

A Strategic Framework

2005 – 2010

ADOPTED BY

**President's Council
on Integrity and Efficiency**

**Executive Council
on Integrity and Efficiency**

DECEMBER 14, 2004

A MESSAGE FROM THE VICE CHAIRS . . .



We are pleased to present *A Strategic Framework*, updated and adopted by the President's Council on Integrity and Efficiency (PCIE) and the Executive Council on Integrity and Efficiency (ECIE) on December 14, 2004, at the Councils' respective meetings. This document provides the mission, vision, goals, and objectives for the Councils to follow over the next five years.

The success of the PCIE and ECIE in achieving the ambitious goals and objectives set out in this framework relies on the cooperation and coordination between and among their members. The membership of each Council is predominately Inspectors General. As such, the Inspectors General must balance their individual responsibilities to their agency with the expectations established under the Executive Order creating the two Councils. The PCIE and ECIE members view both sets of responsibilities as critical to the efficiency and effectiveness of the Federal government and remain advocates for efforts to improve government efficiency and integrity.

A Strategic Framework is one such effort. We have accomplished many things and look forward to meeting new challenges in the years ahead.



Gaston L. Gianni, Jr.
Vice Chair, PCIE



Barry R. Snyder
Vice Chair, ECIE

December 14, 2004

A Strategic Framework 2005 – 2010

VISION

The President's Council on Integrity and Efficiency (PCIE) and Executive Council on Integrity and Efficiency (ECIE) will be viewed as effective and influential forces within the Federal government. Members of the Councils individually and collectively will identify vulnerabilities in government programs and operations and recommend needed performance and management improvements. Members of the Councils are also seen as leaders in efforts to prevent and detect fraud, waste, and abuse, and promote integrity, accountability, and excellence throughout government.

MISSION

Our mission is to (1) identify, review, and discuss areas in Federal programs and operations that are vulnerable to fraud, waste, and abuse; develop plans for coordinated, governmentwide activities addressing such vulnerabilities; and promote economy and efficiency in Federal programs and operations; and (2) develop policies to help maintain a corps of well-trained and highly skilled OIG staff members.

GOALS ♦ OBJECTIVES ♦ STRATEGIES

The PCIE and ECIE have established four goals to define the Inspector General (IG) community's strategic direction. Each goal has objectives that expand on the work that needs to be accomplished and strategies that articulate their implementation.

GOAL

I

Improve Federal Programs and Operations

The PCIE and ECIE¹ advance activities to conduct, coordinate, and supervise audits, inspections, evaluations, and investigations; detect and prevent waste, fraud, and abuse; and promote economy, effectiveness, and efficiency. The Offices of Inspectors General (OIG) have two basic roles: to identify and report on current problems and to foster effective program management to prevent future problems.

Recognizing the first of these roles, the Congress enacted, in January 2000, the *Reports Consolidation Act* requiring IGs of certain Federal agencies to annually summarize the most serious management and performance challenges facing the agency and to assess the agency's progress in addressing them. Building on this requirement, the PCIE and ECIE will identify those cross-cutting management challenges in need of attention, and assure that this information is provided to all interested parties.

In fulfillment of the second basic role of the OIGs, the PCIE and ECIE will make recommendations designed to help correct the identified cross-cutting management challenges and help assure the prevention of such future common vulnerabilities. Further, the Councils will continue to assess progress and gauge impact and range of their efforts to address operational and program improvements. The Executive Council², on behalf of the PCIE and ECIE, will oversee the community's efforts to improve Federal programs and operations.

OBJECTIVES

A. Provide information on cross-cutting management challenges in need of attention from the Congress or agency management, and work with other organizations established to address them.

Background: To accomplish their mission, IGs identify, assess, and recommend corrective actions for areas of vulnerability in their agency's programs and operations. Often, similar problems may be found in multiple agencies. The PCIE and ECIE can provide useful information to the executive branch and the Congress by identifying challenges and vulnerabilities that cross agency lines. There are other entities having similar interests in good government, such as the Councils comprised of the government's Chief Financial Officers (CFO) and the Chief Information Officers (CIO) as well as the Government Accountability Office (GAO). An important function of the PCIE is to communicate and coordinate with these other bodies to foster economy, efficiency, and integrity in the Federal government.

¹ The PCIE consists of the presidentially-appointed Inspectors General and the ECIE is made up of agency-appointed Inspectors General. High-level officials in the Office of Management and Budget (OMB), Office of Special Counsel, Office of Government Ethics, Office of Personnel Management, and Federal Bureau of Investigation (FBI) participate in both Councils. Both Councils were created by executive order.

² The Executive Council, with the approval of the PCIE and ECIE members and in consultation with the PCIE Chair, consists of the Vice Chairs of the PCIE and ECIE and Chairs of Committees under IG leadership. At-Large members may be added with the approval of the PCIE and ECIE membership and the Chair. A *Strategic Framework*, dated May 29, 2001, created the Executive Council.

Strategies

1. The Executive Council will continue to prepare an annual summary of the Federal government's top management challenges identified by the OIGs. The annual summary will include best practices that have been identified as a result of OIG work and management challenges affecting multiple levels of government.
2. The Vice Chairs will ensure that the Congress, the Administration, and other interested parties are made aware of the annual summary.
3. Each standing committee of the PCIE³ and ECIE will develop approaches to better coordinate and communicate with various Federal government organizations, such as the CFO Council, the CIO Council, and GAO, with the goal of improving communication and building coalitions to foster improvement in government.

B. Work together to effectively address common vulnerable management challenges.

Background: To improve Federal programs and operations, the PCIE and ECIE develop plans for coordinated governmentwide activities that may include inter-agency and individual audits, inspections, and investigation projects. In its annual report to the President, the Councils will summarize the top management challenges and OIG efforts to improve government operations, and report on multi-agency audits, investigations, or other cross-cutting work.

Strategies

1. The Executive Council of the PCIE and ECIE will develop a biennial plan, approved by the PCIE and ECIE membership, to coordinate multi-agency reviews. Particular initiatives will be assigned to, managed, and reported on by established PCIE and ECIE standing committees. It is expected that at least one cross-cutting review will be initiated each year.
2. The PCIE and ECIE will continue to sponsor forums and focus groups with their members and others to collaborate on program-related issues and discuss possible solutions. These groups will also seek to identify and report on cross-cutting work performed in their subject areas and study targeted investigative initiatives.
3. Under the direction of the standing committees, the PCIE and ECIE will determine whether standard approaches to routine reviews are needed. As appropriate, they will promote current audit, evaluation, or inspection methods; share research; and develop and conduct special training.

³ The PCIE, in conjunction with the ECIE, maintains six standing committees to examine important issues and assist the Councils in their efforts to promote integrity, accountability, and excellence. The Audit, Human Resources, Inspection and Evaluation, Investigation, and Legislation Committees are chaired by an IG. The Assistant Director of the FBI's Criminal Investigative Division chairs the Integrity Committee. The ECIE has at least one member on each of the standing committees.

GOAL II

Communicate Reliable and Timely Information to the Congress, Federal Agencies and the Public

To effectively communicate their mission and accomplishments, the PCIE and ECIE created the Executive Council to serve as an institutional voice. The Executive Council will continue to serve as the voice of the PCIE and ECIE to all external entities and will be responsible for accomplishing the objectives of this goal.

OBJECTIVES

A. Maintain a PCIE and ECIE public information function to give voice to the Councils and the OIG community.

Background: In the current environment, the demand for timely and responsive information is increasing. As such, the PCIE and ECIE will continually seek opportunities to actively share the results of the community's efforts.

Strategies

1. Ensure that the content and design of the community's Web site (i.e., IGnet) continues to meet internal and external information needs in a timely, innovative, and useful manner.
2. Offer workshops to specifically targeted audiences to communicate the purpose and intent of the IG Act, the role of IGs as impartial advocates for better government, and the mission and goals of the PCIE and ECIE.

B. Continue to inform and educate the Congress, Federal agencies, and the public about the Councils and OIG roles and responsibilities, initiatives, projects, accomplishments, and results.

Background: A focused communication strategy is key to the effectiveness of the PCIE and ECIE. Creating opportunities to educate our stakeholders, keep them apprised of our initiatives and accomplishments, and obtain their ideas and feedback is critical for maintaining this dialogue.

Strategies

1. Annually assess and report on the accomplishments of the PCIE and ECIE according to the goals contained in this *Framework*.
2. Adopt a basic orientation product for new Administration principals, new agency heads, and new members of the Congress.
3. Maintain the Legislative Committee as a centralized point-of-contact and liaison for the PCIE and ECIE to ensure regular and ongoing communication with congressional committees, committee staff, other congressional contacts, and GAO regarding issues of common interest, such as financial management and information technology, to the Councils and their members.
4. Through the Legislative Committee, continue to provide input for and receive feedback from the Congress and its committees, on legislation affecting the IG community as a whole.
5. Promote active participation of the PCIE and ECIE members when legislation has potential impact on the IG community as a whole, including written and oral testimony and providing comments.
6. Annually convene a conference of the PCIE and ECIE to collaborate on the progress made toward addressing management challenges, share information and best practices, and conduct general business.

GOAL III

Advocate and Implement Human Resource Programs to Aid in Recruiting and Retaining Highly Skilled and Well-Trained Staff

The Human Resources Committee coordinates efforts to develop and train members of the IG community. The Committee is responsible for the following objectives designed to increase motivation and enhance productivity of the IG workforce.

OBJECTIVES

- A. To address emerging issues within the Federal government, the PCIE and ECIE will improve professional staff development programs that build upon the identified core competencies of the community in a cost effective manner.**

Background: Given the budget pressures on the Federal government, the OIGs are being challenged to assist their agencies to better account for the effectiveness and integrity of their agencies' programs. The PCIE and ECIE need to lead development of the internal competencies of the IG workforce in a manner that translates into improved performance and value to our client organizations and the government as a whole.

Strategies

1. Identify competitive service providers and expand the curricula offered by the IG Auditor Training Institute and IG Criminal Investigator Academy to include leadership, management, and team skills.
2. Identify or develop pilot courses reflecting emerging needs of the community, such as project management, teamwork and team problem solving, and performance consulting.
3. Develop and sponsor leadership forums for the PCIE and ECIE to address emerging issues and leadership competencies, including current management methodologies, as described under the Government Performance and Results Act and OMB's Program Assessment Rating Tool.
4. Continue to pursue new personnel authorities that provide expanded flexibilities to OIGs in recruiting, developing, retaining, and recognizing staff.
5. Develop model recruitment materials for the IG community.
6. Explore options for consolidating and enhancing community training to increase training efficiency and effectiveness.

B. Continue to refine a 21st Century model for leadership development and succession planning programs.

Background: The model for leadership development and succession planning has begun to focus on developing leadership at all levels and ensuring that the organization has the right resources and skills to deliver a quality product. Organizations must have a plan to address the accomplishment of their mission given the fluidity of staff, structures, and systems.

Strategies

1. Institutionalize the IG Leadership Development Program by regularizing schedule and funding. Routinely assess the content and delivery to ensure the quality and relevancy of the program.
2. Develop a Workforce Development Model that addresses professional development and traditional succession planning concerns with the wider challenges of workforce capacity, given the emerging challenges to government programs and the dynamics of today's workforce.
3. Encourage IGs to consider providing rotational opportunities for cross-OIG details, and other specialized training and course work, and assess the effectiveness of the effort.
4. Develop measures of success for an effective human resource program that OIGs could consider using in their organizations.

GOAL IV

Foster and Advance the Effectiveness and Professionalism of the IG Community

The PCIE and ECIE provide leadership to the IG community. The Councils reach across agency boundaries to promote professionalism and coordination among the Councils' membership and speak out on shared concerns. These concerns may involve specific IG interests or the broader goals of preventing fraud, waste, and abuse in the Federal executive branch. Unless otherwise noted, the Executive Council is responsible for accomplishing the strategies within this goal.

OBJECTIVES

A. Utilize the Executive Council to allow the IG community to perform in an effective and timely manner.

Background: The Executive Council was established to foster and advance the effectiveness of the IG community by integrating the actions of the OIGs into a cohesive, capable voice for improving governmental programs and operations, and to increase the OIG return on investment.

Strategies

1. Continue to provide corporate leadership for the Councils, centralize external communications and relationships on behalf of the IG community, compile and distribute information regarding common priority areas and work projects across the IG community, and provide a long-term planning and leadership infrastructure under the sanction of the IG community.
2. Establish measures of success for the strategies contained in this plan for inclusion in the PCIE and ECIE annual report to the President.
3. Explore providing operational systems (including cross-servicing) within the IG community.
4. Conduct an annual awards program to recognize excellence in the IG community.

B. Maintain and keep current PCIE and ECIE orientation programs for new and current IGs on issues facing the IG community.

Background: By definition, the IG holds a unique position within the Federal government. While some newly appointed IGs may have experience in the IG community, others come into the position without a working knowledge of the issues and challenges they are about to face and could benefit greatly from the insights and knowledge of the experienced IGs.

Strategies

1. Update the IG orientation objectives annually. Involve White House personnel in orientations for presidentially appointed, Senate-confirmed IGs.
2. Encourage IGs to meet periodically to informally discuss management issues and problems facing IGs, share best practices, and participate in formal training opportunities and presentations on relevant and timely topics.

C. Establish and maintain professional standards for OIG operations where needed.

Background: Over the years, the PCIE and ECIE have developed standards to govern the activities of the IG community. To date, the community has professional standards to guide the conduct of its audits (as established in the Government Audit Standards), audit peer reviews, investigations, investigations peer reviews, and inspections and evaluations. In addition, to ensure that administrative allegations against IGs and certain senior staff members of the OIGs are appropriately and expeditiously investigated and resolved, the Integrity Committee was established to provide a means to investigate allegations against IGs or their senior staff.

Strategies

1. With the standing committees, periodically assess existing standards and update them, as needed and appropriate. In addition, periodically assess the community's activities and develop standards, as needed, to govern these efforts.
2. Develop peer review schedules for the audit, investigation, and other functions, as appropriate, to ensure proper coverage and oversight.
3. Support and provide staff as required to enable the Integrity Committee to conduct necessary investigations.

DEVELOPMENT OF THE STRATEGIC FRAMEWORK

The PCIE and ECIE adopted its first *Strategic Framework* on May 29, 2001. Deputy IGs representing the IG community undertook the project of re-evaluating this original document and updating it to the conditions of today. The PCIE and ECIE members reviewed and adopted this updated *Strategic Framework*, as evidenced by the signatures to follow.

In developing this framework, the Deputy IGs recognized that the IG community is directly or indirectly responsible to the President, the Congress, heads of Federal departments and agencies, state and local governments, and the public. Although fully confident that the goals, objectives, and strategies contained within would be accomplished, the PCIE and ECIE recognize that competing factors exist that may preclude the Councils from achieving these goals in a timely manner. Among these factors are the conflicting demands on individual OIG resources, the scope of requests by agency heads and the Congress, and mandatory agency programs and other requirements.

Further, the Deputy IGs considered that possible legislative changes to the IG Act could influence the organization of the Councils and goals, objectives, and strategies that this *Framework* sets out to accomplish. The PCIE and ECIE members will consider revising the *Framework* should legislation amending the IG Act ultimately pass.

PRESIDENT'S COUNCIL ON INTEGRITY AND EFFICIENCY

The undersigned members of the President's Council on Integrity and Efficiency support and endorse the strategic planning document, *A Strategic Framework*, dated December 14, 2004.



James R. Ebbitt, Acting Inspector General
Agency for International Development



John Helgeson, Inspector General
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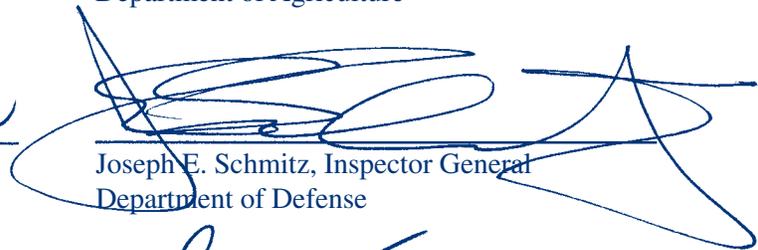
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Richard Moore, Inspector General
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J. Russell George, Inspector General
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Administration

* These officials are also members of the ECIE.

EXECUTIVE COUNCIL ON INTEGRITY AND EFFICIENCY

The undersigned members of the Executive Council on Integrity and Efficiency support and endorse the strategic planning document, *A Strategic Framework*, dated December 14, 2004.


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AMTRAK


A. Roy Lavik, Inspector General
Commodity Futures Trading Commission


Kenneth Konz, Inspector General
Corporation for Public Broadcasting


Stephen G. Smith, Inspector General
Farm Credit Administration


Lynne A. McFarland, Inspector General
Federal Election Commission


Francine C. Eichler, Inspector General
Federal Labor Relations Authority


Barry R. Snyder, Inspector General
Federal Reserve Board


Gregory A. Brower, Inspector General
Government Printing Office


Clifford H. Jennings, Inspector General
Appalachian Regional Commission


Christopher W. Dentel, Inspector General
Consumer Product Safety Commission


Aletha L. Brown, Inspector General
Equal Employment Opportunity Commission


H. Walker Feaster, III, Inspector General
Federal Communications Commission


Edward Kelley, Inspector General
Federal Housing Finance Board


Tony P. Kominoth, Inspector General
Federal Maritime Commission


Frederick J. Zirkel, Inspector General
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