



## SMART EXPECTATIONS Inspector General

### Leadership and Strategic Planning

**The Mission of the agency: Providing Highway Safety and Security through Excellence in Service, Education and Enforcement.**

Goals:

- 1) Improve and increase efficiency to enhance internal and external service delivery.
- 2) Promote a Department culture that encourages ethical conduct, integrity and high performance.

#### **Mission and Goals for the Inspector General:**

- 1) Build values and ethical awareness in the department.
- 2) Improve operational safety and reduce liability and risk.
- 3) Recommends actions to improve accountability and integrity of programs, activities, employees, applicable contractors and agents. This includes evaluations of internal control and integrity of programs, the evaluation of compliance with laws, rules, policies and procedures.
- 4) Recommends actions that enhance the efficiency and effectiveness of programs, activities. This includes direct management reviews, and performance audits.
- 5) Direct the investigation of allegations of fraud, waste, and abuse.
- 6) Investigates policy violations and wrongdoing by members.

**Expectation: During the rating period, create a collaborative environment for the employees in your office. The result will be an expansion of service delivery, investigative output and audit products. The expectation is that is collaborative environment will be modeled throughout the Office.**



**Ratings:**

**Rating of 3:**

- a) Meet weekly with each direct report to coach timely service and productive reviews and audits.
- b) Set performance goals according to area of responsibility for each direct report.
- c) Set expectations and ask for specific examples of modeled behavior from the direct report's subordinates.
- d) Hold quarterly team meetings with Directors and their direct reports.
- e) On a quarterly basis formally report OIG activities/accomplishments to the Executive Leadership Team.

**Rating of 4:**

- a) In addition to weekly meetings in 3(a) above, do a performance plan and discuss your direct report's progress.
- b) Set expectations and ask for specific examples of modeled behavior from the direct report's subordinates.
- c) Hold quarterly team meetings with subordinates and their direct reports.
- d) Set goals bi-annually at strategic planning meetings with subordinates that focus on the agency 5 year needs.
- e) Integrate results from 4(d) above into agency business plan discussions.

**Rating of 5:**

- a) In addition to weekly meetings in 4(a) above, do a performance plan and discuss your direct report's progress.
- b) Discuss/observe modeled behavior at lower levels of supervision in each division.
- c) Hold quarterly team meetings with subordinates and their direct reports.
- d) Set goals bi-annually at strategic planning meetings with subordinates that focus on the agency 5 and 10 year needs.
- e) Integrate developed strategies from 5(d) with other divisions'/offices' strategic planning and the agency business plan.

**Rating of 2:**

Employee fails to meet any one of the expectations in (3).

**Rating of 1:**

The employee fails to meet two of the expectations in (3).



## Audit

**Foster a Department culture of continuous improvement and increased efficiency to enhance internal and external service delivery by implementing a risk-based quality internal audit program that increases efficiency and effectiveness and strengthens internal controls within the Department. Management agreement with audit findings is an indicator of the accuracy of audit work performed. Percentage of audit findings agreed to by Department management.**

### Ratings

- 95% = 5 rating
- 90% = 4 rating
- 85% = 3 rating
- 80% = 2 rating
- Less than 80% = 1 rating

**Foster a Department culture of continuous improvement and increased efficiency to enhance internal and external service delivery by implementing a risk-based quality internal audit program that increase efficiency and effectiveness and strengthen internal control in the Department. Corrective action taken by Department programs is also an indicator of the accuracy of audit work performed and commitment of the OIG audit team to working collaboratively with management to identify actionable recommendations to increase Department efficiency and effectiveness and strengthen internal controls within the Department.**

- Corrective action implemented on 70 to 80 percent of audit recommendations within one year of the published audit report = 3 rating
- Corrective action implemented on 80 to 90 percent of audit recommendations within one year of the published audit report = 4 rating
- Corrective action implemented on 90 to 100 percent of audit recommendations within one year of the published audit report = 5 rating
- Corrective action implemented on less than 70 percent of audit recommendations within one year of the published audit report = 2 rating
- Corrective action implemented on less than 60 percent of audit recommendations within one year of the published audit report = 1 rating



## Investigations

**Foster a Department culture of continuous improvement and increased efficiency to enhance internal and external service delivery by implementing an investigations function that results in timely, factual, and accurate reports that contain pertinent information, identify misconduct and/or internal control deficiencies, and makes recommendations that will prevent or mitigate employee wrongdoing. Providing timely, quality investigative reports is an indicator of the hiring, management, and training of the investigative team. The time elapsed between the assignment of an investigation to an investigator until the final report or disposition determination is an indicator of the efficiency and effectiveness of the investigations as well as the timeliness of investigative results.**

The average time from complaint receipt to closure of OIG administrative investigations is

- 75 days or less = Rating of 3
- 60 days or less = 4
- 45 or less = 5
- 75 days = 2
- Greater than 90 days = 1

**Foster a Department culture of continuous improvement and increased efficiency to enhance internal and external service delivery by implementing a investigations function that results in timely, factual, and accurate reports that contain pertinent information, identify misconduct and/or internal control deficiencies, and makes recommendations that will prevent or mitigate employee wrongdoing. The assignment of cases should be made to concentrate OIG resources and efforts on issues that have the greatest impact and usefulness to stakeholders within emphasis on safeguarding public resources. The Inspector General will implement a process to ensure the timely disposition of complaints is documented based on consult from appropriate division and human resources staff.**

Complaint Intake forms and complaint documentation are reviewed and disposition is determined no longer than 10 days from receipt of the complaint by the Office of Inspector General. Percentage of completed Intake forms on time:

- 95% - 100% = 5 rating
- 90% - 95% = 4 rating
- 85% - 89% = 3 rating
- 80% - 84% = 2 rating
- Less than 80% = 1 rating