

A Strategic Framework

ADOPTED BY

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

**Executive Council
on Integrity and Efficiency**

MAY 29, 2001

A MESSAGE FROM THE VICE CHAIRS . . .



We are pleased to present *A Strategic Framework*, adopted by the President's Council on Integrity and Efficiency (PCIE) and the Executive Council on Integrity and Efficiency (ECIE) on May 29, 2001, at the Councils' annual retreat. This document provides the mission, vision, goals, objectives, and strategies for the Councils to follow over the next three 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 their obligations 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 American government. This framework lays out a strategy for both Councils to fulfill their agency missions as well as collectively contributing to resolving government-wide challenges. By adopting *A Strategic Framework*, each member supports and endorses the tenets of this commitment.

As we enter our third decade since the passage of the Inspector General Act, we remain advocates for efforts to improve government efficiency and integrity. This document 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

A Strategic Framework

VISION

The President's Council on Integrity and Efficiency (PCIE) and Executive Council on Integrity and Efficiency (ECIE) are effective and influential forces in identifying vulnerabilities in government programs and operations and facilitating excellence in government by recommending needed performance and management improvements. The Councils will lead and promote integrity, accountability, and excellence in governance through effective coordination and enhancement of our efforts to prevent and detect fraud, waste, and abuse throughout government.

MISSION

Our mission is to independently anticipate and communicate the weaknesses and vulnerabilities of the government, facilitate solutions, and identify opportunities for improved performance by coordinating government-wide and multi-agency activities that promote economy and efficiency in programs and operations.

STRATEGIC THEMES

◆ **Shaping Good Government**

◆ **Fostering the Integrity and Effectiveness of the IG Community**

◆ **Fully Developing Our People**

KEY EXTERNAL FACTORS

The Inspector General (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 following goals, objectives, and strategies will 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 IG resources, the scope of requests by agency heads and the Congress, and mandatory agency programs and other requirements.

GOALS ◆ OBJECTIVES ◆ STRATEGIES

In line with the mission, vision, and themes of the Councils, the PCIE and ECIE have developed four goals to define the IG community's strategic direction. These goals focus attention on our four priorities: Projects, Communications, Human Resources, and Operations. Each goal has objectives that expand on what needs to be done and strategies that articulate their implementation.

GOAL I

Improve Federal Programs and Operations

Based on their legislated mandate to conduct, coordinate, and supervise audits 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, in 1998, Congressional leaders began requesting that the OIGs provide them with an annual report containing the most serious management challenges the OIGs have identified facing their respective agencies. Building on this request, the PCIE and ECIE will identify those cross-cutting management challenges in need of attention. Further, the PCIE and ECIE will assure that this information is provided to all interested parties.

In fulfillment of the second basic role of the OIGs, that of fostering good program management to aid in the prevention of future problems, 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, we will continue to assess our progress and gauge the impact and range of our efforts to address operational and program improvements.

OBJECTIVES

A. Provide information on cross-cutting management challenges in need of attention from the Congress, the Administration, and others, to include federal managers, state and local governments, and interested organizations.

To accomplish their mission, the Inspectors General identify, review, and discuss areas of weakness and vulnerability in their agency's programs and operations to prevent and detect fraud, waste, and abuse. 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 weaknesses that cross agency lines. An important function of the PCIE and ECIE is to keep agency heads and the Congress fully and currently informed of problems in agency programs and operations.

Strategies

1. The Executive Council¹ will direct the preparation of an annual summary of the top government management challenges as understood through the work of the OIGs. The annual summary will consider best practices that have been identified as a result of IG work and management challenges affecting multiple levels of government.
2. The Vice Chairs will publicize the summary to ensure its availability to the Congress, the Administration, and other organizations.

¹ The Executive Council will be established, with the approval of the PCIE and ECIE membership and in consultation with the Chair, and comprised of the Vice Chairs of the PCIE and ECIE and the Chairs of Committees under IG leadership, at a minimum. At-large members may be added, as appropriate, with the approval of the PCIE and ECIE membership and the Chair. A further discussion of the Executive Council can be found under Goal IV of this plan.

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

To improve federal programs and operations, the PCIE and ECIE develop plans for coordinated government-wide activities that may include interagency and individual audits, inspections, and investigation projects. In its annual report to the President, the Councils will summarize the management challenges and OIG efforts to improve government operations.

Strategies

1. The Executive Council will direct the preparation of a summary of how OIGs are addressing the top management challenges, including activities of individual IGs.
2. Under the direction of the standing committees, the PCIE and ECIE will coordinate the development of approaches for multi-agency reviews to be undertaken. Joint cross-agency reviews will be conducted where appropriate.
3. The PCIE and ECIE will sponsor forums and focus groups with their members and others to collaborate on program-related issues and discuss possible solutions, as appropriate.
4. 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 develop standard audit or evaluation/inspection guides, share research, and develop and conduct special training.
5. Under the direction of the standing committees, collaborative working groups will study and target PCIE and ECIE investigative initiatives. For example, the groups will identify vulnerable areas of government-wide or multi-agency fraud, explore utilization of the forensic laboratory, and channel expert knowledge in preventing and detecting fraud.

C. Provide information annually on the OIGs' efforts to address operational and program improvements.

Currently, the PCIE and ECIE are required to report annually on the results of their operations. It is important that the Congress, the Administration, and others are kept abreast of the IG community's joint efforts in addressing operational and program issues.

Strategies

1. The PCIE and ECIE will periodically assess and report on the results of the OIGs' efforts to improve operations and address management challenges.
2. The PCIE and ECIE will hold an annual meeting to collaborate on progress made toward addressing management challenges.

GOAL II

Communicate Reliable and Timely Information to Maintain Public Confidence in the IG Community

To effectively communicate their identity, mission and accomplishments, the PCIE and ECIE should create an institutional voice. Goal II provides the framework for this voice, with the underlying assumption that the implementation of this goal is integrally dependent upon the accomplishment of the other three goals contained in *A Strategic Framework*. The Executive Council will 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. Create a PCIE and ECIE public information function to give voice to the Councils and the IG community.

In the current environment, demands for timely and responsive information are increasing. The PCIE and ECIE have recognized these demands and are seeking opportunities to actively share the results of the community's efforts.

Strategies

1. Ensure that the content and design of the IG 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 OIGs as impartial advocates for better government, and the purpose and identity of the PCIE and ECIE.

B. Create a voice for informing and educating the Congress, Administration, and public about the PCIE, ECIE, and OIG roles and responsibilities, initiatives, projects, accomplishments, and results.

An effective communication strategy is key to the effectiveness of the PCIE and ECIE. Creating opportunities to educate our stakeholders and keep them apprised of our initiatives and accomplishments is critical for maintaining this dialogue.

Strategies

1. Adopt a single orientation product for new Administration principals, new agency heads, and new members of Congress.
2. Provide 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 the General Accounting Office (GAO) regarding issues of common interest to the Councils and their members.

C. Establish a centralized clearinghouse for legislation, key documents, and commentaries of concern to the IG community.

The early stages of a clearinghouse to maintain key documents for the IG community exists on IGnet. This objective is designed to build upon these beginnings and create strategies for keeping the information current and relevant.

Strategies

1. Establish and maintain a central clearinghouse for key PCIE, ECIE, and OIG reports, statistics, publications, and other information that will inform and educate the Congress, Administration, and public about the PCIE, ECIE, and the IG community.
2. Provide input to the Congress, through the appropriate congressional committees, on legislation affecting the IG community as a whole.
3. 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.

GOAL III

Advocate and Implement Human Resource Development Programs that Will Aid in the Recruitment and Retention of a Corps of Well-trained and Highly Skilled OIG Staff Members

In order to coordinate efforts to develop and train OIG staff, the PCIE and ECIE will create a new Human Resources Committee. The Committee will lead the creation and implementation of innovative and effective human resource management programs to serve the members of the PCIE and ECIE. As a central coordinating body, the Committee will explore new opportunities and share proven approaches used within and outside the IG community to recruit, train, compensate, and reward employees. In addition, the Committee will make recommendations to increase motivation and enhance productivity of the OIG workforce. Part of the Committee's role will be to gather the "best practices" within the community in structuring human resource programs for the PCIE and ECIE.

OBJECTIVES

- A. The PCIE and ECIE will establish and improve professional staff development programs, including overseeing IG professional institutes and establishing staff development guidelines for OIG disciplines.**

Given the variety of initiatives that will be necessary to achieve this objective, establishing the Human Resources Committee presents a unique opportunity to coordinate the diverse human resource needs of the IG community. The primary goal of the Committee and the supporting strategies listed below is to find practical and economical solutions to the development of the most critical resource of the IG community: competent and independent-minded auditors, investigators, and evaluators.

Strategies

1. Establish a Human Resources Committee (replacing the Professional Development Committee) comprised of PCIE and ECIE members. The Committee may choose to form subordinate working groups that focus on key human resource areas, including professional development, recruitment, and retention.
2. In coordination with other standing committees, support and expand the curricula of the IG Auditor Training Institute and IG Criminal Investigator Academy, including course work necessary to meet the staff development guidelines and on-line or distance learning courses.
3. Regularly recognize the accomplishments of members of the IG community who have contributed to the success of their own offices and the IG community as a whole.

4. Promote legislative changes to give IGs expanded leverage and authority in personnel management issues, such as hiring, layoffs, and restructuring, similar to those proposed by GAO for themselves.
5. Establish partnerships with existing training institutes/organizations (e.g., National Defense University and U.S. Department of Agriculture Graduate School) to ensure IG-related course work is incorporated in their curricula. Additional activities may include cataloguing quality training opportunities that address OIG needs and establishing standards for continuing professional education for OIG professional disciplines.
6. Identify and promote best practices and innovation in recruiting; support the use of incentives to attract and maintain diverse, highly skilled staff at all levels; and establish a recruitment network for OIG staff.

B. Develop a model for management development and succession planning programs.

In addition to expanding current staff development efforts, the Human Resources Committee will be responsible for exploring new and innovative training opportunities that take advantage of cross-OIG capacities.

Strategies

1. Explore the possibility of establishing a PCIE and ECIE fellowship program to broaden skills for individuals in the IG community and assist them in gaining a better understanding of the breadth of IG initiatives across the federal government.
2. Support programs that promote managerial competencies in leadership, organizational development and team building, creative thinking, problem solving, planning, and information technology.
3. Examine strategies that promote opportunities for staff rotation, cross-OIG details, and other specialized training and course work.

GOAL IV

Foster and Advance the Professional Image and Effectiveness 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 goals of preventing fraud, waste, and abuse in the federal executive branch.

OBJECTIVES

A. Enhance the management system for the Councils to allow the IG community to perform in an effective and timely manner.

Goal IV is premised on a belief that the Councils can be more influential and that greater effectiveness and leadership may be obtained by institutionalizing some of the support work required for these community concerns. With the exception of the Vice Chairs, the Councils' membership will democratically select an Executive Council and standardize certain activities under its auspices. In the end, the purpose of this goal is to foster and advance the integrity and effectiveness of the IG community.

Strategies

1. Create an Executive Council whose members are, with the exception of the Vice Chairs, chosen by PCIE and ECIE membership. The purpose of the Council would be 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. With the approval of the PCIE and ECIE membership and in consultation with the Chair, the Executive Council would, at a minimum, consist of the Vice Chairs of the PCIE and ECIE, who are appointed by the Council Chairs, and the Chairs of Committees under IG leadership. At-large members may be added, as appropriate, with the approval of the PCIE and ECIE membership and the Chair.
2. Study the establishment of an administrative group to provide support directly to the Executive Council as well as providing a broad range of support services to the PCIE and ECIE.
3. Create a biennial plan for government-wide work. The plan would be developed by the Executive Council and approved by the PCIE and ECIE membership.

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

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. Develop objectives for a new IG orientation program and prepare a presentation to be used for the first meeting with the new IG. Update the IG orientation objectives annually. Involve White House personnel in orientations for presidentially appointed/Senate-confirmed IGs.
2. Following the new IG orientation, encourage IGs to periodically meet to informally discuss management issues/problems facing IGs, best practices, formal training opportunities, and presentations on timely topics.

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

Over the years, the PCIE and ECIE have developed standards to govern the activities of its community. To date, the IG community has professional standards to guide the conduct of its audits (as established in the Government Audit Standards), audit peer reviews, investigations, and inspections.

Strategies

1. Periodically assess existing standards and update accordingly. 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, investigative, evaluation, and OIG administrative functions, as appropriate, to ensure proper coverage and oversight.

ACKNOWLEDGMENTS

*A*ny document of this scope and complexity is the work of many hands. The idea of a strategic planning exercise came from us, but the implementation is the result of hard work on the part of many people in both the PCIE and ECIE. We would first like to thank the Inspectors General who dedicated staff as well as providing invaluable comments on the various drafts.

Second, we would like to thank the Strategic Planning Committee, including Mary Adler, Robert Ashbaugh, Patricia Dalton, Raymond DeCarli, Francine Eichler, Dennis Duquette, Stuart Gilman, Milton Mayo, Ginger Moench, Peter McClintock, James Renick, and Joseph Willever. This Committee laid the foundation for the document produced today. In addition to this group, several other individuals helped to write and edit the final document that became *A Strategic Framework* for the community: Leslee Bollea, Colin Christian, Elizabeth Coleman, Maurice Moody, and Magdalena Velasquez. Finally, we would like to thank the PCIE Committee Chairs and members of the various IG committees who met with the planning group as well as the staff members from the House and Senate, the Office of Management and Budget, and the General Accounting Office who shared their essential perspectives with us.

Of course, *A Strategic Framework* would not exist today without the dedication and leadership of the Strategic Planning Committee's Chairperson, Dr. Stuart Gilman. Dr. Gilman was the guiding force behind each step of the process. His integrity, vast knowledge of the community, and positive approach to the arduous task of strategic planning ensured its successful completion. We are truly grateful for the support offered by the Office of Government Ethics and the countless hours Dr. Gilman contributed to producing a document that will provide us with direction and focus for the next several years.

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 May 29, 2001.


Everett L. Mosley, Inspector General
Agency for International Development


Rebecca Donegan, Acting Inspector General
Central Intelligence Agency



Luise S. Jordan, Inspector General
Corporation for National and Community
Service


Roger C. Wiadero, Inspector General
Department of Agriculture



Johnnie E. Frazier, Inspector General
Department of Commerce


Robert Lieberman, Dep. Inspector General
Department of Defense


Lorraine Pratte Lewis, Inspector General
Department of Education


Gregory H. Friedman, Inspector General
Department of Energy



Michael Mangano, Acting Inspector General
Department of Health and Human Services


James A. Heist, Acting Dep. Inspector Gen.
Department of Housing and Urban
Development


Earl E. Devaney, Inspector General
Department of the Interior


Glenn A. Fine, Inspector General
Department of Justice


Gordon S. Heddell, Inspector General
Department of Labor


Anne M. Sigmund, Acting Inspector General
Department of State & the Broadcasting
Board of Governors


Kenneth M. Mead, Inspector General
Department of Transportation


Jeffrey Rush, Jr., Inspector General
Department of the Treasury


Richard J. Griffin, Inspector General
Department of Veterans Affairs


Nikki L. Tinsley, Inspector General
Environmental Protection Agency


Ruben Garcia, Jr., Assistant Director*
Federal Bureau of Investigation


Gaston L. Gianni, Jr., Inspector General
Federal Deposit Insurance Corporation


George J. Opfer, Inspector General
Federal Emergency Management Agency


William R. Barton, Inspector General
General Services Administration


Hubert T. Bell, Inspector General
Nuclear Regulatory Commission



Amy L. Cornstock, Director*
Office of Government Ethics



Patrick E. McFarland, Inspector General
Office of Personnel Management


Martin J. Dickman, Inspector General
Railroad Retirement Board


Elaine Kaplan, Special Counsel*
Office of Special Counsel


Phyllis K. Fong, Inspector General
Small Business Administration



James G. Huse, Jr., Inspector General
Social Security Administration


David C. Williams, Inspector General
Treasury Inspector General for Tax
Administration

* These officials are also members of the ECIE. The Deputy Director for Management for the Office of Management and Budget, who chairs both the PCIE and ECIE, and the Deputy Director for the Office of Personnel Management, who is a member of both Councils, had not been appointed at the time this document was made final.

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 May 29, 2001.


Fred E. Weiderhold, Jr., Inspector General
AMTRAK


Hubert N. Sparks, Inspector General
Appalachian Regional Commission


A. Roy Lavik, Inspector General
Commodity Futures Trading Commission


Mary B. Wyles, Inspector General
Consumer Product Safety Commission


Kenneth Konz, Inspector General
Corporation for Public Broadcasting


Aletha L. Brown, Inspector General
Equal Employment Opportunity
Commission


Stephen G. Smith, Inspector General
Farm Credit Administration


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


Lynne A. McFarland, Inspector General
Federal Election Commission



Edward Kelley, Inspector General
Federal Housing Finance Board


Francine C. Eichler, Inspector General
Federal Labor Relations Authority


Tony P. Kominoth, Inspector General
Federal Maritime Commission


Barry R. Snyder, Inspector General
Federal Reserve Board


Frederick J. Zirkel, Inspector General
Federal Trade Commission


Robert G. Andary, Inspector General
Government Printing Office


Len Koczur, Acting Inspector General
Legal Service Corporation


Paul Brachfeld, Inspector General
National Archives & Records Administration


H. Frank Thomas, Inspector General
National Credit Union Administration


Daniel Shaw, Inspector General
National Endowment for the Arts


Sheldon L. Bernstein, Inspector General
National Endowment for the Humanities


Jane E. Altenhofen, Inspector General
National Labor Relations Board


Christine C. Boesz, Inspector General
National Science Foundation


Charles D. Smith, Inspector General
Peace Corps


Wayne Robert Poll, Inspector General
Pension Benefit Guaranty Corporation


Walter Stachnik, Inspector General
Securities and Exchange Commission


Thomas D. Blair, Inspector General
Smithsonian Institution


Richard F. Chambers, Inspector General
Tennessee Valley Authority


Dev Jagadeesan, Acting Inspector General
U.S. International Trade Commission


Karla W. Corcoran, Inspector General
U.S. Postal Service

