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Description of document: Department of Housing and Urban Development (HUD) Inspector General (OIG) memos or reports describing the accomplishments, goals, objectives, challenges, etc. of the PPRIME Division at HUD OIG 2020-2023

Requested date: 06-August-2024

Release date: 26-August-2024

Posted date: 10-February-2025

Source of document: FOIA Request
HUD OIG FOIA Office
451 Seventh St., SW, Room 8186
Washington, DC 20410-4500
FOIARequests@hudoig.gov
[HUD Online FOIA Portal](#)

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August 26, 2024

Via email

Re: Your Freedom of Information Act Request: 24-IGF-OIG-131

This letter responds to your Freedom of Information Act (FOIA) request to the U.S. Department of Housing and Urban Development (HUD), Office of Inspector General (OIG), dated August 6, 2024. You requested the following:

1. A copy of the response letter and the responsive records from completed FOIA request 23-IGF-OIG-00035, seeking “any annual and/or quarterly memos or reports describing the accomplishments, goals, objectives, challenges, etc. of the PPRIME Division at HUD OIG from January 2019 to present.”

Responsive records for 23-IGF-OIG-00035 were released on July 19, 2023. OIG located 214 pages of PowerPoint presentations, with 95 pages responsive to your request. In your original request, you agreed to alter the original record set for the release of responsive records only. This release consists of 95 pages with certain information withheld pursuant to 5 U.S.C. § 552 (b)(6). FOIA Exemption (b)(6) protects information about individuals when the disclosure of such information would constitute a clearly unwarranted invasion of personal privacy. The information withheld consists of the names of individuals and photographs of HUD OIG employees.

Consistent with the Attorney General’s memorandum issued on March 15, 2022, HUD OIG considered the foreseeable harm standard of the FOIA Improvement Act of 2016 when reviewing the responsive records and applying FOIA exemptions. See 5 U.S.C. § 552(a)(8)(A).

Please be advised that Kudakwashe Ushe, Assistant Inspector General for Operations, is the official responsible for this response.

If you are not satisfied with the response to this request, you may administratively submit an appeal pursuant to the Office of Inspector General’s Freedom of Information Regulation, 24 C.F.R. § 2002.23. This regulation provides for administrative review by the Deputy Inspector General or his designee of any denial of information.

Your appeal must be electronically transmitted to FOIARequests@hudoig.gov, within 90 days of the date of the response to your request and addressed to the FOIA Appeal Specialist, Office of Legal Counsel to Inspector General, U.S. Department of Housing and Urban Development. The appeal should be



accompanied by a copy of your initial request, a copy of this letter and your statement of circumstances, reasons and arguments supporting disclosure of the requested information.

Additionally, you may contact the Office of Government Information Services (OGIS) at the National Archives and Records Administration to inquire about the FOIA mediation services they offer. The contact information for OGIS is as follows:

Office of Government Information Services
National Archives and Records Administration
8601 Adelphi Road-OGIS
College Park, MD 20740-6001
E-mail: ogis@nara.gov
Telephone: (202) 741-5770
Toll free: (877) 684-6448
Facsimile: (202) 741-5769

I trust that this information satisfies your request. If you need any further assistance or would like to discuss any aspect of your request, please contact [Florence Goal](#), FOIA Public Liaison, or you may reach out to me directly at kbenjamin-white@hudoig.gov. Please reference 24-IGF-OIG-131 when making inquiries about this matter.

Sincerely,

K. Benjamin-White
Government Information Specialist

From: [Oliver, Davis, Rae](#)
To: [ALL OIG EMPLOYEES](#)
Subject: Senior Executive Appointments and New Front Office Staff
Date: Wednesday, November 18, 2020 10:27:58 AM
Attachments: [image001.png](#)



OFFICE OF INSPECTOR GENERAL

RAE OLIVER DAVIS

INSPECTOR GENERAL

Dear Colleagues,

I remain focused on filling senior positions and building a leadership team that is committed to our values and continuous improvement. I am pleased to announce today that I have made two recent selections for senior executive staff positions, and to outline changes that we are making to better resource our front office staff.

As I stated in our last Town Hall meeting, I have selected Maura Malone as the Counsel to the Inspector General. Maura joined our Office of Legal Counsel (OLC) in 2014 as a senior attorney-advisor, and has held a number of critical positions within OLC, including serving as Deputy Counsel. She has also been a leader in a number of our strategic initiatives, such as overseeing our FY 2020 Top Management Challenges Report, developing a roadmap for our CARES Act oversight, enhancing our Whistleblower Protection Program, and assisting with the creation of our new risk program. Maura has also served as our Whistleblower Protection Coordinator and has played an important role in our legislative affairs efforts.

Before joining HUD OIG, Maura served in several staff and leadership roles in HUD's Office of General Counsel (OGC) over a 22-year tenure. Most recently, she served as the Assistant General Counsel for OGC's Finance Division, which is responsible for advising the Government National Mortgage Association, and as the Deputy Assistant General Counsel for OGC's Administrative Proceedings Division, which pursues administrative sanctions against participants in HUD programs who violate HUD requirements.

I am very pleased to announce the selection of Jacquelyn Phillips to fill the new position of Chief Strategy Officer (CSO). As CSO, she will be responsible for assisting me in developing our strategic plan, creating initiatives to execute on that plan, and for implementing programs to monitor and improve performance, manage risk, and strengthen internal controls. Jacqui joined HUD OIG in 2017 and has served as the Director of PPRiME for the last three years. In that role, she stood up our Enterprise Risk Management Program, Engagement Board process, and Joint Planning efforts. She's also led the development and launch of our new website, the publication of our first HUD OIG Top Management Challenges as a stand-alone report, and the first issuance of the Federal Employee

Viewpoint Survey to our staff.

Before joining HUD OIG, Jacqui served as the Chief Knowledge Officer at the U.S. Postal Service OIG, where she oversaw learning, knowledge management, and employee engagement initiatives and platforms. She previously served as the Director of the Office of Emergency Programs at the U.S. Department of Treasury, where she managed continuity and emergency planning and operations for the Department's 11 bureaus and over 120,000 employees. She began her federal career with the Federal Emergency Management Agency. She is a decorated veteran, having previously served as an active-duty U.S. Army Intelligence Officer in Iraq and Afghanistan, and she currently serves as a U.S. Army Reserves Officer.

Please join me in congratulating Maura and Jacqui on their appointments. I am grateful to add such dedicated and experienced professionals to our leadership team.

I am also happy to announce the addition of three staff members to the front office team. This new team will enhance the front office engagement in our oversight portfolios, continue our efforts to transform our business processes, and assist in executing on our strategic objectives.

[redacted] recently joined the front office to assist with our operations and process enhancements, work product reviews, CIGIE coordination, and many strategic initiatives. [redacted] brings substantial audit operations experience to the team, having previously served as a technical representative in TOP and recently concluding a detail as the RIGA in Region 1. [redacted] will serve as Senior Counsel and will assist primarily with the investigative and legal portfolios. [redacted] comes to the front office from our own Office of Special Investigations, where he focused on senior official misconduct investigations and special reviews. [redacted] also joins the front office team as a Senior Counsel and will focus on our programmatic oversight and mission support portfolios. [redacted] previously served as General Counsel and Staff Director for the U.S. Senate Committee on Senate Homeland Security and Governmental Affairs, Subcommittee on Regulatory Affairs and Federal Management. He brings a wealth of experience in overseeing federal agency operations.

Lastly, [redacted] will return to the Office of Audit to serve in their prior roles as Deputy AIG for Audit and Special Assistant, respectively. I want to thank [redacted] for helping advance our disaster recovery oversight strategy this year. Their efforts bolstered our relationships with key stakeholders within HUD and the Department of Justice, as well as with HUD's many grantees participating in the CDBG-DR program. We look forward to their continued leadership in the Office of Audit.

Thank you,
Rae



OCSO Quarterly Strategic Review Annual Review, Performance Year 21-22

Agenda

- Strategic Progress Update
 - Strategic Goals and Measures Update (future)
 - Operational Updates
 - Key Risks and Challenges
 - Change Leadership
- Quality Assurance/Peer Review Recommendations
- FEVS Action Plan Implementation Update
- SES Annual Plan Progress
- Closing Reflections and Action Items



Operational Updates

Strategy & Performance - Accomplishments

Governance

- Performed a strategic risk assessment to integrate the Evidence Act of 2018 requirement into the strategic planning development process. This will infuse more evidence-based analysis into our processes
- Developed Learning Agenda training materials for the senior staff

Process

- Surveyed all OIG for input and feedback on the Strategic Plan (July 2021 and **March 2022**)
- Facilitated strategic planning development workshops (Sep-Nov 2021)
- **Providing consultation to OA on the development of their component strategic plan**
- **Providing consultation services to components around strategic plan development and performance reporting**

People

- Hosted Dr. Michael Canic, author of Ruthless Consistency
- Developed a strategic communications plan for the strategic plan
- **Released the 2022-2026 HUD OIG Strategic Plan in February 2022**
- **Established HUD OIG strategy & performance liaison working group with 100% component participation**
- **Completed Change Leadership Webinars for SES, GS15s, and GS-14s**

Technology

- Published [Change Leadership Toolkit Resource Site](#)
- Attended bi-weekly OMB Agency Performance Community meetings with over 150 agencies to stay informed of updates, training, and resources
- Developed facilitator cohort team site to share resources and best practices

Note: Items in **bold** are new as of Q4

Enterprise Risk Management Accomplishments

Governance

- Revised the ERM Framework and RMC Charter, currently under review
- Drafted an ERM Manual Chapter and ERM WG Charter, currently under review
- **Designated risk liaisons from each component and established an ERM working group to support the RMC**

Process

- Created process maps that describe the risk management process
- Developed risk assessment criteria to facilitate risk assessments
- **Initiated a workshop on policy management with a cross-component team**
- **Refined the risk identification, assessment, reporting and monitoring processes**
- **Developed and began implementing an ERM communications plan**

People

- **Designed and facilitated 3 training sessions for component risk liaisons**
- Completed draft risk culture survey approved for April distribution
- **Held first ERM WG meeting to review, discuss, and make recommendations to RMC for risks on the register**
- **Established a reporting structure to escalate risks to component AIG or the CRO and RMC**
- **Designing a formal ERM training for all staff**

Technology

- **Completed and published an ERM SharePoint page with tools, resources, FAQs, and standardized templates**
- **Developing an automated risk reporting tool with dashboard capability**
- **Launched “ERM Second Tuesday Trivia” video series**

Enterprise Risk Management Highlights

Trainings and Workshops

Objectives

Outcomes

Enterprise Risk Management Working Group (ERM WG) Meeting

- Ratify the ERM WG charter
- Conduct an initial risk assessment of the recommended enterprise risks
- Review, discuss, and refine the current enterprise risk register

- Defined roles and responsibilities of the working group which were ratified in a charter
- Designed and facilitated a risk analysis based on standardize risk criteria to aid in prioritizing the risk for RMC consideration
- Developed recommendations for the RMC regarding updates to the risk register

Policy Risk Assessment Workshop (13 integrated project team members)

- Review timeline and objectives of the workshop
- Review risk background
- Discuss causal factors and consequences
- Review preliminary event tree (as appropriate)

- Created risk report with risk background, methodology, analysis, and recommended risk response plans
- Developed risk response plans in accordance with risk appetite and assigned response leads
- Developed KRIs to be monitored and reported upon regularly to the RMC by the risk owner

Enterprise Risk Management Highlights

Accomplishments

Started risk analysis of our policy management – target end date 4/14/22



Started with **9 interviews** to define the risk and current state

Consisted of **4 workshops with 16 integrated project team members** and additional interviews with subject matter experts.



There will be a touch point for SES input to ensure we are on the same page.



Provided **3 risk trainings** to **10 risk liaisons**

Received approval to disseminate **risk culture survey** in April 2022



Published an **ERM Community page** for all employees

Currently On-Going



Developing **automated risk reporting tool**

Finalizing updates to **guidance and policy**



Preparing to hold **enterprise risk identification interviews** in May 2022

Developing formal **Risk Management Training** for all HUD OIG staff





HUD
ENVIRONMENT



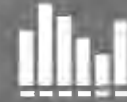
HUD OIG
STRATEGY



GUIDANCE



COLLABORATION



DATA



RESOURCES

Oversight Planning & Grant Strategy

Combining Core Elements

Goal: Influential, Relevant, Timely Work



Oversight Planning and Grant Strategy Accomplishments

Governance

- Refining EB Handbook to issue
- **Revised the EB meetings framework so as to provide more time to proposal discussion**
- **Drafted grant strategy (projected to be finalized in May 2022)**
- **Clearance comments led to enhanced grant eligibility rules on false statements and mandatory disclosure**

Process

- **Developed and refined the Joint Planning process to begin in April**
- **Incorporated information requested by the Office of the Chief of Staff into the templates to help with the Top Open Rec. Report**
- Continuously refines the EB App process and data collection to improve efficiency while also providing leadership with relevant information
- Reviewed and provided input from global grant perspective on seven grant related EB proposals
- Brought together SMEs from across components to discuss key grant issues

People

- **Worked with the Disaster business function group to begin the development of their oversight strategy**
- Facilitated bi-weekly EB meetings with over 250 participants
- **Solicited feedback from across OIG on draft grant strategy**
- Developed and presented 5 grant fraud trainings for HUD OIG staff
- Developed and presented 3 trainings for AIG/ACFE/AGA audiences
- Increased HUD OIG participation in the Grant Fraud Working group from 1 person (spring 2021) to more than 40 (January 2022)

Technology

- Continuously updated the Work Tracker
- **Added part of the reporting function to the EB App**
- **Linked reporting information to proposals**
- **Built the reporting piece into the Work Tracker**

Quality Assurance Division Accomplishments

Governance

- **Revised the Management Assistance Review OIGM and submitted for approval**
- Drafted an internal control OIGM under review

Process

- Reinvigorated the process of following up on outstanding recommendations on a quarterly basis, resulting in closing numerous recommendations
- Worked with OI to develop their quality assurance program

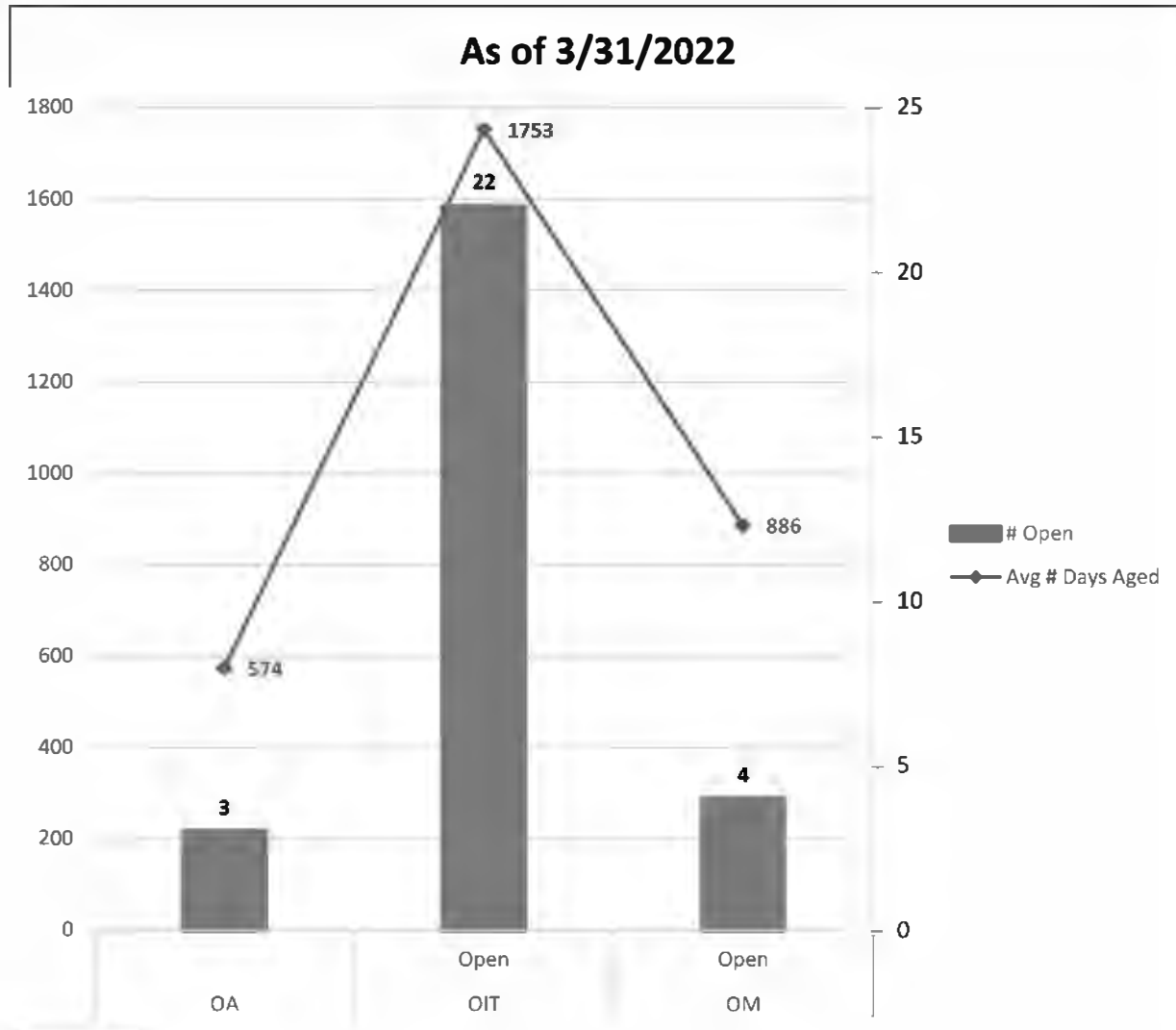
People

- **Created position description to bring on QA detail**
- Joined Quality Assurance Working Group and attended professional development session

Technology

- **Developed recommendation tracking metrics from FY2017 to FY2022**

QA Performance Measures Summary



- **Metrics Overview**

- Average days aged for open recommendations by component
- Open recommendations by component

- **Open Recommendation Summary**

- **OA**

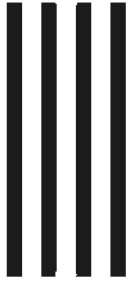
- Recommendations were from FY18 (1), FY21 (1), FY22 (1)
- All three recommendations will likely be closed after revised AOM is released

- **OIT**

- 2017 review led by iTED Director { (b)(6) }
- Performed using FISMA metrics
- Currently 22 open recommendations (2 closed on 4/15)
- Actively working with OIT on recommendation closure

- **OM**

- Met with OM
- Currently addressing its recommendations



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HOUSING AND URBAN DEVELOPMENT

OCSO Strategic Review

July 28, 2022

Agenda



- Strategic Progress Update
 - Strategic Goals and Measures Update (future)
 - Operational Updates
 - Key Risks and Challenges
 - Change Leadership
- Quality Assurance/Peer Review Recommendations
- FEVS Action Plan Implementation Update
- SES Annual Plan Progress
- Closing Reflections and Action Items

Operational Updates

Strategy and Performance Accomplishments

Governance

- OCSO team aligned around draft goals and objectives for 2022-2023
- OCSO team went through different team building activities and aligned around how best to collaborate and work together in a hybrid setting

Process

- Provided consultation and facilitation services to OA and DOJ Alcohol, Tobacco, and Firearms regarding strategic planning, change leadership, and performance planning
- Updated QSR templates with new logo and branding
- Participated in the Federal QSR benchmarking training series hosted by National Regulatory Commission to gain process improvement resources and insights
- Attended bi-weekly OMB agency performance community meetings virtually with over 150 agencies to stay informed of updates, training, and resources

People

- Facilitated two change leadership brown bags (4 sessions) to build change leadership competencies agencywide
- Held Change Leadership Program CoP session to reinforce and collaborate on change leadership competencies
- Established strategy and performance 'Guest Speaker' series to provide training and engage in benchmarking on various strategic planning and performance management topics. Held 2 presentations during the quarter

Technology

- Established requirements and in collaboration with OIG to develop a strategy and performance solution

Enterprise Risk Management Accomplishments



Governance

- The OIG manual for ERM has been routed for senior management review
- The revised ERM Framework has been shared with the Front Office for review
- The RMC Charter was ratified on June 29, 2022

Process

- The Policy Management Risk review is complete and the report is drafted
- The ERM Working Group held its quarterly meeting on June 30
- Process maps for each step of the ERM framework has been documented

People

- Drafts of the Risk Culture Survey report and communications are under review by management
- Launched 'Second Tuesday' risk management blogs and ERM Trivia

Technology

- Finalized ERM Pulse Risk Reporting Tool will be launched in July



Enterprise Risk Management Highlights



Meetings and Workshops

Objectives

Enterprise Risk Management Working Group (ERM WG) Meeting

- Briefed out the April RMC meeting
 - Approved risk list of 15 risks
 - Approved risk profile of 6 risks
 - RMC Concurred with policy risk assessment

Policy Management

- Met with risk owner and team to discuss analysis results
- Drafted analysis report under review
- Collaborating with risk owner to present response plan to RMC

Budget Process

- Met with Budget Director to discuss initial steps towards aligning risk and budget
- Provided components with supplemental risk information to assist in drafting budget justifications
- CRO and Budget Director will meet in October to devise a short to long-term strategy

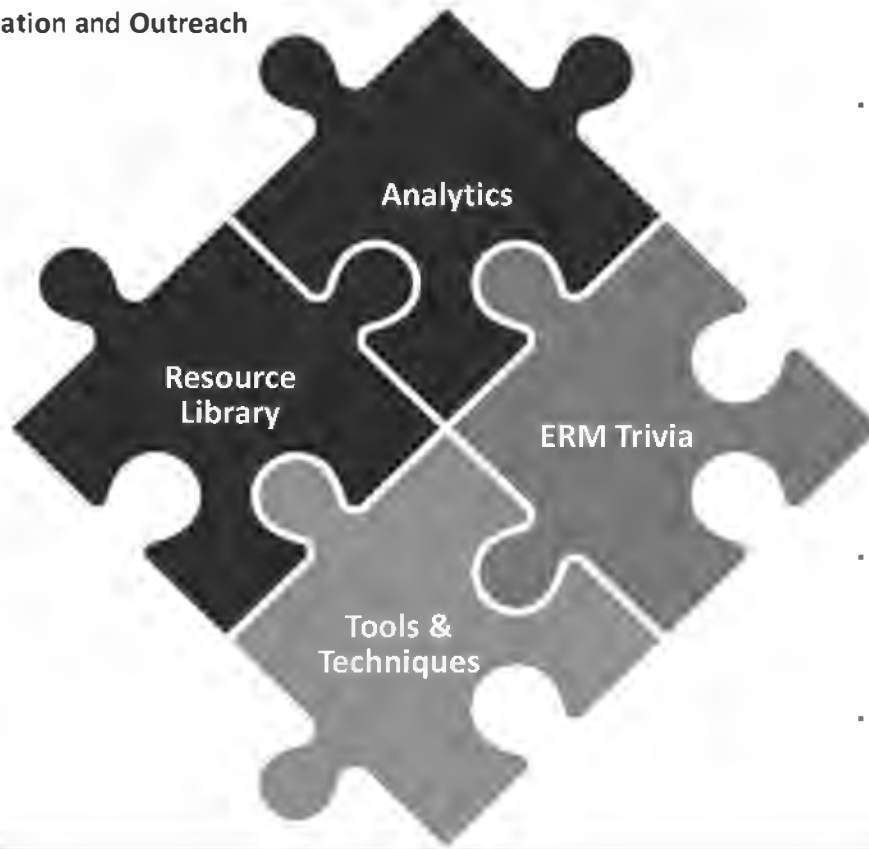


Enterprise Risk Management Highlights



OIGwide Risk Management Communication and Outreach

- Within 90 days, **103** employees visited the ERM SharePoint site
- The total number of visits since the lifetime of the page is **761**.
- Average time spent on the page is **7minutes 59 seconds**



- The resource library includes searchable content that provides relevant risk information for all employees
- Resources includes guides, FAQs, fact sheets, risk reports, charters, contributed articles and more

- Developed a change management and communications plan
 - Developed and launched **3 ERM Trivia's and Blog messages**
 - Introduced a leaderboard where **employees are recognized** for their participation in the trivia. **Twenty-five employees** have participated
- Risk tools and resources are provided to assist employees with ERM implementation at each phase of the process
- There are 14 risk tools and techniques available to all employees and are updated on an **ongoing basis**



Enterprise Risk Management Highlights



Accomplishments

Completed risk analysis of our policy management on April 7, 2022



Met with the risk owner to create a report on the analysis

Risk owner will present their risk response plan for input and approval at next RMC meeting



Disseminated the risk culture survey in April/May 2022



Developing risk culture survey and policy risk report

Currently On-Going



Developing automated risk reporting tool

Finalizing updates to guidance and policy



Maintains the ERM SharePoint page and encourages employee engagement

Developing formal Risk Management Training for all HUD OIG staff



Oversight Planning and Grant Strategy Accomplishments

Governance

- Continuously updated the review structure to ensure the business function strategies to meet objectives

Process

- Implemented changes to the EB process to accommodate only EB member reviews
- Refined joint planning templates to adjust for timing of CoS priority recommendations
- Designed remaining joint planning process with timely EB input

People

- Led 6 meetings with the business function team leads on the joint planning process and provided weekly emails
- Attended approximately 50 team meetings to work with each of the 13 business function teams weekly on developing their oversight strategies
- Working with EB proposal teams in preparing for briefings to ensure relevant information is shared

Technology

- Maintained the work tracker to show the status of all OA and OE projects, updated bi-weekly
- Managed and updated Teams sites (FEVS, OCSO, Engagement Board Meetings, Joint Planning)
- Maintained the Joint Planning Site, EB App, and Work Start Portal

Quality Assurance Division Accomplishments



Governance

- Revised QA manual is under review by Communications Division
- Internal control review plan and manual is being drafted

Process

- Perform follow-up on recommendations made to components
- Solicited feedback from OA and OI staff during QA findings meeting to improve QA program

People

- Added OI detail to QA

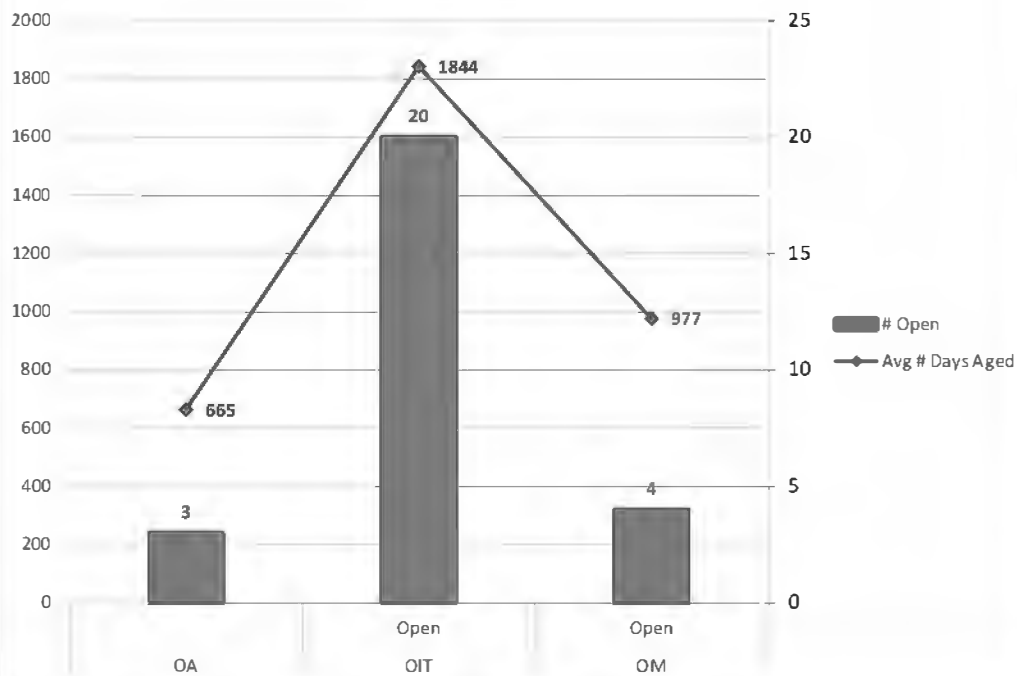
Technology

- Collaborated with eCASE roll-out

QA Performance Measures Summary



**Average Days Aged for Open Recommendations
by Component
(As of 7/1/2022)**



Metrics Overview

- Average days aged for open recommendations by component
- Recommendations issued by fiscal year and component
- Average days to close recommendations by fiscal year and component

Open Recommendation Summary

- **OIT**
 - 2017 review led by iTED Director, [(b)(6)]
 - Performed using FISMA metrics
 - Currently 20 open recommendations
 - Actively working with OIT on recommendation closure
- **OA**
 - Recommendations were from FY18 (1), FY21 (1), FY22 (1)
 - All three recommendations will likely be closed after revised AOM is released and reviewed by QA
- **OM**
 - Met with OM
 - Currently addressing its recommendations

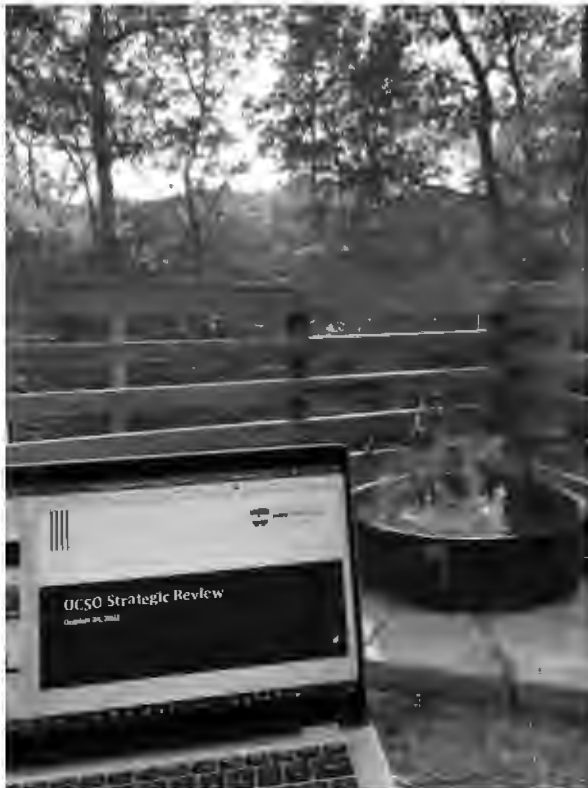


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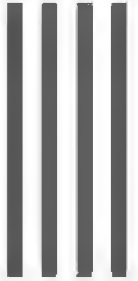
OCSO Strategic Review

October 24, 2022

Agenda



- Strategic Progress Update
 - Strategic Goals and Measures Update (future)
 - Operational Updates
 - Key Risks and Challenges
 - Change Leadership
- Quality Assurance/Peer Review Recommendations
- FEVS Action Plan Implementation Update
- SES Annual Plan Progress
- Closing Reflections and Action Items



OCSO Strategic Plan & SES Goal Crosswalk



Optimize HUD
OIG's ability to
effectively
further HUD's
mission success

- 1.1 Maximize external impact by steering our oversight components' work towards high-risk and mission-critical areas and emerging issues
- 1.2 Foster strategic partnerships to facilitate more efficient and effective oversight

- 1.1 Number of Oversight Strategies completed, published internally, and communicated out prominently through internal HUD OIG website during the period
- 1.2 Fosters key relationships with HUD Stakeholders
- 1.2 Cultivates relationships with External Stakeholders

Influence
increased
mission results
and
performance
outcomes

- 2.1 Maximize value by supporting the improvement efforts of other components
- 2.2 Partner in delivering confidence in the quality of HUD OIG's work products and operations
- 2.3 Further HUD OIG's strategic objectives through enterprise risk management

- 2.1 Communicate OIG Work Innovatively to Inform Stakeholders
- 2.1 Number of components whose strategic plan updates or processes for implementation of their component strategic plans were meaningfully supported by OCSO through tailored consultation, training or facilitation
- 2.2 Ensures component policies are evaluated annually for they meet industry and legal standards and reflect HUD OIG's vision and values
- 2.2 Conduct Quality Assurance Reviews and Operational Assessments
- 2.2 Recognizes the importance of whistleblowers and their rights and protections, as demonstrated by ensuring the proper handling of whistleblower matters and issues, and encouraging whistleblowers and complainants from within and/or outside the OIG to come forward through ...
- 2.3 Conduct ERM Deep Dive Risk Assessments or Process Improvement Analyses.

Focus on OCSO
operational
excellence

- 3.1 Promote opportunities for professional develop., inclusion, and collaboration across OCSO
- 3.2 Optimize quality, efficiency, and effectiveness in OCSO processes
- 3.3 Promote the effective use of data and technology to drive decisions and automate processes

- 3.0 Update component strategic plan to align with HUD OIG 2022-2026 strategic plan
- 3.1 Facilitate leadership development for component staff.
- 3.1 Ensures leadership engages actively with component staff on performance through timely feedback and coaching.
- 3.1 Improves organizational culture through active engagement with staff.
- 3.2 Promotes continuous improvement by taking ownership of quality assurance within component. Designs controls and process to ensure timely and quality execution of component responsibilities and performs testing...
- 3.3 Analyzes component and agency data to support decision-making and improve operational effectiveness. (also supports 2.2)

OCSO Goal 1: Optimize HUD OIG's ability to effectively further HUD's mission success

- 1.1 Maximize external impact by steering our oversight components' work towards high-risk and mission-critical areas and emerging issues
- 1.2 Foster strategic partnerships to facilitate more efficient and effective oversight

1.1 Maximize external impact by steering our oversight components' work towards high-risk and mission-critical areas and emerging issues

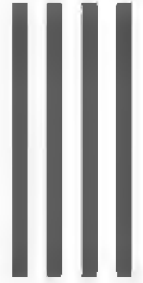
- **Key Activities:**
 - Oversight Planning (Joint Planning Activities & Business Function Strategies)
 - Oversight Decision-Making (via Planning Oversight Meetings & EB)
- **SES Measures:**
 - 1.1 Number of Oversight Strategies completed, published internally, and communicated out prominently through internal HUD OIG website during the period

1.2 Foster strategic partnerships to facilitate more efficient and effective oversight

- **Activities**
 - Strategy and Performance Working Group & Speaker Series
 - Grant Fraud Outreach & Engagement
 - Multiple OCSO member-led Working Groups
- **SES Measures:**
 - 1.2 Fosters key relationships with HUD Stakeholders
 - 1.2 Cultivates relationships with External Stakeholders

Relationships with HUD Stakeholders

- CRO/HUD CRO quarterly meetings
 - Collaborated on Fraud Awareness Month joint message
- Grant Strategy meets HUD CRO
 - Collaborated on fraud risk
- Planned: Outreach to HUD Strategy & Performance

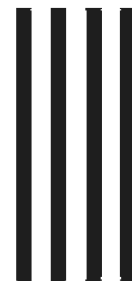




Relationships with External Stakeholders

- GAO meetings every 2 months (April, June, August)
- Grant Fraud Working Group co-lead (Quarterly)
- CIGIE ERM Working Group co-lead (Quarterly)
- Strategy and Performance Speaker Series (3 this quarter)
- DIA facilitation support of strategic planning
- CRO presented to CIGIE Quality Assurance Working Group on risk management related to internal controls and quality assurance
- Planned: Agile Products Workshop





Additional Support to Goal 1

- Drafted 2 Top Management Challenges
- Strengthened grant enforcement language through comments during the clearance review process
- Coordinated with [(b)(6)] to bring AUSA [(b)(6)] of EDPA to present to OI on the Civil False Claims Act and best practices for pitching cases to AUSAs



OCSO Goal 2: Influence Increased Mission Results and Performance Outcomes

- 2.1 Maximize value by supporting the improvement efforts of other components
- 2.2 Partner in delivering confidence in the quality of HUD OIG's work products and operations
- 2.3 Further HUD OIG's strategic objectives through enterprise risk management

2.1 Maximize value by supporting the improvement efforts of other components

- Activities
 - Consultation and facilitation for strategic planning and change initiatives
 - Change leadership training and support
 - Facilitation Cohort
- SES Measures
 - 2.1 Communicate OIG Work Innovatively to Inform Stakeholders
 - 2.1 Number of components whose strategic plan updates or processes for implementation of their component strategic plans were meaningfully supported by OCSO through tailored consultation, training or facilitation

Communicates OIG Work Innovatively to Inform Stakeholders



- 4 templates for oversight strategies
- ERM monthly blogs/videos
- Facilitation tools
- Planned: Strategic and Performance Planning Resource Site
- Planned: Agile Oversight Guide
- Planned: Change Leadership training videos
- Planned: ERM training videos



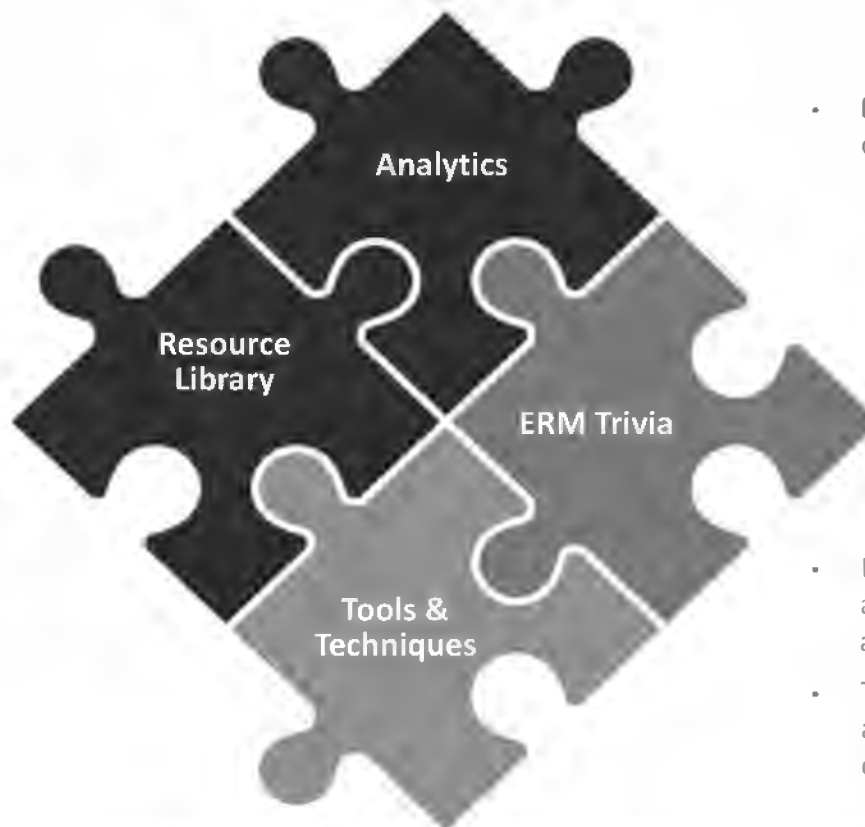


Enterprise Risk Management Highlights



Risk Management Communication and Outreach

- Within 90 days, **204** employees visited the ERM SharePoint site, **98% increase** since last quarter
- The total number of visits since the lifetime of the page is **962**, **26% increase** since last quarter
- The resource library includes searchable content that provides relevant risk information for all employees
- In addition to FAQs, fact sheets, and charters, the resources now includes a **newly revised ERM Framework** and **reports and memo page**



- Developed a change management and communications plan for the ERM program
 - Developed and launched **6 ERM Trivia's and Blog messages**, and **leaderboard** recognizing employees for their participation
 - Participated in 4 Change Leadership sessions (brown bags and cohorts) focused on Change Readiness related to the ERM Strategy
- Risk tools and resources are provided to assist employees with ERM implementation at each phase of the process
- There are 14 risk tools and techniques available to all employees and are updated on an ongoing basis

Strategic Planning & Implementation Support



Entity	Support Provided	Status
OA	<ul style="list-style-type: none"> Created a strategic plan development and implementation timeline and provided resources Designed and facilitated two workshop to assist in developing mission, vision, goals and objectives Reviewed initial draft plan and provided input 	Completed
OCoS	<ul style="list-style-type: none"> Facilitated support to align around strategic goals Preparing to facilitate the strategic objective session on October 24th 	Completed In process
OCSO	<ul style="list-style-type: none"> Aligned on draft goals and objectives Developing the strategic plan 	Completed In process
OE	<ul style="list-style-type: none"> Created a strategic plan development and implementation timeline and provided resources 	Completed
OLC	<ul style="list-style-type: none"> Created a strategic plan development and implementation timeline and provided resources Reviewed initial draft plan and provided input 	Completed
OM/OIT	<ul style="list-style-type: none"> Provided strategic planning resources Reviewing initial draft plan and providing input 	Completed In process
External	<ul style="list-style-type: none"> Developed strategic plan and change leadership templates and working timelines for DOJ ATF leadership to assist with the development of their strategic plan Provided change leadership training to EPA OIG leadership Designed and facilitated two-day strategic planning session for DIA OIG 	Completed



2.2 Partner in delivering confidence in the quality of HUD OIG's work products and operations

- Activities
 - Quality Assurance Reviews
 - Quality Assurance Recommendation Tracking
 - Internal OCSO Quality Assurance
- SES Measures
 - 2.2 Ensures component policies are evaluated annually for they meet industry and legal standards and reflect HUD OIG's vision and values
 - 2.2 Conduct Quality Assurance Reviews and Operational Assessments
 - 2.2 Recognizes the importance of whistleblowers and their rights and protections, as demonstrated by ensuring the proper handling of whistleblower matters and issues, and encouraging whistleblowers and complainants from within and/or outside the OIG to come forward through ...

OCSO Policy Reviews



- ERM Framework updated and approved
- Quality Assurance policy updated and submitted for approval
- ERM policy created and submitted for approval
- Planned: Strategy and performance planning policy development
- Planned: Update to EB Handbook to establish procedures



Quality Assurance Reviews & Operational Assessments

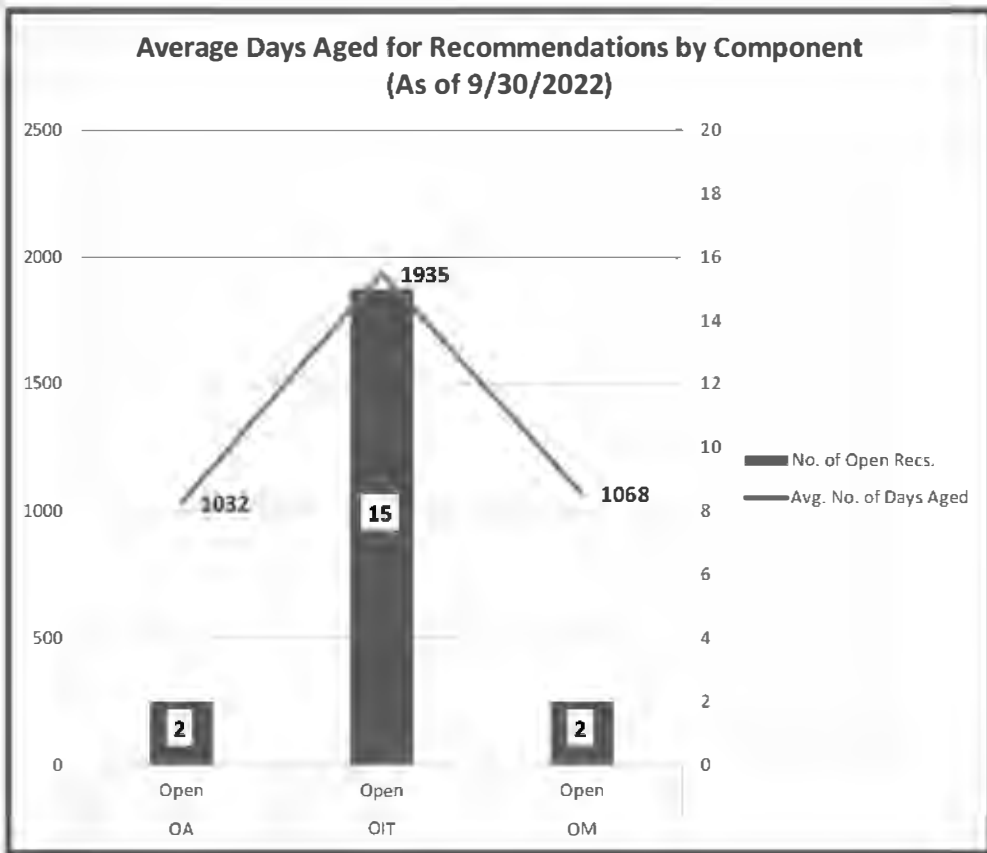
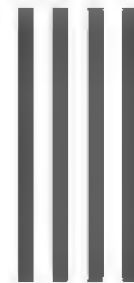


- Conduct Quality Assurance Reviews and Operational Assessments
 - Completed OA and OI annual comprehensive reviews
 - Additional reviews ongoing



QA Proposed Engagements Performance Year 2022/2023	Status
1. Review of OA's GAGAS engagements	Report drafted
2. Review of OI activities for CIGIE standard compliance	Report drafted
3. Review of OA's revised Audit Operations Manual (AOM)	Ongoing - October 2022
4. Review of OA, OE, OSI processes for estimating hours for assignments	Ongoing – October 2022
5. Operational review of government purchase card program	November 2022
6. Quality review of OA and OE issued reports; OLC quality type of review	December 2022
7. Begin development of internal controls framework for components – OM & OIT	January 2023

QA Performance Measures Summary



Metrics Overview

- Average days aged for open recommendations by component
- Recommendations issued by fiscal year and component
- Average days to close recommendations by fiscal year and component

Open Recommendation Summary

- **OIT**
 - 2017 review led by ITED Director, [(b)(6)]
 - Performed using FISMA metrics
 - Actively working with OIT on recommendation closure
- **OA**
 - Recommendations were from FY18 (1), FY21 (1)
 - QA will conduct an AOM review in Oct 2022 to evaluate whether remaining recommendations can be closed
- **OM**
 - Recommendations were from FY20
 - Currently two open recommendations
 - Actively working with OM on recommendation closure

2.3 Further HUD OIG's strategic objectives through enterprise risk management

- **Activities:**
 - Facilitate Risk Management Council Meeting
 - ERM Policy Management
 - HUD OIG Risk Register and Profile Maintenance and Monitoring
 - Develop and Support Component Risk Liaisons and Processes
- **SES Measure:**
 - 2.3 Conduct ERM Deep Dive Risk Assessments or Process Improvement Analyses.

ERM Deep Dive Risk Assessments & Process Improvement Analyses

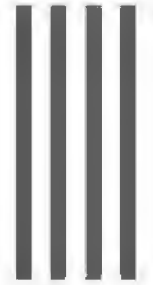


- Finalized and shared the Policy Management Risk assessment report to the RMC and risk liaisons
- Initiated a limited risk assessment on Hotline Data and Systems
- Planned: Needs Analysis on Professional Development in HUD OIG





Enterprise Risk Management Highlights



Meetings and Workshops

Objectives

Enterprise Risk Management Working Group (ERM WG) Meeting

- Briefed out the September RMC meeting
 - Presented the Policy Management Risk Assessment updates
 - Provided updates on the ERM governance documents
 - Selected the next enterprise risk to be assessed
 - Discussed the results of the Risk Culture survey and next steps

Policy Management

- Collaborating with risk owner to develop and finalize action plan and enter data into the ERM Pulse for monitoring and reporting

Hotline Data and Systems

- Developed a planning document and methodology approach in collaboration with OI that outlines our approach to the risk assessment
- Reviewed existing data and requested for additional information, as needed
- Developed survey and interview questions and will disseminate the survey and will conduct benchmarking with external entities and interviews with HUD OIG and contract staff



Enterprise Risk Management Highlights



Accomplishments

Finalized the ERM Framework Guide



Met with the risk owner to create a report on the analysis

Risk owner will provide an update on their risk response plan at the January RMC meeting



Developed and launched **automated risk reporting tool**, ERM Pulse and ERM Dashboard



Finalized risk culture survey and policy risk report and associating communications

Currently On-Going

Publish and communicate OIGM 1701 ERM Program **policy** once approved

Initiated the **next risk assessment** and **onboarded a CIGIE Fellow** to assist with assessment and with the maturation of ERM.



Maintains the ERM SharePoint page and encourages **employee engagement**

Developing formal **Risk Management Training** for all HUD OIG staff



Developing **component-level risk management guidance** to assist components in their risk management efforts

OCSO Goal 3: Focus on OCSO Operational Excellence

- 3.1 Promote opportunities for professional development, inclusion, and collaboration across OCSO
- 3.2 Optimize quality, efficiency, and effectiveness in OCSO processes
- 3.3 Promote the effective use of data and technology to drive decisions and automate processes

3.1 Promote opportunities for professional development, inclusion, and collaboration across OCSO

- 3.1 Facilitate leadership development for component staff.
- 3.1 Ensures leadership engages actively with component staff on performance through timely feedback and coaching.
- 3.1 Improves organizational culture through active engagement with staff.

OCSO Leadership Development



- All OCSO staff participated in change leadership training
- 2 staff participated in HUD OIG mentoring program
- Temporary Assignment of one staff member to OI
- 2 staff members approved for CIGIE/AU leadership training
- Planned: Agile leadership training in November
- Planned: Participation in CIGIE Leadership Forum, including 1 Leadership Talk!

100%

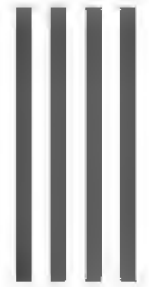
Individual Development & Timely Feedback and Coaching



- Individual performance plans developed to align with HUD OIG Strategic Plan and updated to address SES goals
- 100% Employees received timely feedback Q1
 - Note: one employee on extended leave
- 100% Employees received timely feedback Q2

100%

OCSO Culture & Inclusion Activities



- Mindfulness and Values Session from June OCSO offsite
- OCSO-led Pause picnic (August) and Homecoming session (October)
- Planned: Myers-Briggs Type Indicator and/or Emotional Intelligence training (March)
- Planned: Diversity discussion with [(b)(6)] (Nov)

(b)(6)



3.2 Optimize quality, efficiency, and effectiveness in OCSO processes

- Activities
 - Regular evaluation surveys
 - After Action Reviews
- SES Measure:
 - 3.2 Promotes continuous improvement by taking ownership of quality assurance within component. Designs controls and process to ensure timely and quality execution of component responsibilities and performs testing...

Continuous Improvement through Solicitation of Feedback

- Surveys sent for all change leadership sessions
- ERM risk culture survey to measure maturity
- Planned: Strategic planning support surveys for components
- Planned: After Action Review of ERM policy management risk assessment
- Planned: Survey of OA and OI comprehensive reviews

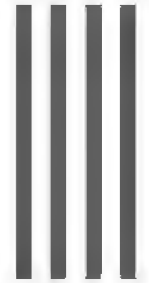


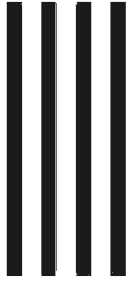
3.3 Promote the effective use of data and technology to drive decisions and automate processes

- **Activities:**
 - Maintain current dashboards for EB, Oversight Work
 - Develop new dashboards for OCSO programs
- **SES Measure:**
 - 3.3 Analyzes component and agency data to support decision-making and improve operational effectiveness. (also supports 2.2)

Innovative Technology & Approaches

- ERM Pulse (risk tracking tool) –Phase 1 October
- Planned: Strategy and Performance Resource Site
- Planned: QA Power BI dashboard of recommendations





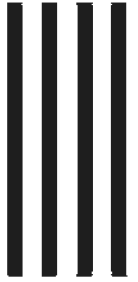
— OFFICE *of* —
INSPECTOR GENERAL
★ ★ ★ ★
UNITED STATES DEPARTMENT OF
HOUSING AND URBAN DEVELOPMENT

OCSO Strategic Review

January 24, 2023

Agenda

- Strategic Progress Update
 - Strategic Goals and Measures Update (future)
 - Operational Updates
 - Key Risks and Challenges
 - Change Leadership
- Quality Assurance/Peer Review Recommendations
- FEVS Action Plan Implementation Update
- SES Annual Plan Progress
- Closing Reflections and Action Items

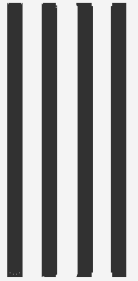


OCSO Mission

We support HUD OIG through consultation, development, and leadership to mature and align operations and performance with the Inspector General's vision and strategy.

OCSO Vision

Leading the way on advancing HUD OIG's culture and mission outcomes.



Integrity

is consistently practicing honesty and fairness with an uncompromising adherence to strong moral and ethical principles and values. We rely upon these principles to guide our actions and decisions no matter how small they may seem.

Diversity

is honoring, respecting, and proactively including individuals of diverse backgrounds, perspectives, and life experiences while providing equal access and fostering a sense of value and empowerment in employees. We consciously put forth efforts, behaviors, policies, and norms to make all individuals feel seen, heard, and valued.

Accountability

is taking responsibility for the outcomes of decisions and actions and being able to explain the reasoning to stakeholders affected by them. We are mindful that as an independent agency, we answer to **Congress, HUD, and the American people** for our work.

Courage

is doing what one thinks is right despite difficulty, personal sacrifice, or discomfort. We speak the truth even as a dissenting voice, lead even in the face of resistance, and take the initiative to try something new even if we fear we don't have the answers or may fail.



HUD OIG
Core Values

OCSO Strategic Plan and SES Goal Crosswalk

Optimize HUD OIG's ability to effectively further HUD's mission success

- 1.1 Maximize external impact by steering our oversight components' work towards high-risk and mission-critical areas and emerging issues
- 1.2 Foster strategic partnerships to facilitate more efficient and effective oversight

- 1.1 Number of oversight strategies completed, published internally, and communicated out prominently through internal HUD OIG website during the period
- 1.2 Fosters key relationships with HUD stakeholders
- 1.2 Cultivates relationships with external stakeholders

Influence increased mission results and performance outcomes

- 2.1 Maximize value by supporting the improvement efforts of other components
- 2.2 Partner in delivering confidence in the quality of HUD OIG's work products and operations
- 2.3 Further HUD OIG's strategic objectives through enterprise risk management

- 2.1 Communicate OIG Work Innovatively to Inform Stakeholders
- 2.1 Number of components whose strategic plan updates or processes for implementation of their component strategic plans were meaningfully supported by OCSO through tailored consultation, training or facilitation
- 2.2 Ensures component policies are evaluated annually for they meet industry and legal standards and reflect HUD OIG's vision and values
- 2.2 Conduct Quality Assurance Reviews and Operational Assessments
- 2.2 Recognizes the importance of whistleblowers and their rights and protections, as demonstrated by ensuring the proper handling of whistleblower matters and issues, and encouraging whistleblowers and complainants from within and/or outside the OIG to come forward through ...
- 2.3 Conduct ERM Deep Dive Risk Assessments or Process Improvement Analyses.

Focus on OCSO operational excellence

- 3.1 Promote opportunities for professional develop., inclusion, and collaboration across OCSO
- 3.2 Optimize quality, efficiency, and effectiveness in OCSO processes
- 3.3 Promote the effective use of data and technology to drive decisions and automate processes

- 3.1 Facilitate leadership development for component staff.
- 3.1 Ensures leadership engages actively with component staff on performance through timely feedback and coaching.
- 3.1 Improves organizational culture through active engagement with staff.
- 3.2 Update component strategic plan to align with HUD OIG 2022-2026 strategic plan
- 3.2 Promotes continuous improvement by taking ownership of quality assurance within component. Designs controls and process to ensure timely and quality execution of component responsibilities and performs testing...
- 3.3 Analyzes component and agency data to support decision-making and improve operational effectiveness. (also supports 2.2)

OCSO Strategic Plan and SES Goal Crosswalk

Goal 1: Optimize HUD OIG's ability to effectively further HUD's mission success	
1.1 Maximize external impact by steering our oversight components' work towards high-risk and mission-critical areas and emerging issues	Number of oversight strategies completed, published internally, and communicated out prominently through internal HUD OIG website during the period
1.2 Foster strategic partnerships to facilitate more efficient and effective oversight	Fosters key relationships with HUD stakeholders
	Cultivates relationships with external stakeholders
Goal 2: Influence increased mission results and performance outcomes	
2.1 Maximize value by supporting the improvement efforts of other components	Communicate OIG Work Innovatively to Inform Stakeholders
	Number of components whose strategic plan updates or processes for implementation of their component strategic plans were meaningfully supported by OCSO through tailored consultation, training, or facilitation
2.2 Partner in delivering confidence in the quality of HUD OIG's work products and operations	Ensures component policies are evaluated annually for they meet industry and legal standards and reflect HUD OIG's vision and values
	Conduct Quality Assurance Reviews and Operational Assessments Recognizes the importance of whistleblowers and their rights and protections, as demonstrated by ensuring the proper handling of whistleblower matters and issues, and encouraging whistleblowers and complainants from within or outside the OIG to come forward
2.3 Further HUD OIG's strategic objectives through enterprise risk management	Conduct ERM Deep Dive Risk Assessments or Process Improvement Analyses.
Goal 3: Focus on OCSO operational excellence	
Promote opportunities for professional develop., inclusion, and collaboration across OCSO	Facilitate leadership development for component staff
	Ensures leadership engages actively with component staff on performance through timely feedback and coaching. Improves organizational culture through active engagement with staff.
3.2 Optimize quality, efficiency, and effectiveness in OCSO processes	Update component strategic plan to align with 2022-2026 HUD OIG Strategic Plan
	Promotes continuous improvement by taking ownership of quality assurance within component. Designs controls and process to ensure timely and quality execution of component responsibilities and performs testing within each component in addition to OCSOQA procedures.
3.3 Promote the effective use of data and technology to drive decisions and automate processes	Analyzes component and agency data to support decision-making and improve operational effectiveness. (also supports 2.2)

OCSO Goal 1: Optimize HUD OIG's ability to effectively further HUD's mission success

Objective

1.1 Maximize external impact by steering our oversight components' work towards high-risk and mission-critical areas and emerging issues

1.2 Foster strategic partnerships to facilitate more efficient and effective oversight

SES Goal

- Completes, internally publishes, and communicates oversight strategies
- Fosters key relationships with HUD stakeholders
- Cultivates relationships with external stakeholders

1.1 Maximize external impact by steering our oversight components' work towards high-risk and mission-critical areas and emerging issues

- **Key Activities:**
 - Oversight planning - joint planning activities and business function strategies
 - Oversight decision making via planning oversight meetings and EB
- **SES Measures:**
 - Completes, internally publishes, and communicates oversight strategies

SES
Goal

Oversight Strategy Status

OCSO revised six of the strategies' planned oversight activities and suggested reprioritization of another.

DAIGA 3-11-21

DAIGA Ryan

* Nearly there


Business Function	Lead(s)	Current Status
Rental Assistance*		DIG reviewing (12/2)
Safety Hazards in Housing*		DIG reviewing (12/2)
Community Dev. Grant Programs (non-disaster)		DIG reviewing (12/2)
Disaster Mitigation, Response & Recovery		DIG reviewing (12/2)
Programs to Prevent & Address Homelessness		DIG reviewing (12/2)
Programs for Indigenous People		DIG reviewing (12/2)
Mortgage Insurance Origination & Servicing*		DIG reviewing (10/7)
Secondary Financing (Ginnie Mae)	(b)(6)	DIG reviewing (10/7)
Fair Housing*		DIG reviewing (10/7)
Contracting and Procurement*		DIG reviewing (10/20)
Financial Management*		DIG reviewing (10/7)
Information Technology*		DIG reviewing (10/20)
Human Resource Management and Admin*		DIG reviewing (10/20)
Grants Management		Published

1.2 Foster strategic partnerships to facilitate more efficient and effective oversight

- Activities
 - Strategy and Performance Working Group and Guest Speaker Series
 - Grant fraud outreach and engagement
 - Multiple OCSO member-led working groups
- SES Measures:
 - Fosters key relationships with HUD stakeholders
 - Cultivates relationships with external stakeholders

Relationships with HUD Stakeholders



- Executive Session – |  | from OLHCHH
- CRO/HUD CRO quarterly meetings
 - Collaborated on Fraud Awareness Month joint message
- Grant Strategy meets HUD CRO
 - Collaborated on fraud risk
- Planned follow up with HUD Strategy team



Relationships with External Stakeholders



- GAO bi-monthly meetings (November)
- Grant Fraud Working Group co-lead (Quarterly)
- CIGIE ERM Working Group co-lead (Quarterly)
- Strategy and Performance Guest Speaker Series (3 this quarter – 5 external speakers this performance year)
- DOD IG sharing of best practices
- Participation in the Agile Oversight Working Group
- DIA facilitation support
- CRO risk presentation to CIGIE Quality Assurance Working Group
- Panel participation in the Agile Oversight Forum (Jan 25)

100%



Strategy and Performance Working Group Highlights



Accomplishments

100% component participation in working group



Established the **Guest Speaker Series** on several topics identified in our initial group pulse survey. In total we had **111 participants over 9 sessions**

To further formalize the group, we developed a strategy and performance **FAQ one-pager**.



From May – September we collaborated with **9 federal agencies** in the area of strategy and performance including a visit to the FEMA NRCC.

Currently On-Going



Developing Strategy and Performance intranet resource site

Publish and communicate Strategy and Performance Business Process Guide



Writing component-level guidance to assist components in their strategy and performance efforts (e.g., Strategy and Performance OIG Manual Chapter – (03/2023)

OCSO Goal 2: Influence Increased Mission Results and Performance Outcomes

OCSO Goal 2: Influence Increased Mission Results and Performance Outcomes

Objective

2.1 Maximize value by supporting the improvement efforts of other components

2.2 Partner in delivering confidence in the quality of HUD OIG's work products and operations

2.3 Further HUD OIG's strategic objectives through enterprise risk management

SES Goal

- Communicates OIG work innovatively to inform stakeholders
- Meaningfully supports components in updating and implementing their component strategic plans through tailored consultation, training, or facilitation

- Ensures component policies are evaluated annually for they meet industry and legal standards and reflect HUD OIG's vision and values
- Conducts quality assurance reviews and operational assessments
- Recognizes the importance of whistleblowers and their rights and protections, as demonstrated by ensuring the proper handling of whistleblower matters and issues and encouraging whistleblowers and complainants from within or outside the OIG to come forward

- Conducts ERM deep dive risk assessments or organizational improvement analyses

2.1 Maximize value by supporting the improvement efforts of other components

- **Activities**

- Consultation and facilitation support for strategic planning and change initiatives
- Change leadership training and support
- Facilitation Cohort

- **SES Measures**

- Communicates OIG work innovatively to inform stakeholders
- Meaningfully supports components in updating and implementing their component strategic plans through tailored consultation, training, or facilitation

Communicates OIG Work Innovatively to Inform Stakeholders



- Developed 4 templates for oversight strategies
- Displayed oversight strategies through PowerBI
- Shared ERM monthly blogs, videos, and trivia
- Created facilitation tools
- Planned: Mandated Basics of ERM training (sharing 1/31/23)
- Planned: Developed Strategic and Performance Planning Resource Site (expected in February)
- Planned: Agile Oversight Guide (expected 3/31/23)
- Planned: Change Leadership training videos



Enterprise Risk Management Highlights

Risk Management Communication and Outreach

- Within 90 days, **185** employees visited the ERM Community site
- Average time spent on the page increased **291%** since last month
- The total number of visits since the lifetime of the page is **1151**
- The resource library includes searchable content that provides relevant risk information for all employees
- In addition to FAQs, fact sheets, and charter, the resources now includes the **newly revised ERM Framework** and a **reports and memo** page
- Developed a change management and communications plan for the ERM program
 - Developed and shared **6 ERM Trivias** and **8 Blog messages**
 - Launched a **trivia leaderboard** recognizing employees for their participation
 - Participated in **4** change leadership sessions (brown bags and cohorts) focused on change readiness related to the ERM strategy
- Risk tools and resources are provided to assist employees with ERM implementation at each phase of the process
- There are **14** risk tools and techniques available to all employees and are updated on an ongoing basis



Strategic Planning and Implementation Support



Entity	Support Provided	Status
OA	<ul style="list-style-type: none"> Created a strategic plan development and implementation timeline Designed and facilitated two workshop to assist in developing mission, vision, goals and objectives Reviewed initial draft plan and provided input 	Completed
OCoS	<ul style="list-style-type: none"> Facilitated support to align around strategic goals Preparing to facilitate the strategic objective session on October 24th 	Completed
OCSO	<ul style="list-style-type: none"> Aligned on draft goals and objectives Developing the strategic plan 	Completed
OE	<ul style="list-style-type: none"> Created a strategic plan development and implementation timeline 	Completed
OLC	<ul style="list-style-type: none"> Created a strategic plan development and implementation timeline Reviewed initial draft plan and provided input 	Completed
OM/OIT	<ul style="list-style-type: none"> Provided strategic planning resources Reviewing initial draft plan and providing input 	Completed
OSI	<ul style="list-style-type: none"> Creating a strategic plan development and implementation timeline Designing and facilitating two workshop to assist in developing mission, vision, goals, and objectives 	In process

100%



2.2 Partner in delivering confidence in the quality of HUD OIG's work products and operations

- **Activities**

- Quality Assurance Reviews
- Quality Assurance Recommendation Tracking
- Internal OCSO Quality Assurance

- **SES Measures**

- Ensures component policies are evaluated annually so they meet industry and legal standards and reflect HUD OIG's vision and values
- Conducts quality assurance reviews and operational assessments
- Recognizes the importance of whistleblowers and their rights and protections, as demonstrated by ensuring the proper handling of whistleblower matters and issues, and encouraging whistleblowers and complainants from within or outside the OIG to come forward

OCSO Policy Reviews

- ☑ ERM Framework updated and approved
- ☑ Quality assurance policy revised and approved
 - ERM policy created and submitted for approval
 - Standard operating procedures for strategy, risk, performance, change leadership, and organization development functions
 - Component-level Risk Management Practitioners Guide
 - Oversight Planning policy
 - Engagement Board handbook
 - Strategic and performance planning policy



Quality Assurance Reviews and Operational Assessments



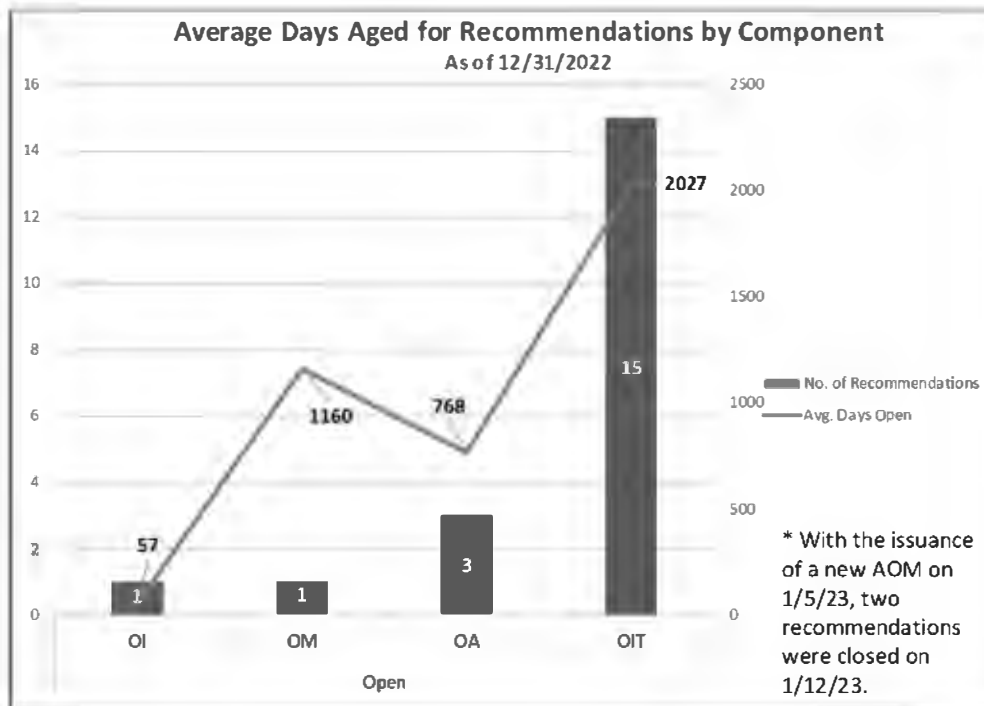
- Completed reviews:
 - OA annual comprehensive review
 - OI annual comprehensive review
- Current reviews:
 - AOM – draft in CRS
 - Estimating milestones – in process

QA Proposed Engagements Performance Year 2022/2023	Estimated Start
1. Comprehensive review of OI	January 2023
2. Operational review of government purchase card program	January 2023
3. Quality review of OA and OE issued reports; OLC - type review	February 2023
4. Begin development of internal controls framework for components – OM and OIT	March 2023





QA Performance Measures Summary



Metrics Overview

- Average days aged for open recommendations by component
- Recommendations issued by fiscal year and component
- Average days to close recommendations by fiscal year and component

Open Recommendation Summary

- **OI**
 - Recommendation is from FY23
- **OM**
 - Recommendation is from FY20
 - Actively working with OM on recommendation closure
- **OA**
 - Recommendations were from FY22 (2) and FY23 (1)
- **OIT**
 - Recommendations were from FY17
 - Review was led by iTED and performed using FISMA metrics

2.3 Further HUD OIG's strategic objectives through enterprise risk management

- Activities:
 - Facilitate Risk Management Council meeting
 - ERM policy management
 - ERM hotline complaint assessment
 - HUD OIG risk register and profile maintenance and monitoring
 - Develop and support component risk liaisons and processes
- SES Measure:
 - Conducts ERM deep dive risk assessments or process improvement analyses

ERM Deep Dive Risk Assessments and Process Improvement Analyses



- Finalized and shared the policy management risk assessment report to the RMC and risk liaisons
- Performing a limited risk assessment on the hotline intake process
 - Assessment will be completed in January with results presented at the January 31 RMC meeting
 - Planned issuance of report in February
- Recruitment needs assessment plan under development



Enterprise Risk Management Highlights



Meetings and Workshops

Accomplishments

Enterprise Risk Management Working Group (ERM WG) Meeting

- Briefed out the October RMC meeting consisting of:
 - Presented the hotline complaint risk assessment updates
 - Introduced and discussed risk appetite
 - Discussed next steps
- Launched the ERM Pulse to the risk liaisons and assisted them as needed with their risk registers
- Facilitated an after-action review session on the ERM program and working group

Hotline Limited Review

- Held workshop 1 and 2, which consisted of a cross-functional team of OIG staff to assess the risk
- Identified causal factors and consequences related to the risk
- Conducted additional interviews with stakeholders and developed event trees
- Used scenario analysis and assessment criteria to evaluate the risk. In addition, key risk indicators, current and proposed response strategies were identified.

Enterprise Risk Management Highlights

Accomplishments

Completed the hotline complaint risk workshops (Jan 10) and assessment with a cross functional risk project team.



Increased employee engagement and awareness of risk management and recognized staff for their participation

The policy management risk owner is making progress on their risk response plan and will present updates to the RMC at the January RMC meeting



Developed, demonstrated, tested and launched the **automated risk reporting tool**, ERM Pulse and ERM Dashboard to the risk liaisons



Completed the development of the formal Risk Management Training for HUD OIG staff and is prepared to release the course January 30

Currently On-going

Publish and communicate OIGM 1701 ERM Program **policy** once approved

Initiated independent assessment of the ERM program and maturity



Maintains the ERM SharePoint page and encourages **employee engagement** through blogs, trivia and knowledge sharing

Implementing key ERM activities planned in the communications plan and strategy



Developing **component-level risk management guidance** to assist components in their risk management efforts



OCSO Goal 3: Focus on OCSO Operational Excellence

Objective

3.1 Promote opportunities for professional development, inclusion, and collaboration across OCSO

3.2 Optimize quality, efficiency, and effectiveness in OCSO processes

3.3 Promote the effective use of data and technology to drive decisions and automate processes

SES Goal

- Facilitates leadership development for component staff
- Ensures leadership engages actively with component staff on performance through timely feedback and coaching
- Improves organizational culture through active engagement with staff

- Updates component strategic plan to align with 2022-2026 HUD OIG Strategic Plan
- Promotes continuous improvement by taking ownership of quality assurance within component. Designs controls and process to ensure timely and quality execution of component responsibilities and performs testing within each component in addition to OCSO QA procedures

- Analyzes component and agency data to support decision-making and improve operational effectiveness (also supports 2.2)

3.1 Promote opportunities for professional development, inclusion, and collaboration across OCSO

- **Activities**
 - All staff received leadership and team development
 - All staff are encouraged to complete an individual development plan
 - Performance reviews were timely
- **SES Measures**
 - Facilitates leadership development for component staff
 - Improves organizational culture through active engagement with staff
 - Ensures leadership engages actively with component staff on performance through timely feedback and coaching

OCSO Leadership Development



- All OCSO staff participated in change leadership training
- 2 staff participated in HUD OIG mentoring program
- Temporary assignment of one staff member to OI
- 1 staff member accepted into the George Mason University Chief Risk Officer program
- Agile leadership training for all OCSO staff in November (2 day virtual)
- Participated in the CIGIE Leadership Forum including 1 leadership talk!
- Planned: Participation in the Agile Oversight Forum in January
- Planned: HHS OIG Agile Program Management

100%

OCSO Culture and Inclusion Activities

- Mindfulness and Values Session from June OCSO offsite
- OCSO-led activities
 - Pause picnic (August)
 - Homecoming session (October)
 - Virtual cookie decorating (December)
- Diversity in communication with [(b)(6)] (Nov)



(b)(6)

(b)(6)

(b)(6)



Individual Development, Timely Feedback, and Coaching



- Individual performance plans developed to align with 2022 – 2026 HUD OIG Strategic Plan and updated to address SES goals
- 100% of employees received timely feedback Q1
 - Note: one employee was on extended leave
- 100% of employees received timely feedback Q2
- On track for 100% during Q3



3.2 Optimize quality, efficiency, and effectiveness in OCSO processes

- Activities
 - Administers customer service surveys
 - Performs after action reviews
- SES Measure:
 - Updates component strategic plan to align with 2022-2026 HUD OIG Strategic Plan
 - Promotes continuous improvement by taking ownership of quality assurance within component. Designs controls and process to ensure timely and quality execution of component responsibilities and performs testing within each component in addition to OCSO QA procedures

OCSO 2022-2026 STRATEGIC PLAN

GOAL 1

Optimize HUD OIG's Ability to Effectively Further HUD's Mission Success

GOAL 2

Influence Increased Mission Results and Performance Outcomes

GOAL 3

Focus on OCSO Operational Excellence



Issued and Communicated - November 14

100%

Continuous Improvement through Solicitation of Feedback



- Surveys for all change leadership sessions
- ERM risk culture survey to measure maturity
- After action review of ERM program, activities, and working group
- After action review of strategic and performance working group
- Strategic planning support surveys for components
- Survey of OA and OI comprehensive reviews



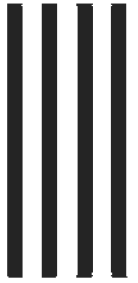
Results of the ERM After-Action Review

Key takeaways



The ERM working group (ERMWG):

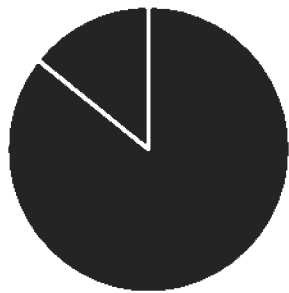
- Appreciated the experience of evaluating enterprise risk and raising important risks to the surface for action
- Would like to do more to champion component and enterprise risk areas this year
- Will commit to sharing ERM accomplishments, risk information, and how others can help mature ERM at HUD OIG
- Need the next level of risk training such as risk response planning and identifying key risk indicators to align with where they are in their maturity
- Would like ERMWG successes to be acknowledged during IG Townhalls and continue to be recognized for contributions
- Encouraged continued transparency and find value in components' sharing risk registers organizationwide
- Feel proud of policy progress this year that may not have occurred if it wasn't for the ERM program and process



Feedback on Strategic Planning Support

Would you recommend OCSO strategic planning consultation and facilitation services to your colleagues?

● Yes	6
● No	0
● Maybe	1



“I enjoy collaborating with the OCSO team because they bring a unique total agency perspective to the table.”

“I personally believe it was extremely valuable to be able to request facilitated sessions with OSCO's facilitation help, to help the team get consensus on draft mission, vision, and strategic objectives. We included in our after-action review of how this process went that we would like to pre-schedule or plan from the outset to have sessions like these built into the process.”

“I really appreciated the knowledge and expertise shared by Temika and Amy - their good nature and enthusiasm - and their outstanding ongoing assistance throughout the process. The discussions we had served to connect our team to each other and to OIG's mission - and at the conclusion of our "retreat", several of the team identified strategic planning as their favorite sessions for the reasons shared above.”



Feedback on Quality Assurance Reviews



17 out of 18 respondents said they gained insight or knowledge from the QAR experience

Feedback surveys were sent to component participants for OA and OI annual comprehensive reviews.

- OA - 12 of 26 (46.15%) participants responded
- OI - 6 of 23 (26.09%) participants responded

"The QAR team did an excellent job with continuous feedback with the team to ensure our goals were aligned. The entrance conference meetings were very insightful for providing information and guidance."

"The communication before, during, and after the review was consistent and adequate. The QAR team also considered the audit team's input and responses to potential issues identified. The QAR team was objective and considered additional documentation and explanations provided. The QAR team was fair in its reporting."

3.3 Promote the effective use of data and technology to drive decisions and automate processes

- Activities:
 - Maintains and improves current dashboards for EB and oversight work
 - Develops new dashboards for business function oversight activities
 - Develops new dashboards for OCSO programs
- SES Measure:
 - Analyzes component and agency data to support decision making and improve operational effectiveness (also supports **2.2**)

Innovative Technology and Approaches



- ERM Pulse (risk tracking tool) and PowerBI dashboard
 - Launched phase 1 in October
 - Phase 2 estimated to roll out in March after training
- Planned: Strategy and Performance Resource Site
- Planned: QA recommendations dashboard (Power BI)
- Planned: Performance Tracking Tool and dashboard

