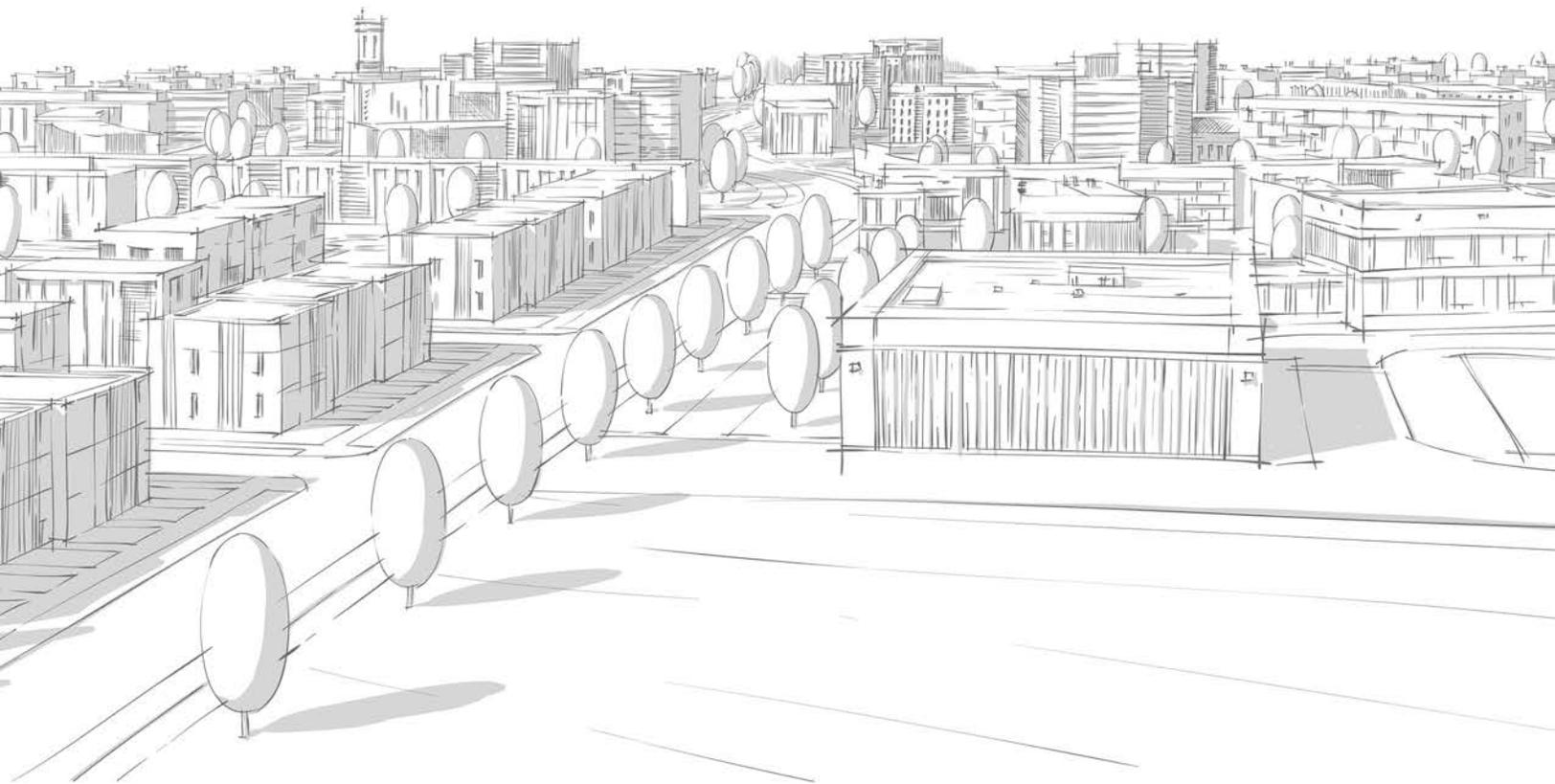


2018-2022  
**Strategic Plan**

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U.S. Department of Housing and Urban Development  
**OFFICE OF THE INSPECTOR GENERAL**

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# Helen M. Albert

## ACTING INSPECTOR GENERAL

Given the unprecedented number and variety of natural disasters that this country witnessed in 2017, along with the proposed changes to the U.S. Department of Housing and Urban Development (HUD), adapting to meet new challenges and opportunities is vital. To that end, I am pleased to present the HUD Office of Inspector General's (OIG) strategic plan, which describes our primary areas of focus for the next 5 years. As we publish this plan, we continue to respond to the public need resulting from Hurricanes Harvey, Irma, Maria, and Nate and the devastating wildfires and mudslides on the West Coast. These disasters devastated homes and displaced thousands of U.S. citizens, including some of our own colleagues within OIG. Despite these conditions, our team provided search and rescue and first responder assistance throughout the devastated areas. I am extremely proud of our team's efforts, particularly in the face of personal hardships.

HUD traditionally receives more disaster funding than any other Federal entity and may take decades to rebuild homes and communities. These natural disasters have, therefore, substantially increased the long-term need for oversight of HUD's disaster response and recovery funding. In addition, HUD is undergoing substantial change as a result of reform initiatives and resource constraints. Now more than ever, we must be diligent in studying and bringing awareness to HUD's greatest challenges and risks. We must also be strategic and creative in

proposing relevant action items to help HUD address these issues.

Our strategic plan is the result of much effort, reflection, and dialogue. We integrated our enterprise risk management process into our planning to ensure that we thoughtfully considered our own risks – those that prevent us from achieving our strategic goals as well as those that could result from missed opportunities. This document calls upon us to have the courage to revisit our basic assumptions, collaborate more, and innovate in our approach to work. The goals emphasize our obligation to pursue strategic thinking and long-term planning and to continually find ways to improve our own operations and tactical abilities.

We are committed to helping HUD and its beneficiaries, and we are earnest in our efforts to bring maximum benefit to our stakeholders. While our results have been consistently strong, we continue to enhance and expand our expertise and skills to keep us at the forefront of our profession. Many rely on us, and we remain focused on working diligently to deliver consistent, high-quality, and impactful results.



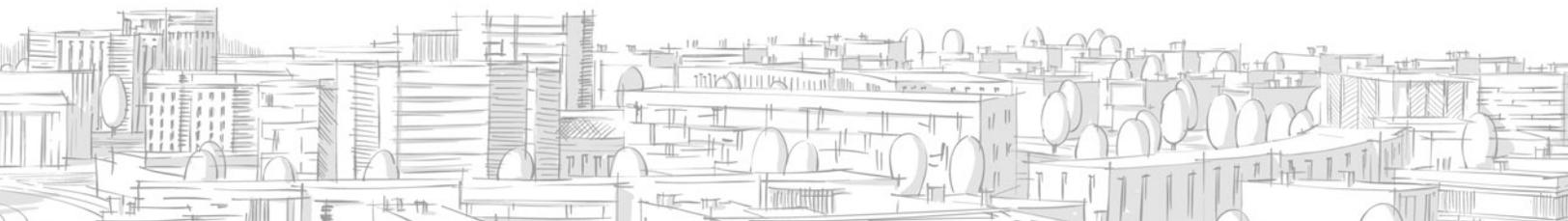
Helen M. Albert



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# Table of Contents

Vision, Mission, Leadership Philosophy, Core Values .....	4
Strategic Overview .....	6
Strategic Goal 1 .....	10
Strategic Goal 2 .....	14
Strategic Goal 3 .....	18
Strategic Goal 4 .....	22
Strategic Goal 5 .....	26
Risk and This Plan.....	30
The Way Ahead.....	32





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## OUR VISION

We are a collaborative team of diverse, empowered professionals committed to excellence, innovation, our core values, and sharing our knowledge and best practices with the U.S. Department of Housing and Urban Development (HUD) and the Inspector General community. We leverage the specialized skill sets within the Office of Inspector General (OIG) to bring heightened awareness to HUD's toughest challenges. We support HUD's efforts to achieve stronger housing markets, quality and safer housing, and strengthened communities.



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## OUR MISSION

We promote economy, efficiency, and effectiveness in the administration of HUD programs through the use of traditional and innovative approaches. We protect the integrity of HUD's programs and operations by identifying opportunities for HUD programs to progress and succeed.



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## OUR LEADERSHIP PHILOSOPHY

We are a diverse organization of public servants dedicated to excellence and unified in helping HUD accomplish its mission to create strong, sustainable, inclusive communities and quality, affordable homes for all.

We are motivated by performing essential, innovative, and influential work that addresses HUD's most significant management challenges.

Because our work is often complex and without precedent, we leverage the diversity of our skills and experiences and take a participatory approach with HUD and other stakeholders to develop the best solutions.

We embody our core values and create an environment that fosters teamwork and open communications, empowers individuals to grow and take risks, and recognizes successes across the organization and the Department.



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# OUR CORE VALUES

## Accountability

is taking ownership of our decisions and actions. We hold one another accountable to a higher standard of conduct.

## Courage

is doing what is right, no matter how difficult. We ask questions and raise concerns when needed.

## Respect

is appreciating the uniqueness of our workforce. We treat others with dignity, civility, and mutual consideration.

## Stewardship

is accepting our responsibility to serve the public good. We care about leaving things better than we found them.

## Trust

is the result of promises kept. We deliver on our commitments and communicate honestly with our stakeholders.

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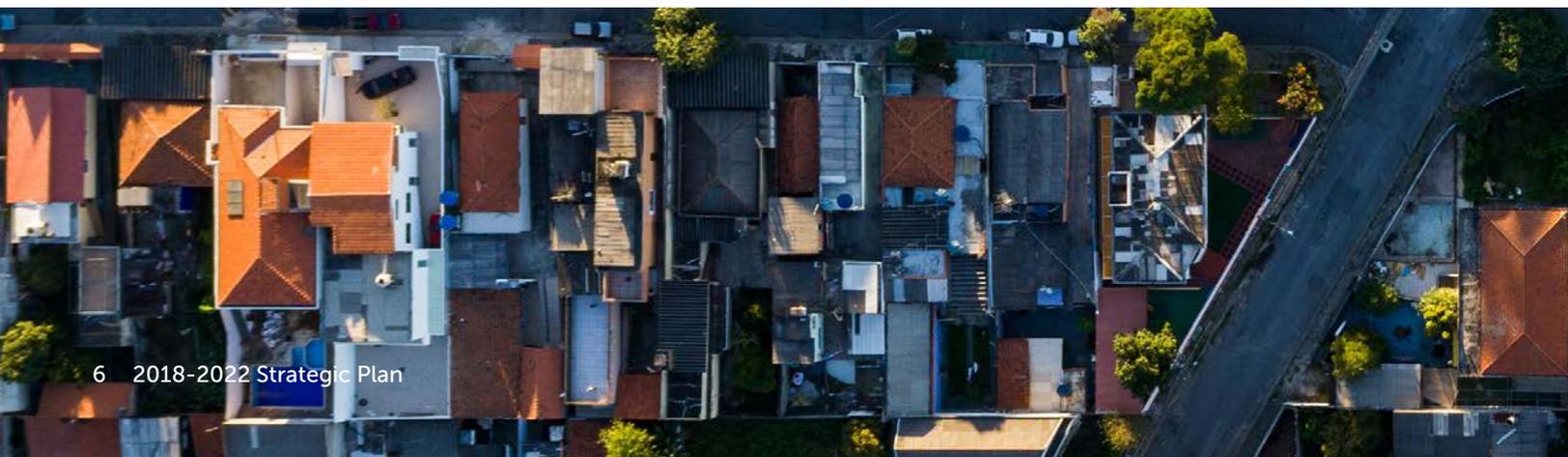
# Strategic Overview

We assist the U.S. Department of Housing and Urban Development (HUD) in achieving strong, sustainable, inclusive communities and quality, affordable homes for all.

HUD accomplishes this mission through nearly 300 housing and community development grant, subsidy, and loan programs. HUD assists families in obtaining housing by providing Federal Housing Administration (FHA) mortgage insurance for single-family and multifamily properties. It also oversees HUD-approved lenders that originate and service FHA-insured loans and Government National Mortgage Association mortgage-backed security issuers that provide mortgage capital. HUD relies on many partners to administer many different types of grant, loan, and housing assistance programs. These partners include financial institutions that have delegated authority to originate FHA-insured mortgages, States and cities that manage HUD's Community Development Block Grant funds, public housing agencies that manage assisted housing funds, and other Federal agencies with which HUD coordinates to accomplish its goals. HUD also has a substantial responsibility for administering disaster assistance programs.

However, HUD is far more than housing and community development. As Secretary Carson noted in his confirmation hearing, housing is a social determinant of health. Social determinants of health include healthcare, jobs, education, healthy food offerings, and transportation, in addition to housing. Although these things can lead to a healthy life and lifestyle, they are also associated with living well.

In this context, housing is more than a place to live. HUD's Office of Policy Development and Research notes studies showing how crime and delinquency, education, psychological distress, and various health problems are affected by neighborhood characteristics. The Federal Government defines housing insecurity as including such things as poor housing quality, unstable neighborhoods, overcrowding, and homelessness. Factors such as these are associated with increases in childhood injuries, exposure to infectious diseases, elevated blood pressure, a lack of preventive health services, and poor school



performance. Efforts to address housing insecurity reduce the likelihood of these consequences occurring, meaning that housing has effects well beyond simply offering a roof over one's head.

The Office of Inspector General (OIG) promotes economy, efficiency, and effectiveness in the administration of HUD programs. We employ a variety of traditional audits, evaluations, investigations, and other initiatives to provide HUD program managers and Congress with what will make programs or operations stronger and comply with laws and regulations better. We leverage various innovative analytics, studies, reviews, and approaches to provide insights to HUD and its stakeholders in a timely manner. We also protect HUD programs from fraud and other crimes and ensure the integrity of HUD employees and program administrators through civil and criminal investigations. Our mission mirrors the expectations laid out for us in the Inspector General Act. However, just as HUD is more than housing and community development, our role is

more than oversight. Every positive impact that OIG can have on HUD furthers its ability to advance the health and welfare of U.S. citizens.

HUD OIG is one of the original Offices of Inspector General, created when the Inspector General Act of 1978 went into effect. We are approaching our 40th anniversary of working with HUD to improve the lives of all Americans. In that time, we have offered innumerable findings and recommendations to improve HUD's operations and conducted a myriad of investigations to limit the effects of fraud and abuse in HUD's programs. We continually return more money to the government than we receive in appropriated funds. Through our efforts to promote stewardship and accountability, we ensure a lasting and positive impact on HUD and the communities we serve.



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# Five Strategic Goals

As we look to the future, we have identified five strategic goals. These goals are as follows:



## Goal 1: Further HUD's Mission Success

Assist HUD in developing an effective and efficient means of meeting its housing and community development goals and ensuring the integrity and accountability of program funds and operations



## Goal 2: Advance Operational Economy, Efficiency, and Effectiveness

Commit to high standards and continuous improvement activities to ensure that we model performance excellence



## Goal 3: Cultivate Positive Internal and External Stakeholder Relations

Increase engagement with HUD officials and external stakeholders to better understand their perspectives and build trust



## Goal 4: Invest in Ourselves and Our Organizational Culture

Invest quality time in developing ourselves at the individual, team, and organizational levels and in creating an organizational work culture consistent with our leadership philosophy and core values



## Goal 5: Foster Strategic Thinking and Long-Term Planning

Forecast and continuously integrate future agency needs into HUD OIG's strategy and decision making to sustain short- and long-term success



We arrived at these goals after a great deal of discussion and introspection. The process of developing a strategic plan is always more beneficial than the plan itself – it compels us to share our knowledge and perspectives and debate how that alters our view of the future. Yet as a strategic plan provides definitive direction, we do not want this plan

to be something we put on the shelf to revisit in 5 years. Instead, it should be a document that we review annually and regularly update so it will remain relevant to us for the next 5 years. We are committed to evaluating not only the implementation of this plan, but also its effectiveness in facilitating organizational improvements and enhanced outcomes.



# Goal 1

## Further HUD's Mission Success

Our oversight work plans are informed by risk and consider HUD priorities, congressional mandates and concerns, and citizen complaints, as well as our own analyses of dangers to HUD programs. The work performed by our analysts, auditors, evaluators, investigators, and others provides the means to keep the Secretary and Congress fully and currently informed about the challenges HUD faces. We continue to look for new ways to study what is working and what could be improved within HUD's programs and operations and are exploring new ways to share useful and relevant potential solutions. We also proactively look for fraud, waste, abuse, and gross mismanagement within HUD programs and seek to deter these to the degree possible. We conduct civil and criminal investigations and partner with other law enforcement agencies to



Assist HUD in developing an effective and efficient means of meeting its housing and community development goals and ensuring the integrity and accountability of program funds and operations

provide referrals to the U.S. Department of Justice, which may result in prosecutions or civil suits to punish those who defraud HUD or wrongfully use public funds. We also investigate public corruption, theft, or other acts by HUD personnel or HUD's program administrators that may threaten HUD's credibility with the public. These cases also promote integrity in HUD programs by holding persons accountable for abuse of their positions. We will continue to assess the manner in which we conduct our work and its impact so we can maximize the effectiveness of our efforts and resources.

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## Objective 1.1

### Use risk-based approaches to prioritize and plan cross-functional work

Acknowledging an increasing workload (for example, disaster recovery oversight and new mandates) and decreasing resources due to static budgets, we must be diligent in assessing HUD's greatest risks and opportunities and prioritizing work that will provide the most benefit. As part of this process, we prepare an annual summary of the most significant management challenges facing HUD in compliance with the Reports Consolidation Act of 2000, Public Law 106-531. We identify major management challenges, assess HUD's progress in addressing each challenge, and submit these statements to HUD annually for inclusion in its annual agency financial

report. Additionally, we have implemented an enterprise risk management program compliant with Office of Management and Budget Circular A-123 and will use this process, with input from HUD, to identify and assess the greatest risks and opportunities HUD faces. Finally, we have modernized our hotline system and will continue to refine our analyses of hotline data to uncover emerging high-risk areas within HUD programs. We will engage all of our components and stakeholders for input into these strategic analyses and use them to prioritize and plan our audits, evaluations, and other reviews as well as our priority areas for investigations.

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## Objective 1.2

### Leverage traditional and innovative approaches to provide high-quality and insightful work products

A top priority is to ensure that our work results in improvements to HUD's administration of its programs and protect HUD funds from fraud, waste, and abuse. To do this, our work must be independent, timely, relevant, and objective. We will find new ways to examine and report on HUD's top management challenges to help further its progress in addressing longstanding issues. We will increasingly leverage data analytics to assess emerging risks and provide new insights. Balancing compliance auditing with more outcome- or performance-based reviews and studies will produce more generative insights for recipients. We will find ways to increase the prevention of problems and abuses by considering new methods of communication and reporting and by increasing training and outreach to HUD and its program administrators.

We must also become more analytical in measuring and communicating the impact of our work. One of our takeaways is how challenging it is to develop meaningful measures and indicators of oversight activity outcomes and yet how important these are in decision making. We recognize that quantifying our return on investment is an imperfect science and that counting the number of audits, evaluations, and investigations is a measure of output versus outcomes. In both of these cases, more is not always better; there becomes a point at which they offer diminishing returns. To that end, we have committed to benchmarking potential outcome measures with other oversight entities and to forming workgroups within OIG to reevaluate the measures that we have been using in our components as well as those that we propose in this strategic plan.

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## Objective 1.3

### Influence HUD's decision making through relevant, timely reports that address root causes and identify lasting solutions to issues reported

The best way to remain relevant to HUD stakeholders is to make sure that our products and services deliver information, advice, and insights that managers find useful. We will expand the use of systemic implication reports to promptly notify HUD officials when our investigations uncover operational weaknesses that may result in fraud, waste, or abuse involving HUD programs and integrate this knowledge into broader studies of HUD challenges when appropriate. We will dedicate more attention to following up with HUD on these reports and their corrective actions. By engaging HUD in our efforts to research the root causes of issues and in the development of solutions, we can get to the heart of

longstanding issues with HUD programs and reach workable, long-lasting solutions, which will benefit HUD and its stakeholders. Through appropriate engagement, audit and evaluation recommendations will result in a stronger commitment to implementation in less time. To enhance the quality of our recommendations, we will dedicate a greater percentage of our work to follow up on and assess the impact of implemented solutions. We will follow up on unimplemented recommendations in a timely manner to better understand barriers to implementation and use that insight to better understand HUD's challenges and devise better solutions.

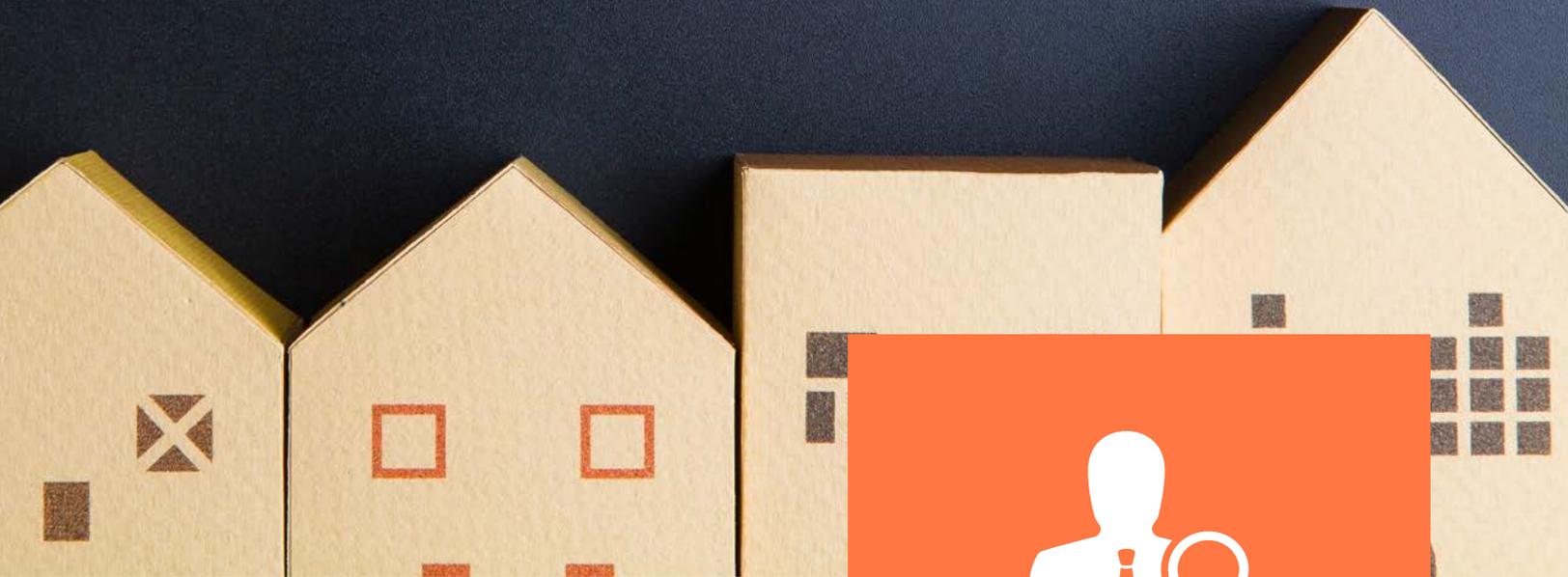
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# Evaluating Progress

Examples of potential measures and indicators for Strategic Goal 1

- ✓ Percentage of work products that substantially impact the way HUD conducts business, such as operations and program improvements, funds returned, or sanctions against violating actors
- ✓ Percentage of work products that align with top management challenges or departmental risks





## Goal 2

# Advance Operational Economy, Efficiency, and Effectiveness

We want HUD OIG to be recognized as a premier place to work. We must also serve as a model for the organization we oversee, both in using resources efficiently and effectively and ensuring that internal controls exist to protect the integrity of operations. We will be particularly mindful of those controls related to the management of resources and security of people, information, and facilities. One way to achieve these outcomes is to ensure that we regularly revisit what we are doing, why we are doing it, and how it could be done better. In certain cases, this may include changing our goals or discontinuing some of our projects or programs altogether. Taking the time to continuously improve how we run our organization will directly improve our ability to perform our mission work. Further, dedicating our attention to running our own



Commit to high standards and continuous improvement activities to ensure that we model performance excellence

organization optimally will help us better understand the challenges HUD faces in managing its own operations, especially in management and administrative functions. We will be better positioned to understand some of its constraints and offer realistic recommendations. We will ensure that we regularly revisit our strategy, processes, and culture to improve our outcomes. We must also work to ensure that financial and resource management processes and decision making encourage long-term planning and allocate resources to effectively achieve mission requirements. Further, we must improve transparency of resource allocation within OIG.

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## Objective 2.1

### Evaluate and update practices to ensure that mission and mission support work is timely, relevant, impactful, measurable, and transparent

As part of our annual performance planning, we will revisit key performance goals for each component office. We will engage in a dialogue within our teams to develop performance goals and measures that will drive us to do meaningful work. We will refine and track performance measures related to those goals to support decision making and to ensure that we make our performance a priority. We will engage more people within and outside the organization to learn their insights and perspectives as we revise our goals and measures.

We will assess the economy, efficiency, and effectiveness of current mission support processes, which include human capital

management, information technology, financial management, acquisition, administrative support, communications, and enterprise risk management. We will modernize each process to ensure that it works optimally. Developing dashboards for key operational and strategic data will allow individuals at all levels of the organization to make decisions and manage the day-to-day operations of their offices. Dashboards may include live feeds of staffing and budget allocations. We will review all administrative support services to ensure that policies and procedures are streamlined and improved with the user in mind.

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## Objective 2.2

### Ensure that organizational structures, staffing, and technological tools support our mission and vision

Our organizational structure has evolved since our last strategic plan. We plan to clarify organizational roles and responsibilities while encouraging collaboration. We will forecast staffing needs and levels based upon our new strategic goals and objectives as well as our component work plans and priorities. We will pursue an appropriate balance between the staffing of our mission work, such as our audits, evaluations, and investigations, and our mission support work, such as our management and administrative functions. Increasing engagement with the components on assessing staffing needs and increasing transparency in staffing decisions will help address concerns

throughout the organization about the balance of our resources.

We will leverage task forces to develop greater team and leadership skills within the workforce and aid in succession planning. We will encourage the sharing of ideas, promote decision making at all levels, and cross-train our team members to maximize effectiveness and better leverage skill sets. We will continue to reevaluate and improve our information technology systems and support to ensure that they fully enable us to work together and accomplish our mission.

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## Objective 2.3

### Improve long-term planning and visibility in financial management, acquisition, and resource allocation across the organization

We will increase innovation and transparency in our resource management activities. Advancing our budget formulation and execution processes will help to ensure that resources are distributed based on our strategic objectives and work plans. Our approach to budget formulation will be more holistic to emphasize how we work together. We will engage staff across the organization to make decisions about new initiatives requiring funding and

how to allocate scarce central funds. Staff will be empowered to request and manage resources through planning and guidance. We will leverage administrative officers better in developing and executing operating plans and helping to ensure that tangible resources are procured and shared as needed within the organization. Ultimately, financial and resource management decisions will support long-term plans and be made available to the entire OIG.

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# Evaluating Progress

Examples of potential measures and indicators for Strategic Goal 2

- ✓ Baseline and trend operational data to assess and analyze the economy, efficiency, and effectiveness of current mission and mission support processes
- ✓ Improvement in the percentage of both our mission and mission support products and processes completed within prescribed timelines





## Goal 3

# Cultivate Positive Internal and External Stakeholder Relations

Communication and collaboration with stakeholders, including HUD officials, congressional staff, the Office of Management and Budget, the U.S. Government Accountability Office, Federal prosecutors, and others in the law enforcement and oversight communities, are central to our ability to realize results and accomplish our mission. We conduct a wide range of communication and outreach activities with our stakeholders and audiences, including housing and community development industry groups and media outlets, to educate and inform them about our mission and results. Some of these engagements are conducted from



Increase engagement with HUD officials and external stakeholders to better understand their perspectives and build trust

headquarters, whereas many others are best conducted in the field. We plan to increase our outreach and dialogue, both in headquarters and the field, to ensure that lines of communication are open and used.

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## Objective 3.1

### Use new and existing processes to identify and improve our working relationships with stakeholders to identify emerging risks, better understand their perspectives and needs, and gather feedback

We are most relevant when we provide results that are useful to our stakeholders. We must create a plan, identifying all of our stakeholders and including formal and informal processes of engagement and communication. This will allow us to obtain insights and cooperation in developing relevant recommendations. It will help to build trust and ensure better implementation of solutions and enforcement actions. By enhancing our feedback system, we can better gauge the usefulness of our products and accuracy in reporting on HUD's management challenges. We will also seek to build relationships with stakeholders so that we achieve increased candor and respect. Finally, we will study and reflect upon the line of independence in our work to ensure that

we guard our independence, while holding ourselves accountable for doing all we can to work with HUD to develop solutions.

Engaging with HUD program staff, congressional committees, and industry groups will help us to better understand the issues and how our involvement can best help solve longstanding issues, save funds, and improve efficiency. Our interaction with HUD officials will help us identify emerging risks and seek solutions. By better leveraging our Semiannual Report to Congress, we can provide a concise yet comprehensive perspective on the work we have completed and the impact that our past work has had on HUD.

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## Objective 3.2

### Initiate and participate in the Inspector General community and industry coalitions that further our ability to enhance Federal Government performance in service to the taxpayer

Many OIGs share common issue areas and can benefit from collaboration and partnerships. We work with other agencies and within the Council of the Inspectors General on Integrity and Efficiency (CIGIE) to collaborate on linking traditionally separate issues across agencies in the Federal Government. Within CIGIE, we participate in committees and working groups focusing on issue-specific functional or topical concerns. These

initiatives leverage action on governmentwide vulnerabilities, such as contract fraud, financial management, or information security. With the recent enactment of the Inspector General Empowerment Act of 2016, we are compelled to identify more such opportunities for data sharing within the Inspector General community to help tackle challenges that span organizational boundaries.

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## Objective 3.3

### Share fraud and abuse prevention communications with HUD's program participants and employees

We will conduct outreach with HUD and its partners to share knowledge about our services and build trust. By creating an inventory of stakeholders and their interests, we can better identify relevant topics and develop compelling, meaningful outreach products. We will continue to collaborate with HUD offices to issue informative integrity bulletins focused on recurring program deficiencies. In addition, we will continue to work with HUD to develop training material for program staff to use to inform program administrators of best practices and strong internal controls. We have learned

that mismanagement often results from a lack of knowledge or understanding of the various rules that HUD and program participants are required to follow. By informing these staff members about the areas that are most prone to fraud and mismanagement, we help those who are best positioned to prevent fraud or mismanagement. We will continue to develop prevention materials for existing and new program areas and engage with HUD's risk officers to share information and help find solutions.

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# Evaluating Progress

Examples of potential measures and indicators for Strategic Goal 3

- ✓ Internal feedback and input from stakeholders, including members of HUD OIG, HUD officials, Congress, audited and evaluated entities, and law enforcement partners
- ✓ Joint initiatives with HUD's program areas; for example, lead-based paint reviews and the development of integrity bulletins



## Goal 4

# Invest in Ourselves and Our Organizational Culture

We are a diverse group of highly dedicated professionals who accomplish our mission. We have studied ourselves and thought critically about how to improve our own organization. Using various surveys, interviews, and reports, we have discovered that individuals at all levels of our organization share similar views of our greatest strengths as well as opportunities for improvement. We have found that we must become better and more strategic about envisioning and developing a workforce for the future. We must continue to study our work



Invest quality time in developing ourselves at the individual, team, and organizational levels and in creating an organizational work culture consistent with our leadership philosophy and core values

culture and reexamine our assumptions about the way we have always done our work. We must engage one another in sometimes difficult conversations about aspects that we can improve.

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## Objective 4.1

### Attract, develop, empower, and retain a competent workforce

It is important that we continue to hire the best people with diverse backgrounds, skills, and experiences. We must ensure that our hiring decisions today align with the workforce needs we forecast in our future. We need to develop our staff to be the leaders of tomorrow by ensuring that we have the right people in the right positions, possessing the necessary skills, provided with challenging work, and engaged in their work. Our budgets and management initiatives must support the continued growth of all members of OIG.

We have also learned that we must continue to reflect upon the prevailing culture in the organization. We have identified a need to unify

the components of the organization in jointly accomplishing OIG's mission. We will foster an environment in which project and program management responsibilities are shared among staff members, and we will support leadership and initiative within all levels of the organization for the purpose of high performance and developing potential successors. We will continue to support work-life balance programs and benefits within OIG. We must also continue to enhance our information technology to provide the tools we need to conduct our work, collaborate, and communicate in geographically dispersed teams.

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## Objective 4.2

### Promote intra-OIG trust and collaboration by engaging employees at all levels in decision making, living our core values, and improving communications

All organizations strive to remove communication barriers and improve trust among managers and staff, headquarters and the field, various professional disciplines and cultures, and subunits. We will work to improve trust within OIG. We will focus our efforts by improving open communication and transparency and moving to an inclusive model of management. We will improve by including staff in key decisions to the degree possible and communicating more openly about why key decisions are made. There is good precedent in collaboration and knowledge sharing among cross-component teams in the field, especially on task forces and in times of crises. We need to determine how to build upon these strengths.

We have existing core values developed with input from all members of OIG. We have also developed a leadership philosophy that reflects the organization we want to be. We will establish working groups and solicit input from across OIG to help bring this philosophy and our core values to fruition. We will request feedback on our work environment and the degree to which employees feel empowered to bring up matters of concern. We are also initiating a cross-component working group to assess ways to improve communications and knowledge-sharing forums within OIG.

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## Objective 4.3

### Reinvent our policies and practices for performance management and employee recognition in favor of teamwork and shared accomplishments

Individual performance planning should flow from this strategic plan and the annual organizational performance plan. We will more directly implement the requirements of the Government Performance and Results Act Modernization Act to develop annual agency performance plans that will help bring our strategic plan to life by identifying actions we will take to begin meeting our objectives. We will also more closely evaluate and revise our performance measures when appropriate. Annual component and associated performance plans will flow from the annual agency performance plan, ensuring that our executive and individual performance goals and measures contribute to their completion and enable us to meet our strategic objectives. We will conduct annual strategic reviews, consistent with those conducted by the Office of Management and Budget, of each department and agency to assess our

progress and adjust as necessary. Not only will we annually review the implementation of our objectives and our measures, we will also evaluate the effectiveness of this plan in creating desired outcomes for HUD OIG.

We will strive to increase transparency in component performance plans and goals to enhance awareness of how we all work together to accomplish our mission and encourage greater collaboration. Having recently migrated to an electronic performance planning system with analytics capabilities, we will assess our current performance planning policies, processes, and outcomes to ensure high performance within OIG. We will find ways to provide appropriate recognition for both individual and team accomplishments and encourage teamwork and joint endeavors, with an emphasis on cross-component collaboration and innovation.

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# Evaluating Progress

Examples of potential measures and indicators for Strategic Goal 4

- ✓ Baseline and trend data on employee retention and satisfaction through the Federal Employee Viewpoint Survey Engagement Inventory and Inclusion Index
- ✓ Increases in the percentage of employees engaged in collaborative organizational improvement activities





## Goal 5 Foster Strategic Thinking and Long- Term Planning

It sometimes becomes necessary to slow down to speed up. It is important to slow down to rethink what we are doing and why and make new decisions about the way ahead. Devising a strategy enables the organization to speed back up – with renewed energy, focus, and clarity. We have learned that we must do better at developing long-range assessments and plans, both for our mission and mission support work. While emergencies such as natural disasters compel us to act decisively and tactically, we must remember that all decisions have a



Forecast and continuously integrate future agency needs into HUD OIG's strategy and decision making to sustain short- and long-term success

broader impact. HUD is changing. We are changing. We must become more proactive in our decisions today, as they all impact our success in the future.

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## Objective 5.1

**Model our leadership philosophy and commit to continual process improvement to demonstrate leadership at all levels of the organization**

In modeling our leadership philosophy, we demonstrate our core values in how we work with one another and how we perform our mission and mission support work. The senior-most leaders in an organization play a lead role in creating, sustaining, and changing an organization's culture, and we must ensure that our policies, practices, and interactions reinforce desired behaviors within OIG. We must be insightful in changing undesirable behaviors. We must proactively seek and integrate diverse perspectives to continuously improve our processes and work products.

As part of this strategic planning process, our senior and middle managers have developed

and committed to implementing our leadership philosophy and honoring the concept of shared leadership at all levels. We must develop a culture in which leadership responsibilities and decision making are shared and demonstrating those attributes is also acknowledged and rewarded. Senior managers will continually encourage and develop the organization's spirit of inclusiveness and transparency in their decision-making process. They will make communication and information sharing key elements of our business. We will encourage joint projects to foster the concept of one OIG.

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## Objective 5.2

**Facilitate greater outcomes by improving organizationwide engagement and capitalizing upon our diverse specialized expertise**

Our geographic distribution is beneficial to our mission work, yet it sometimes makes it difficult to know when our unique knowledge and skills may be helpful elsewhere in the organization. While the principal functions in an OIG are sometimes very different, they are also very complementary. For example, investigations may uncover internal control issues, and audits may uncover potential acts of wrongdoing. While it is easy to fall back into traditional applications of audits, evaluations, and investigations, we will challenge ourselves to think strategically about each new initiative and

project that we undertake. We will intentionally consider the best approach and skill sets needed to create the best outcomes for HUD. We will strive to work with greater unity, while continuing to recognize the diversity that each of our professions brings to the table. We have seen through our disaster response and nursing home work that we are most successful when we capitalize on the unique capabilities of each of our components and the specialized skill sets of each of our offices.

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## Objective 5.3

### Optimize resource management to support current and future requirements and goals

We must ensure that we strike an appropriate balance of our resources between systemic ongoing work and work related to emerging crises. In past disasters, HUD received more disaster funding than any other department or agency. Disaster recovery is a long-term prospect. Hurricane Sandy struck the East Coast of the United States in 2012. More than 5 years later, more than 50 percent of appropriated disaster recovery funds had not been spent. These spending statistics show how long disaster recovery and associated oversight work can take, especially when rebuilding thousands of houses and entire communities.

We develop operating budgets annually, but continuing resolutions and national disasters

disrupt coherent planning. We need to ensure that we develop budget requirements based upon our strategic plan, annual and work plans, and known risks and will employ a more transparent process. Ensuring that budget and resource allocation align with these priorities is important. We must also provide the support necessary to execute the budget in a way that optimizes organizational outcomes. We will improve processes so that resources will be deployed and periodically adjusted based on decisions that are fully informed. We will conduct rigorous yearend budget postmortems to identify areas for possible savings and determine how well we executed budget plans.

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# Evaluating Progress

Examples of potential measures and indicators for Strategic Goal 5

- ✓ Percentage of agency annual performance plan goals that align with the strategic plan
- ✓ Annual spending postmortem and inter-fiscal-year review scoring of resource, space, and staffing allocation alignment with our strategic goals and risk profile



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# Risk and This Plan

By integrating enterprise resource management practices and data into our strategic planning process, we have increased awareness of multidimensional risks to our success. We assessed and considered strategic organizational risks from three distinct vantage points in our planning process.

## Risks Addressed by Our Strategic Plan

In developing our strategic plan, we intentionally discussed what we believed to be our greatest risks, based on a robust internal enterprise risk management process, and then developed strategic goals informed by those risks. For example, we have not seen HUD make substantial progress in addressing its top management challenges. Limited HUD progress in addressing these challenges can become our risk because we do not accomplish our mission. For this reason, we developed a strategic goal to try to further HUD's mission success and reconsider how we identify top management challenges and present those challenges to HUD. In doing so, we are leveraging our strategic goal

to advance operational economy, efficiency, and effectiveness. As a second example, we know we have to better solicit stakeholder feedback. We made some assumptions about whether we were meeting stakeholders' needs. While we have received generally positive feedback and other forms of reinforcement, we know we need to address this risk by soliciting more feedback from our stakeholders, including HUD program offices and Congress. Our strategic objective to cultivate positive internal and external stakeholder relations addresses this risk.

## Risks That Could Impede the Implementation of Our Strategic Plan

This plan is intended to achieve positive change for us and on behalf of our stakeholders. However, risk is inherent in change processes. We know our strategic plan charts out a new way forward. We recognize that a lack of awareness, engagement, or commitment from any member of our organization could prevent the realization of this change. For this reason, we have a strategic goal to invest in ourselves and our organizational culture.

We developed this plan through a collaborative and intensive process. We will share this plan directly with all employees and engage them on how to

accomplish the goals within it. We will empower components and teams to question and revise measures that are counterproductive. Additionally, we are leveraging our enterprise resource management process to continuously surface new risks specific to implementing this plan and accomplishing our mission and have developed a robust process for studying and mitigating the risks that emerge.

## Risks Created by the Execution of Our Strategic Plan

By its very nature, a strategic plan can create its own set of risks. Venturing into new territory can produce unintended consequences or risks we have not previously addressed or foreseen. We plan to find enhanced ways to incorporate HUD's perspectives and concerns, as we are surfacing serious issues that need immediate attention, and to work with HUD as it surfaces its own risks and asks for our input. We will engage in an open dialogue within OIG about our independence to determine what we can and cannot do in working with HUD as well as sharing our insights and knowledge. We will

also be direct about this line when engaging with HUD.

We also know that as we plan work in high-risk areas, there is a chance of less focus on areas of lower risk. We recognize that abuse can proliferate in unwatched areas. Low-risk areas can become high-risk areas and vice versa. We are mindful of our strategic goal to advocate strategic thinking and long-term planning.



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# The Way Ahead

Developing this strategic plan was a substantial undertaking designed to help unify members of our organization after a period of substantial change and to proactively map the organization's future. The process was a valuable learning exercise that surfaced our greatest strengths as well as potential challenges. We tapped into organizationwide knowledge, expertise, and hopes, both for ourselves and the agency we support.

By establishing this strategic plan, we have acknowledged that our leadership philosophy and core values are very important to accomplishing our mission and achieving our vision. We must have ongoing dialogue among all levels of the organization and our stakeholders to ensure that needs and concerns are addressed. We also acknowledge that our leaders' commitment

demonstrated to date must continue, that we must engage each other in deciding how to implement this plan, and that staff must be continuously empowered and supported, all of which are vital to bringing this plan to fruition.

We are committed to annually reviewing our progress and revising our plans based upon new knowledge, accomplishments, and challenges. We look forward to working with our stakeholders over the coming weeks, months, and years to implement this plan and update it as necessary and appropriate. Finally, we remain dedicated to the mission of this organization and finding ways to improve our oversight mandate for the benefit of the Nation's citizenry.



*We remain dedicated to the mission of this organization and finding ways to improve our oversight mandate for the benefit of the Nation's citizenry.*





Any comments regarding our Strategic Plan should be addressed to:  
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