



**Results!**



***MANAGING THE MISSION AT DOJ***

**August 2004**



management strategy that responds quickly and effectively to support those on the front lines who are engaging in our new number one priority – to Prevent Terrorism and Promote the Nation’s Security.



## NEW TOOLS FOR GETTING

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Two efforts, one initiated by the White House, the second by the Attorney General, have provided the road map for managing the counterterrorism mission at the Department. The first of these, *The President’s Management Agenda*, or PMA, released a month before the 9/11 attacks, introduced “a bold strategy for improving the management and performance of the federal government.” The PMA contains five now-familiar governmentwide goals; a sixth goal, “Faith-Based and Community Initiative,” applies to selected agencies, including DOJ:

- **Strategic Management of Human Capital**
- **Competitive Sourcing**
- **Improved Financial Performance**
- **Expanded Electronic Government**
- **Budget and Performance Integration**
- **Faith-Based and Community Initiative**

The second effort, introduced by the Attorney General in a November 8, 2001, memorandum to DOJ component heads, presents 10 strategic initiatives “that reflect the changed priorities of the Department in this new environment.” Noting that “a new mission requires a new way of doing business,” the memo exhorts DOJ managers to “look closely at the many functions and responsibilities of the Department of Justice and realign our resources to support the critical tasks ahead.” By doing this, and “by improving operational effectiveness and efficiency, the Department will help win the war against terrorism and protect the safety and liberty of all Americans.” The Attorney General’s *10 Management Goals* are:

- **Develop Performance-Based, Mission-Focused Leadership**
- **Streamline, Eliminate, or Consolidate Duplicative Functions**
- **Focus Resources on Front-Line Positions**
- **Reform the Federal Bureau of Investigation**
- **Restructure the Immigration and Naturalization Service and Executive Office for Immigration Review**
- **Restructure the Office of Justice Programs and Reform Grant Management**
- **Coordinate Internal and External Communications and Outreach**
- **Improve Departmentwide Financial Performance**
- **Strengthen Hiring, Training, and Diversity Policies**
- **Utilize Technology to Improve Government**

The President's agenda and the Attorney General's goals have set a clear management strategy for the Department and have formed the basis for our Results Agenda. The two programs share a common intent: managing during times of crisis. Together, they are a blueprint for advancing DOJ's four strategic goals:

1. Prevent Terrorism and Promote the Nation's Security
2. Enforce Federal Laws and Represent the Rights and Interests of the American People;
3. Assist State, Local, and Tribal Efforts to Prevent or Reduce Crime and Violence; and
4. Ensure the Fair and Efficient Operation of the Federal Justice System.

Key results are discussed in the pages that follow.

*Results!*

## THROUGH RESTRUCTURING AND STREAMLINING

Five of the Attorney General's *10 Management Goals* relate to reorganization, restructuring, and streamlining efforts to address concerns unique to the Department.

### Restructuring based on the Homeland Security Act of 2002

- The Bureau of Alcohol, Tobacco and Firearms was transferred into DOJ from the Department of Treasury in January 2003. It became the **Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF)**, a name that reflects the organization's increased responsibilities for registering and overseeing the purchase and use of explosive devices and materials. ATF consists of approximately 4,500 employees and 23 field divisions within the United States, plus several foreign offices.



- Three organizations transferred out of DOJ into the newly-established Department of Homeland Security (DHS) in March 2003. Those organizations were the **Immigration and Naturalization Service**, an organization of some 45,000 employees; the **National Infrastructure Protection Center**, formerly part of the Federal Bureau of Investigation (FBI); and the **Office of Domestic Preparedness**, formerly a part of the DOJ's Office of Justice Programs (OJP). Since the transfers, the FBI, OJP, and the Justice Management Division (JMD) have collaborated closely with DHS through contracts, agreements, and memoranda of understanding, to ensure that support services previously provided to the transferred organizations continue uninterrupted.

### Restructuring within the Department of Justice

The **Federal Bureau of Investigation** transformed its organization and operations to respond to the terrorism challenge. The first phase strengthened the FBI's top-level management structure, reduced

executive span of control, enhanced accountability, and established new divisions for records management and security. The next phase is building a larger, more mobile, agile, and flexible national terrorism response capability.

Initial results from the restructuring illustrate the shift of FBI resources and program emphasis from traditional focus areas to counterterrorism and intelligence:

- Since September 11, the FBI increased the number of Special Agents assigned to terrorism matters by 111 percent, the number of intelligence analysts by 86 percent, and the number of linguists by 117 percent;
- Across all of DOJ, the counterterrorism budget rose from 4 percent in FY 2001 to 13 percent in FY 2004.

In its new form, the FBI has:

- Enhanced its relationship with the intelligence community;
- Improved its intelligence collection, analysis, and sharing capabilities both at headquarters and in the field; and
- Is far better prepared and equipped to prevent potential terrorist actions and to respond swiftly and effectively if an attack occurs.

The **Office of Justice Programs** realigned functions and offices to sharpen its mission focus and bring quicker service to its customers. Through its grant programs, OJP provides federal leadership in developing the nation's capacity to prevent and control crime, improve the criminal and juvenile justice systems, increase knowledge about crime and related issues, and assist crime victims. To improve service, OJP implemented a paperless system that automates and streamlines the grant process from application to notification. This process involves significant funds: OJP awarded grants totaling over \$3 billion in FY 2003.

The **Office on Violence Against Women** was moved out of OJP and established as an independent entity under DOJ, in order to reinforce the importance of its mission and responsibilities and to enhance its ability to provide grants-related services. With an annual budget of almost \$400 million, the office administers ten discretionary grant programs and one formula grant program.

The **Executive Office for Immigration Review** revised its structure and procedures to minimize delays in the administrative review process, reduce the age of its pending cases, and focus more attention and resources on cases presenting significant issues. Actions central to the change included streamlining the Board of Immigration Appeals case review process; reducing the number of Board members; and establishing reasonable deadlines for the completion of Board decisions. Results have been impressive; the Board:

- Nearly doubled its monthly case decisions, increasing from 2,600 to over 5,000;
- Has steadily reduced its pending caseload from more than 60,000 cases to its current level of just over 33,000, a reduction of 45 percent;
- Reduced the number of cases that are over two years old from 29 percent to 2 percent between the beginning of FY 2003 and the middle of 2004.



With our workload expanding due to the war on terrorism, we have taken advantage of opportunities to streamline our activities, eliminate needless duplication of effort, and redirect savings to our most critical activities. To that end, the Department has identified many improvement opportunities, from improving fleet maintenance and management to reducing the time spent between the sentencing of prisoners and their designation to a Bureau of Prisons facility. As a result, an estimated \$1.2 billion in cost savings or cost avoidance has been realized over the past two fiscal years; these resources have been redirected to counterterrorism efforts. We have also advanced the *President's Management Agenda*:

## Human Capital

The Department is implementing a human capital strategy to maintain and build a staff with the legal, law enforcement, technical, and management skills necessary to successfully carry out our missions, focusing on hiring and retaining employees who have the skills to address criminal justice priorities such as terrorism, white collar crime, and cybercrime. Specifically, DOJ has developed:



- A workforce planning model, involving analyses of skills gaps, whose use will result in improved recruitment and retention of employees with specialized skills;
- A succession planning strategy, involving recruitment, hiring, and employee retention, as well as the establishment of a Senior Executive Service candidate development program. The strategy will prepare us to quickly and efficiently fill vacancies, assuring seamless continuity of operations and service.

In addition, DOJ has revised its performance management policy, identified key performance indicators, and continued to refine its performance review process. We are building targeted results into employee performance plans and holding managers accountable for tangible accomplishments.

Although much remains to be done to achieve our future vision of a model human capital program, the Department continues to be rated "Green" for the progress of its initiatives under way. Currently, DOJ is in the process of developing:



- A diversity program that includes a new mentoring program, a workplace culture assessment, and a student loan repayment program;
- A broad-based Justice Virtual University that will afford employees access to a wide range of courses, using on-line e-training tools and links to universities and other sources.

## Competitive Sourcing

Although a vast majority of DOJ activities are defined as inherently governmental due to their law enforcement missions, we are pursuing appropriate opportunities for competing various functions with the private sector. Our goal is to develop the most efficient organization performing our mission in the most efficient and effective manner, regardless of whether the function is performed inside DOJ or contracted out with federal employees or private sector contractors. Our efforts have continued to earn us a “Green” rating for progress.

A standard competition conducted by the FBI for vehicle maintenance involved 153 employees and resulted in the function being retained in-house. The FBI's technical proposal for the competition requires that the function be performed with a reduced number of mechanics, with some positions redefined to align better with their duties and responsibilities. The result is an expected savings of \$11.5 million over the next 5 years. This result is consistent with the experiences of a high percentage of other federal agencies, whose competitions have determined that the best value is provided by the in-house organization. (See *COMPETITIVE SOURCING: Report on Competitive Sourcing Results, Fiscal Year 2003* at [www.omb.gov](http://www.omb.gov)).

DOJ will conduct 10 competitions in FY 2004 and 2005:

- Each major DOJ bureau, including DEA, BOP, FBI, OJP, USMS, and ATF, will perform at least one competition by the end of FY 2005. Justice Management Division will have conducted three;
- Planned competitions involve information technology, BOP's medical services, and OJP's grants management-related services;
- By the end of FY 2005, competitions in DOJ will have involved 584 full-time equivalent (FTE) positions, 30 percent of our commercial FTE eligible for competition;
- Two of the competitions will be standard, that is, will involve more than 65 FTEs. DOJ's overall 3:8 ratio of standard to streamlined competitions is higher than the government average.

## Financial Performance

The Department considers financial management to be the cornerstone of effective management. Historically, our decentralized management structure led to the development of multiple financial systems with different characteristics and no connection to each other or to a central system. Today, the development of a DOJ-wide Unified Financial Management System is a high priority, and we are making significant progress toward implementing it – we have prepared and issued system requirements, selected a software vendor, and are now testing software to ensure that it will serve our needs.

Despite the decentralization, we have received clean audit opinions on our FY 2001, 2002, and 2003 consolidated financial statements, while accelerating quarterly and year-end closeouts. The results prove the value of the effort. We have:

- Reduced interest penalties charged to DOJ by 73 percent, or \$4.3 million, since FY 2001;
- Achieved a zero percent delinquency rate, compared to 7 percent Governmentwide, in payments for purchase and travel card charges;
- Recovered unpaid or outstanding amounts by examining payment records;
- Closed four material weaknesses reported under the Federal Managers Financial Integrity Act;
- Received \$5 million from charge card rebates; and
- Continued to earn “Green” progress ratings from OMB reviewers.

## E-Government



The Department has taken great strides in improving its e-government activities, both through our own internal initiatives and in collaboration with Governmentwide efforts spearheaded by the Office of Management and Budget, which has characterized our progress by a “Green” rating. These efforts, such as e-procurement, e-learning, and e-personnel systems, seek to tie disparate agency systems and information together. Some DOJ-specific examples include:

**The Joint Automated Booking System (JABS)** automates the booking process, sharing arrestee data across federal agencies and providing an electronic interface to the FBI’s automated fingerprint matching and identification service. A total of 781 booking stations have been deployed both home and abroad to DOJ components as well as to DHS and other federal agencies. Deployments began in 2001 and will be completed by 2005. Results of the JABS project include:



- Booking nearly 308,000 subjects over the last four years;
- Responding to 685,000 inquiries over the same period;
- Reducing the amount of time it takes to positively identify an arrestee from several weeks, using the previous ink and paper system, to under 2 hours; and
- Providing real-time updates of the FBI’s criminal master files so that they are immediately available to all law enforcement agencies, facilitating their ability to identify and apprehend criminal suspects.

**The Victim Notification System (VNS)** assists participating agencies – the FBI, BOP, and U.S. Attorneys – in providing victims of federal crimes with information regarding the status of the criminal investigations and prosecutions. In July 2004, the United States Postal Inspection Service will join the program. VNS provides this notification through automated letters, a toll-free telephone number, e-mail, and facsimile. The project is funded by fines imposed on convicted defendants. Results include:

- Providing victims with notice of more than 2 million case-related activities involving federal criminal matters during the first 8 months of FY 2004; and
- Improving coordination of information involving victim notifications between agencies.

**The Firearms Integrated Technology Project** is a multi-year project to integrate over 20 separate data systems into a “system of systems” that standardizes data fields and reduces ATF system maintenance and support costs. These systems involve firearms and explosives licensing, firearms importation permits, registration records of firearms, automated referral of persons denied firearms by the National Instant Criminal Background Check System, and ATF’s firearms tracing system. Anticipated results of the project include:



- Easy access for ATF employees to records on trace data, firearms data, or licensee data;
- Availability of web-based tools so that the public, industry, and law enforcement can interact within four integrated applications – licensing, tracing, enforcement, and analysis;
- Acceleration of application and form processing, which will reduce costs and errors; and
- Ability of agencies to analyze their data, including crime gun mapping, more quickly, permitting quicker reaction to violent crime in their jurisdictions.



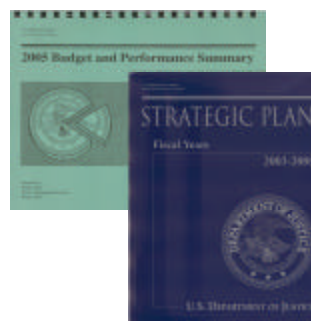
**The Grant Management System (GMS)** supports all of OJP's offices and bureaus in the solicitation, application, review, and award of billions of dollars in federal grants supporting law enforcement and anti-terrorism efforts. GMS also supports the DHS Office of Domestic Preparedness. GMS has eliminated millions of pieces of paper flowing among OJP's grant management partners, grantees, and financial personnel because of such features as automated grant peer review, automated progress reporting, on-line grantee financial reports, and paperless award notification and acceptance.

By the end of FY 2004, the system will be complete and will provide the additional functions of grant monitoring and financial closeout, making it the first enterprise system to support a fully automated, end-to-end grant management life cycle. GMS has been considered under the E-Government initiatives as a candidate for the Federal 'back-office' grants management system and supports an electronic interface to the 'grants.gov' storefront Federal E-government initiative.

**The Bomb and Arson Tracking System (BATS)**, developed and launched by ATF last year, is an Internet-accessible system that serves as a library that federal, state, and local law enforcement agencies can use to manage and exchange information about bomb and arson cases and incidents. BATS won a 2004 Government Solutions Center Pioneer Award, one of 15 bestowed by the E-Gov Institute this year for innovations exhibited by federal, state, and local agencies.

## Performance and Budget Integration

DOJ has linked planning, budgeting, and performance in our planning and budget cycle:



- Our FY 2003-2008 Strategic Plan reflects a major change in alignment of the Department's strategic goals and objectives, identifying four major goals instead of the eight laid out in the last plan. These goals permit more effective alignment with the DOJ budget program structure and facilitate budget requests and performance reporting. For the first time, our plan clearly integrates our goals with performance measurement, by identifying 28 long-term measurable outcome goals for high level activities, encouraging greater accountability.
- With the FY 2005 budget request, we reoriented our budget presentation format to focus on goals, results, and specific strategies for achieving them. For the first time ever, one can see the costs related to our myriad program activities and the results, in terms of outputs and annual outcomes, that can be expected with those resource investments. For FY 2006, we are continuing to refine our budget presentation to make it more succinct and results-focused.
- Our budget requests incorporate the Program Assessment Rating Tool (PART) results and recommendations to improve program effectiveness. Over the last 2 years, 15 PART reviews have been completed. During this time, our average overall score increased from 45 (Ineffective) to 63 (Adequate) and the number of programs that did not have adequate performance measures in place to judge their success decreased from seven to four. As followup initiatives for further improvement, we are developing Departmentwide efficiency measures and internal program review processes that meet PART requirements.
- Our budget execution process includes improved and expanded quarterly status reporting by including performance information. We have developed a reporting template for quarterly performance and financial reporting, and we use performance data to inform quarterly reviews in all major areas.

## Faith-Based and Community Initiative

The DOJ Center for Faith-Based and Community Initiatives coordinates our efforts to eliminate regulatory, contracting, and other programmatic obstacles to the participation of Faith-Based Organizations (FBOs) and Community-Based Organizations (CBOs) in providing social services. Within DOJ, these services particularly involve the areas of juvenile delinquency; prisoners and their families; victims of crime; domestic violence; and drug addiction, treatment, and prevention. The DOJ Faith-Based Initiative revolves around four general areas: outreach, grants management, rules and regulations, and pilot programs.

Since December 2002, we have:

- established a 1-800 hotline for religious discrimination complaints;
- implemented a website for FBO/CBO initiatives;
- begun an outreach effort to these groups;
- held workshops for grant managers on legal issues that permit FBOs and CBOs to compete for DOJ grants on equal footing with other applicants;
- e-mailed grant announcements to prospective applicants;
- drafted proposed legislation that ensures that FBOs/CBOs compete on equal footing for funds;
- designed several pilot programs (including the COPS Prisoner Reentry initiative, BOP's Pilot Reentry Program, the Pilot Prisoner Counseling Program, the Faith-based Juvenile Delinquency Pilot, and the Elder Fraud Prevention Program) to advance the partnership between FBO/CBOs and federal, state, and local governments. These pilots mentor returning offenders; counsel prisoners; and address issues of juvenile delinquency, drug use, and gang activity.

By the end of 2004, we intend to:

- implement user-friendly, web-based announcements for all relevant competitive grant awards;
- establish mechanisms to provide technical assistance to FBOs/CBOs applying for discretionary grants for the first time; and
- implement a plan for enhancing the opportunities of FBOs/CBOs to receive block/formula grant funds at the state and local levels.

Other plans include:

- simplifying the applications process for grant applicants by reducing the page limits for grant solicitations, application package instructions, and application narratives;
- implementing training for peer-group reviewers regarding the rights and capabilities of FBOs/CBOs;
- expanding the pool of reviewers to include persons knowledgeable of the capabilities of the applicant organizations; and
- implementing the principles of Executive Order 13279, *Equal Protection of the Laws for Faith-based and Community Organizations*, in regulatory and sub-regulatory materials.

## **CHANGING THE CULTURE, CHANGING EMPLOYEES:**

### **FOCUS GROUP REACTIONS TO RESULTS-ORIENTED MANAGEMENT**

DOJ's mission is undergoing significant transformation. With the specter of terrorism looming over us, our components are developing a singular resolve to confront it, working together more closely, operating from the same base toward the same ends. The Department is speaking with a unified voice.

- Component strategic plans are now coordinated to ensure that their goals, objectives, and measures are compatible with and contribute to the Department's plan and mission;
- Results have become important for important reasons. Not only do they demonstrate the level of our success in meeting our mission goals, but they will affect the level of resources received in future budget years and may even determine whether a program should be continued;
- Performance measures have grown in importance. PART reviews, which assess a program's performance, have become a central element of a program's self-evaluation and improvement.

With change come challenges and discomfort. DOJ employee focus groups have raised concerns with:

- Employee accountability for producing results when external forces that are out of our control play a large role in determining our success or failure;
- Risky goals that could result in negative consequences if they are not met;
- Job security or work disruptions due to competitive sourcing; and
- Measurement and scorekeeping that can be a distraction from the business at hand; in other words, "We're so focused on getting to green, that we can't focus on the real problems."

The challenges are real, but they are being overcome. In fact, working through them is making us all stronger and our programs more effective. For example:

- Tying performance to results is opening communication between managers and employees. Employees need to know what is expected of them. Most want to perform well, but need to know what that entails. Managers must help them achieve their goals;
- Competitions cause us to take hard looks at our operations and processes, often resulting in savings to the Government and greater personal satisfaction for us. Our employees have demonstrated time after time that they like to be productive, accountable, and challenged;
- Difficult goals can be rewarding and energizing. They can draw employees together and help define what is expected of them, and how well they are performing.

The leadership at the Department is spearheading the change. Managers are looking at whether the programs they are funding are producing results. The accelerated deadlines for financial statements have pushed us to produce more timely financial information that is useful to managers.

## GETTING MISSION

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The results we have achieved through our management initiatives are mirrored by those of our law enforcement and litigating personnel in Washington and the field. During a period of overwhelming demand and stress, the Department has produced results that have contributed to creating a safer environment for all Americans. For example:

### *Terrorism*

- Since September 11, we have dismantled terrorist cells in Seattle, Portland, Tampa, Northern Virginia, and Buffalo;
- We have disrupted weapons procurement plots in Miami, San Diego, Newark, and Houston;

- We have shut down terrorist-affiliated charities in Chicago, Dallas and Syracuse;
- As of May 2004, we have brought criminal charges against 310 individuals and secured convictions or guilty pleas from 179 of them.



#### *Violent Crime*

- The violent-crime rate has plunged to a 30-year low;
- We saw a 4.2 percent decrease in violent crime from CY 2003 compared to CY 2002, itself nearly one percent less than CY 2001.
- We prosecuted 68 percent more individuals in the past three years for federal gun-crime. Between 2002 and 2003, the number of defendants charged with federal gun crimes rose 23 percent, from 10,600 to 13,000;
- We cleared 13 percent more felony fugitives in FY 2003 than FY 2002;
- We dismantled 50 percent more Priority Drug Trafficking Organizations in FY 2003 than FY 2002;
- Federal offenders are being sentenced to significant prison time for these crimes – in FY 2003, about 72 percent of offenders were sentenced to prison terms greater than three years, while 93 percent of defendants were sentenced to some prison time.

#### *Litigation*

- We collected more than \$200 million in civil penalties from polluters in FY 2003, nearly as much as the three previous years combined;
- We collected \$2.1 billion from suits and investigations of fraud against the taxpayers of the United States, the most ever collected;
- Since the inception of the Corporate Fraud Task Force on July 9, 2002, we filed over 400 cases, charged more than 900 defendants and over 60 corporate CEOs and presidents with some type of corporate crime, and obtained over 500 corporate fraud convictions or guilty pleas.

#### *In the Community*

- In September of 2003, we saw the recovery of the 100th abducted child through the Amber Alert program, more than half occurring since we instituted a nationally-coordinated Amber Alert program last fall;
- Hate crimes were down almost 25 percent in 2003, compared to the previous year.

## LOOKING AHEAD TO A *Results!* BASED ENVIRONMENT

We are in the middle of a culture change at DOJ. The results are not all in, but the future is promising. We are beginning to shed some old habits and embrace new expectations. We have gained much from the President's Management Agenda and the Attorney General's *10 Management Goals*. That guidance has helped us set the Department's Results Agenda and deliver more results. Next, we will evaluate the data that comes in, determine whether our activities are yielding results, and modify, if necessary, the measures used to evaluate them. And through the whole process, we will remain flexible to more change even as we keep a steady eye on the reasons we perform our work: to serve and protect all Americans.