



**Fiscal Year 2006
Explanatory Notes
and
Annual Performance Plan**

**Prepared for the
Committee on Appropriations**

February 2005



United States
Office of Government Ethics

1201 New York Avenue, NW, Suite 500
Washington, DC 20005-3917

February 10, 2005

The Honorable Jerry Lewis
Chairman
Committee on Appropriations
United States House of Representatives
The Capitol, Room H-218
Washington, DC 20515-6015

Dear Mr. Chairman:

I am pleased to transmit to you the Explanatory Notes and Annual Performance Plan of the Office of Government Ethics (OGE). The Explanatory Notes reflect funding for \$11,148,000, and 80 full-time equivalents, as set forth in the President's FY 2006 budget.

We will be pleased to discuss our request with representatives from your office, and we look forward to our annual hearing on OGE's plan and budget. If you need additional information with regard to this request please contact Daniel D. Dunning, Deputy Director, Office of Administration and Information Resources Management, at 202-482-9203.

Sincerely,

Marilyn L. Glynn
Acting Director

Cc: (w/Encl.): The Honorable F. James Sensenbrenner, Jr.
Chairman
Committee on the Judiciary
United States House of Representatives
2138 Rayburn House Office Building
Washington, DC 20515-6216

The Honorable Tom Davis
Chairman
Committee on Government Reform
United States House of Representatives
2157 Rayburn House Office Building
Washington, DC 20515



United States
Office of Government Ethics
1201 New York Avenue, NW., Suite 500
Washington, DC 20005-3917

February 10, 2005

The Honorable Thad Cochran
Chairman
Committee on Appropriations
United States Senate
The Capitol, Room S-128
Washington, DC 20510-6025

Dear Mr. Chairman:

I am pleased to transmit to you the Explanatory Notes and Annual Performance Plan of the Office of Government Ethics (OGE). The Explanatory Notes reflect funding for \$11,148,000, and 80 full-time equivalents, as set forth in the President's FY 2006 budget.

We will be pleased to discuss our request with representatives from your office, and we look forward to our annual hearing on OGE's plan and budget. If you need additional information with regard to this request please contact Daniel D. Dunning, Deputy Director, Office of Administration and Information Resources Management, at 202-482-9203.

Sincerely,

Marilyn L. Glynn
Acting Director

CC: (w/Encl.): The Honorable Susan M. Collins
Chair
Committee on Homeland Security
and Governmental Affairs
United States Senate
340 Dirksen Senate Building
Washington, DC 20510-6250

OFFICE OF GOVERNMENT ETHICS
RESOURCES BY OFFICE

(in 000's)

	2004 ACTUAL	2005 APPROPRIATED	2006 REQUEST
OFFICE	AMOUNT	AMOUNT	AMOUNT
DIRECTOR	\$565	\$640	\$640
GENERAL COUNSEL & LEGAL POLICY	\$2,401	\$2,756	\$2,756
ADMINISTRATION & INFORMATION MANAGEMENT	\$2,658	\$2,048	\$2,048
AGENCY PROGRAMS	\$4,316	\$5,014	\$5,014
GOVERNMENT RELATIONS & SPECIAL PROJECTS	\$457	\$690	\$690
Direct Obligations	\$10,397	\$11,148	\$11,148
Reimbursable Obligations (ANNUAL ETHICS CONFERENCE)	\$250	\$300	\$300
Total	\$10,647	\$11,448	\$11,448
FTE	76	80	80

1. A rescission of \$63,354 was applied against the FY 04 Appropriation.
2. A rescission of \$89,904 was applied against the FY 05 Appropriation.

OFFICE OF GOVERNMENT ETHICS

OBJECT CLASSIFICATION

in (000's)

Direct Obligations	2004	2005	2006
	<u>Actual</u>	<u>Appropriated</u>	<u>Requested</u>
11.1 Salaries	\$6,805	\$7,475	\$7,475
12.1 Civilian personnel benefits	\$1,400	\$1,500	\$1,500
21.0 Travel & Transportation/persons	\$168	\$168	\$168
22.0 Transportation of things	\$4	\$5	\$5
23.1 Rental payments to GSA	\$442	\$1,110	\$1,317
23.3 Communications, utilities, misc	\$51	\$65	\$65
24.0 Printing and Reproduction	\$61	\$75	\$75
25.2 Other Services	\$864	\$540	\$405
26.0 Supplies and materials	\$162	\$105	\$80
31.0 Equipment/Land & Structures	\$440	\$105	\$58
99.0 Subtotal, direct obligations	\$10,397	\$11,148	\$11,148
99.0 Reimbursable obligations	<u>\$250</u>	<u>\$300</u>	<u>\$300</u>
99.9 Total obligations	\$10,647	\$11,448	\$11,448

1. A rescission of \$63,354 was applied against the FY 04 Appropriation.
2. A rescission of \$89,904 was applied against the FY 05 Appropriation.

BUDGET REQUEST

OFFICE OF GOVERNMENT ETHICS

Fiscal Year 2004 Appropriated Level

The Director, with the assistance of two immediate staff persons, is responsible for overseeing and directing the functions of the four offices below and provides support to the Deputy Directors to implement their various initiatives.

Office of General Counsel and Legal Policy

- Reviewed and certified for the Senate, the public financial disclosure statements filed by Presidential nominees
- Provided ethics training through OPM, and the White House if requested, to incoming Presidential appointees, new Schedule C's and noncareer SES, and White House staff
- Continued to review the Standards of Ethical Conduct for Executive Branch employees, to decide if changes are warranted
- Issued a final regulation implementing OGE's gift acceptance authority
- Continued a review of the criminal conflict of interest statutes with a view toward their modernization
- Issued proposed and final "plain English" regulations implementing Certificate of Divestiture and qualified trust requirements
- Supported the Office of Government Relations and Special Projects Congressional relations by drafting testimony, responding to Congressional requests, and reviewing legislative proposals and testimony
- Assisted the Office of Director preparing reports to Congress
- Responded to requests for Certificates of Divestiture, and administered the blind trust program
- Provided oral and written interpretive opinions on sections 202 through 209 of Title 18 U.S.C., and on other statutory provisions related to conflicts of interest and ethics
- Provided legal services for OGE as an agency

- Worked as liaison with the Department of Justice on litigation in which OGE is a party
- Functioned as the liaison with the Office of Legal Counsel and the Criminal and Civil Divisions of the Department of Justice in coordinating advice, regulations and referrals
- Assisted the Office of Agency Programs in reviewing and developing ethics training materials, computer-based training, and pamphlets, and providing legal review of materials used in training
- Developed and offered, with the assistance of the Office of Agency Programs, specialized single statute or issue seminars targeted for ethics officials who provide legal advice
- Supported OGE speaking/training and outreach programs by providing speakers and presenters
- Provided support to the Program Services Division, including working with desk officers to address complex questions concerning conflicts of interest and ethics statutes and regulations
- Provided support to the Program Review Division by developing appropriate areas of inquiry prior to an agency's review, assisting with the review and the advice to be provided to that agency and advising on appropriate areas of inquiry for single issue audits
- Supported OGE's public information requirements including answering press inquiries
- Supported the OGE Records Management System for maintaining the majority of OGE's substantive program records
- Handled administrative responsibilities, including reports and requests under FOIA and the Privacy Act, liaison with OMB, GSA and Federal Register
- Conducted special analysis required by Congress or the Administration
- Supported the Director's activities in her role as a member of the President's Council on Integrity and Efficiency

- Continued to study ethics issues arising from contractors in the Federal work place
- Addressed issues raised by the Government Accountability Office regarding the ethics programs of individual agencies and ethics issues of Executive Branch wide applicability
- Is issuing final regulations designating Agency components under 18 U.S.C. section 207

Office of Government Relations and Special Projects

- Pursued clearances and enactment of major legislative package
- Provided OGE's Congressional Relations requirements, including drafting testimony and responding to congressional requests
- Coordinated and provided OGE's response to requests from OMB for reviews of draft bills, legislation, bill reports and testimony
- Coordinated and provided OGE's technical assistance and special international program oversight in support of the U.S. efforts at encouraging anti-corruption measures throughout the world
- Provided OGE's assistance in responding to the Council of Europe's (GRECO) evaluation of USG's anti-corruption efforts arising from an international agreement entered into by USG
- Provided OGE's assistance to USG negotiators of international agreements that include anti-corruption provisions and to USG representatives in discussions of implementation measures for the agreements (i.e. UN Convention Against Corruption)

Office of Agency Programs

- Maintained an emailing list service to communicate with 2,000 ethics practitioners and enforcement personnel across the Executive Branch
- Planned, organized and supported the Fourteenth Annual National Government Ethics Conference for approximately 500 ethics practitioners

- Supported the Outreach Program to non-government organizations, private sector organizations, and state, local, and international governments
- Continued surveys to assess customer satisfaction with OGE services and products
- Monitored the ethics agreements of approximately 97 presidential appointees of the new administration concerning their financial interests and ensure that such agreements are completed within 90 days of confirmation
- Tracked, collected, reviewed and certified approximately 1,000 annual and termination financial disclosure statements of presidential appointees confirmed by the Senate
- Assisted the Office of General Counsel and Legal Policy in the review and certification of financial disclosure statements of presidential nominees prior to their Senate confirmation hearings
- Released over 900 financial disclosure statements to the news media and the public
- Tracked, collected, and made available to the public, the semiannual reports from departments and agencies of travel payments accepted under 31 U.S.C. § 1353 from non-government sources
- Responded to agency requests for administrative exemptions from the public financial disclosure system for Schedule C positions
- Maintained a desk officer system to monitor, assist and respond to telephone requests from all executive branch agency ethics staffs on a daily basis
- Held periodic seminars with small groups of agency ethics officials to discuss current ethics issues
- Determined the accuracy and quality of written agency ethics advice given to employees by ethics officials
- Monitored newly-established executive branch boards and commissions to ensure ethics support is timely provided by the appropriate agency
- Received, reviewed and analyzed the Annual Agency Ethics Program Questionnaire required by the Ethics in Government Act of 1978, as amended
- Conducted ethics program evaluations in 30 Federal agencies, regional offices, and military commands,

focusing OGE's legal, educational and program assistance resources in assisting the agencies in the development of better ethics systems and the resolution of outstanding ethics issues

- Conducted six-month follow-up reviews in all agencies in which recommendations were made to improve the ethics program during the initial program review
- Conducted a single-issue review Government-wide of major ethics issues to determine whether OGE and agency ethics policies are effectively meeting intended objectives
- Conducted pre-reviews of ethics programs including surveys of agency employees to determine the effectiveness of the agency ethics program and areas in need of a more in-depth review
- Developed instructor and participant guides to be used by executive branch departments and agencies to deliver their annual ethics training. This includes the Ethical Leadership and Initial Ethics Orientation courses
- Developed training evaluation instruments to measure the extent to which employees acquired knowledge from various instructor-led and web-based training courses
- Continued to modify, design and develop courses based on the results of the end of courses evaluations, observations and annual needs assessment
- Developed and conducted needs analyses to identify the training needs of the ethics community
- Developed and conducted instructor-led ethics training courses for ethics practitioners, trainers, counselors, financial disclosure reviewers, and enforcement officials in headquarters and the regions
- Evaluated OGE ethics training courses to determine whether they are effective in meeting the needs of the ethics community
- Assisted agencies in conducting annual ethics training when their good faith efforts to complete the requirement are unsuccessful placing special emphasis on micro agencies
- Planned, organized and supported Region Symposiums to be held three times a year for approximately 240 ethics practitioners

- Developed and maintained case tracking system for advice provided by Desk Officers to executive branch ethics officials
- Developed and maintained tracking system for public financial disclosure reports and ensure that such reports are filed by year end
- Designed and produced reference materials for Designated Agency Ethics Officials
- Responded to public requests for information that arrive via phone, mail, and internet
- Summarized and consolidated agency information collected across OGE program areas

Office of Administration and Information Management

- Continued to provide intra-agency support to all OGE program offices in the areas of payroll/personnel, finance and budget, small purchasing and contracting, personnel, security, printing, and mail services
- Produced in-house desktop published ethics training and conference materials, brochures, flyers, pamphlets, posters, and ethics and administrative forms
- Provided Records Management (RM) services, including forms clearance, developing policies and procedures, providing RM guidance and training, identifying, organizing and disposing of files, and developing and drafting records schedules
- Developed enhancements and additional information services on OGE's Internet World Wide Web Page, including the ability to provide on-line registration for OGE sponsored ethics training workshops and conferences
- Provided software applications training to OGE staff members
- Provided computer security awareness training to all OGE staff per the Computer Security Act of 1987 (PL 100-235)
- In accordance with the Federal Information Security Management Act (FISMA), the ISSO updated and implemented OGE's annual security awareness and training program designed to ensure that employees are aware of their responsibilities for protecting the OGE resources entrusted to them
- Provided Section 508 compliance advice and policy guidance on OGE purchases and projects

- Drafted and submitted annual report to OMB regarding OGE's information quality standards
- Coordinated, completed and submitted DOJ Section 508 Survey
- Continued the development of a new web-based Financial Disclosure Tracking System (FDTS) to be used by OGE staff to track the processing and review of SF 278 Public Financial Disclosure reports filed with OGE
- Initiated the design and development of a new web-based Audit Tracking System, which will be available within OGE and remotely via a secure Internet connection.
- Modified OGE's Correspondence Tracking System (COTS) to provide OGE telecommuters the ability to access the program remotely via a secure Internet connection
- Managed a technical support contract that involved the installation and configuration of multiple routers, firewalls, and an intrusion detection system
- Completed all requirements for the Certification and Accreditation of OGE's General Support System (GSS) and Major Application (MA)
- Installed and configured a new SMTP (e-mail) Gateway filtering system to ensure optimum performance and enforcement of OGE IT security policy, and to enhance fault-tolerance and improve information assurance by configuring the devices for load-balancing and failover protection
- Enrolled OGE for participation in the FedCIRC's Patch Authentication & Dissemination Capability (PADC), which will ensure that OGE receives all software patches and fixes necessary to protect its information systems

OFFICE OF GOVERNMENT ETHICS

Fiscal Year 2005 Request Level

Office of General Counsel and Legal Policy

- Review and certify for the Senate, the large volume of public financial disclosure reports filed by Presidential nominees in the first year after a Presidential election
- Provide ethics training through OPM, and the White House if requested, to incoming and outgoing Presidential appointees, Schedule C's and noncareer SES, and White House staff
- Issue a proposed regulation to implement any necessary revisions to the public financial disclosure system
- Issue a proposed regulation revising the Standards of Ethical Conduct for Executive Branch employees
- Develop a legislative proposal to modernize the criminal conflict of interest statutes
- Issue final regulations implementing any revised provisions of the criminal conflict of interest statutes in Title 18
- Develop any required regulations implementing any statutory changes to other conflict of interests, ethics or financial disclosure statutes, including regulations pertaining to the blind trust and CD programs
- Issue proposed regulations implementing the blind trust programs
- Issue final regulations designating agency components under 18 U.S.C. § 207
- Support the Office of Government Relations and Special Projects Congressional relations by drafting testimony, responding to Congressional requests, and reviewing legislative proposals and testimony
- Assist the Office of Director in preparing reports for Congress
- Respond to a large number of requests for Certificates of Divestiture, and administer the blind trust program
- Provide oral and written guidance and interpretations of the executive branch standards of ethical conduct

- Issue oral and written interpretive opinions on sections 202 through 209 of Title 18 U.S.C., and on other statutory provisions related to conflicts of interest and ethics
- Provide legal services for OGE as an agency
- Work as liaison with the Department of Justice on litigation in which OGE is a party
- Function as the liaison with Office of Legal Counsel and the Criminal and Civil Divisions of the Department of Justice in coordinating advice, regulations and referrals
- Assist the Office of Agency Programs in reviewing and developing ethics training materials, computer-based training, and pamphlets, and providing legal review of materials used in training
- Prepare new educational materials required because of any statutory changes to the financial disclosure and criminal conflict of interest laws
- Issue guidance regarding ethics issues arising from contractors in the Federal work place
- Develop and offer, with the assistance of the Office of Agency Programs, specialized single statute or issue seminars targeted for ethics officials who provide legal advice
- Support OGE speaking/training and outreach programs by providing speakers and presenters
- Provide support to the Program Services Division, including working with desk officers to address complex questions concerning conflicts of interest and ethics statutes and regulations
- Provide support to the Program Review Division by developing appropriate areas of inquiry prior to an agency's review, assisting with the review and the advice to be provided to that agency and advising on appropriate areas of inquiry for single issue audits
- Support OGE's public information requirements including answering press inquiries
- Support OGE's Record Management System for maintaining OGE's substantive program records
- Handle administrative responsibilities, including reports and requests under FOIA and the Privacy Act, liaison with OMB, GSA and Federal Register

- Conduct any special analysis required by Congress or the Administration
- Advise the Director, when necessary, on individual corrective actions required to be addressed by OGE, including assisting the Director with any recommendations to the head of an agency or the President
- Support the Director's activities in her role as a member of the President's Council on Integrity and Efficiency
- Address issues raised by Congress and the Government Accountability Office regarding the ethics programs of individual agencies and ethics issues of Executive Branch wide applicability

Office of Government Relations and Special Projects

- Provide OGE's Congressional Relations requirements, including drafting testimony and responding to congressional requests
- Coordinate and provide OGE's response to requests from OMB for reviews of draft bills, legislation, bill reports and testimony
- Coordinate and provide OGE's technical assistance and special international program oversight in support of the U.S. efforts at encouraging anti-corruption measures throughout the world
- Provide OGE's assistance in preparing for and responding to any evaluation of USG's anti-corruption efforts arising from international agreements entered into by USG
- Provide OGE's assistance to USG negotiators of international agreements that include anti-corruption provisions and to USG representatives in discussions of implementation measures for the agreements, and to U.S. delegations in discussions of multilateral anti-corruption programs such as Global Forum IV
- Coordinate and provide the staff work of OGE on any special projects or analyses required by the Director, the Administration or Congress

Office of Agency Programs

- Maintain an emailing list service to communicate with 2,000 ethics practitioners and enforcement personnel across the Executive Branch

- Plan organize and support the Fifteenth Annual National Government Ethics Conference for approximately 600 ethics practitioners
- Support the Outreach Program to non-government organizations, private sector organizations, and state, local, and international governments
- Continue surveys to assess customer satisfaction with OGE services and products
- Monitor the ethics agreements of approximately 300 presidential appointees of the new administration concerning their financial interests and ensure that such agreements are completed within 90 days of confirmation
- Track, collect, review and certify approximately 1,000 annual and termination financial disclosure statements of presidential appointees confirmed by the Senate
- Assist the Office of General Counsel and Legal Policy in the review and certification of financial disclosure statements of presidential nominees prior to their Senate confirmation hearings
- Release over 2,000 financial disclosure statements to the news media and the public
- Track, collect, and make available to the public, the semiannual reports from departments and agencies of travel payments accepted under 31 U.S.C. § 1353 from non-government sources
- Respond to agency requests for administrative exemptions from the public financial disclosure system for Schedule C positions
- Maintain a desk officer system to monitor, assist and respond to telephone requests from all executive branch agency ethics staffs on a daily basis
- Hold periodic seminars with small groups of agency ethics officials to discuss current ethics issues
- Determine the accuracy and quality of written agency ethics advice given to employees by ethics officials
- Monitor newly-established executive branch boards and commissions to ensure ethics support is timely provided by the appropriate agency
- Receive, review and analyze the Annual Agency Ethics Program Questionnaire required by the Ethics in Government Act of 1978, as amended

- Conduct ethics program evaluations in 35 Federal agencies, regional offices, and military commands, focusing OGE's legal, educational and program assistance resources in assisting the agencies in the development of better ethics systems and the resolution of outstanding ethics issues
- Conduct six-month follow-up reviews in all agencies in which recommendations were made to improve the ethics program during the initial program review
- Conduct a single-issue review Government-wide of major ethics issues when necessary to determine whether OGE and agency ethics policies are effectively meeting intended objectives
- Conduct pre-reviews of ethics programs including surveys of agency employees to determine the effectiveness of the agency ethics program and areas in need of a more in-depth review
- Develop instructor and participant guides to be used by executive branch departments and agencies to deliver their annual ethics training. This includes the Ethical Leadership and Initial Ethics Orientation courses
- Develop training evaluation instruments to measure the extent to which employees acquired knowledge from various instructor-led and web-based training courses
- Continue to modify, design and develop courses based on the results of the end of courses evaluations, observations and annual needs assessment
- Develop and conduct needs analyses to identify the training needs of the ethics community
- Develop and conduct instructor-led ethics training courses for ethics practitioners, trainers, counselors, financial disclosure reviewers, and enforcement officials in headquarters and the regions
- Evaluate OGE ethics training courses to determine whether they are effective in meeting the needs of the ethics community
- Assist agencies in conducting annual ethics training when their good faith efforts to complete the requirement are unsuccessful, placing special emphasis on micro agencies
- Plan, organize and support Regional Symposiums to be held three times a year for approximately 180-240 ethics practitioners

- Develop and maintain case tracking system for advice provided by Desk Officers to executive branch ethics officials
- Develop and maintain tracking system for public financial disclosure reports and ensure that such reports are filed by year end
- Design and produce reference materials for Designated Agency Ethics Officials
- Respond to public requests for information that arrive via phone, mail, and internet
- Summarize and consolidate agency information collected across OGE program areas

Office of Administration and Information Management

- Continue to provide intra-agency support to all OGE program offices in the areas of payroll/personnel, finance and budget, small purchasing and contracting, personnel, security, printing, and mail services
- Continue producing in-house desktop published ethics training and conference materials, brochures, flyers, pamphlets, posters, and ethics administrative forms
- Continue providing Records Management (RM) services, including forms clearance, developing policies and procedures, providing RM guidance and training, identifying, organizing and disposing of files, and developing and drafting records schedules
- Continue developing enhancements and additional information services on OGE's Internet World Wide Web Page, including the ability to provide on-line registration for OGE sponsored ethics training workshops and conferences
- Continue providing new and upgraded software applications training to each OGE staff member
- Continue providing computer security awareness training to all OGE staff per the Computer Security Act of 1987 (PL 100-235)
- Continue to provide Section 508 policy guidance to OGE staff
- Complete the development of a new web-based Financial Disclosure Tracking System (FDTS) to be used by OGE staff to track the processing and review of SF 278 Public Financial Disclosure Reports filed with OGE. This system

will be available both within OGE and remotely for telecommuters via a secure Internet connection

- Complete the design and development of a new web-based Audit Tracking System, which will be available within OGE and remotely for telecommuters via a secure Internet connection
- Begin development of a tactical implementation plan and accompanying security plan for modifying OGE's existing network architecture in a way that will provide remote telephone and video connectivity for OGE telecommuters

OFFICE OF GOVERNMENT ETHICS

Fiscal Year 2006 Request Level

Office of General Counsel and Legal Policy

- Review and certify for the Senate, the public financial disclosure reports filed by Presidential nominees
- Provide ethics training through OPM, and the White House if requested, to incoming and outgoing Presidential appointees, Schedule C's and noncareer SES, and White House staff
- Issue a final regulation revising the Standards of Conduct for Executive Branch employees
- Issue final regulations implementing any revised provisions of the criminal conflict of interest statutes in Title 18
- Develop any required regulations implementing any statutory changes to other conflicts of interests, ethics or financial disclosure statutes, including regulations pertaining to the blind trust and CD programs
- Issue final regulations implementing the blind trust program
- Issue final regulations designating agency components under 18 U.S.C. § 207
- Support the Office of Government Relations and Special Projects Congressional relations by drafting testimony, responding to Congressional requests, and reviewing legislative proposals and testimony
- Assist the Office of Director in preparing reports for Congress
- Respond to a large number of requests for Certificates of Divestiture, and administer the blind trust program
- Provide oral and written guidance and interpretations of the executive branch standards of ethical conduct
- Issue oral and written interpretive opinions on sections 202 through 209 of Title 18 U.S.C., and on other statutory provisions related to conflicts of interest and ethics
- Provide legal services for OGE as an agency

- Work as liaison with the Department of Justice on litigation in which OGE is a party
- Function as the liaison with Office of Legal Counsel and the Criminal and Civil Divisions of the Department of Justice in coordinating advice, regulations and referrals
- Assist the Office of Agency Programs in reviewing and developing ethics training materials, computer-based training, and pamphlets, and providing legal review of materials used in training
- Prepare new educational materials required because of any statutory changes to the financial disclosure and criminal conflict of interest laws
- Develop and offer, with the assistance of the Office of Agency Programs, specialized single statute or issue seminars targeted for ethics officials who provide legal advice
- Support OGE speaking/training and outreach programs by providing speakers and presenters
- Provide support to the Program Services Division, including working with desk officers to address complex questions concerning conflicts of interest and ethics statutes and regulations
- Provide support to the Program Review Division by developing appropriate areas of inquiry prior to an agency's review, assisting with the review and the advice to be provided to that agency and advising on appropriate areas of inquiry for single issue audits
- Support OGE's public information requirements including answering press inquiries
- Support OGE's Record Management System for maintaining OGE's substantive program records
- Handle administrative responsibilities, including reports and requests under FOIA and the Privacy Act, liaison with OMB, GSA and Federal Register
- Conduct any special analysis required by Congress or the Administration
- Advise the Director, when necessary, on individual corrective actions required to be addressed by OGE, including assisting the Director with any recommendations to the head of an agency or the President
- Support the Director's activities in her role as a member of the President's Council on Integrity and Efficiency

- Address issues raised by Congress and GAO regarding the ethics program ethics program of individual agencies and ethics issues of Executive Branch wide applicability

Office of Government Relations and Special Projects

- Provide OGE's Congressional Relations requirements, including drafting testimony and responding to congressional requests
- Coordinate and provide OGE's response to requests from OMB for reviews of draft bills, legislation, bill reports and testimony
- Coordinate and provide OGE's technical assistance and special international program oversight in support of the U.S. efforts at encouraging anti-corruption measures throughout the world
- Provide OGE's assistance in preparing for and responding to any evaluation of USG's anti-corruption efforts arising from international agreements entered into by USG
- Provide OGE's assistance to USG negotiators of international agreements that include anti-corruption provisions, to USG representatives in discussions of implementation measures for the agreements, and to U.S. delegations in discussions of multilateral anti-corruption programs
- Coordinate and provide the staff work of OGE on any special projects or analyses required by the Director, the Administration or Congress

Office of Agency Programs

- Maintain an emailing list serve to communicate with 2,000 ethics practitioners and enforcement personnel across the executive branch
- Plan, organize, and support the Sixteenth Annual National Government Ethics Conference for approximately 600 ethics practitioners
- Support the Outreach Program to non-government organizations, private sector organizations, and state, local and international governments
- Continue surveys to address customer satisfaction with OGE services and products

- Monitor the ethics agreements of approximately 200 presidential appointees of the new administration concerning their financial interests and ensure that such agreements are completed within 90 days of confirmation
- Track, collect, review and certify approximately 1,000 annual and termination financial disclosure statements of presidential appointees confirmed by the Senate
- Assist the Office of General Counsel and Legal Policy in the review and certification of financial disclosure statements of presidential appointees prior to their senate confirmation hearings
- Release over 2,000 financial disclosure statements to the news media and the public
- Track, collect and make available to the public, the semi-annual reports from departments and agencies of travel payments accepted under 31 U.S.C. § 1353 from non-government sources
- Respond to agency requests for administrative exemptions from the public financial disclosure system for Schedule C positions
- Maintain a desk officer system to monitor, assist and respond to telephone requested from all executive branch agency ethics staffs on a daily basis
- Hold periodic seminars with small groups of agency ethics officials to discuss current ethics issues
- Determine the accuracy and quality of written agency ethics advice given to employees by ethics officials
- Monitor newly-established executive branch boards and commissions to ensure ethics support is timely provided by the appropriate agency
- Receive, review, and analyze the Annual Agency Ethics Program Questionnaire required by the Ethics in Government Act of 1978, as amended
- Conduct ethics program evaluations in 35 Federal agencies, regional offices, and military commands focusing OGE's legal, educational, and program assistance resources in assisting the agencies in the development of better ethics systems and the resolution of outstanding ethics issues
- Conduct six-month follow-up reviews in all agencies in which recommendations were made to improve the ethics program during the initial program review

- Conduct a single-issue review Government-wide of major ethics issues when necessary to determine whether OGE and agency ethics policies are effectively meeting intended objectives
- Conduct pre-reviews of ethics programs, including surveys of agency employees to determine the effectiveness of the agency ethics program and areas in need of a more in-depth review
- Develop instructor and participant guides to be used by executive branch departments and agencies to deliver their annual ethics training.
- Develop training evaluation instruments to measure the extent to which employees acquired knowledge from various instructor-led and web-based training courses
- Continue to modify, design and develop courses based on the results of the end of course evaluations, observations and annual needs assessments
- Develop and conduct needs analyses to identify the training needs of the ethics community
- Develop and conduct instructor led ethics training courses for ethics practitioners, trainers, counselors, financial disclosure reviewers and enforcement officials
- Evaluate OGE ethics training courses to determine whether they are effective in meeting the needs of the ethics community
- Assist agencies in conducting annual ethics training when their good faith efforts to complete the requirement are unsuccessful, placing special emphasis on micro agencies
- Plan, organize and support Regional Symposiums to be held three times a year for approximately 240 ethics practitioners in regional offices and at military bases
- Maintain a case tracking system for advice provided by desk officers to executive branch ethics officials
- Design and produce reference materials for Designated Agency Ethics Officials
- Respond to public requests for information that arrive via phone, mail and internet
- Summarize and consolidate agency information collected across OGE program areas

Office of Administration and Information Management

- Continue to provide intra-agency support to all OGE program offices in the areas of payroll/personnel, finance and budget, small purchasing and contracting, personnel, security, printing, and mail services
- Continue producing in-house desktop published ethics training and conference materials, brochures, flyers, pamphlets, posters, and ethics and administrative forms
- Continue providing Records Management (RM) services, including forms clearance, developing policies and procedures, providing RM guidance and training, identifying, organizing and disposing of files, and developing and drafting records schedules
- Obtain relocation site for emergency situations in accordance with Federal Continuity of Operations Planning
- Continue developing enhancements and additional information services on OGE's Internet World Wide Web Page, including the ability to provide on-line registration for OGE sponsored ethics training workshops and conferences
- Continue providing new and upgraded software applications training to OGE staff members
- Continue providing computer security awareness training to all OGE staff per the Computer Security Act of 1987 (PL 100-235)
- Provide computer help desk assistance to OGE staff having computer problems and related issues
- Continue providing Section 508 advice and guidance
- Complete requirements for re-certification and accreditation of OGE's general support system and major application

STRATEGIC AND PERFORMANCE GOALS

FY 2006

OGE's MISSION (from OGE's Strategic Plan)

The Office of Government Ethics exercises leadership in the executive branch to prevent conflicts of interest on the part of Government employees, and to resolve those conflicts of interest that do occur. In partnership with executive branch agencies and departments, we foster high ethical standards for employees and strengthen the public's confidence that the Government's business is conducted with impartiality and integrity.

OGE's STRATEGIC GOALS

OGE's Strategic Plan includes the following goals and objectives:

GOAL I. OGE will provide overall policy direction to the executive branch ethics program.

Objective 1. Develop, evaluate, and promote ethics policies for employee conduct that protect executive branch processes from conflicts of interest, as well as from appearances of conflicts of interest. Ensure that these policies are consistent, reasonable, and understandable to employees.

Objective 2. Serve as the primary authoritative source of Federal executive branch ethics policy.

Objective 3. Solicit the advice of agency ethics officials in policy-making processes.

GOAL II. OGE will support the President, executive branch agency ethics heads and employees in administering effective, fair, and consistent ethics programs within the branch and individual agencies.

Objective 1. Provide evaluations of agency ethics programs to agency heads and ethics officials which identify strengths and weaknesses of the program. Make specific recommendations for program enhancement designed to help ensure integrity in Government operations.

Objective 2. Provide timely and accurate written and oral opinions and be available for informal consultations concerning matters involving the applications of the standards of ethical conduct, criminal conflict of interest statutes, and other

related statutes and regulations.

Objective 3. Provide technical assistance to agencies in order to implement well-run and employee-helpful agency ethics programs.

Objective 4. Provide expert review and conflict of interest analysis of the nominee, annual, and termination financial disclosure reports filed by Presidential appointees requiring Senate confirmation to assist agencies in providing appropriate advice on and taking appropriate actions to prevent financial conflicts of interest by those appointees. Monitor follow-up by agencies and officials regarding ethics commitments made by nominees during the confirmation process.

Objective 5. Promote the importance of the ethics program to department and agency heads and other Government officials in order to secure personal commitment and sufficient agency resources.

Objective 6. Provide professional enhancement opportunities and utilize appropriate Government-wide personnel program innovations for OGE staff in order to attract and retain highly effective and efficient human resources necessary to support this goal.

Objective 7. Enhance Federal customer service by fully integrating information technology (IT) into the mission planning and business processes of the agency so as to reduce costs, improve effectiveness, and provide greater reliability and efficiency in the collection, maintenance, and dissemination of ethics program information.

GOAL III. OGE will develop and make available to agencies innovative training and ethics education materials and promote and provide quality education and training experiences for agency ethics officials and employees.

Objective 1. Provide quality education and training courses for agency ethics officials.

Objective 2. Provide accurate, consistent, beneficial and cost effective materials for agencies to use in their ethics education and training programs for employees.

Objective 3. Create opportunities for inter-agency educational programs to disseminate information and encourage the sharing of ideas and knowledge.

GOAL IV. OGE will administer an effective outreach program.

- Objective 1.** Foster a greater appreciation on the part of the public and future employees of the fact that there is a strong ethics program for employees of the executive branch and that standards are enforced.
- Objective 2.** Share the programmatic and policy development experiences of OGE with other governments, non-profits, corporations, professional and trade associations and institutions of higher education that are pursuing the development or enhancement of their own educational or ethics programs.

PERFORMANCE GOALS

FY 2006

GOAL I

1. How often OGE's advice was sought and incorporated by the Office of Management and Budget (OMB) in its legislative and policy review functions for the executive branch.

PERFORMANCE GOAL

OGE will maintain a strong working relationship with OMB so that advice is sought and employed by them in 90% of legislative and policy issues having a substantial effect on the executive branch ethics program.

PERFORMANCE INDICATORS

Target

- | | |
|--|-----|
| ● How often OMB requests input | TBD |
| ● Percentage of timely inputs | 90% |
| ● Percentage of input employed on direct ethics program issues | 90% |

MEANS OF VALIDATING MEASURED VALUES

- Use OGE Legislative Referral Memorandum tracking system with dates of request/response
- Tracking legislation through Congress as well as contact with OMB on results of recommendations.
- General tracking through CQ.com/Congressional Record of Administration-generated legislation having an effect on ethics program in which OGE has no record of having its views sought.

OUTCOME GOAL

Fairness, clarity and consistency in ethics policy in the executive branch. OGE's role as primary authority and policy determiner for executive branch ethics policy articulated through statute and Executive Order is respected by the Administration through OMB. OGE's recommendations are given substantial if not controlling weight in the clearance process.

2. How often OGE sought to identify, with consultation with ethics officials, with enforcement entities such as the Inspectors General (IG) or Department of Justice (DOJ), or with the White House or Congress, an ethics policy that needed to be developed or amended either by statute, regulation, or otherwise and whether appropriate steps were taken to formulate that policy.

PERFORMANCE GOAL

OGE speaks continuously on a formal or informal basis to ethics officials, enforcement officials, the White House or Congress with regard to any recommendations for changes or additions to present policies or with regard to the recognition of any trends that serve as a precursor to a needed policy change.

Within 6 months of formally identifying a needed policy change, OGE will draft a proposal to implement that policy.

PERFORMANCE INDICATORS

Target

- How often ethics policy is discussed with Presidents Council of Integrity and Efficiency (PCIE) and the Executive Council of Integrity and Efficiency (ECIE) Once a year with each
- How often OGE seeks information from IG's or DOJ on types of alleged misconduct investigated TBD
- How often OGE creates an opportunity for discussion of a regulation or discusses a proposed Executive order with Office of Legal or Counsel, White House officials or OMB proposal Each draft
- Length of time between formal identification of needed policy change and internal implementing draft months 90% of instances time is < 6
- Percentage of time OGE was not consulted or asked to draft ethics Executive orders 0%

MEANS OF VALIDATING MEASURED VALUES

- Notes from meetings with ethics officials
- Notes from PCIE and ECIE meetings
- Memos from discussions with IG's or DOJ
- Review of issued Executive orders

- Paper trail for regulations and Executive orders consultations
- Memos of phone consultations

OUTCOME GOAL

Ethics policies within the executive branch, to the extent allowed by the political process, are properly focused upon and correctly addressed in a timely fashion the issues involved in a Federal ethics program.

3. How often OGE formally proposed statutory amendments in response to needed changes that were given Administration backing for transmittal to Congress for action and the number enacted.

PERFORMANCE GOAL

Within 6 months of determining to seek a needed statutory change, OGE has submitted it for clearance to OMB and, after clearance, pursues it to enactment within 18 months at least 75% of the time.

PERFORMANCE INDICATORS

Target

- | | | |
|---|--|-------------|
| ● | Number of proposals submitted to OMB | TBD |
| ● | Percentage cleared for transmittal | 75% |
| ● | Length of time between transmittal and enactment | < 18 months |

MEANS OF VALIDATING MEASURED VALUES

- Track number of identified and needed changes to statutes
- Track time between OGE identification and submission to OMB
- Number of transmittals to Congress
- Use of bill tracking system to determine success

OUTCOME GOAL

Ethics policy effected through legislation is continually reviewed, and appropriate amendments are pursued in a timely and successful manner.

4. How often OGE's assistance as a representative of U.S. corruption prevention programs was sought and incorporated by U.S. foreign policy agencies when negotiating international agreements with corruption prevention elements and/or ethics program requirements or when meeting U.S. obligations under existing agreements.

PERFORMANCE GOAL

OGE will maintain strong working relationships with the Departments of State and Justice (and others) so that they seek and employ OGE advice and assistance in 90% of the international negotiations or agreements having an actual or potential effect on the executive branch ethics program.

PERFORMANCE INDICATORS

Target

- | | |
|--|-----|
| ● Number of multilateral program discussions with prevention as a topic | TBD |
| ● Number of required U.S. responses to existing agreements with corruption prevention or ethics program elements | TBD |
| ● Percentage of multilateral discussions in which OGE assistance is sought | 90% |
| ● Percentage of USG corruption prevention or ethics program actions required by international agreements in which OGE assistance is sought | 90% |

MEANS OF VALIDATING MEASURED VALUES

- Intra-governmental calendars of international anti-corruption activities
- OGE submissions within the USG for inclusion in USG responses
- USG responses to mutual evaluation requests

OUTCOME GOAL

International agreements the USG is negotiating and follow-up actions required by existing agreements will not or do not impinge upon the fairness, clarity, and consistency of executive branch ethics policy or programs, and OGE's leadership and overall grasp of critical elements of Government programs designed to prevent corruption is respected within the USG.

GOAL II

1. The number of agency ethics programs to be reviewed to meet a four year cycle and a percentage of restructuring recommendations implemented.

PERFORMANCE GOAL

Over a four year cycle, OGE will conduct ethics program evaluations in many Federal agencies focusing OGE's legal, educational, and program assistance resources in assisting agencies in the development of better ethics systems and the resolution of outstanding ethics issues. OGE will also evaluate major ethics issues during single issue reviews to determine whether OGE and agencies are effectively meeting intended objectives.

To meet this performance goal, OGE will conduct reviews in 20 agencies and conduct one single-issue review or survey in FY 2004. OGE will make recommendations to improve the program when deficiencies are found in systems and procedures. OGE will also share with agencies the best practices and procedures found during program reviews. These will be shared with agencies during program reviews, and also publicized on OGE's Website and other forms of communication and outreach.

PERFORMANCE INDICATORS	Target
● Number of agencies reviewed	35
● Number of recommendations	TBD
● Percent of Follow-up Reviews (where recommendations are made)	100%
● Correction of program deficiencies by agencies	80%
● Number of single-issue reviews or surveys	1
● Best practices shared with agency during program reviews	80%

MEANS OF VALIDATING MEASURED VALUES

- Audit tracking system which captures information on program reviews to include agency responses to our review reports, the status of open recommendations and follow-up reports
- Reports on best practices found in agencies posted to OGE's Website
- Results of surveys sent to agency ethics officials after a program review report is issued

OUTCOME GOAL

OGE will be able to provide assurance that agencies reviewed have an ethics program with adequate systems and procedures in place to guard against conflicts of interest and to assist employees. OGE, through its single issue reviews will be able to detect problem areas for agencies in implementing ethics regulations or in operating their ethics program. Through reporting of best practices, OGE will save agencies time and effort when they must correct program deficiencies.

2. Numbers of ethics agreements documented as adequately completed within the time frame established during Senate confirmation.

PERFORMANCE GOAL

OGE will track and monitor the ethics agreements of presidential appointees confirmed by the Senate concerning their financial interests and ensure that such agreements are completed within 90 days of confirmation or within time frames established during the confirmation process. Ethics agreements may call for divestitures, qualified trusts, recusals, seeking waivers of 18 U.S.C. § 208, or resignations from positions. OGE will take action to resolve cases where agreements have not been satisfied.

PERFORMANCE INDICATORS	Target
● Number of appointees with ethics agreements	TBD
● Number of ethics agreements	TBD
● Percent of ethics agreements completed within established time frames	80%
● Percent of cases resolved after OGE took action	100%

MEANS OF VALIDATING MEASURED VALUES

- OGE's computerized tracking system for monitoring the status of ethics agreements

OUTCOME GOAL

OGE will be able to provide reasonable assurance that presidential appointees confirmed by the Senate have met their responsibilities in taking agreed upon steps to assist them in avoiding conflicts of interest.

3. Number of contacts for advice and information from ethics officials, employees and other interested parties handled by the Program Services Division and adequacy of advice and information.

PERFORMANCE GOAL

The Program Services Division staff will respond to a large number of requests for advice and information on administering an effective agency ethics program, applying the standards of conduct, the criminal conflict of interest statutes, financial disclosure regulations and other related rules and regulations. The advice and information will be adequate in 99% of the cases. The Program Services Division will initiate the dissemination of information and advice on administering an effective ethics program when necessary and appropriate.

PERFORMANCE INDICATORS

Target

- | | | |
|---|---|--|
| ● | Number of requests for advice and information | TBD |
| ● | Number of contacts concerning adequacy of advice | < 1% |
| ● | Time expended to adequately satisfy requests for advice and information | within 2 day
for 90%
of requests |

MEANS OF VALIDATING MEASURED VALUES

- Associate Director will track the number of instances where a requestor contacts OGE questioning the adequacy of advice and information received
- Database maintained to collect statistics from the Program Services Division staff on all requests for advice and information
- Periodic meetings to discuss advice and information provided

OUTCOME GOAL

The Program Services Division will provide timely, professional advice and information to executive branch ethics officials responsible for administering the ethics program for their agencies and to employees and other interested parties.

4. Number of contacts handled by the legal staff in providing oral and written statutory or regulatory interpretations and adequacy of interpretations.

PERFORMANCE GOAL

The Office of General Counsel and Legal Policy will respond to a large number of requests from agency ethics officials, the DOJ, the White House, IG's, Congress, executive branch employees, and members of the public for interpretations of the standards of ethical conduct, the criminal conflict of interest statutes, and other related statutes and regulations. The interpretations will be adequate in 99% of the cases.

To meet these performance goals, the Office of General Counsel and Legal Policy will establish a work tracking system that will quantify annually, the number of inquiries requiring interpretation of relevant statutes and regulations. In 90% of the cases, OGE attorneys will respond to requests for information and for oral statutory and regulatory interpretations within 2 workdays of obtaining the information necessary to respond. In 75% of the cases, OGE attorneys will respond to requests for written statutory and regulatory interpretations within 20 workdays of obtaining the information necessary to respond. In addition, in order to measure the adequacy of the responses, the Office of General Counsel and Legal Policy will track the number of instances where a requester or other person contacts OGE questioning the adequacy of advice.

PERFORMANCE INDICATORS

Target

- | | |
|---|-------------------------------------|
| ● Number of inquiries | TBD |
| ● Number of contacts concerning adequacy of advice | 1% |
| ● Length of time to respond to requests for oral interpretations | 2 work days
90% of the requests |
| ● Length of time to respond to requests for written interpretations | 20 work days
67% of the requests |

MEANS OF VALIDATING MEASURED VALUES

- Standardized work measurement data collection instruments
- Supervisors will track complaints or comments received about adequacy of advice

OUTCOME GOAL

OGE will provide valuable advice to persons within the Government charged with administering ethics-related statutes and regulations or who are subject to these statutes and regulations, and to persons outside the Government who have interests related to the relevant statutes and regulations.

5. Following guidance developed by the Director for when meetings should occur, the number of meetings sought with Congress, White House officials, OMB, and the heads of agencies where the purpose is to encourage support for the ethics program.

PERFORMANCE GOAL

The Director or a member of the staff shall meet with Members of Congress or their staffs on each OGE legislative initiative, on each bill which would amend or add to direct (core) ethics provisions, on each OGE appropriations bill and on at least half of bills seriously considered which contain agency specific ethics measures.

The Director shall meet with the head of each agency when the agency is to receive or has recently received a notice that the agency's ethics program is not properly performing. The Director shall inform White House Counsel of any findings by OGE when a corrective action order has been sent to an agency head that the agency's ethics program is not properly performing.

PERFORMANCE INDICATORS

Target

- | | |
|--|------|
| ● Percentage of agency heads met following issuance of a corrective action order | 100% |
| ● New resources devoted to the program by agency head to correct problems after OGE finding | 100% |
| ● Percentage of White House ethics initiatives on which OGE met with White House staff | 100% |
| ● Percentage of discussions held with White House after they expressed concerns for an OGE proposed regulation | 100% |
| ● Numbers of meetings or discussions with Members/staff for purposes of seeking support of program | 10 |

MEANS OF VALIDATING MEASURED VALUES

- Confirmation date tracking/Director's calendar of meetings
- Notes in regulatory files with regard to meetings
- Notes from meetings with Congress
- Notes in agency review files with regard to meetings
- Appropriations levels for OGE

- Agency resource levels for supporting the program

OUTCOME GOAL

Support for the program by agency heads, the White House and the Congress will be visible through the resources devoted by an agency, actions and speeches of the agency head and White House officials, and through activities supportive of OGE's legislative program evidenced by votes and public statements made at hearings and on the floor of the Congress.

6. Number of nominee, annual and termination financial disclosure statements reviewed and certified on a timely basis.

PERFORMANCE GOAL

Track, collect, review, and certify the nominee, annual and termination financial disclosure statements of approximately 1,000 presidential appointees confirmed by the U.S. Senate to assure Senate confirmation committees and executive branch agencies that appointees financial interest are free from conflicts of interest with the position to which they are appointed. OGE will assist filers in fashioning appropriate remedies to alleviate an actual or apparent conflict of interest. Filers may be advised to consider undertaking several different types of actions which are tailor-made to suit the circumstances. These actions such as commitments to divest, create a qualified trust, recuse in certain circumstances, resign from certain positions or seek waivers of conflicts or impartially standards will be memorialized in ethics agreements that are approved by OGE.

PERFORMANCE INDICATORS

Target

- | | |
|--|-----|
| ● Number of nominee statements received | TBD |
| ● Percentage of nominee statements certified, and opinions rendered to Senate within two weeks of either nomination or OGE's receipt of receiving final certified form from agency, whichever occurs later | 95% |
| ● Number of annual and termination financial disclosure statements received | TBD |
| ● Percentage of annual and termination statements reviewed within 60 days of receipt | 90% |

MEANS OF VALIDATING MEASURED VALUES

- Reports generated by OGE's computerized financial disclosure tracking system of all public financial disclosure statements filed by presidential appointees

OUTCOME GOAL

OGE will be able to provide reasonable assurance to Senate confirmation committees, to agencies, to the public and to presidential appointees confirmed by the Senate that the entries on the appointees' financial disclosure reports have been reviewed for actual or potential conflicts and appropriate steps have been recommended in order to avoid even the appearance of conflict. Annual reviews of financial disclosure statements provides a continued opportunity to address changed circumstances and to ensure that all ethics agreements have been completed.

GOAL III

1. Schedules to be followed to identify the most relevant topics to be covered by ethics education courses and materials for ethics officials and employees as well as the appropriate formats for conveying those topics and the target number of courses and materials to be developed.

Time frames and standards which OGE will use to evaluate the effectiveness of the ethics training courses and materials it develops for use by agencies in their ethics training programs.

PERFORMANCE GOAL

Within the second quarter of the FY, the Education Division will perform an annual ethics training and education needs analysis executive branch wide to 1) identify subjects ethics officials feel need to be emphasized in training courses and educational products developed by OGE for employees and ethics officials, and 2) identify agencies' logistical needs, i.e., locations for conducting OGE ethics training courses and the types, media and distribution of educational products.

During the third quarter of the FY, the Education Division will determine what topics and the types of courses and products it will begin to develop during the FY. During the fourth quarter of the FY, the Education Division will develop a plan and schedule to produce these courses and educational products and will follow that schedule.

During the first half of the FY, the Education Division will be completing course development and educational products begun in the previous fiscal year.

By the beginning of the FY, the Education Division will have developed an evaluation instrument to evaluate each of the OGE conducted training courses during the fiscal year. The Education Division will collect and analyze the evaluations completed by students attending the courses. The Education Division will use the results of the analysis to monitor the effectiveness of the courses and to identify areas where improvement is warranted or that have been especially effective.

The Education Division will encourage agencies, which use OGE developed training products (such as web based training, pamphlets or videos) to train employees, to evaluate the effectiveness of those products. The Education Division will supply agencies that agree to administer an evaluation with a short evaluation instrument.

PERFORMANCE INDICATORS**Target**

- Number of Needs Analysis TBD
- Number of agencies providing input for the Needs Analysis TBD
- Number of training courses conducted for ethics officials 35
- Number of training courses conducted for employees (at agency request) TBD
- Number of new educational products developed TBD
- Number of evaluation instruments requested (training courses) TBD
- Number of evaluation instruments received from ethics official training TBD
- Overall rating of training courses for Ethics officials at least 4 on a on a 5 pt scale)
- Number of evaluation instruments received for OGE educational products TBD
- Number of educational products downloaded from the OGE web site TBD
- Number of visitors to the Web site TBD

MEANS OF VALIDATING MEASURED VALUES

- Ethics training needs analysis
- Training courses and products
- Student evaluations
- Records on materials requested/distributed

OUTCOME GOAL

OGE will provide executive branch ethics officials and employees with professionally developed and appropriate ethics training courses and products which will facilitate employees' understanding of their responsibilities under the standards of conduct, the criminal conflict of interest statutes and other ethics related rules and regulations.

2. Schedules for development and administration of the annual agency ethics program reporting requirement and identification of trends in agency ethics programs.

PERFORMANCE GOAL

Annually OGE will develop, administer, and analyze an ethics program survey executive branch wide to determine the state of the executive branch ethics program, identifying trends and areas of weakness/strength which it will incorporate into and address in its policy-making, interpretation and opinion function.

PERFORMANCE INDICATORS

Target

- | | |
|--|-------------------|
| ● Number of surveys distributed | TBD |
| ● Number of completed surveys received | 100. % compliance |

MEANS OF VALIDATING MEASURED VALUES

- Analysis of survey reports
- Survey report summaries
- Analysis of issues/trends indicating success or problems in the program

OUTCOME GOAL

OGE will obtain a "snapshot" perspective on the executive branch ethics program. OGE will be able to utilize the summary data to hone in on potential problem areas, areas of weakness or successes and either address the problem, strengthen the program or share the successes by incorporating the information into its policy-making and interpretation work.

3. Schedules for planning, developing, conducting an annual executive branch-wide ethics conference, including initiatives to conduct post-conference sessions for ethics officials unable to attend the conference.

PERFORMANCE GOAL

OGE will plan, develop, host and conduct an annual ethics conference for approximately 450 executive branch ethics officials where attendees will have an opportunity to participate in working sessions on the most current and common ethics issues, receive updates from OGE on all aspects of the ethics program and hear from outside sources and each other on the administration of their ethics programs. Immediately after the annual conference, OGE will identify from among the best rated concurrent session conducted ones that would be relevant for presentation to the regions. These sessions will be offered to ethics officials at selected regional locations as well as in Washington, D.C.

PERFORMANCE INDICATORS

Target

- | | |
|--|-----------------------------------|
| • Number of conference attendees | TBD |
| • Number of agencies represented | 70% |
| • Evaluations of the conference higher | Overall score 3 or (scale 1 to 4) |

MEANS OF VALIDATING MEASURED VALUES

- Evaluations solicited from attendees including post conference session attendees for each working session, speaker or other plenary session
- Overall conference evaluations

OUTCOME GOAL

OGE will be able to develop and conduct effective and informative conferences which will enhance and strengthen a larger segment of the ethics community and the ethics program. Agencies will be able to share common issues and offer each other practical solutions and suggestions which will also enhance and strengthen the program.

GOAL IV

1. Target levels of the type of requests received for, or the opportunities sought by OGE to participate in meetings, conferences and courses sponsored by private organizations or submit articles to publications in order to describe and promote the executive branch ethics program.

PERFORMANCE GOAL

OGE will seek to participate in 20 in person or electronic presentations where the public will be able to hear about the executive branch ethics program and will pursue the publication of one article or speech by an OGE employee about the program with a publication with a circulation of at least 2000.

PERFORMANCE INDICATORS

Target

- | | |
|--|----|
| ● Numbers of presentations to private groups | 20 |
| ● Numbers of articles or speeches published | 1 |

MEANS OF VALIDATING MEASURED VALUES

- Audience evaluation of the presentation
- Any follow-up questions, invitations or comments sent to OGE as a result of a presentation or publication
- Copies of published articles

OUTCOME GOAL

The public will have an opportunity to gain a greater understanding and appreciation of the executive branch ethics program and potentially more confidence in a government free from conflicts.

2. Maintain an Ethics Information E-Mail Service to enhance communications with executive branch ethics and enforcement personnel throughout the world.

PERFORMANCE GOAL

During FY 2004, OGE will maintain an Ethics Information E-Mail Service to enhance communications from OGE to the executive branch ethics and enforcement communities. This will ensure that executive branch ethics officials and enforcement personnel throughout the world receive timely announcements from OGE of the latest Daeograms, advisory opinions, training announcements, scheduled program reviews, report deadlines, and other materials that will aid them in maintaining effective ethics programs.

PERFORMANCE INDICATORS

Target

• Number of subscriptions	2,000
• Number of messages transmitted per year	35
• Number of agencies represented in total subscriptions	120

MEANS OF VALIDATING MEASURED VALUES

- Record of subscriptions
- Archives of OGE Ethics Information E-Mails

OUTCOME GOAL

Agency ethics officials and enforcement personnel throughout the world will receive OGE materials and news announcements instantaneously. This will result in better advice and training being rendered to employees worldwide based on ethics officials having received the latest advice and interpretation from OGE.

3. Establish criteria and evaluate responsiveness to requests for publicly available documents and information.

PERFORMANCE GOAL

OGE will establish target levels of responsiveness to requests for information under the Freedom of Information Act and the Privacy Act, as well as requests for public financial disclosure forms (SF 278), ethics agreements, waivers issued under 18 U.S.C. § 208(b), certificates of divestitures, blind trust documents and reports of agency acceptance of travel reimbursement under 41 U.S.C. § 1353.

To meet this Performance Goal, OGE will establish internal response deadlines and meet them in 90% of the cases.

PERFORMANCE INDICATORS

Target

- In 67% for FOIA cases, 90% for others, the number of working days to respond to requests for the following:

documents under the Freedom of Information Act and Privacy Act	20
Other documents maintained by OGE, such as 278 forms,	3
ethics agreements,	3
waivers under 18 U.S.C. § 208(b),	3
certificates of divestiture,	3
blind trust documents,	3
agency 1353 reports	3

MEANS OF VALIDATING MEASURED VALUES

- OGE will develop a standardized response tracking instrument

OUTCOME GOAL

OGE will ensure that its customers receive publicly available information as quickly as possible. Moreover, timely responses will enhance the confidence of requesters in OGE's effective implementation of the executive branch ethics program.

4. How often OGE is asked by U.S. foreign policy agencies and entities to contribute to U.S. efforts at assisting other governments in understanding and developing policies and programs designed to prevent corruption and promote ethics.

PERFORMANCE GOAL

OGE's provision of technical assistance and information to representatives of foreign countries results in a positive, tangible response from recipients of more limited informational briefings at least 10% of the time and from recipients who receive more extensive (possibly in-country) assistance 50% of the time.

PERFORMANCE INDICATORS

Target

- | | |
|---|-----|
| ● Number of accepted invitations (through or approved by USG foreign policy agencies /entities) to participate in international anti-corruption/ethics programs | TBD |
| ● Number of requests filled by OGE that come from USG foreign policy agencies/ organizations for OGE briefings of foreign officials during visits to Washington | TBD |
| ● Number of specific long-term programs supported by INL/State | TBD |
| ● Number of specific foreign government document (e.g. draft codes of conduct) reviews requested by USG foreign policy agencies/entities | TBD |
| ● Percentage of recipients of briefings responding in a positive, tangible manner | 10% |
| ● Percentage of recipients of more extensive assistance responding in a positive manner evidenced by some action within the country | 50% |

MEANS OF VALIDATING MEASURED VALUES

- Tracking system of all invitations received and accepted
- Tracking system of briefings provided
- Responses to requests from OGE to organizations or agencies hosting visiting delegations for feedback on OGE briefings
- Evaluations from recipients of briefings and/or assistance
- Reports to the U.S. requesting agency/organization

- Information from U.S. embassies in countries where briefings or assistance was provided

OUTCOME GOAL

OGE's technical assistance is helpful and supports U.S. efforts at encouraging anti-corruption programs throughout the world.