



# ORGANIZATIONAL ASSESSMENT

FISCAL YEAR 2021

**U.S. Agency for International Development**  
**OFFICE OF INSPECTOR GENERAL**



# Message From the Acting Inspector General

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I am pleased to present OIG's assessment of the progress we made in fiscal year 2021 in meeting internal strategic goals for maintaining a high-performing organization and achieving the highest possible return on taxpayer investment.

Beginning in fiscal year 2018, we reframed our internal goals—captured in our *OIG Strategic Plan for Fiscal Years 2018-2022*—to better ensure more effective and efficient oversight of the U.S. Agency for International Development (USAID), the Millennium Challenge Corporation (MCC), the U.S. African Development Foundation (USADF), and the Inter-American Foundation (IAF).

OIG's 2018-2022 strategic plan affirmed our mission to strengthen U.S. foreign assistance and safeguard America's substantial investment in these activities through timely, relevant, and impactful oversight. Accordingly, the plan identified the three internal goals that we established to better position our office's work, processes, and people to achieve our mission:

- Provide sound reporting and insight for improving foreign assistance programs, operations, and resources.
- Promote processes that enhance OIG performance and maximize operational efficiency.
- Foster a committed OIG workforce built on shared core values.

In this assessment, we report on the progress made in fiscal year 2021 toward these goals. Continual performance monitoring and reporting is critical to ensuring optimal oversight operations. The results of this assessment helped to shape our new *OIG Strategic Plan for Fiscal Years 2022-2026*, which both reinforces and realigns our goals to ensure continual improvements.

These goals underscore our commitment to continually improve our operations and ensure that our workforce is well prepared and highly motivated to provide independent and rigorous audits, investigations, and other oversight of foreign assistance and to inform Congress, stakeholders, and the public about how we are safeguarding taxpayer resources.

We will continue to assess the impact of our work and consult with Congress, the agencies we oversee, and other stakeholders as we identify new and evolving vulnerabilities and challenges.

Thomas J. Ullom  
February 2022



# Mission and Values

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## OUR MISSION

To safeguard and strengthen U.S. foreign assistance through timely, relevant, and impactful oversight.

## AGENCIES WE OVERSEE

OIG provides oversight of USAID, MCC, USADF, and IAF. Together, these four organizations manage billions of dollars in U.S. foreign assistance programs that include efforts to alleviate poverty, provide disaster relief, promote economic growth, and encourage accountable, democratic societies.

## OUR CORE VALUES

Our values are **TRUE**.<sup>1</sup> The Office of Inspector General commits to carrying out its mission in accordance with the following values:

### Transparency

We promote open, clear, and relevant communication to inspire confidence and trust.

### Respect

We promote a diverse, equitable, inclusive, accessible, and professional work environment to maintain the highest standards of conduct.

### Unwavering Integrity

We are determined, steadfast, and resolute in our independence and ethical standards.

### Excellence

We promote quality, innovation, and creativity for high-impact products and services.

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<sup>1</sup> OIG updated its core values in its *Strategic Plan for Fiscal Years 2022-2026*. Our values had previously been expressed as Integrity, Accountability, Excellence, Transparency, and Respect.

# Who We Are

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## IMMEDIATE OFFICE

The Immediate Office serves the Inspector General and Deputy Inspector General on a wide variety of matters affecting OIG and its relationship with USAID, the Department of State, Congress, and other bilateral and multilateral donors of foreign assistance. The office consists of a Counselor to the Inspector General; the Office of General Counsel; Chief of Staff; Chief Diversity, Equity, Inclusion, and Accessibility (DEIA) Officer; Quality Assurance Director; and professional and administrative staff.

Within the Immediate Office, the **Office of General Counsel** provides independent legal counsel to the Inspector General and OIG management and staff. Through comprehensive legal advice, research, analysis, guidance, and representation, the Office of General Counsel supports OIG audit, investigative, and management functions. It also responds to Freedom of Information Act requests, updates the Inspector General and OIG staff on recent legal developments, and represents OIG in Federal and administrative litigation.

## OFFICE OF AUDIT

The Office of Audit conducts performance audits and evaluations of program effectiveness, economy and efficiency, internal control, and compliance. The office also conducts program and management system audits as well as financial statement audits conducted by independent public accounting firms, which are required under the Chief Financial Officers Act of 1990. In addition, our auditors review audits related to the financial accountability of grantees and contractors.

## OFFICE OF INVESTIGATIONS

The Office of Investigations conducts worldwide investigations into allegations of criminal, civil, and administrative violations. The office pursues allegations of abuses in agency programs and activities as well as other violations of law or misconduct by those involved in these programs.

## OFFICE OF MANAGEMENT

The Office of Management delivers administrative services that support OIG's mission in the areas of financial management, information technology, human resources, learning and development, logistics services, procurement and acquisitions support, overseas and administrative operations, and business continuity planning.

# OIG Strategy and Accountability Framework

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The annual organizational assessment is part of OIG’s framework to strategically promote effectiveness and efficiency in U.S. foreign assistance programs, achieve the highest return on taxpayer investment in our operations, and provide transparency and accountability to our stakeholders. Our disciplined and rigorous approach to prioritizing, planning, and continuous improvement are described in the following plans and reports:

- **Strategic Plans.** This assessment reports on OIG’s [Strategic Plan for Fiscal Years 2018-2022](#). This plan described our goals and objectives for the period and provided a framework for measuring our progress. Building on this plan and leveraging our success, OIG recently published a [Strategic Plan for Fiscal Years 2022-2026](#), which describes our current organizational priorities as we provide oversight of USAID, MCC, USADF, and IAF and promote effectiveness, efficiency, and accountability in U.S. foreign assistance. Our new 5-year plan defines OIG goals, objectives, and performance measures; identifies the factors affecting the achievement of those goals; and describes key areas of interagency collaboration. OIG will report on our 2022-2026 strategic plan in fiscal year 2023.
- **Annual Plans.** OIG implements its strategic plan through a series of annual planning documents. For example, OIG publishes an annual [OIG Oversight Plan](#), which highlights our oversight for the foreign assistance agencies we oversee.<sup>2</sup> As needed, we also prepare supplementary oversight plans to address major new oversight requirements, as was the case with our [COVID-19 Oversight Plan for Fiscal Years 2021-2022](#). Jointly with other OIGs, we issue an annual [Comprehensive Oversight Plan-Overseas Contingency Operations](#) and [Inspectors General Coordinated Oversight Plan for Foreign Assistance To Combat HIV/AIDS, Tuberculosis, and Malaria](#). Internal plans also guide OIG’s external engagement and outreach, quality assurance reviews, and a wide range of Office of Management process improvement projects.
- **Semiannual Reports to Congress.** As required under the Inspector General Act of 1978, as amended, OIG reports the results of its work every 6 months to the agencies it oversees, Congress, and the public. OIG’s semiannual reports identify audit and other reports issued during the reporting period and describe criminal, civil, and administrative actions—including monetary savings and recoveries, personnel and other administrative actions, and systemic changes—attributable to OIG’s investigative work. Each semiannual report underscores OIG’s impact and helps promote transparency among the agencies we oversee. The report also describes OIG’s external outreach to inform stakeholders and reinforce accountability among agency and implementer staff.

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<sup>2</sup> Our most recent oversight plan is for fiscal year 2022. See also [OIG Oversight Plan for Fiscal Year 2021](#).

# Fiscal Year 2021 Results

## GOAL I: WORK

### Provide sound reporting and insight for improving foreign assistance programs, operations, and resources

Goal I emphasizes impact by strategically identifying and prioritizing our audit and investigative work. This goal has two objectives, each with multiple subcomponents that further define the objective. Under Objective 1.1, our Office of Audit targets its work toward high-priority areas, addresses systemic challenges, and monitors agency actions to address OIG recommendations. Under Objective 1.2, our Office of Investigations targets its work toward organized crime, fraud, and corruption in high-risk regions and critical foreign assistance functions while also conducting outreach to deter such activities. The strides we have made in advancing our Goal I objectives have yielded tangible results at the agencies we oversee.

Subcomponent	Activity
<b>1.1 Conduct independent audits and other analytical work that target high-priority areas, address root causes of systemic challenges, and promote transparency</b>	
• <b>Maximize Impact</b>	Prioritize audits based on risk, stakeholder concerns, and management challenges
• <b>Align Resources</b>	Identify and dedicate the skill sets needed to best ensure timely, relevant, and irrefutable work
• <b>Publish Results</b>	Deliver objective, high-quality products that are incisive, compelling, and accessible
• <b>Monitor Outcomes</b>	Track and report agency corrective actions, their timeliness, and the extent to which they meet the intent of OIG recommendations
<b>1.2 Investigate allegations of criminal activity, civil violations, and employee misconduct, while promoting program and operational integrity</b>	
• <b>Encourage Early Detection and Intervention</b>	Target outreach and education to areas of heightened fraud risk and vulnerability of committing criminal, civil, and administrative violations
• <b>Maximize Impact</b>	Manage workloads by prioritizing cases with the greatest potential to cause harm and setting the stage for quickly deploying investigative resources
• <b>Ensure Readiness</b>	Cultivate, maintain, and apply the full range of investigative tools and techniques while leveraging crosscutting expertise
• <b>Drive Action</b>	Structure notifications and referrals so that they are actionable to the maximum extent possible, and monitor impact
• <b>Promote Deterrence</b>	Publicize investigative results and heighten awareness of the consequences

Goal I has five performance measures. OIG exceeded all Goal I targets in fiscal year 2021.

<b>Goal I Performance Measures</b>	<b>FY 2021</b>	
	<b>Target</b>	<b>Actual</b>
Percentage of completed audits that targeted high-priority programs, addressed major management challenges, or responded to established stakeholder interests	92%	100%
Percentage of recommendations implemented within established timeframes	80%	98%
Percentage of OIG investigations resulting in a positive outcome	60%	81%
Number of actions in response to OIG referrals, advisories, and other reporting	60%	65%
OIG annual return on investment	100% (1:1)	175% (1.75:1)



## GOAL 2: PROCESS

### Promote processes that enhance **OIG** performance and maximize operational efficiency

Goal 2 emphasizes processes and other organizational elements that enhance **OIG** performance and operational efficiency. This goal has three objectives. Under Objective 2.1, **OIG** seeks to safeguard **OIG** independence, promote efficient and effective operations, leverage expertise and share information across the organization, and ensure robust quality standards and continual improvement. Under Objective 2.2, **OIG** seeks to maximize organizational performance through strategic human resource management. Under Objective 2.3, **OIG** seeks to increase its impact by strategically engaging with key stakeholders and expanding its networks in the oversight and development communities.

Subcomponent	Activity
<b>2.1 Establish and maintain policies, systems, and procedures that support the efficient and effective execution of <b>OIG</b> functions</b>	
<ul style="list-style-type: none"> <li>• <b>Apply Strategic Focus</b></li> <li>• <b>Leverage Expertise</b></li> <li>• <b>Share Information</b></li> <li>• <b>Safeguard Independence</b></li> <li>• <b>Emphasize Quality and Continuous Improvement</b></li> <li>• <b>Manage Change</b></li> </ul>	<p>Plan work priorities and efforts that optimize our impact while strengthening our internal controls and managing risk</p> <p>Establish mechanisms that harness staff knowledge and skills across the organization in conducting oversight as well as supporting internal initiatives</p> <p>Coordinate information gathering and outreach efforts across units to promote cutting-edge work</p> <p>Maintain operational and procedural autonomy while reliably meeting organizational needs</p> <p>Apply quality standards and methodologies that optimize <b>OIG</b> processes, and continuously monitor their execution</p> <p>Align major reforms to priorities and organizational capacity, and openly communicate the implementation of plans</p>
<b>2.2 Maximize organizational performance through strategic human resource planning and management</b>	
<ul style="list-style-type: none"> <li>• <b>Envision and Plan</b></li> <li>• <b>Recruit and Orient</b></li> <li>• <b>Lead and Supervise</b></li> <li>• <b>Apply Talent</b></li> <li>• <b>Manage Performance</b></li> </ul>	<p>Identify personnel resources that support mission priorities, and regularly plan to address workforce competencies, career paths, and succession</p> <p>Promote effective recruitment of a skilled and diverse workforce and timely hiring and onboarding</p> <p>Maintain a leadership and supervisor cadre that provides effective technical and administrative direction, develops staff, and demonstrates good institutional stewardship</p> <p>Actively identify and evaluate staff capabilities, and align staff aptitudes with assignments</p> <p>Maintain and apply clear, consistent standards and processes for communicating expectations and evaluating employee performance</p>
<b>2.3 Conduct external engagement to galvanize action and maximize impact</b>	
<ul style="list-style-type: none"> <li>• <b>Engage Stakeholders</b></li> <li>• <b>Sustain Robust Partnerships</b></li> </ul>	<p>Cultivate ongoing and open dialogue with stakeholders about areas of heightened interest and activity, and proactively share observations</p> <p>Continuously coordinate and collaborate with oversight counterparts and law enforcement and prosecutorial partners</p>

Subcomponent	Activity
• <b>Strengthen Networks</b>	Expand our reach within the oversight and development community
• <b>Underscore Our Role</b>	Clearly document and communicate our authorities and requirements to promote seamless engagement with counterparts
• <b>Raise Public Interest</b>	Promote awareness and knowledge of our mission and work

Goal 2 has four performance measures. OIG exceeded all four targets in fiscal year 2021.

Goal 2 Performance Measures	FY 2021	
	Target	Actual
Number of high-level engagements with stakeholders pertaining to future, ongoing, or completed work	125	196
Percentage of employees expressing a favorable view of internal processes, communications, and collaboration <sup>a</sup>	60%	64%
Percentage of employees expressing a favorable view of human resources management <sup>b</sup>	65%	79%
Number of process improvement initiatives completed	10	20

<sup>a</sup>Metric is based on the average positive responses to three questions in our annual employee feedback survey: (1) The policies, systems, and procedures in my unit support efficient and effective execution of OIG functions; (2) coordination, collaboration, and knowledge-sharing within and across units are encouraged and enhance the performance of our mission; and (3) managers have effectively explained the change initiatives they are promoting within my unit.

<sup>b</sup>Metric is based on the average positive responses to three questions in our annual employee feedback survey: (1) Overall, how good of a job do you feel is being done by your immediate supervisor? (2) my talents are used well in the workplace; and (3) I know what is expected of me on the job.

## GOAL 3: PEOPLE

### Foster a committed OIG workforce built on shared core values

Goal 3 aims to ensure that people—our most important asset—are developed, supported, and well positioned to carry out OIG’s mission. This goal has two objectives. Under Objective 3.1, OIG emphasizes professional development that enhances the knowledge, skills, and abilities of our staff and recognizes exceptional performance. Under Objective 3.2, OIG seeks to ensure an inclusive, supportive work environment based on trust, fairness, work-life balance, and staff engagement.

Subcomponent	Activity
<b>3.1 Invest in, develop, and recognize our staff</b>	
• <b>Enrich Knowledge, Skills, and Abilities</b>	Develop and encourage professional growth through effective training, coaching, and mentoring
• <b>Provide Critical Tools</b>	Supply staff with timely information and cutting-edge technology that enhance collaboration, communication, and agility across OIG’s global portfolio
• <b>Encourage Community and Creativity</b>	Promote shared learning, strengthen camaraderie, and stimulate innovation in our work and processes through participation in events and forums
• <b>Recognize Exceptional Performance</b>	Reward those who exceed expectations through awards and incentive programs
<b>3.2 Provide an inclusive, supportive, and professional work environment</b>	
• <b>Protect Staff Welfare</b>	Promote safety and security, and support work-life balance
• <b>Continuously Engage</b>	Regularly gather staff input on organizational performance, evaluate feedback, and implement appropriate action plans
• <b>Build in Trust</b>	Follow through on commitments and account for departures from plans
• <b>Practice Impartiality</b>	Maintain fairness and apply ethical standards in benefits, incentives, assignments, promotions, and opportunities
• <b>Promote Civility and Respect</b>	Apply core values and personnel rules that govern appropriate behavior throughout the organization
• <b>Maintain Transparency</b>	Communicate the basis for decisions that affect staff and their work

Goal 3 has three performance measures. OIG met or exceeded two of the three targets in fiscal year 2021.

Goal 3 Performance Measures	FY 2021	
	Target	Actual
Percentage of employees expressing a favorable view of staff engagement and professional development <sup>a</sup>	60%	70%
Percentage of employees expressing a favorable view of organizational climate <sup>b</sup>	70%	82%
Rate of retention of employees performing at the fully successful level or above	90%	87%

<sup>a</sup>Metric is based on the average positive responses to three questions in our annual employee feedback survey, weighted at 75 percent, and the average rating of OIG internal training courses, weighted at 25 percent. The survey questions are: (1) How satisfied are you with the training you receive for your present job? (2) I feel encouraged to come up with new and better ways of doing things; and (3) how satisfied are you with the recognition you receive for doing a good job?

<sup>b</sup>Metric is based on the average positive response to three questions in our annual employee feedback survey: (1) My organization's senior leaders maintain high standards of honesty and integrity; (2) my supervisor treats me with respect; and (3) how satisfied are you with the information you receive from management about what's going on in your organization?