



# U.S. Department of Justice FY 2015 PERFORMANCE BUDGET

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## Office of the Inspector General Congressional Justification



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## **I. Overview**

### **1. Introduction**

In FY 2015, the Office of the Inspector General (OIG) requests a total of \$88,577,000, 440 FTE, and 474 positions (of which 139 are Agents and 30 are Attorneys) to investigate allegations of fraud, waste, abuse, and misconduct by Department of Justice (Department) employees, contractors, and grantees and to promote economy and efficiency in Department operations. This request is an increase of \$2,177,000 (approximately 2.5%) over the FY 2014 current rate, and includes adjustments-to-base of \$5,330,000 and a program offset of \$3,153,000.

With these resources, the OIG will be able to sustain the number of quality audits, inspections, investigations, and special reviews it conducts to help assure Congress and the taxpayers that the substantial funding provided to support these Department priorities and infrastructure investments are used efficiently, effectively, and for their intended purposes.

Electronic copies of the Department of Justice Congressional Budget Justifications and Capital Asset Plan and Business Case exhibits can be viewed or downloaded from the Internet using the Internet address: <http://www.justice.gov/02organizations/bpp.htm>

### **2. Background**

The OIG was statutorily established in the Department on April 14, 1989. The OIG is an independent entity within the Department that reports to both the Attorney General and Congress on issues that affect the Department's personnel or operations.

The OIG has jurisdiction over all complaints of misconduct against Department employees in the Federal Bureau of Investigation (FBI), Drug Enforcement Administration (DEA), Federal Bureau of Prisons (BOP), U.S. Marshals Service (USMS), Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF), U.S. Attorneys' Offices (USAO), Office of Justice Programs (OJP), and other Offices, Boards and Divisions. The OIG investigates alleged violations of criminal and civil law, regulations, and ethical standards arising from the conduct of Department employees in their numerous and diverse activities. The OIG also audits and inspects Department programs and assists management in promoting integrity, economy, efficiency, and efficacy. Appendix A contains a table that provides statistics on the most recent Semiannual Reporting period. These statistics highlight the OIG's ongoing efforts to conduct wide-ranging oversight of Department programs and operations.

## OIG Organization

The OIG consists of the Immediate Office of the Inspector General and the following five divisions and one office:

- Audit Division is responsible for independent audits of Department programs, computer systems, and financial statements. The Audit Division has regional offices in Atlanta, Chicago, Denver, Philadelphia, San Francisco, and Washington, D.C. Its Financial Statement Audit Office and Computer Security and Information Technology Audit Office are located in Washington, D.C. Audit Headquarters consists of the immediate office of the Assistant Inspector General for Audit, Office of Operations, Office of Policy and Planning, and Advanced Audit Techniques.
- Investigations Division is responsible for investigating allegations of bribery, fraud, abuse, civil rights violations, and violations of other criminal laws and administrative procedures governing Department employees, contractors, and grantees. The Investigations Division has field offices in Chicago, Dallas, Denver, Los Angeles, Miami, New York, and Washington, D.C. The Fraud Detection Office and the Digital Forensics and Technology Investigations Office are located in Washington, D.C. The Investigations Division has smaller area offices in Atlanta, Boston, Trenton, Detroit, El Paso, Houston, San Francisco, and Tucson. Investigations Headquarters in Washington, D.C., consists of the immediate office of the Assistant Inspector General for Investigations and the following branches: Operations, Operations II, Investigative Support, Research and Analysis, and Administrative Support.
- Evaluation and Inspections Division conducts program and management reviews that involve on-site inspection, statistical analysis, and other techniques to review Department programs and activities and makes recommendations for improvement.
- Oversight and Review Division blends the skills of attorneys, investigators, program analysts, and paralegals to review Department programs and investigates sensitive allegations involving Department employees and operations.
- Management and Planning Division provides advice to OIG senior leadership on administrative and fiscal policy and assists OIG components in the areas of budget formulation and execution, security, personnel, training, travel, procurement, property management, information technology, computer network communications, telecommunications, records management, quality assurance, internal controls, and general support.
- Office of the General Counsel provides legal advice to OIG management and staff. It also drafts memoranda on issues of law; prepares administrative subpoenas; represents the OIG in personnel, contractual, ethics, and legal matters; and responds to Freedom of Information Act requests.

### **3a. Notable Reviews and Recent Accomplishments**

#### **Information Security**

The *Federal Information Security Management Act (FISMA)* requires the Inspector General for each agency to perform an annual independent evaluation of the agency's information security programs and practices. The evaluation includes testing the effectiveness of information security policies, procedures, and practices of a representative subset of agency systems. The FY 2013 FISMA results were due to OMB by November 15, 2013.

During FY 2013, the OIG audited the FY 2012 information security programs of the FBI, JMD, ATF, DEA, Civil Division, and the Executive Office of the U.S. Trustees (EOUST) and during FY 2013 issued separate reports for its reviews of the selected security systems for the FBI, ATF, Civil Division, and EOUST. The OIG audit provided 90 recommendations for improving implementation of the Department's information security program and practices for its sensitive but unclassified, classified, and national security systems. The components agreed with the recommendations. For the FY 2013 testing period, OIG reviewed the security programs of five Department components: the FBI, JMD, USMS, Antitrust Division, and the Executive Office for Immigration Review (EOIR). The OIG plans to issue reports in March 2014 evaluating these selected systems as well as reports on each component's information security program.

In May 2013, the OIG issued a report examining an allegation that ATF Special Agent John Dodson, who provided significant information regarding ATF's handling of Operation Fast and Furious, was retaliated against through the unauthorized disclosure in late June 2011 of an ATF memorandum he had drafted. The report found that Dennis Burke, who was then United States Attorney for the District of Arizona, provided the memorandum to a Fox News producer in violation of Department policies. The OIG also concluded that Burke's disclosure was likely motivated by a desire to undermine Dodson's public criticisms of Operation Fast and Furious. The OIG did not identify any other Department employee who had disclosed this document. The OIG referred its finding regarding Burke's violation of Department policy to the Department's Office of Professional Responsibility for a determination of whether this conduct violated the Rules of Professional Conduct for the state bars of which Burke is a member.

#### **Civil Rights and Civil Liberties**

Section 1001 of the *Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act* (Patriot Act) directs the OIG to receive and review complaints of civil rights and civil liberties abuses by Department employees, to publicize how people can contact the OIG to file a complaint, and to send a semiannual report to Congress discussing the OIG's implementation of these responsibilities. In August 2013, the OIG issued its 23rd report summarizing its Section 1001 activities from January 1 through June 30, 2013. The report described the number of complaints the OIG received under this section and the status of investigations conducted by the OIG and Department components.

#### **Counterterrorism**

In May 2013, the OIG of the DOJ, Intelligence Community, Central Intelligence Agency, and Department of Homeland Security, initiated a coordinated and independent review into the U.S. Government's handling of intelligence information leading up to the Boston Marathon

Bombings. The Director of National Intelligence supports the review, which will examine the information-sharing protocols and procedures followed between and among the intelligence and law enforcement agencies.

In May 2013, the OIG issued an interim report on the audit of the Witness Security Program (WITSEC); the OIG found that WITSEC Program participants include individuals known or suspected by the federal government to be involved in terrorism. This includes individuals trained in areas such as aviation and explosives, involved in plotting bombing attacks, and guilty of serious offenses such as conspiracy to murder U.S. nationals. The OIG also found significant deficiencies in the handling of known or suspected terrorists who were admitted into the WITSEC Program. Specifically, the OIG determined that the Criminal Division's Office of Enforcement Operations and the United States Marshals Service (USMS)—the two entities primarily responsible for managing the WITSEC Program for participants who are not incarcerated—did not involve national security stakeholders when admitting and monitoring known or suspected terrorists into the WITSEC Program. The OIG will begin issuing reports in March 2014 reflecting the evaluation of the selected systems as well as reports on each component's information security program.

## **Federal Firearms**

In April 2013, the OIG released a report examining the Bureau of Alcohol, Tobacco, Firearms and Explosives' (ATF) inspections of federal firearms licensees (FFL). The report was a follow-up to a 2004 review in which the OIG found that ATF's inspections were not fully effective in ensuring FFLs comply with federal firearms laws. The OIG found that since 2004, ATF had made a series of changes and improvements to its inspection processes and increased outreach activities to the firearms industry. However, there were four areas where ATF needed to improve its performance.

First, ATF still had not met its goal of inspecting all FFLs on a cyclical basis, resulting in over 58 percent of FFLs not being inspected within 5 years. Additionally, ATF did not track whether high-risk FFL inspections met annual operating plan priorities. Further, although ATF performed the majority of in-person follow-up compliance inspections for FFLs that received an initial telephone qualification inspection, it did not do so in every case. Finally, ATF did not ensure that administrative actions were not unduly prolonged after cases moved to Division Counsels for review. In situations where ATF concluded that revocation for a non-compliant FFL was the appropriate remedy, the administrative action process remained lengthy, sometimes lasting over 2 years.

The OIG made four recommendations to ATF. ATF concurred in whole or in part with all of the recommendations, and the OIG has requested additional information to follow up on ATF's progress in each area.

## **Criminal Law Enforcement**

On May 13, 2013, two BOP employees were arrested on a charge of witness tampering. The indictment alleges that the two employees made false statements in their written memoranda to management concerning an incident in which correctional officers used force against an inmate that resulted in injuries to the inmate. The memoranda submitted by the two employees omitted

any mention of force being used against the inmate. The investigation is being conducted by the OIG's Chicago Field Office.

On June 17, 2013, a former program director of the Family Resource Center in Seminole, Oklahoma, was arrested and pled guilty to an information filed in the Eastern District of Oklahoma on a charge of federal program theft. In pleading guilty, the program director admitted that from about February 2010 to about August 2012, she embezzled, stole, and intentionally misapplied program property worth \$90,486.14. This investigation was conducted by the OIG's Dallas Field Office with assistance from the Seminole Police Department of Seminole, Oklahoma, and the Seminole County District Attorney's Office, Wewoka, Oklahoma.

On August 13, 2013, a former FBI Special Agent and two non-Department subjects were indicted in the Southern District of New York on charges of conspiracy and bribery. The indictment alleges that, in or about September 2011 through about March 2012, the three were involved in soliciting cash payments in exchange for providing confidential internal law enforcement documents and information that the Special Agent had access to by virtue of his position.

### **Financial Enforcement**

In June 2013, the OIG issued a report on the audit of Department grants, totaling over \$23 million, awarded by OJP's Office of Juvenile Justice and Delinquency Prevention to the Big Brothers Big Sisters of America (BBBSA). The grants, awarded in 2009, 2010, and 2011, were to support BBBSA's national programs designed to provide mentoring services to tribal youth, youth with a parent in the military, and other high-risk populations that were considered underserved. The audit determined that BBBSA was in material non-compliance with the majority of the grants' requirements as BBBSA's grant administration practices were inadequate to safeguard grant funds and ensure compliance with the grant-funded programs. The audit found that BBBSA could not adequately support any of the expenditures it made for the grant-funded programs because grant funds were commingled within BBBSA's general fund account, making it impossible to identify how grant funds were used. The audit also determined that BBBSA did not adequately oversee the funds provided to local affiliate agencies, charged unallowable expenditures to the grants, failed to adequately monitor consultants, and did not properly report program income generated through the programs.

In September 2013, the OIG issued a report on the audit of the FBI's accounting and reporting of funds it receives from the Crime Victims Fund (CVF) and found that the FBI did not have adequate internal controls over CVF funds and that its system to track and document CVF expenditures was insufficient and unreliable. The FBI received between \$14 million and \$18 million annually from FY 2009 through FY 2012 in CVF funds, which it used to support 134 victim specialists who assist victims and facilitate their cooperation with the investigation of federal crimes. The OIG found that in FY 2009 alone, approximately \$249,000 in transactions lacked sufficient documentation to support the expenses. In addition, the FBI had not ensured that all unspent CVF funds were returned to the FBI's CVF account, which resulted in approximately \$527,000 in CVF funds left idle at the FBI for 2 years instead of being used to fund victim services.

In November 2013, the OIG released a report examining the Drug Enforcement Administration's (DEA) accounting for Permanent Change of Station (PCS) transfers. The OIG's report found that the DEA established sound practices for the management of transfer activities and appeared to have adequate controls over resources expended on PCS transfers. The OIG audit tested PCS-related documents that included expenditure records totaling more than \$2 million and identified only five discrepancies totaling \$1,656; the DEA has taken appropriate steps to address all five discrepancies. The remaining PCS expenditures we tested were all allowable and in accordance with the General Services Administration's (GSA) Federal Travel Regulation.

In November 2013, the OIG released a report examining the U.S. Marshals Service's (USMS) use of appropriated funds to purchase promotional items, commonly referred to as "swag." The OIG found that the USMS Investigative Operations Division (IOD) spent at least \$793,118 on swag during fiscal years 2005 to 2010, and that these expenditures were excessive and, in some instances, in contravention of Department policies and Government Accountability Office (GAO) decisions and guidance. We found that the significant growth in spending on swag was the result of the absence of internal controls and accountability within the USMS, and the failure of USMS personnel who were given purchasing responsibilities to exercise good judgment.

Subsequent to the AG's directive to reduce such spending, the Department and the USMS issued policies that provided explicit guidance on the purchase and use of promotional items in the future. The OIG found that the new policies will encourage restraint and enhance accountability with respect to the purchase of these types of items. However, the OIG also found that the USMS policy contained flaws that the USMS should rectify. The OIG made 3 recommendations to assist the USMS in this area; the USMS concurred with all 3 recommendations.

## **Detention and Incarceration**

In April 2013, the OIG issued a report on BOP's compassionate release program. In the *Sentencing Reform Act of 1984*, Congress authorized the Director of BOP to request that a federal judge reduce an inmate's sentence for "extraordinary and compelling" circumstances. Under the statute, the request can be based on either medical or non-medical conditions that could not reasonably have been foreseen by the judge at the time of sentencing. The BOP has issued regulations and a Program Statement entitled "Compassionate Release" to implement this authority. This review assessed the BOP's compassionate release program, including whether it provides cost savings or other benefits to the BOP.

The OIG found that an effectively managed compassionate release program would result in cost savings for the BOP, as well as assist the BOP in managing its continually growing inmate population and the significant capacity challenges it is facing. However, we found that the existing BOP compassionate release program has been poorly managed and implemented inconsistently, likely resulting in eligible inmates not being considered for release and in terminally ill inmates dying before their requests were decided. In this report, we made 11 recommendations to improve the BOP's management of the compassionate release program and to ensure that eligible inmates are considered for release.

In September 2013, the OIG issued an audit examining the management of the Federal Prison Industries (FPI), a wholly owned government corporation and inmate reentry program operating within the BOP. The audit found that FPI has struggled financially in recent years, and FPI's



employment figures have also dropped in recent years. The OIG concluded that FPI's reduction in inmate employment is primarily the result of efforts to compensate for its declining revenues and earnings. In an effort to increase inmate employment, FPI also implemented an inmate job-sharing initiative in 2010; however, the OIG was unable to gauge FPI's job-sharing progress over the past 2 years in part due to FPI's unclear performance metrics for this initiative.

The audit also found that FPI's longstanding goal of employing 25 percent of the total inmate population was no longer representative of current conditions, in part because of the rise in BOP's total inmate population. Finally, the OIG determined that FPI's internal controls did not ensure that aliens who had been ordered deported were removed from FPI employment as required. As of June 2012, FPI employed 37 inmates who were under a final order of deportation and therefore appeared to be ineligible for FPI employment under federal regulations. Once the OIG brought this issue to FPI's attention, 35 of the 37 deportable inmates were immediately removed from FPI employment. The OIG made four recommendations to assist FPI in its efforts to maintain and create opportunities for inmates. The BOP agreed with the recommendations.

### **Whistleblower Ombudsperson**

The OIG's Whistleblower Ombudsperson program emphasizes the importance of educating employees and supervisors about how to report wrongdoing and the rights and protections for whistleblowers under the Whistleblower Protection Act and related civil service laws. The Whistleblower Ombudsperson program provides training for all Department OIG employees, and the OIG is working with the Department to provide this important training to other components. The OIG's public website, [www.justice.gov/oig](http://www.justice.gov/oig), currently has a designated "Hotline and Whistleblower Protection" link that leads employees and others to detailed information about how and where to report wrongdoing, whistleblower rights and protections, and an overview with contact information for the Whistleblower Ombudsperson program. The OIG continues to coordinate the working group of federal Whistleblower Ombudspersons through the Council of Inspectors General on Integrity and Efficiency (CIGIE) to facilitate the sharing of experiences and information in this area throughout the OIG community. The OIG's efforts were recognized this fall in its certification by the U.S. Office of Special Counsel pursuant to Section 2302(c) of Title 5, United States Code.

### **3b. Support for the Department's Savings and Efficiencies Initiatives.**

The OIG fully supports and participates in the Department's Savings and Efficiencies Initiatives, including:

- *Increasing the use of self-service online booking for official travel.* The OIG's online booking rate for FY 13 official travel was 85%, for estimated savings of approximately \$16,400 over agent-assisted ticketing costs.
- *Reducing commercial carrier shipping costs.* In FY 13, the OIG reduced its overnight shipping costs (i.e., Federal Express) by 15% compared to FY 2012 expenditures, saving more than \$7,000.
- *Reducing data communication lines.* By identifying and cancelling select data lines in favor of more cost-effective technology, the OIG saved more than \$30,000 in FY 13.

#### 4. Challenges

Like other organizations, the OIG must confront a variety of internal and external challenges that affect its work and impede progress towards achievement of its goals. These include the decisions Department employees make while carrying out their numerous and diverse duties, which affects the number of allegations the OIG receives, Department support for the OIG’s mission, and financial support from the Office of Management and Budget (OMB) and Congress.

The OIG views the management of human capital as a significant challenge to achieving its performance goals. In this regard, the OIG must use all available recruitment tools and hiring flexibilities in a competitive job market to attract – and keep – top talent. Maintaining an optimal, committed workforce is critical to the OIG’s overall performance and ability to achieve desired results. The OIG’s focus on ensuring that its employees have the appropriate analytical and technological skills for the OIG’s complex mission will bolster its reputation as a premier federal workplace and improve retention and results. The length of time it takes to conduct more complex audits, investigations, and reviews is directly affected by the number of experienced personnel the OIG can devote to these activities.

#### II. Summary of Program Changes

Item Name	Description				Page
		Pos.	FTE	Dollars (\$000)	
<b>Miscellaneous Program and Administrative Reductions</b>	Reductions to existing operations and services necessary to pay for increases in existing costs, including pay raises, FERS contributions, and GSA rent, among others.	0	0	(\$3,153)	19

### III. Appropriations Language and Analysis of Appropriations Language

For necessary expenses of the Office of Inspector General, [\$86,400,000] \$88,577,000, including not to exceed \$10,000 to meet unforeseen emergencies of a confidential character [ : *Provided*, That \$1,000,000 shall be used to commission an independent review of the management and policies of the Civil Rights Division].

#### Analysis of Appropriations Language

The FY 2015 request proposes to delete language requiring the Office of the Inspector General to earmark \$1 million to commission an independent review of the management and policies of the Civil Rights Division. The Office of Inspector General will be contracting for this independent review during FY 2014.

### IV. Program Activity Justification

#### A. Office of the Inspector General

OIG	Direct Pos.	Estimate	Amount
2013 Enacted with Recessions and Sequester	474	440	\$79,966,000
2014 Enacted	474	440	\$86,400,000
Adjustment to base and Technical Adjustments	0	0	\$5,330,000
2015 Current Services	474	440	\$91,730,000
2015 Program Offsets	0	0	-\$3,153,000
2015 Request	474	440	\$88,577,000
<b>Total Change 2014-2015</b>	<b>0</b>	<b>0</b>	<b>\$2,177,000</b>

#### 1. Program Description

The OIG operates as a single decision unit encompassing audits, inspections, investigations, and reviews.

## 2. Performance and Resource Tables

<b>PERFORMANCE AND RESOURCES TABLE (Goal 1)</b>										
<b>Decision Unit:</b> OIG/Audits, Inspections, Investigations, and Reviews										
<b>DOJ Strategic Plan:</b> Strategic Objective 2.6: Protect the federal fisc and defend the interests of the United States.										
<b>OIG General Goal #1:</b> Detect and deter misconduct in programs and operations within or financed by the Department.										
<b>WORKLOAD/RESOURCES</b>	<b>Target</b>		<b>Actual</b>		<b>Projected</b>		<b>Changes</b>		<b>Requested (Total)</b>	
	<b>FY 2013</b>		<b>FY 2013</b>		<b>FY 2014</b>		<b>Current Services Adjustment and FY 2015 Program Changes</b>		<b>FY 2015 Request</b>	
<b>Total Costs and FTE</b>	<u>FTE</u>	<u>\$000</u>	<u>FTE</u>	<u>\$000</u>	<u>FTE</u>	<u>\$000</u>	<u>FTE</u>	<u>\$000</u>	<u>FTE</u>	<u>\$000</u>
(reimbursable FTE are included, but reimbursable costs are bracketed and not included in the total)	440	\$79,966	440	\$79,966	440	\$86,400	0	\$2,177	440	\$88,577
		[\$12,447]		[\$12,447]		[\$12,785]		[\$-84]		[\$12,701]
<b>Performance Report and Performance Plan</b>										
Number of Cases Opened per 1,000 DOJ employees:										
	Fraud*	*	0.63	*						
	Bribery*	*	0.16	*						
	Rights Violations*	*	0.17	*						
	Sexual Crimes*	*	0.35	*						
	Official Misconduct*	*	1.48	*						
	Theft*	*	0.22	*						
<b>Workload</b>										
	Investigations closed	300	366	264	0	264				
	Integrity Briefings/Presentations to DOJ employees	75	85	65	0	65				
	DOJ employees at Integrity Briefings	3,500	3,710	3,080	0	3,080				
*Indicators for which the OIG only reports actuals.										

**PERFORMANCE AND RESOURCES TABLE (Goal 1)  
(continued)**

**Decision Unit:** OIG/Audits, Inspections, Investigations, and Reviews

**DOJ Strategic Plan:** Strategic Objective 2.6: Protect the federal fisc and defend the interests of the United States.

**OIG General Goal #1:** Detect and deter misconduct in programs and operations within or financed by the Department.

WORKLOAD/RESOURCES	Target		Actual		Projected		Changes		Requested (Total)	
	FY 2013		FY 2013		FY 2014		Current Services Adjustment and FY 2015 Program Changes		FY 2015 Request	
<b>Total Costs and FTE</b>	FTE	\$000	FTE	\$000	FTE	\$000	FTE	\$000	FTE	\$000
(reimbursable FTE are included, but reimbursable costs are bracketed and not included in the total)	440	\$79,966	440	\$79,966	440	\$86,400	0	\$2,177	440	\$88,577
		[\$12,447]		[\$12,447]		[\$12,785]		[-\$84]		[\$12,701]
<b>Performance Report and Performance Plan</b>										
<b>Intermediate Outcome</b>										
Percentage of Investigations closed or referred for prosecution within 6 months #		75%		72%		75%		0%		75%
Number of closed Investigations substantiated*		*		221		*		*		*
Arrests *		*		86		*		*		*
<b>End Outcome</b>										
Convictions *		*		63		*		*		*
Administrative Actions *		*		266		*		*		*
Response to Customer Surveys:										
Report completed in a timely manner (%)		90%		100%		90%				90%
Issues were sufficiently addressed (%)		90%		99%		90%				90%

\*Indicators for which the OIG only reports actuals.

#FY 2013 numbers dropped due to cases that required more than 6 months to close or refer.

**PERFORMANCE AND RESOURCES TABLE (Goal 1)**

**DOJ Strategic Plan:** Strategic Objective 2.6: Protect the federal fisc and defend the interests of the United States.

**OIG General Goal #1:** Detect and deter misconduct in programs and operations within or financed by the Department.

**Data Definition, Validation, Verification, and Limitations**

**A. Data Definition:**

The OIG does not project targets and only reports actuals for workload measures, the number of closed investigations substantiated, arrests, convictions, and administrative actions. The number of convictions and administrative actions are not subsets of the number of closed investigations substantiated.

**B. Data Sources, Validation, Verification, and Limitations:**

Investigations Data Management System (IDMS) – consists of a computer-based relational database system that became operational in June 2005.

The database administrator runs routine maintenance programs against the database. Database maintenance plans are in place to examine the internal physical structure of the database, backup the database and transaction logs, handle index tuning, manage database alerts, and repair the database if necessary. Currently, the general database backup is scheduled nightly and the transaction log is backed up in 3 hour intervals. In FY 2014 we will be upgrading to a web based technology.

Investigations Division Report of Investigation (ROI) Tracking System - a web-based SQL-Server application that tracks all aspects of the ROI lifecycle. The ROI and Abbreviated Report of Investigation (AROI) are the culmination of OIG investigations and are submitted to DOJ components. These reports are typically drafted by an agent and go through reviews at the Field Office and at Headquarters levels before final approval by Headquarters. The ROI Tracking System reads data from IDMS. By providing up-to-the-minute ROI status information, the Tracking System is a key tool in improving the timeliness of the Division's reports. The ROI Tracking System also documents the administration of customer satisfaction questionnaires sent with each completed investigative report to components and includes all historical data. The system captures descriptive information as well as questionnaire responses. Descriptive information includes the questionnaire form administered, distribution and receipt dates, and component and responding official. The database records responses to several open-ended questions seeking more information on deficiencies noted by respondents and whether a case was referred for administrative action and its outcome. Questionnaire responses are returned to Investigations Headquarters and are manually entered into the Tracking System by Headquarters personnel. No data validation tools, such as double key entry, are used though responses are entered through a custom form in an effort to ease input and reduce errors.

Investigations Division Investigative Activity Report – Most of the data for this report is collected in IDMS. The use of certain investigative techniques and integrity briefing activities are also tracked externally by appropriate Headquarters staff.

**C. FY 2014 Performance Report:**

For the workload measure "Investigations Closed," the OIG has plans to focus on more complex and document-intensive cases (e.g., grant and contract fraud) that require more in-depth financial and forensic analysis. The OIG is also diversifying its caseload to extend more investigative coverage to other Department components.

**PERFORMANCE MEASURE TABLE (Goal 1)**

**Decision Unit/Program:** OIG/Audits, Inspections, Investigations, and Reviews

**DOJ Strategic Plan:** Strategic Objective 2.6: Protect the federal fisc and defend the interests of the United States.

**OIG General Goal #1:** Detect and deter misconduct in programs and operations within or financed by the Department.

<b>Performance Report</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013</b>	<b>FY 2014</b>	<b>FY 2015</b>
<b>Workload</b>	<b>Actual</b>	<b>Actuals</b>	<b>Actuals</b>	<b>Actuals</b>	<b>Actuals</b>	<b>Target</b>	<b>Target</b>
Number of Cases Opened per 1,000 DOJ employees:							
Fraud*	0.50	0.50	0.58	0.51	0.63	*	*
Bribery*	0.30	0.24	0.21	0.20	0.16	*	*
Rights Violations*	0.15	0.11	0.10	0.13	0.17	*	*
Sexual Crimes*	0.21	0.29	0.40	0.37	0.35	*	*
Official Misconduct*	1.28	1.05	1.00	1.28	1.48	*	*
Theft*	0.25	0.17	0.22	0.22	0.22	*	*
Investigations closed	367	300	356	361	366	264	264
Integrity Briefings and Presentations to DOJ employees	346	91	89	134	85	65	65
DOJ employees attending Integrity Briefings	7,545	4,527	3,551	7,200	3,710	3,080	3,080
<b>Intermediate Outcome</b>							
Percentage of Investigations closed or referred for prosecution within 6 months#	N/A	N/A	N/A	71	72	75	75
Number of closed Investigations substantiated (QSR Measure)*	218	180	223	215	221	*	*
Arrests*	111	114	113	90	86	*	*
<b>End Outcome</b>							
Convictions*	104	105	104	94	63	*	*
Administrative Actions	211	207	198	192	266	*	*
Response to Customer Surveys:							
Report completed in a timely manner (%)	100%	100%	100%	100%	100%	90%	90%
Issues were sufficiently addressed (%)	100%	100%	100%	100%	99%	90%	90%
* Indicators for which the OIG only reports actuals.							
#FY 2013 numbers dropped due to cases that required more than 6 months to close or refer.							

**PERFORMANCE AND RESOURCES TABLE (Goal 2)**

**Decision Unit:** OIG/Audits, Inspections, Investigations, and Reviews

**DOJ Strategic Plan:** Strategic Objective 2.6: Protect the federal fisc and defend the interests of the United States.

**OIG General Goal #2:** Promote the efficiency and effectiveness of Department programs and operations.

<b>WORKLOAD/RESOURCES</b>	<b>Target</b>		<b>Actual</b>		<b>Projected</b>		<b>Changes</b>		<b>Requested (Total)</b>	
							<b>Current Services Adjustment and FY 2015 Program Changes</b>		<b>FY 2015 Request</b>	
	<b>FY 2013</b>		<b>FY 2013</b>		<b>FY 2014</b>					
<b>Total Costs and FTE</b>	FTE	\$000	FTE	\$000	FTE	\$000	FTE	\$000	FTE	\$000
(Reimbursable FTE are included, but reimbursable costs are bracketed and not included in the total.)	440	\$79,966 [\$12,447]	440	\$79,966 [\$12,447]	440	\$86,400 [\$12,785]	0	\$2,177 [\$-84]	440	\$88,577 [\$12,701]
<b>Performance Report and Performance Plan</b>										
<b>Workload</b>										
Audit and E&I assignments initiated		102		103		89		3		92
Percent of Audit CSITAO resources devoted to security reviews of major Dept. information systems		75%		97%		75%				75%
Percent of internal DOJ audit assignments that assess component performance measures		18%		40%		18%				18%
Percentage of E&I assignments opened and initiated during the fiscal year devoted to Top Management Challenges [Refined Measure]		NA		NA		45%				45%
Percent of direct resources devoted to audit products related to Top Management Challenges, and GAO and JMD-identified High-Risk Areas		75%		96%		80%				80%
Percent of direct resources devoted to E&I products related to Top Management Challenges, and GAO and JMD-identified High-Risk Areas*		75%		81%		NA				NA
<b>Intermediate Outcome</b>										
Audit and E&I assignments completed		94		117		84		3		87

\*This measure will no longer be used. It may or may not be replaced by a refined measure.



**PERFORMANCE AND RESOURCES TABLE (Goal 2)  
(continued)**

**Decision Unit:** OIG/Audits, Inspections, Investigations, and Reviews

**DOJ Strategic Plan:** Strategic Objective 2.6: Protect the federal fisc and defend the interests of the United States.

**OIG General Goal #2:** Promote the efficiency and effectiveness of Department programs and operations.

<b>WORKLOAD/RESOURCES</b>	<b>Final Target</b>		<b>Actual</b>		<b>Projected</b>		<b>Changes</b>		<b>Requested (Total)</b>	
							<b>Current Services</b>			
							<b>Adjustment and FY 2015</b>		<b>FY 2015 Request</b>	
	<b>FY 2013</b>		<b>FY 2013</b>		<b>FY 2014</b>		<b>Program Changes</b>			
<b>Total Costs and FTE</b>	<b>FTE</b>	<b>\$000</b>	<b>FTE</b>	<b>\$000</b>	<b>FTE</b>	<b>\$000</b>	<b>FTE</b>	<b>\$000</b>	<b>FTE</b>	<b>\$000</b>
(reimbursable FTE are included, but reimbursable costs are bracketed and not included in the total)	440	\$79,966	440	\$79,966	440	\$86,400	0	\$2,177	440	\$88,577
		[\$12,447]		[\$12,447]		[\$12,785]		[-\$84]		[\$12,701]
<b>Performance Report and Performance Plan</b>										
<b>Intermediate Outcome</b>										
Percent of Audit resources devoted to reviews of grants and grant management		40%		51%		40%				40%
Components receiving information system audits		6		10		5				5
Products issued to the Dept. containing significant findings or information for management decision-making by Audit & E&I		94		98		77		3		80
Products issued to Congress by Audit and E&I*		94		98		NA				NA
Percent of E&I assignments completed within 7 months*		60%		***25%		NA				NA
Percent of less complex internal DOJ reviews to be provided to the IG as a working draft within an average of 8 months. [Refined Measure]**		NA		NA		35%				35%
Percent of more complex internal DOJ reviews to be provided to the IG as a working draft within an average of 11 months. [Refined Measure]**		NA		NA		35%				35%
Percent of contract, grant, IGA, and other external audits to be completed in draft within 5 months*		50%		22%		NA				NA
Percent of contract, grant, IGA, and other external audits to be completed in draft within 8 months [Refined Measure]		NA		49%		50%				50%
Percent of less complex internal DOJ audits to be completed as a working draft within 8 months. [New Measure]		NA		NA		35%				35%
Percent of internal DOJ audits to be completed in draft within 1 year*		40%		40%		NA				NA
Percent of more complex internal DOJ audits to be completed as a working draft within 13 months [New Measure]		NA		NA		35%				35%

\*This measure will no longer be used. It may or may not be replaced by a refined measure.

\*\* These two timeliness measures reflect the 2014 Assistant Inspector General (AIG) for Evaluation and Inspection Division Performance Work Plan (PWP) (excellent level performance metric) and replace the 7 -month performance metric used in FY 2013.

\*\*\* Target not achieved due to new business process and timeline for completing assignments in FY 2013 as well as on-board staffing levels were reduced (on average) by 20 percent all year.

**PERFORMANCE AND RESOURCES TABLE (Goal 2)  
(continued)**

**DOJ Strategic Plan:** Strategic Objective 2.6: Protect the federal fisc and defend the interests of the United States.

**OIG General Goal #2:** Promote the efficiency and effectiveness of Department programs and operations.

**Data Definition, Validation, Verification, and Limitations**

**A. Data Definition:**

"Assignment" covers all audits (including internals, CFO Act, and externals, but **not** Single Audits), evaluations, and inspections. "Assignments" may also include activities that do not result in a report or product (e.g., a memorandum to file rather than a report); or reviews initiated and then cancelled.

**B. Data Sources, Validation, Verification, and Limitations:**

Project Resolution and Tracking (PRT) system- PRT was implemented on April 18, 2011; this OIG system was designed to track audits, evaluations, and reviews from initiation to completion. The system provides senior management with the data to respond to information requests and to track and report on current status of work activities. Work activities prior to PRT were conducted by using two separate systems: the Audit Division Administrative Management System (ADAM) and Inspection Tracking System (ITS).

**C. FY 2014 Performance Report:** N/A

**PERFORMANCE MEASURE TABLE (Goal 2)**

<b>Decision Unit/Program:</b> OIG/Audits, Inspections, Investigations, and Reviews							
<b>DOJ Strategic Plan:</b> Strategic Objective 2.6: Protect the federal fisc and defend the interests of the United States.							
<b>OIG General Goal #2:</b> Promote the efficiency and effectiveness of Department programs and operations.							
<b>Performance Report</b>	<b>FY 2009</b>	<b>FY 2010</b>	<b>FY 2011</b>	<b>FY 2012</b>	<b>FY 2013</b>	<b>FY 2014</b>	<b>FY 2015</b>
<b>Workload</b>	<b>Actual</b>	<b>Actuals</b>	<b>Actuals</b>	<b>Actuals</b>	<b>Actuals</b>	<b>Target</b>	<b>Target</b>
Audit and E&I assignments initiated	159	142	124	116	103	89	92
Percent of Audit CSITAO resources devoted to security reviews of major Dept. information systems	75%	82%	92%	97%	75%	75%	75%
Percent of internal DOJ audit assignments that assess component performance measures	18%	20%	20%	42%	40%	18%	18%
Percentage of E&I assignments opened and initiated during the fiscal year devoted to Top Management Challenges.* [Refined Measure]	NA	NA	NA	NA	NA	45%	45%
Percent of direct resources devoted to audit products related to Top Management Challenges, and GAO and JMD-identified High-Risk Areas.	94%	89%	86%	93%	96%	80%	80%
Percent of direct resources devoted to E&I products related to Top Management Challenges, and GAO and JMD-identified High-Risk Areas.	94%	89%	86%	93%	81%	NA	NA
<b>Intermediate Outcome</b>							
Audit and E&I Assignments completed*	155	128	99	109	117	84	87
Percent of Audit resources devoted to reviews of grants and grant management	47%	49%	39%	42%	40%	40%	40%
Components receiving information system audits	6	7	8	11	6	5	5
Products issued to the Dept. containing significant findings or information for management decision-making by Audit and E&I	116	107	99	187	98	77	80
Products issued to Congress by Audit and E&I*	47	49	91	94	98	NA	NA
Percent of E&I assignments completed within 7 months*	17%	40%	25%	NA	25%	NA	NA
Percent of less complex internal DOJ reviews to be provided to the IG as a working draft within an average of 8 months. [Refined Measure]**	NA	NA	NA	NA	NA	35%	35%
Percent of more complex internal DOJ reviews to be provided to the IG as a working draft within an average of 11 months. [Refined Measure]**	NA	NA	NA	NA	NA	35%	35%
Percent of contract, grant, IGA, and other external audits to be completed in draft within 5 months*	60%	64%	54%	34%	22%	NA	NA
Percent of contract, grant, IGA, and other external audits to be completed in draft within 8 months [Refined Measure]	NA	NA	NA	NA	49%	50%	50%
Percent of less complex internal DOJ audits to be completed as a working draft within 8 months. [New Measure]	NA	NA	NA	NA	NA	35%	35%
Percent of internal DOJ audits to be completed in draft within 1 year*	NA	NA	NA	NA	40%	NA	NA
Percent of more complex internal DOJ audits to be completed as a working draft within 13 months [New Measure]	NA	NA	NA	NA	NA	35%	35%

\*This measure will no longer be used. It may or may not be replaced by a refined measure. measures are based on sequestration, subsequent budgetary cuts, and reduced staffing levels.

\*\* These two timeliness measures reflect the 2014 Assistant Inspector General (AIG) for Evaluation and Inspection Division Performance Work Plan (PWP) (excellent level performance metric ) and replace the 7 -month performance metric used in FY 2013.

\*\*\* Target not achieved due to new business process and timeline for completing assignments in FY 2013 as well as on-board staffing levels were reduced (on average) by 20 percent all year.

### **3. Performance, Resources, and Strategies**

#### **a. Performance Plan and Report for Outcomes**

As illustrated in the preceding Performance and Resources Tables, the OIG helps the Department achieve its strategic goals through conduct of its audits and its special reviews. Specifically, the OIG contributes to promoting the efficiency and integrity in the Department's programs and its operations. For the Department's programs and activities to be effective, Department personnel, contractors, and grantees must conduct themselves in accordance with the highest standards of integrity, accountability, and efficiency. The 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. In addition, the OIG 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 the OIG's investigative, audit, inspection, and special review resources.

The OIG continues to review its performance measures and targets, especially in light of the changing nature of the cases it investigates and the Department programs it audits and reviews. Today's work is much more complex and expansive than it was only a few years ago. The number of documents to be reviewed, the number of people to interview, the amount of data to examine, and the analytical work involved in many OIG products are significantly greater than in prior years.

#### **b. Strategies to Accomplish Outcomes**

The OIG will devote all resources necessary to 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. The OIG will use its audit, inspection, and attorney resources to review Department programs or activities identified as high-priority areas in the Department's strategic plan and devote resources to review the Department's Top Management and Performance Challenges.

## V. Program Offsets by Item

**A. Item Name:** **Miscellaneous Program and Administrative Reductions**

Strategic Goal: Strategic Goal 2  
Strategic Objective: Strategic Objective 2.6  
Budget Decision Unit(s): OIG  
Organizational Program: OIG

Program Offset: Positions +0 Agt/Atty +0/+0 FTE +0 Dollars (\$3,153.000)

### Description of Item:

Program and administrative reductions will be identified once funds are appropriated.

### Justification:

Reductions to existing operations and services are necessary to pay for increases in existing costs, including pay raises, FERS contributions, and GSA rent, among others. Program and administrative reductions will be identified once funds are appropriated.

### Impact on Performance

Performance impact information is not yet available for this offset.

## APPENDIX A

# Statistical Highlights

April 1, 2012 – September 30, 2012

The following table summarizes Office of the Inspector General (OIG) activities discussed in our most recent *Semiannual Report to Congress*. As these statistics and the following highlights illustrate, the OIG continues to conduct wide-ranging oversight of Department of Justice (Department) programs and operations.

Source of Allegations	
Hotline (telephone, mail, and e-mail)	2,039
Other Sources	4,285
Total allegations received	6,324

Investigative Caseload	
Investigations opened this period	242
Investigations closed this period	207
Investigations in progress as of 9/30/12	446

Prosecutive Actions	
Criminal indictments/informations	41
Arrests	45
Convictions/Pleas	32

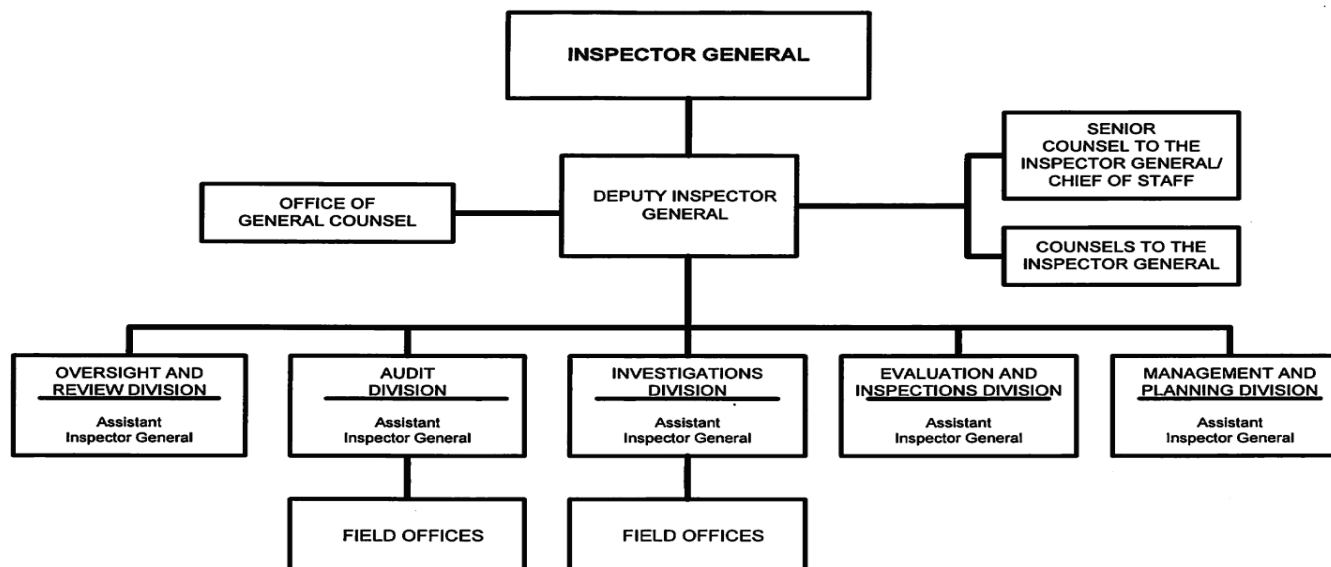
Administrative Actions	
Terminations	29
Resignations	54
Disciplinary action	78

Monetary Results	
Fines/Restitutions/Recoveries/Assessments/Forfeitures	\$125,522
Civil Fines/Restitutions/Recoveries/Penalties/Damages/Forfeitures	\$11,311,995

# A: Organizational Chart

## OFFICE OF THE INSPECTOR GENERAL



Approved by: Michael E. Horowitz Date: 9/27/12  
Michael E. Horowitz  
Inspector General

**B. Summary of Requirements**

**Summary of Requirements**

Office of the Inspector General

Salaries and Expenses

(Dollars in Thousands)

	FY 2015 Request		
	Direct Positions	FTE	Amount
<b>2013 Enacted</b>	<b>474</b>	<b>440</b>	<b>85,985</b>
2013 Rescissions (1.877% & 0.2%)			-1,783
2013 Sequester			-4,236
2013 Balance Rescission			0
2013 Hurricane Sandy Supplemental			
<b>Total 2013 Enacted (with Rescissions and Sequester)</b>	<b>474</b>	<b>440</b>	<b>79,966</b>
<b>2014 Enacted</b>	<b>0</b>	<b>0</b>	<b>86,400</b>
2014 Balance Rescission	0	0	0
<b>Total 2014 Enacted (with Balance Rescission)</b>	<b>474</b>	<b>440</b>	<b>86,400</b>
<b>Base Adjustments</b>			
Pay and Benefits	0	0	1,660
Domestic Rent and Facilities	0	0	3,670
<b>Total Base Adjustments</b>	<b>0</b>	<b>0</b>	<b>5,330</b>
<b>Total Technical and Base Adjustments</b>	<b>0</b>	<b>0</b>	<b>5,330</b>
<b>2015 Current Services</b>	<b>474</b>	<b>440</b>	<b>91,730</b>
<b>Program Changes</b>			
Offsets:			
Miscellaneous Program and Administrative Reductions	0	0	-3,153
Subtotal, Offsets	0	0	-3,153
<b>Total Program Changes</b>	<b>0</b>	<b>0</b>	<b>-3,153</b>
<b>2015 Total Request</b>	<b>0</b>	<b>0</b>	<b>88,577</b>
2015 Balance Rescission	0	0	0
<b>2015 Total Request (with Balance Rescission)</b>	<b>474</b>	<b>440</b>	<b>88,577</b>
2014 - 2015 Total Change	0	0	2,177

Note: The FTE for FY 2013 is actual and for FY 2014 and FY 2015 is estimated.



**B. Summary of Requirements**

**Summary of Requirements**

Office of the Inspector General

Salaries and Expenses

(Dollars in Thousands)

Program Activity	2013 Enacted with Rescissions and Sequester			2014 Enacted			2015 Technical and Base Adjustments			2015 Current Services		
	Direct Pos.	Actual FTE	Amount	Direct Pos.	Est. FTE	Amount	Direct Pos.	Est. FTE	Amount	Direct Pos.	Est. FTE	Amount
Audits, Inspections, Investigations and Reviews	474	419	79,966	474	419	86,400	0	0	5,330	474	419	91,730
<b>Total Direct</b>	<b>474</b>	<b>419</b>	<b>79,966</b>	<b>474</b>	<b>419</b>	<b>86,400</b>	<b>0</b>	<b>0</b>	<b>5,330</b>	<b>474</b>	<b>419</b>	<b>91,730</b>
Balance Rescission			0			0			0			0
Total Direct with Rescission			79,966			86,400			5,330			91,730
Reimbursable FTE		21			21			0			21	
Total Direct and Reimb. FTE		440			440			0			440	
Grand Total, FTE		440			440			0			440	

Program Activity	2015 Increases			2015 Offsets			2015 Request		
	Direct Pos.	Est. FTE	Amount	Direct Pos.	Est. FTE	Amount	Direct Pos.	Est. FTE	Amount
Audits, Inspections, Investigations and Reviews	0	0	0	0	0	-3,153	474	419	88,577
<b>Total Direct</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>-3,153</b>	<b>474</b>	<b>419</b>	<b>88,577</b>
Balance Rescission			0			0			0
Total Direct with Rescission			0			-3,153			88,577
Reimbursable FTE		0			0			21	
Total Direct and Reimb. FTE		0			0			440	
								0	
Grand Total, FTE		0			0			440	

**C. Program Changes by Decision Unit**

**FY 2015 Program Changes by Decision Unit**

Office of the Inspector General

Salaries and Expenses

(Dollars in Thousands)

Program Offsets	Location of Description in Narrative	OIG			
		Direct Pos.	Agt./ Atty.	Est. FTE	Amount
Miscellaneous Program and Administrative Reductions	19	0	0	0	-3,153
<b>Total Program Offsets</b>		<b>0</b>	<b>0</b>	<b>0</b>	<b>-3,153</b>

D. Resources by DOJ Strategic Goal and Strategic Objective

**Resources by Department of Justice Strategic Goal/Objective**

Office of the Inspector General

Salaries and Expenses

(Dollars in Thousands)

Strategic Goal and Strategic Objective	2013 Enacted with Rescissions and Sequester		2014 Enacted		2015 Current Services		2015 Increases		2015 Offsets		2015 Total Request	
	Direct/ Reimb FTE	Direct Amount	Direct/ Reimb FTE	Direct Amount	Direct/ Reimb FTE	Direct Amount	Direct/ Reimb FTE	Direct Amount	Direct/ Reimb FTE	Direct Amount	Direct/ Reimb FTE	Direct Amount
2.6 Protect the federal fisc and defend the interests of the United States	440	79,966	440	86,400	440	91,730	0	0	0	-3,153	440	88,577
<b>Subtotal, Goal 2</b>	<b>440</b>	<b>79,966</b>	<b>440</b>	<b>86,400</b>	<b>440</b>	<b>91,730</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>-3,153</b>	<b>440</b>	<b>88,577</b>
<b>TOTAL</b>	<b>440</b>	<b>79,966</b>	<b>440</b>	<b>86,400</b>	<b>440</b>	<b>91,730</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>-3,153</b>	<b>440</b>	<b>88,577</b>

**Note:** Excludes Balance Rescission and/or Supplemental Appropriations.

## E. Justification for Technical and Base Adjustments

### Justifications for Technical and Base Adjustments

Office of the Inspector General

Salaries and Expenses

(Dollars in Thousands)

	Direct Pos.	Estimate FTE	Amount
<b>Pay and Benefits</b>			
1 <u>2015 Pay Raise:</u> This request provides for a proposed 1 percent pay raise to be effective in January of 2015. The increase only includes the general pay raise. The amount requested, \$402,000 represents the pay amounts for 3/4 of the fiscal year plus appropriate benefits (\$301,500 for pay and \$100,500 for benefits.)			402
2 <u>Annualization of 2014 Pay Raise:</u> This pay annualization represents first quarter amounts (October through December) of the 2014 pay increase of 1.0% included in the 2014 President's Budget. The amount requested, \$146,000, represents the pay amounts for 1/4 of the fiscal year plus appropriate benefits (\$102,200 for pay and \$43,800 for benefits).			146
3 <u>FERS Regular/Law Enforcement Retirement Contribution:</u> Effective October 1, 2014 (FY 2015), the <b>new agency contribution rates of 13.2% (up from the current 11.9%, or an increase of 1.3%) and 28.8% for law enforcement personnel (up from the current 26.3%, or an increase of 2.5%).</b> The amount requested, \$804,000, represents the funds needed to cover this increase.			804
4 <u>Employee Compensation Fund:</u> The \$95,000 request reflects anticipated changes in payments to the Department of Labor for injury benefits under the Federal Employee Compensation Act.			95
5 <u>Health Insurance:</u> Effective January 2015, the Office of the Inspector General's contribution to Federal employees' health insurance increases by 5.1 percent. Applied against the 2014 estimate of \$2,766,000 the additional amount required is \$142,000.			142
6 <u>Retirement:</u> Agency retirement contributions increase as employees under CSRS retire and are replaced by FERS employees. Based on U.S. Department of Justice Agency estimates, we project that the DOJ workforce will convert from CSRS to FERS at a rate of 1.3 percent per year. The requested increase of \$71,000 is necessary to meet our increased retirement obligations as a result of this conversion.			71
<b>Subtotal, Pay and Benefits</b>	<b>0</b>	<b>0</b>	<b>1,660</b>
<b>Domestic Rent and Facilities</b>			
1 <u>General Services Administration (GSA) Rent:</u> GSA will continue to charge rental rates that approximate those charged to commercial tenants for equivalent space and related services. The requested increase of \$921,000 is required to meet our commitment to GSA. The costs associated with GSA rent were derived through the use of an automated system, which uses the latest inventory data, including rate increases to be effective FY 2015 for each building currently occupied by Department of Justice components, as well as the costs of new space to be occupied. GSA provides data on the rate increases.			921
2 <u>Guard Services:</u> This includes Department of Homeland Security (DHS) Federal Protective Service charges, Justice Protective Service charges and other security services across the country. The requested increase of \$2,000 is required to meet these commitments.			2
3 <u>Moves (Lease Expirations):</u> GSA requires all agencies to pay relocation costs associated with lease expirations. This request provides for the costs associated with new office relocations caused by the expiration of leases in FY 2015.			2,747
<b>Subtotal, Domestic Rent and Facilities</b>	<b>0</b>	<b>0</b>	<b>3,670</b>
<b>TOTAL DIRECT TECHNICAL and BASE ADJUSTMENTS</b>	<b>0</b>	<b>0</b>	<b>5,330</b>

F. Crosswalk of 2013 Availability

**Crosswalk of 2013 Availability**

Office of the Inspector General  
Salaries and Expenses  
(Dollars in Thousands)

Program Activity	2013 Appropriation Enacted w/o Balance Rescission <sup>1</sup>			Supplementals			Balance Rescission			Sequester			Reprogramming/Transfers			Carryover	Recoveries/Refunds	2013 Actual		
	Direct Pos.	Actual FTE	Amount	Direct Pos.	Actual FTE	Amount	Direct Pos.	Actual FTE	Amount	Direct Pos.	Actual FTE	Amount	Direct Pos.	Actual FTE	Amount	Amount	Amount	Direct Pos.	Actual FTE	Amount
Audits, Inspections, Investigations and Reviews	474	419	85,985	0	0	0	0	0	-1,783	0	0	-4,236	0	0	664	203	0	474	419	80,833
<b>Total Direct</b>	<b>474</b>	<b>419</b>	<b>85,985</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>-1,783</b>	<b>0</b>	<b>0</b>	<b>-4,236</b>	<b>0</b>	<b>0</b>	<b>664</b>	<b>203</b>	<b>0</b>	<b>474</b>	<b>419</b>	<b>80,833</b>
Reimbursable FTE		21			0			0			0			0					21	
Total Direct and Reimb. FTE		440			0			0			0			0					440	
<b>Grand Total, FTE</b>		<b>440</b>			<b>0</b>			<b>0</b>			<b>0</b>			<b>0</b>					<b>440</b>	

**Footnotes:**

1) The 2013 Enacted appropriation includes the 2 across-the-board rescissions of 1.877% and 0.2%

**Reprogramming/Transfers**

The approved sequestration plan submitted to Congress on April 17, 2013 stated that up to \$664,000 could be transferred to the OIG from the Federal Prisoner Detention (FPD) appropriation. The full \$664,000 was transferred to OIG.

**Carryover:**

Carryover in the amount of \$200K for the American Recovery and Reinvestment Act (ARRA) of 2009 was available to the OIG for obligation until December 31, 2012.

Carryover in the amount of \$3K in our Global War on Terrorism No Year account (GWOT)

G. Crosswalk of 2014 Availability

**Crosswalk of 2014 Availability**  
 Office of the Inspector General  
 Salaries and Expenses  
 (Dollars in Thousands)

Program Activity	FY 2014 Enacted			Reprogramming/Transfers			Carryover	Recoveries/Refunds	2014 Availability		
	Direct Pos.	Estim. FTE	Amount	Direct Pos.	Estim. FTE	Amount	Amount	Amount	Direct Pos.	Estim. FTE	Amount
Audits, Inspections, Investigations and Reviews	474	419	86,400	0	0	0	0	0	474	419	86,400
<b>Total Direct</b>	<b>474</b>	<b>419</b>	<b>86,400</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>474</b>	<b>419</b>	<b>86,400</b>
Balance Rescission			0								0
Total Direct with Rescission			86,400								86,400
Reimbursable FTE		21			0		0			21	
Total Direct and Reimb. FTE		440			0		0			440	
Grand Total, FTE		440			0		0			440	

H. Summary of Reimbursable Resources

**Summary of Reimbursable Resources**

Office of the Inspector General  
Salaries and Expenses  
(Dollars in Thousands)

Collections by Source	2013 Actuals			2014 Planned			2015 Request			Increase/Decrease		
	Reimb. Pos.*	Reimb. FTE**	Amount	Reimb. Pos.*	Reimb. FTE**	Amount	Reimb. Pos.*	Reimb. FTE**	Amount	Reimb. Pos.*	Reimb. FTE**	Amount
Federal Bureau of Investigation	0	2	1,554	0	2	1,639	0	2	1,657	0	0	18
Offices, Boards, and Divisions	0	5	4,472	0	5	4,691	0	6	5,606	0	1	915
Asset Forfeiture Fund	0	2	1,080	0	2	1,100	0	2	1,107	0	0	7
Federal Bureau of Prisons	0	2	1,074	0	2	1,125	0	2	1,132	0	0	7
Federal Prison Industries	0	2	1,007	0	2	1,014	0	2	1,019	0	0	5
United States Marshals Service	0	2	1,173	0	2	1,129	0	0	0	0	-2	-1,129
Working Capital Fund (ITSS)	0	7	1,905	0	7	2,026	0	7	2,180	0	0	154
IG Criminal Investigator Academy	0	0	176	0	0	61	0	0	0	0	0	-61
<b>Budgetary Resources</b>	<b>21</b>	<b>21</b>	<b>12,441</b>	<b>21</b>	<b>21</b>	<b>12,785</b>	<b>21</b>	<b>21</b>	<b>12,701</b>	<b>0</b>	<b>0</b>	<b>-84</b>

\*Reimbursable Positions are not able to be split by Collection Source.

\*\*The columns will add to a different amount due to rounding.

I. Detail of Permanent Positions by Category

**Detail of Permanent Positions by Category**

Office of the Inspector General

Salaries and Expenses

(Dollars in Thousands)

Category	2013 Enacted with Rescissions & Sequestration		2014 Enacted		2015 Request				
	Direct Pos.	Reimb. Pos.	Direct Pos.	Reimb. Pos.	ATBs	Program Increases	Program Offsets	Total Direct Pos.	Total Reimb. Pos.
Personnel Management (200-299)	7	0	7	0	0	0	0	7	0
Clerical and Office Services (300-399)	160	3	160	3	0	0	0	160	3
Accounting and Budget (500-599)	95	11	95	11	0	0	0	95	11
Attorneys (905)	30	0	30	0	0	0	0	30	0
Paralegals / Other Law (900-998)	5	0	5	0	0	0	0	5	0
Operation Research Analyst (1515)	2	0	2	0	0	0	0	2	0
Miscellaneous Inspectors Series (1802)	9	0	9	0	0	0	0	9	0
Criminal Investigative Series (1811)	139	0	139	0	0	0	0	139	0
Information Technology Mgmt (2210)	18	7	18	7	0	0	0	18	7
Security Specialists (080)	3	0	3	0	0	0	0	3	0
Miscellaneous Operations (010-099)	6	0	6	0	0	0	0	6	0
<b>Total</b>	<b>474</b>	<b>21</b>	<b>474</b>	<b>21</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>474</b>	<b>21</b>
Headquarters (Washington, D.C.)	228	21	228	21	0	0	0	228	21
U.S. Field	246	0	246	0	0	0	0	246	0
<b>Total</b>	<b>474</b>	<b>21</b>	<b>474</b>	<b>21</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>474</b>	<b>21</b>



**J. Financial Analysis of Program Changes**

**Financial Analysis of Program Changes**

Office of the Inspector General

Salaries and Expenses

(Dollars in Thousands)

Object Class	OIG			
	Program Increase 1		Program Offsets	
	Direct Pos.	Amount	Direct Pos.	Amount
13.0 Benefits for former personnel		0		0
21.0 Travel and Transportation of Persons		0		-631
22.0 Transportation of Things		0		-158
23.1 Rental Payments to GSA		0		0
23.3 Communications, Utilities, and Miscellaneous Charges		0		-315
24.0 Printing and Reproduction		0		-158
25.1 Advisory and Assistance Services		0		-158
25.2 Other Services from Non-Federal Sources		0		-315
25.3 Other Goods and Services from Federal Sources		0		-315
25.5 Research and Development Contracts		0		-158
25.7 Operation and Maintenance of Equipment		0		-315
26.0 Supplies and Materials		0		-315
31.0 Equipment		0		-315
<b>Total Program Change Requests</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>-3,153</b>

K. Summary of Requirements by Object Class

Summary of Requirements by Object Class

Office of the Inspector General

Salaries and Expenses

(Dollars in Thousands)

Object Class	2013 Actual		2014 Availability		2015 Request		Increase/Decrease	
	Direct FTE	Amount	Direct FTE	Amount	Direct FTE	Amount	Direct FTE	Amount
11.1 Full-Time Permanent	419	42,342	419	43,963	419	45,285	0	1,322
11.3 Other than Full-Time Permanent	0	1,442	0	847	0	994	0	147
11.5 Other Personnel Compensation	0	3,160	0	3,600	0	3,456	0	-144
<i>Overtime</i>	0	0	0	0	0	0	0	0
<i>Other Compensation</i>	0	0	0	0	0	0	0	0
11.8 Special Personal Services Payments	0	-3	0	0	0	0	0	0
<b>Total</b>	<b>419</b>	<b>46,941</b>	<b>419</b>	<b>48,410</b>	<b>419</b>	<b>49,735</b>	<b>0</b>	<b>1,325</b>
<b>Other Object Classes</b>								
12.0 Personnel Benefits		16,739		16,931		17,622		691
13.0 Benefits for former personnel		36		20		0		-20
21.0 Travel and Transportation of Persons		2,400		2,785		2,846		61
22.0 Transportation of Things		117		109		0		-109
23.1 Rental Payments to GSA		8,251		9,258		9,258		0
23.2 Rental Payments to Others		397		345		3,118		2,773
23.3 Communications, Utilities, and Miscellaneous Charges		1,248		1,417		1,405		-12
24.0 Printing and Reproduction		9		7		0		-7
25.1 Advisory and Assistance Services		826		1,342		1,101		-241
25.2 Other Services from Non-Federal Sources		1,542		1,665		1,766		101
25.3 Other Goods and Services from Federal Sources		1,608		1,976		1,211		-765
25.4 Operation and Maintenance of Facilities		18		43		25		-18
25.6 Medical Care		90		101		269		168
25.7 Operation and Maintenance of Equipment		254		288		0		-288
26.0 Supplies and Materials		113		345		0		-345
31.0 Equipment		63		540		221		-319
32.0 Land and Structures		50		800		0		-800
42.0 Insurance Claims and Indemnities		18		18		0		-18
<b>Total Obligations</b>		<b>80,720</b>		<b>86,400</b>		<b>88,577</b>		<b>2,177</b>
Subtract - Unobligated Balance, Start-of-Year		-203		0		0		0
Subtract - Transfers/Reprogramming		-664		0		0		0
Subtract - Recoveries/Refunds		0		0		0		0
Add - Unobligated End-of-Year, Available		0		0		0		0
Add - Unobligated End-of-Year, Expiring		110		0		0		0
<b>Total Direct Requirements</b>	<b>419</b>	<b>79,963</b>	<b>419</b>	<b>86,400</b>	<b>419</b>	<b>88,577</b>	<b>0</b>	<b>2,177</b>
Reimbursable FTE								
Full-Time Permanent	21		21		21		0	

## L. Status of Congressionally Requested Studies, Reports, and Evaluations

### Office of the Inspector General

#### Salaries and Expenses

(Dollars in Thousands)

#### Status of Congressionally Requested Studies, Reports, and Evaluations

1. The Senate Report associated with the FY 2013 Consolidated Appropriations Act, page 5, directs the OIG to submit a report examining travel contractor costs to identify excessive expenditures and identify areas of savings, and to make this report publicly available. The OIG issued its report in September 2013.
2. The Consolidated Appropriation Act FY 2014, CJS Title V section 514, page 75, directs the OIG to conduct audits, pursuant to the Inspector General Act (5 U.S.C. App.), of grants or contracts for which funds are appropriated by this Act, and shall submit reports to Congress on the progress of such audits, which may include preliminary findings and a description of areas of particular interest. The OIG will issue its report 180 days after initiating such an audit and every 180 days thereafter until any such audit is completed.
3. The Consolidated Appropriation Act FY 2014, CJS Statement of Managers, Title II, page 18, directs the OIG to engage an independent entity to conduct an assessment of the operation and management of the Department's Civil Rights Division (CRT). The OIG will issue its report in January 2015.
4. The Department's OIG shall conduct audits and oversight of funds provided under the Comprehensive School Safety Initiative, page 98 of the Senate Report. The OIG shall also review concerns raised by the public about specific investments using funds made available in this program, and relay findings of their reviews to the Directors of the NIJ and COPS Office and the Committees on Appropriations. This is a new requirement that is ongoing and does not have a due date associated with it.

**M. Additional Required Information for OIG Budget Submissions**

The Inspector General Reform Act of 2008 (P.L. 110-409) requires that the Department of Justice OIG submit the following information related to its requested budget for Fiscal Year 2015:

- \*the aggregate budget request for the operations of the OIG is \$88,577,000;
- \*the portion of this amount needed for OIG training is \$580,000;

The Inspector General of the Department of Justice certifies that the amount requested for training satisfies all OIG training needs for FY 2015.