

STRATEGIC PLAN

FISCAL YEARS 2021-2025



ARCHITECT OF THE CAPITOL

OFFICE OF INSPECTOR GENERAL

MESSAGE FROM THE INSPECTOR GENERAL



I am pleased to present the Office of Inspector General (OIG) five-year Strategic Plan for Fiscal Years (FYs) 2021–2025. This publication describes our goals and objectives to better perform our statutory oversight of the Architect of the Capitol’s (AOC) programs and operations.

The OIG is dedicated to delivering timely, impactful and high-quality work products that promote accountability, efficiency and effectiveness; working with stakeholders to hold accountable those who engage in fraud, waste and abuse; communicating effectively to support informed decision-making and effect positive change; and encouraging collaboration to increase the benefits of

the OIG’s work.

In this strategic plan, we identify three primary goals with nine objectives to better promote positive change within the AOC.

We seek to create an environment of continuous process improvement that takes into account our office culture, internal business practices, and our capabilities and capacity.

This strategic plan is a living document and may change to ensure that we meet our mission in an effective and efficient way while remaining responsive to our stakeholders’ priorities.



Chris P. Failla
Inspector General

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OUR VISION

The OIG is a high-performing team, promoting positive change and striving for continuous improvement in AOC programs and operations. We foster an environment that inspires AOC workforce trust and confidence in our work.

OUR MISSION

The OIG promotes efficiency and effectiveness, and economy to deter and prevent fraud, waste, abuse and mismanagement in AOC programs and operations. We do this through value-added, transparent, impactful, and independent audits, inspections and evaluations, and investigations. We strive to positively affect the AOC and benefit the taxpayer while keeping the AOC and Congress fully informed.

OUR VALUES

Teamwork

We work and communicate with each other cooperatively and respectfully to achieve the greater goals of the AOC.

Integrity

We demonstrate our honesty, sincerity and dependability to earn the trust of those we serve.

Professionalism

We adhere to the highest standards of quality and competency for the work we do.

Pride

We derive great satisfaction from the work we do and in the honor of serving Congress, the Supreme Court and the American people every day.

Safety

We exercise responsibility for ourselves and those around us to promote the safety, security and well-being of our team and our customers.

OVERSIGHT RESPONSIBILITIES AND ORGANIZATION

Permanent authority for the care and maintenance of the U.S. Capitol by the AOC derives from Section 1811 of Title 2 of the United States Code. The AOC is responsible for the maintenance, operation, development and preservation of more than 18.4 million square feet of buildings and more than 570 acres of grounds. This includes the U.S. Capitol, House and Senate office buildings, the U.S. Capitol Visitor Center, the Library of Congress, the Supreme Court of the United States, the U.S. Botanic Garden, the Capitol Power Plant and other facilities. The AOC also provides professional expertise with regard to the preservation of architectural and artistic elements entrusted to its care and provides recommendations concerning design, construction, and maintenance of the facilities and grounds. The AOC is also responsible for the upkeep and improvement of the U.S. Capitol Grounds and the support of the quadrennial inaugural ceremonies and other ceremonies held on the Capitol campus.

The OIG's mandate is broad and comprehensive, involving oversight of the full scope of AOC programs and operations, including more than 2,200 employees and funded via annual appropriations of approximately \$733.7 million.

The AOC Inspector General (IG) Act of 2007, 2 U.S.C. § 1808, establishes the OIG as an independent, objective office within the AOC and applies certain sections of the IG Act of 1978, as amended, that detail the IG's duties and authorities and establishes employee protections from retaliation for contacting the OIG or participating in OIG activities. The IG reports to and is under the general supervision of the Architect of the Capitol. The OIG's duties are to:

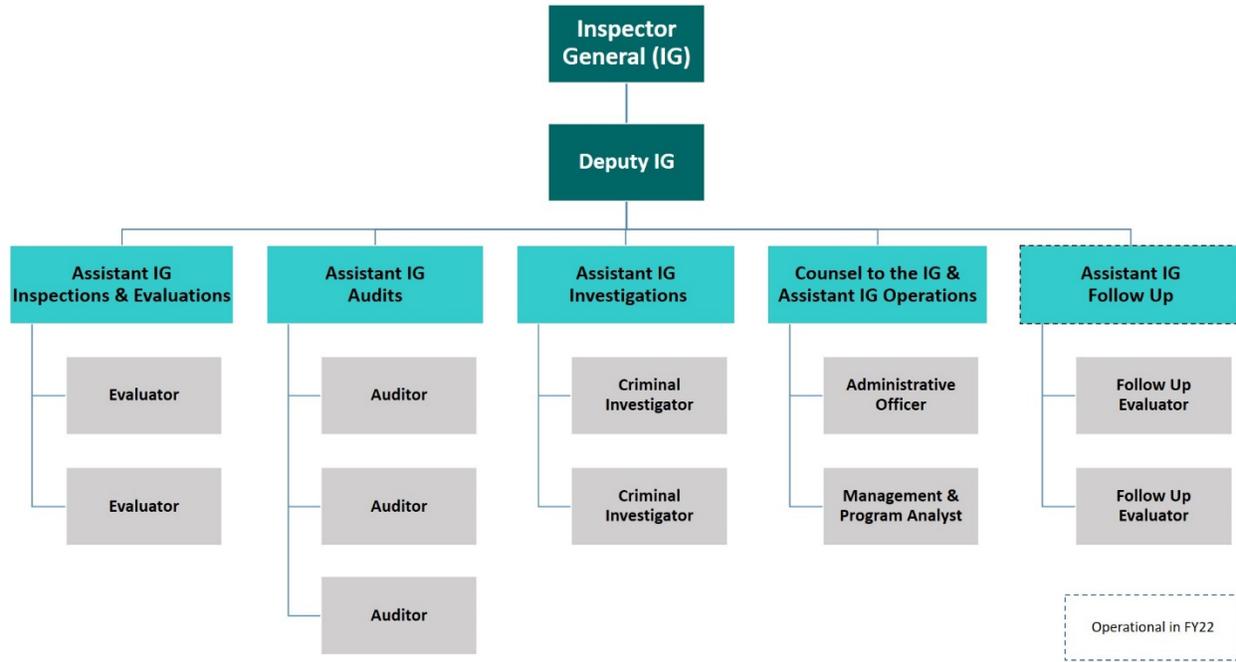
- (1) Conduct, supervise and coordinate audits and investigations relating to AOC programs and operations.
- (2) Review existing and proposed legislation and regulations that impact AOC programs and operations and comment in the Semiannual Report regarding the impact on the economy and efficiency or the prevention and detection of fraud and abuse of such legislation and regulations.
- (3) Recommend policies for AOC activities to promote economy and efficiency or prevent and detect fraud and abuse in its programs and operations.
- (4) Provide a means of keeping the AOC and Congress fully and currently informed about problems and deficiencies relating to the administration of AOC programs and operations and the need for and progress of corrective action. This is generally done by issuing a Semiannual Report to the Architect of the Capitol and Congress.

The OIG has four divisions, each with unique responsibility.

- Inspections & Evaluations Division (I&E)
- Audits Division (AUD)
- Investigations Division (INV)

- Counsel to the IG and Operations Division (OPS)
- Follow-up Division (FLD) (Operational in FY22)

OIG ORGANIZATIONAL CHART



INSPECTIONS & EVALUATIONS DIVISION

I&E conducts independent and objective analyses of AOC programs and operations. These management and programmatic evaluations are intended to provide insight into issues of concern to the AOC, Congress and the American public. I&E blends multidisciplinary analytic skills to:

- Analyze patterns, policies and practices that contribute to waste and abuse of tax dollars and other funds and resources under the control of the AOC;
- Develop reports with a focus on thematic and systemic issues;
- Proactively examine resource management and management controls; and
- Conduct special reviews.

AUDITS DIVISION

AUD is responsible for conducting audits and program and performance assessments of the management and financial operations of the AOC, including their financial statements, construction projects and operations, information security, internal operations, external activities funded by the AOC and etc. Many of the projects that AUD performs each year focus on high-risk management challenges within the AOC to include construction management. Because of

limited resources, AUD generally focuses its work on high-cost programs, key management challenges and vital operations that will provide AOC managers with information that can assist them in identifying additional risk areas and making sound operational decisions. In addition to performing discretionary work, AUD uses a significant amount of its resources to fulfill mandatory requirements, such as the annual financial statement and construction audits, and to respond to congressional and AOC requests.

INVESTIGATIONS DIVISION

INV conducts investigations of criminal, civil and administrative violations related to programs and operations of the AOC. Investigations conducted by OIG special agents are usually initiated as a result of allegations received from the following: OIG Hotline, AUD or I&E referrals, AOC management or employees, other OIGs, other Federal law enforcement agencies, Congress or the public. Criminal and civil investigations are referred to the Department of Justice for prosecution. In addition, investigations may be referred to the AOC, Office of Congressional Workplace Rights or other agencies for administrative or other appropriate action.

The OIG is charged with fraud prevention and detection. To meet this objective, INV works with other OIG divisions to identify and refer systemic weaknesses and vulnerabilities to fraud, waste and abuse in AOC systems and programs and recommend corrective actions to help AOC managers address these shortcomings. INV also actively participates in OIG outreach programs by providing fraud awareness briefings to educate AOC employee groups and training classes on potential indicators of fraud.

INV also maintains the OIG Hotline, a confidential channel for complaints concerning violations of law or regulation, fraud waste and abuse. Allegations may be reported to the hotline by contacting <https://www.aoc.gov/office-of-inspector-general/hotline-confidential-report> or by calling 1.877.489.8583.



COUNSEL TO THE IG & OPERATIONS DIVISION (OPERATIONAL IN FY22)

Counsel to the Inspector General provides legal advice to the Inspector General, the senior staff, and others in the OIG on the full range of office activities including audits, inspections and evaluations, and investigations. The Counsel to the IG is independent from the AOC's General Counsel.

OPS is the focal point of the OIG and impacts all other divisions through administrative support, contracting, budgeting and data analytics, and program management. OPS is the report distribution hub and works to coordinate congressional and external communications.

To increase the OIG’s oversight capability, the OIG’s data analyst assumes a pro-active and risk-based approach, supporting efforts to identify potential vulnerabilities, which provides leads and self-initiated projects to other divisions. This capability allows the OIG to more effectively conduct strategic planning and identify work plan priorities.

FOLLOW-UP DIVISION (OPERATIONAL IN FY22)

FLD conducts independent and objective analyses of AOC remedies to previous AOC OIG recommendations to assess their completeness, efficiency, effectiveness and applicability. These follow-up assessments are intended to provide insight into if and how well the AOC’s remedies to previous recommendations address the condition of the original issue in question. These follow-up assessments can also act as a tool to further assist AOC OIG competencies, standards and capabilities as a continuous learning organization.



OIG'S STAKEHOLDERS

The OIG's ability to meet its obligations and fulfill its strategic goals requires a clear understanding of our stakeholders' roles and expectations. At a minimum, we consider our stakeholders to be the American public, the AOC, Congress, the Council of the Inspectors General on Integrity and Efficiency (CIGIE), and the staff of the OIG. The Government Accountability Office (GAO) is also an important engagement partner for the OIG. The missions and goals of these stakeholders often overlap with and complement each other, which is why it is important to recognize interdependent strengths for coordination and collaboration.

The OIG takes its obligations to the **American public** seriously. The American public and their support for transparency support the OIG in its mission to detect and combat fraud, waste and abuse in AOC programs and operations and promote effectiveness and efficiency in the same. All of our work is devoted to meeting these obligations, and we intend to ensure that we do so in a timely and responsible manner. Moreover, the OIG seeks to increase outreach to better communicate our contributions to the public.

The **Architect of the Capitol** is a critical stakeholder for the OIG. The AOC's mission is to serve Congress and the Supreme Court, preserve and maintain historic buildings and monuments to include America's Capitol, and inspire memorable experiences. The OIG's mission is directly aligned with the AOC to ensure its programs and operations are effective, efficient, and without fraud, waste and abuse. Building and maintaining this relationship in a positive and collaborative way is important given its interdependency and service to the American people. Both the OIG and the AOC must serve as stewards of taxpayer dollars. The OIG must provide impactful and actionable recommendations to create positive change within AOC programs and operations. We must work diligently to understand each other's missions and build and maintain trust through open and honest communication. The OIG works to identify, prioritize, and mitigate risk and systemic issues within the AOC while remaining objective, impartial and independent. We simultaneously engage in oversight to ensure institutional and individual accountability and promote an environment in which AOC personnel understand that the OIG's role and responsibility is to enable and empower the AOC to function more efficiently and effectively. The OIG relies on the AOC's personnel to help identify instances of waste, fraud and abuse. Without full confidence in our objectivity and independence, AOC personnel may not be willing to support our mission. The OIG works to inform AOC personnel on our mission, roles, responsibilities and authorities, and seek feedback while remaining flexible to adjust to dynamic priorities.

The **Congress** is another crucial stakeholder for our oversight work. In addition to performing our core oversight obligations, the OIG must proactively and effectively communicate our findings and recommendations to members and staff, and provide information as needed to help define and meet congressional priorities for the Capitol campus. We strive to engage at least monthly with all pertinent committees on AOC construction, internal controls and otherwise.

The **CIGIE** is collectively charged with advancing IG community best practices in integrity and efficiency that, in part, includes coordination of division peer reviews to applicable work product standards such as the GAO's Yellow Book for audits, or their own Silver Book and Blue Book for investigations and inspection and evaluations, respectively. CIGIE further acts as a clearing house for oversight institutional knowledge, dialog and reach back support for community coordination and collaboration. As a smaller office within the CIGIE framework, the OIG relies on CIGIE and their Oversight.gov web platform to provide access and promote transparency for our work products.

OIG staff members are our most significant stakeholder as they provide the due diligence and professional curiosity to perform our statutory mission. OIG staff members are essential to our success; they are professionals accountable for producing impactful, timely and innovative work. In addition, they must provide effective internal operations support. They must have the opportunities to improve and expand their skills and advance their careers. They must also be enabled and empowered to think creatively and take ownership of their projects. To this end, the OIG must develop a strategic plan that clearly defines our vision, mission, and values, and we must communicate how their efforts relate to mission achievement. We must consciously focus on creating and sustaining a diverse and inclusive culture and learning environment that promotes employee engagement and leadership development while striving for continuous process improvement.

The **GAO** has a complimentary oversight mission to the OIG that allows opportunities for coordination and collaboration on important topics affecting the AOC, the Legislative Branch and the whole of government. We work together when appropriate to deconflict oversight work and ensure AOC programs and operations are effective and efficient.



STRATEGIC PLAN APPROACH AND GOALS



We focused on the OIG's mission, vision, values, stakeholders and expectations to develop our strategic plan for the next five years. With a continuous process improvement approach in mind, we carefully examined our strengths and weaknesses. We used data to determine areas for improvement and we collectively brainstormed with our stakeholders, focus areas for developmental potential. We sought to ensure that we appropriately emphasized SMART¹ objective methods using qualitative and quantitative performance indicators. Finally, we were mindful of resources available to achieve our goals.

We evaluated how we could more effectively provide information about our work to our stakeholders and training on our roles, responsibilities and authorities to the AOC staff. In addition, we considered how we could best provide the oversight necessary to assist our stakeholders in meeting their own obligations. We considered congressional priorities as we developed this plan. Finally, to develop a comprehensive, balanced and responsive plan, we invited the active participation of all

OIG staff to give their perspectives and considerations. Our new five-year strategic plan is the result of this collaborative, organization-wide effort.

Our new plan consists of three integrated and interdependent goals:

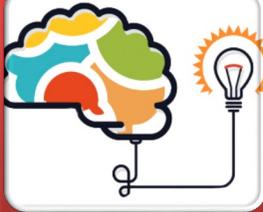
- Goal 1: Advance Excellence in Innovation;
- Goal 2: Engage and Cultivate our Staff; and
- Goal 3: Support the AOC and their Improvement of Programs and Operations through Responsible Oversight.

To best meet the needs and expectations of our stakeholders, the OIG drew from the following resources to advise and align our strategic priorities in promoting efficiency and effectiveness.

- Architect of the Capitol Strategic Plan FY 2017-2021
- The Architect of the Capitol's Performance & Accountability Report FY 2020 with the Inspector General's Statement of Management Opportunities and Performance Challenges
- Architect of the Capitol Office of Inspector General Work Plan FY 2021-2023
- GAO-17-25 Improvements to the IG Oversight Needed for Architect of the Capitol Operations

¹ SMART is a mnemonic for Specific, Measurable, Achievable, Realistic and Timely objectives.

STRATEGIC PLAN CHART – GOALS AND OBJECTIVES



Goal 1: Advance Excellence in Innovation

- 1.1 - incorporate technology for data analytics and key information cross-communication
- 1.2 - streamline and integrate business practices
- 1.3 - develop and maximize agile products to meet stakeholder needs



Goal 2: Engage and Cultivate our Staff

- 2.1 - foster a diverse and inclusive culture to inspire innovation and collaboration
- 2.2 - enable success through proper alignment of staff and talent
- 2.3 - inspire team members to seek and incorporate meaningful best practices

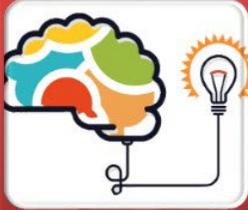


Goal 3: Support the AOC and their Improvement of Programs and Operations through Responsible Oversight

- 3.1 - support efficiency and transparency within the AOC
- 3.2 - inform the AOC's ability to protect people, information and facilities
- 3.3 - advance the AOC's fiscal responsibility and accountability

Our strategic goals and objectives are designed to enable us to better serve our stakeholders in a more effective and efficient manner while continuing to perform our oversight mission of the AOC's programs and operations. For the FY 2021-2025 strategic plan, we will continue to use a variety of quantitative and qualitative inputs and indicators to gauge success, and to monitor, manage and report on our progress.

GOAL 1: ADVANCE EXCELLENCE IN INNOVATION



Goal 1: Advance Excellence in Innovation

- 1.1 - incorporate technology for data analytics and key information cross-communication
- 1.2 - streamline and integrate business practices
- 1.3 - develop and maximize agile products to meet stakeholder needs

We must invest in ourselves to ensure that we meet the expectations of our stakeholders and hold ourselves accountable for timely and impactful audits, evaluations and investigations. For continuous process improvement, we must look inward and use the most practical resources to advance excellence in innovation. We have identified three primary objectives to reach this goal.

1.1 - Technology integration and data analytics can assist us by providing a feedback loop for continuous process improvement. Similarly, data analytics can, has and will continue to assist the OIG in identifying key AOC risk areas. Finally, these factors can assist to improve our efficiency through improved infrastructure. To meet this objective, we will:

- Assess hardware and software usage and analyze requirements to match with available products while developing a library of market research for future operations.
- Continue to improve production metrics to assess resource utilization and priorities.
- Consolidate internal tracking tools to streamline analytic activity and strengthen performance assessment practices.

1.2 - Business practices can assist us in continuous process improvement. To meet this objective, we will:

- Standardize internal OIG operations and division policies and procedures, and develop and maintain an internal policy update schedule.
- Maximize contracting mechanisms to facilitate use of subject matter experts.
- Develop suspense calendar for all work production and reoccurring deliverables to include contracts and option years.
- Conduct an internal study of operations responsibilities including collateral duties assigned to staff in other divisions to appropriately align roles.

1.3 - Agile products are essential to timely and impactful oversight. They are also necessary to fulfill our mandate of fully informing the Congress and the AOC of oversight issues that may arise during the course of our work. To meet this objective, we will:

- Continue to use metrics to establish work product efficiency.
- Develop a table of OIG work products with level of assurance and expectations defined for AOC deliverables, deadlines and actions to be taken.
- Monitor stakeholder priorities and adjust deliverables as necessary.

GOAL 2: ENGAGE AND CULTIVATE OUR STAFF



Goal 2: Engage and Cultivate our Staff

- 2.1 - foster a diverse and inclusive culture to inspire innovation and collaboration
- 2.2 - enable success through proper alignment of staff and talent
- 2.3 - inspire team members to seek and incorporate meaningful best practices

The OIG's stakeholders are dynamic and to best serve them, we must attain and retain the best personnel talent. Our people are our primary resource to achieving our mission. To do this, we must engage and cultivate our staff to enable us to enhance value and impact. We have identified three primary objectives to reach this goal.

2.1 – A diverse and inclusive culture where all people are comfortable showcasing their best talents and strengths inspires both innovation and collaboration. Diversity of perspective, knowledge, strengths and abilities enable and encourage problem solving and critical thinking. To meet this objective, we will:

- Continue to encourage a culture of inclusiveness where all opinions matter.
- Invite various viewpoints and brainstorming, and embrace knowledge management for continuous education and awareness.
- Implement an action plan to address leadership and management challenges and opportunities identified in the Office of Congressional Workplace Rights Climate Survey and other survey tools to include the incorporation of 360-degree feedback.

2.2 – Proper alignment of staff and talent enable and encourage people to apply their strengths in a way that best meets the requirements and expectations of our stakeholders. This alignment is key to rightsizing resources and developing manageable business practices. To meet this objective, we will:

- Implement a strategic recruitment plan to incorporate succession planning and rightsizing division responsibilities while being mindful of requirements and individual talents.
- Create a professional development framework to coach and mentor the next generation of OIG leaders.
- Examine the potential for greater intern and/or CIGIE detail/fellow capacity.

2.3 – The OIG encourages team members to grow professionally and seeks to provide a culture of continuous learning with the goal of incorporating meaningful best practices. We want to inspire our team to bring back this knowledge and experience to create a culture of effectiveness and efficiency. To meet this objective, we will:

- Continue to inspire team members to seek and incorporate meaningful best practices.

- Develop an OIG mentorship program and examine collaboration opportunities with other Legislative Branch OIGs and/or the greater oversight community.
- Continue to share institutional knowledge for continuity of operations via staff meetings, lessons learned, and other engagement opportunities.

GOAL 3: SUPPORT THE AOC AND THEIR IMPROVEMENT OF PROGRAMS AND OPERATIONS THROUGH RESPONSIBLE OVERSIGHT



Goal 3: Support the AOC and their Improvement of Programs and Operations through Responsible Oversight

- 3.1 - support efficiency and transparency within the AOC
- 3.2 - inform the AOC's ability to protect people, information and facilities
- 3.3. - advance the AOC's fiscal responsibility and accountability

The OIG has a statutory mission to conduct oversight of the AOC’s programs and operations, as well as keep the AOC and Congress fully informed. To do this, the OIG will support the AOC and their improvement of programs and operations through responsible and transparent oversight. We have identified three primary objectives to reach this goal.

3.1 – We will support efficiency and transparency within the AOC through our work products and recommendations, and stakeholder engagement. To meet this objective, we will:

- Continue to maintain awareness of proposed legislation impacting the AOC.
- Engage all stakeholders to clarify expectations through continuous communication.
- Focus audits, evaluations and investigations on those areas of highest risk to the AOC and collaborate on recommendations that strengthen AOC programs and operations.
- Establish and maintain appropriate schedules for all work products to increase impact.
- Create a Follow-Up Division to conduct independent and objective analyses of AOC remedies to previous OIG recommendations to assess their completeness, efficiency, effectiveness and applicability.

3.2 –OIG work products are intended to inform the AOC’s ability to protect people, information and facilities. To meet this objective, we will:

- Advance engagement with the AOC workforce on OIG roles and responsibilities.
- Implement a comprehensive external communication plan to reach all stakeholders.
- Seek opportunities to improve education and training to AOC staff on fraud, waste and abuse, and continue to encourage staff to report on these issues.
- Pursue projects that focus on risks to the AOC and lead to quality referrals.
- Streamline outreach and coordination plans to communicate findings and recommendations for corrective action.

3.3 – Oversight of AOC programs and operations includes those of a fiscal nature. The OIG will

advance the AOC's fiscal responsibility and accountability with relation to the AOC programs and operations. To meet this objective, we will:

- Identify areas that pose financial risk to the AOC, prioritize work by this risk, and communicate findings and recommendation in an open and transparent way.
- Direct projects that are likely to yield cost savings, such as oversight of financial and property management, and high-risk, high-value contracts and infrastructure projects.
- Oversee the annual Financial Statement Audit to identify and mitigate financial risk.





**HELP FIGHT
FRAUD. WASTE. ABUSE.**

**Fraud, Waste and Abuse:
Don't Accept It – Do Something About It!**



Confidential Toll-Free Hotline 877.489.8583
Phone 202.593.1948



Confidential OIG Website Hotline Report
http://www.aoc.gov/aoc/oig_hotline.cfm (For the Public)
<http://compass.aoc.gov/help-me-with/faqs/office-inspector-general-oig> (AOC Intranet)



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