up	We will be vigilant to assure that our recommendations and management's commitment to implement them are achieved.	<ul style="list-style-type: none"> • Establish efficient follow-up procedures and tracking systems to ensure corrective actions are addressed within established timeframes
Leverage and Promotion of Multiplier Impacts	We will leverage the use of audit, investigative, inspection, evaluation, and consulting services on matters of common interest to NASA, the Congress, and the Federal community to enhance the overall quality of results.	<ul style="list-style-type: none"> • Emphasize joint projects among our organizational components, NASA management, and other OIG and Federal organizations to effectively accomplish work • Post lessons learned and best practices on the NASA OIG Internet web page and other media
Prevention	We will use our products and services to promote recognition of the indicators of fraud, waste, abuse and mismanagement.	<ul style="list-style-type: none"> • Provide briefings to agency management, staff, and other concerned parties to heighten integrity awareness and fraud deterrence
Detection	We will remain vigilant and institute processes to effectively discover, waste, abuse, and mismanagement.	<ul style="list-style-type: none"> • Identify operational and financial weaknesses and alert the Agency and recommend improvements

* Each OIG program office and component established specific performance measures applicable to their respective discipline.

**Strategic Goal 2:
Maintain a Skilled, Diverse Workforce**

Strategic Objectives:

- Recruit, hire, develop, and retain employees from a wide range of backgrounds who exhibit strong skills, positive attitudes, and high personal and professional values
- Maintain and fund an effective staff training and employee development system

Annual Performance Goal: Attract and Retain a Skilled, Diversified, and Committed Staff

Criteria For Achieving Annual Performance Goal	Definition	Performance Measures *
Vigorous Recruitment	We will aggressively seek out the most qualified, experienced, motivated and diverse NASA OIG work team possible.	<ul style="list-style-type: none"> • Implement a recruiting process that encourages innovative ways to seek as many qualified candidates as possible to complement a diverse, professional team environment
Professional Standards	We will maintain required professional and occupational standards, and we will establish and work under the highest standards of fairness, honesty, dedication, and integrity.	<ul style="list-style-type: none"> • Ensure that all professional staff educational and training credentials will satisfy government, PCIE, and professional standards
Staff Development	We will plan for and provide our OIG staff with opportunities to maintain and improve their knowledge, skills, and abilities through work assignments, education, training, and exposure to new ideas and challenges.	<p>Ensure that:</p> <ul style="list-style-type: none"> • All employees will be periodically surveyed on assignment interest and developmental needs • All employees will complete and/or update an Individual Development Plan (IDP) annually

* Each OIG program office and component established specific performance measures applicable to their respective discipline.

**Strategic Goal 3:
Maintain a Positive, Challenging, and Rewarding Work Environment**

Strategic Objectives:

- Provide opportunities for varying assignments, responsibilities, and working relationships
- Streamline and simplify operations and procedures
- Establish effective, open lines of communication

Annual Performance Goal: Administer an Effective and Efficient Operation That Maximizes the OIG Staff Ability to Perform Their Work Functions

Criteria For Achieving Annual Performance Goal	Definition	Performance Measures *
Staff Opportunities	We will assure all members and prospective members of the OIG staff have the opportunity to succeed and advance. We will permit people to take acceptable risks, to learn from experience, and to experience personal growth.	<ul style="list-style-type: none"> • Develop prerequisites (experience, training, interdisciplinary assignments, Headquarters rotation) as part of the foundation for fostering career-enhancing opportunities • Develop Performance Plans for all OIG positions • Establish and implement an awards program that recognizes employees whose work contributes to the successful accomplishment of NASA OIG mission
Continuous Improvement	We will simplify or reengineer our internal processes to better achieve our mission.	<ul style="list-style-type: none"> • Baseline internal operational and administrative processes to determine those processes eligible for reengineering initiatives • Benchmark and adapt best practices from other NASA OIG elements or similar Federal OIG organizations • Plan and initiate program evaluation reviews to determine whether the OIG is meeting the established goals and objectives as indicated in our FY 1999 annual Performance Plan • Review the OIG's Strategic Implementation Plan and update it to consider evolving issues

Criteria For Achieving Annual Performance Goal	Definition	Performance Measures *
Outreach Initiatives	We will actively seek out and communicate information among OIG program offices, NASA, our customers, our stakeholders, and concerned parties through a variety of media and forums.	<ul style="list-style-type: none"> • Establish an Issue Area Coordination Process that actively seeks suggestions for consideration in our annual workplan • For each annual workplan: <ul style="list-style-type: none"> – Meet periodically with NASA senior officials at NASA Centers and other field locations to discuss key program issues – Meet with DCAA and other external organizations to solicit ideas • Conduct joint annual conferences, periodic staff meetings, and videoconferences • Disseminate final reports and in-process work assignments on the NASA OIG Internet web page • Establish an internal Electronic bulletin board that publicizes staff updates, activity reports, and other employee related issues

* Each OIG program office and component established specific performance measures applicable to their respective discipline.

Resources Needed to Accomplish Annual Goals

For FY 1999, the NASA OIG has requested a budget of \$20 million, which will be used to support:

- A total of 210 full time (FTE) positions within the Offices of Auditing; Investigations; Inspections, Administrative Investigations, and Assessments; Partnerships and Alliances; Legal Services and Resource Management Division; and
- Associated travel and operational costs.

The FY 1999 budget request will allow us to adequately promote efficient and effective NASA operations and activities.

Our budget request of \$20 million directly supports the NASA OIG Strategic Goals and Objectives for our FY 1999 performance period. The budget request is necessary to support:

\$19.4 million (97 percent) in the staff salaries and benefits needed to effectively achieve Strategic Goal 1 and assure accomplishment of Strategic Goal 2

\$0.6 million (3 percent) in operations and maintenance costs to achieve Strategic Goal 3

Distribution of FY 1999 Resources to Achieve Established Goals

Strategic Goal	Resources
1 Provide cost-effective value-added products and services and 2 Maintain a skilled, diverse workforce*	\$19.4 million
3 Maintain a positive, challenging, and rewarding work environment	\$ 0.6 million
Total	\$20.0 million

*The Government Auditing Standards require OIG auditors to complete 80 hours of Continuing Professional Education every 2 years. A memorandum of understanding with the Department of Justice requires OIG special agents to maintain a level of physical fitness training, weapons proficiency, and currency in legal practices and investigative techniques. OIG attorneys require Continuing Legal Education to retain professional licenses.

Program Evaluation

We will conduct periodic evaluations to assess our progress toward meeting our annual performance goals. In conjunction with our individualized manual tracking systems, the Resources Management Division maintains the NIS, the IBM System 36, and microcomputer database programs that effectively track the data used to evaluate and report the majority of performance goals.

The Resources Management Division is enhancing the NIS system to provide program managers with a more comprehensive capability to track the data related to our annual goals and performance measures. Nonetheless, we will institute easily managed manual systems to capture performance data not readily adapted to automated programming.

Each program office will provide written status reports to the Inspector General. They will submit an interim report on July 15, 1999, detailing their progress toward accomplishing the annual performance goals. They will submit a report on October 31, 1999, detailing their achievement of

FY 1999 annual performance goals that will serve as input toward the overall OIG Annual Performance Report to Congress.

Verification and Validation

We will use internal review and assessment teams to evaluate our performance for the FY 1999 annual performance period. As our measurement system matures, we will identify external processes that we can use to verify and validate our performance.

Appendix

The OIG values the comments and recommendations of our stakeholders, customers, partners, employees, and the contractor community. Should you have questions about the OIG and its mission, or you want further information regarding this Performance Plan or our Strategic Implementation Plan, please contact the following individuals:

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The OIG performance plan is also available on the World Wide Web at:
<http://www.hq.nasa.gov/office/oig/hq/>