

U. S. OFFICE OF GOVERNMENT ETHICS



**Fiscal Year 2005
Budget Explanatory Notes
and
Annual Performance Plan**

**Prepared for the
Committee on Appropriations**

February 2004

February 10, 2004

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

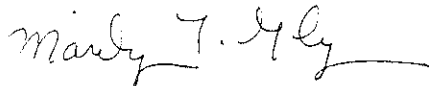
The Honorable C. W. Young
Chairman
Committee on Appropriations
United States House of Representatives
The Capitol, Room H-218
Washington, DC 20515-6015

Dear Mr. Chairmen:

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 \$11,238,000, and 80 full-time equivalents, as set forth in the President's FY 2005 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 Management, at 202-482-9203.

Sincerely,



Marilyn L. Glynn
Acting Director

The Honorable Ted Stevens
The Honorable C. W. Young

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 Henry A. Waxman
Ranking Member
Committee on Government Reform
United States House of Representatives
B-350A Rayburn House Office Building
Washington, DC 20515

The Honorable Susan M. Collins
Chair
Committee on Governmental Affairs
United States Senate
340 Dirksen Senate Building
Washington, DC 20510-6250

OFFICE OF GOVERNMENT ETHICS
 RESOURCES BY UNIT
 (DOLLARS IN THOUSANDS)

OFFICE	2003 ACTUAL AMOUNT	2004 REQUEST AMOUNT	2005 REQUEST AMOUNT
DIRECTOR	\$543	\$620	\$644
GENERAL COUNSEL AND LEGAL POLICY	\$2,477	\$2,760	\$2,778
ADMINISTRATION	\$2,192	\$1,910	\$2,064
AGENCY PROGRAMS	\$4,363	\$4,778	\$5,059
GOVERNMENT RELATIONS & SPECIAL PROJECTS	\$502	\$670	\$693
Direct Obligations	\$10,077	\$10,738	\$11,238
Reimbursable Obligations	\$123	\$270	\$160
Total	\$10,200	\$11,008	\$11,398
FTE	74	80	80

Note: A rescission of \$63,354 will be applied against the FY 04 Appropriation.

OFFICE OF GOVERNMENT ETHICS
OBJECT CLASSIFICATION

Direct Obligations	2003 <u>Actual</u>	2004 <u>Appropriated</u>	2005 <u>Requested</u>
11.1 Full-time Permanent	\$6,164	\$6,613	\$7,239
11.3 Other than full time permanent	\$85	\$85	\$85
11.7 Other personnel compensation	\$160	\$190	\$190
11.9 Total personnel compensation	\$6,409	\$6,888	\$7,514
12.1 Civilian personnel benefits	\$1,305	\$1,500	\$1,534
21.0 Travel & Transportation/persons	\$165	\$168	\$168
22.0 Transportation of things	\$3	\$5	\$5
23.1 Rental payments to GSA	\$1,084	\$1,200	\$1,200
23.3 Communications, utilities, misc	\$20	\$80	\$80
24.0 Printing and Reproduction	\$93	\$75	\$75
25.2 Other Services	\$522	\$572	\$412
26.0 Supplies and materials	\$126	\$105	\$105
31.0 Equipment/Land & Structures	\$350	\$145	\$145
99.0 Subtotal, direct obligations	\$10,077	\$10,738	\$11,238
99.0 Reimbursable obligations	<u>\$123</u>	<u>\$270</u>	<u>\$160</u>
99.9 Total obligations	\$10,200	\$11,008	\$11,398

Note: A rescission of \$63,354 will be applied against the FY 04 Appropriation.

PERFORMANCE BUDGET REQUEST

OFFICE OF GOVERNMENT ETHICS

Fiscal Year 2003 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 Government Relations and Special Projects

- Drafted and pursued clearance for major legislative proposals of OGE
- Provided OGE's Congressional Relations services, 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 preparing for any evaluation of USG's participation in international anti-corruption agreements involving mutual evaluation and in its participation in Global Forum III
- Provided OGE's assistance to USG negotiators of international agreements that include anti-corruption provisions such as the UN Convention Against Corruption

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 to new Schedule C's and noncareer SES
- Issued proposed regulations implementing 18 U.S.C. § 207

- Completed a study of the efficacy of the confidential financial disclosure system
- Completed a study of possible revisions to the Standards of Ethical Conduct for Executive Branch employees
- Assisted in the drafting of legislation to implement revisions to the criminal conflict of interest statutes in Title 18
- Issued proposed regulations implementing OGE's gift acceptance authority
- Issued proposed and final regulations and systems of records notices implementing provisions of the Privacy Act, 5 U.S.C. 552a
- Issued final regulations designating agency components under 18 U.S.C. § 207
- Issued a final regulation updating OGE's mission and organization
- Continued a study of the ethics requirements that apply to Government contractors
- Supported the Office of Government Relations and Special Projects' Congressional relations requirements including drafting testimony, responding to Congressional requests, and reviewing legislative proposals and testimony
- Assisted the Office of the Director in preparing reports to Congress
- Responded to requests for Certificates of Divestiture, and administered the blind trust program
- Provided oral and written guidance and interpretations of the executive branch standards of ethical conduct
- Issued 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
- 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 any special analysis required by Congress or the Administration
- Advised 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
- Supported the Director's activities in her role as a member of the President's Council on Integrity and Efficiency

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 Thirteenth 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
- Revised the Annual Agency Ethics Program Questionnaire to obtain verifiable program data to evaluate whether the Executive Branch ethics program is effective in meeting program goals (2003 ONLY)
- Monitored the ethics agreements of approximately 100 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 1,200 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 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
- 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-review surveys of agency employees to determine the effectiveness of the agency ethics program and areas for more in-depth review
- Developed instructor-led and self-study training courses for use by executive branch departments and agencies in meeting the annual ethics training. This will include the Ethics for Supervisors Course and the Initial Ethics Orientation Course
- Developed training evaluation instruments to measure the extent to which employees acquired knowledge from various training courses, including live training and computer-based training
- Continued to modify, design and develop courses based on the results of the end of course evaluations and annual needs assessment analysis

- Initiated and conducted a new needs analysis to identify the changing training needs of the ethics community in meeting program goals with reduced resources
- Developed and conducted ethics training workshops for ethics practitioners, trainers, counselors, financial disclosure reviewers, and enforcement officials in Washington, DC and Federal regions
- Evaluated OGE ethics training courses to determine whether they are effective in meeting the needs of the ethics community and are properly designed for adult learning
- Designed and produced easy-to-use reference materials for agency ethics counselors in managing the ethics program on a daily basis
- Assisted agencies in conducting annual ethics training when their good faith efforts to complete the requirement have been unsuccessful. Special emphasis placed on micro agencies
- Planned, organized and supported Regional Symposiums to held three times a year for approximately 180-240 ethics practitioners

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
- Continued to work on completing new agency policies on travel, procurement, emergency planning, and property management; and the outsourcing of the Agency's EEO complaint process
- 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
- Produced in-house desktop published ethics training and conference materials, brochures, flyers, pamphlets, posters, and ethics and administrative forms

- 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
- Enhanced the software used by executive departments and agencies to complete and print copies of the SF 278 and OGE 450 financial disclosure forms
- Provided technical support to executive agencies and employees using the OGE's financial disclosure software
- Provided new and upgraded software applications training to each OGE staff member
- IRMD staff completed the development of the OGE Intranet and Extranet with an anticipated implementation on or before the beginning of FY 2004
- Updated the IT Security Program Plan (ITSPP) (December 2002) to add new information and to implement more stringent IT security requirements
- Continued correcting the deficiencies noted in the ITSPP through the development and implementation of various security policies, procedures, individual employee security awareness training, as well as establishing additional management, operational, and technical controls, and conducting full Certification and Accreditation processes on OGE's General Support System (OGE's LAN) and our Major Application (Financial Disclosure Tracking System)
- OGE's Information Systems Security Officer (ISSO) expanded OGE's computer security awareness training program beyond the boundaries of classroom training. The ISSO employs various methods to increase awareness throughout the year
- Implemented a more cost effective LAN Storage Area Networks System(SANS)to replace OGE's traditional computer disk storage devices
- Purchased and installed a new Voice Over Internet Protocol (VOIP) telephone system to replace OGE's existing functionally limited and technologically outdated telephone system. Among the benefits of converting to such a system include using existing LAN cabling for the telephone wiring infrastructure; reduced telephone maintenance by the vendor and IRMD staff; and

the ability to provide broadband (using DSL or Cable) Internet connected telecommuters with the ability to have a phone that connects to and becomes an extension of the office's phone system

- Designed, configured, tested, and implemented a new Virtual Private Network (VPN) between the OGE and the National Finance Center (NFC) which provide for the secure transmission of personnel and financial information
- Purchased, configured and provided new computer workstations to all OGE staff
- Purchased, configured and installed several new upgraded network servers to facilitate a more robust and secure computing environment and to provide fail-over capability in the event of system's failure
- Upgraded OGE's e-mail system (GroupWise), including its web-based component which provides greater functionality, and ease of use for OGE staff
- Installed several new network administration programs that will facilitate the deployment, configuration, and management and control of network resources, including new computer software, software patches and fixes, virus protection updates, and printer drivers
- Established a full-time computer help desk to assist OGE staff with computer problems and related issues

OFFICE OF GOVERNMENT ETHICS

Fiscal Year 2004 Appropriated Level

Office of Government Relations and Special Projects

- Pursue clearances and enactment of major legislative package
- 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 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 (i.e. UN Convention Against Corruption)
- Coordinate and provide the staff work of OGE on any special projects or analyses required by the Director, the Administration or Congress

Office of General Counsel and Legal Policy

- Review and certify for the Senate, the public financial disclosure statements filed by Presidential nominees
- Provide 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
- Issue a proposed regulation to implement any necessary revisions to the public and confidential financial disclosure systems
- Issue a proposed regulation revising the Standards of Ethical Conduct for Executive Branch employees

- Assist in obtaining clearance for introduction in Congress of revisions to the criminal conflict of interest statutes in Title 18
- Develop proposed regulations needed to implement any statutory changes to other conflicts of interests, ethics or financial disclosure statutes
- Issue final regulations designating agency components under 18 U.S.C. § 207
- Issue a final regulation implementing OGE's gift acceptance authority
- Issue proposed "plain English" regulations implementing Certificate of Divestiture and qualified trust requirements
- Issue a final regulation implementing 18 U.S.C. § 207
- Support the Office of Government Relations and Special Projects Congressional relations requirements including drafting testimony, responding to Congressional requests, and reviewing legislative proposals and testimony
- Complete a study of the ethics requirements applicable to Government contractors and issue any necessary recommendations
- Assist the Office of Director preparing reports to Congress
- Respond to requests for Certificates of Divestiture, and administer the blind trust program
- Provide 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 the 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
- 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 the OGE Records Management System for maintaining the majority of 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

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 Fourteenth Annual National Government Ethics Conference for approximately 500 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 100 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 1,200 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 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 Region 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 providing Resource Management 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 producing in-house desktop published ethics training and conference materials, brochures, flyers, pamphlets, posters, and ethics and administrative forms
- 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 enhancements to the software used by executive departments and agencies to complete and print copies of the SF 278 and OGE 450 financial disclosure forms
- Continue providing technical support to executive agencies and employees using the OGE developed and distributed financial disclosure software

- 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) and, in accordance with the Federal Information Security Management Act (FISMA), the ISSO will continue updating and implementing OGE's annual security awareness and training program
- Begin the transition of OGE's word processing environment from WordPerfect to Microsoft Word by providing individual and group Word training to OGE staff
- Initiate the design and 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
- Initiate 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
- Modify OGE's Correspondence Tracking System (COTS) to provide OGE telecommuters the ability to access the program remotely via a secure Internet connection
- Renovate and upgrade OGE's main computer room to provide a network systems environment that is cleaner, safer, and more secure. This will include an upgrade to our hardware (cabinets), electrical power, air-conditioning, and room access control systems
- Manage a technical support contract that involves the installation and configuration of multiple routers, firewalls, and the Intrusion Detection System (IDS). The overall goal is to ensure that these systems are configured for optimum performance and enforcement of OGE IT security policy, and to enhance fault-tolerance and improve information assurance by configuring the routers and firewalls for load-balancing and failover protection
- Complete all requirements for the Certification and Accreditation of OGE's General Support System (GSS) and Major Application (MA) by December 31, 2003
- Install and configure 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

- Enroll 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 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 (i.e. UN Convention Against Corruption)
- Coordinate and provide the staff work of OGE on any special projects or analyses required by the Director, the Administration or Congress

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 assistance on ethics matters to Presidential transition teams
- 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 to implement any necessary revisions to the confidential financial disclosure system
- Issue a final regulation revising the Standards of Ethical 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 Certificate of Divestiture and 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 requirements including 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

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 500 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 providing Resource Management 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 producing in-house desktop published ethics training and conference materials, brochures, flyers, pamphlets, posters, the OGE Newsgram, and ethics and administrative forms
- 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 enhancements to the software used by executive departments and agencies to complete and print copies of the SF 278 and OGE 450 financial disclosure forms

- Continue providing technical support to executive agencies and employees using the OGE developed and distributed financial disclosure software
- 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)

STRATEGIC AND PERFORMANCE GOALS

FY 2005

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 2005

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 Counsel, White House officials or OMB Each draft or proposal
- Length of time between formal identification of needed policy change and internal implementing draft 90% of instances time is < 6 months
- 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 negotiations | TBD |
| ● Number of required U.S. responses to existing agreements with corruption prevention or ethics program elements | TBD |
| ● Percentage of negotiations 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 days 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 for 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 | 80% |
| • 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 Analyses conducted One annually
- Number of agencies providing input for the Needs Analysis TBD
- Number of training courses conducted for ethics officials TBD
- 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 a 4 (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 | Overall score 3 or higher
(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 | 25 |
| ● 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
wavers 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.

Schedule of Performance Indicators
 Comparing Actual, Estimated and Projected Targets
 For the Fiscal Years 2000 - 2005

New Performance Indicators introduced in FY 02 are in italics

STRATEGIC GOAL I	FY 00 Actual	FY 01 Actual	FY 02 Actual	FY 03 Actual	FY 04 Estimated	FY 05 Projected
Performance Goal 1						
PERFORMANCE INDICATORS						
How often OMB requests input	183	148	205	197	TBD	TBD
Percentage of timely inputs	98%	99%	99%	97%	90%	90%
Percentage of input employed on direct ethics program issues	100%	100%	100%	100%	90%	90%
Percentage of input on related issues is employed (i.e. gift authority, commission membership)	97%	71%	Eliminated Indicator			
Performance Goal 2						
PERFORMANCE INDICATORS						
How often ethics policy is discussed with Presidents Council of Integrity and Efficiency (PCIE) and the Executive Council of Integrity and Efficiency (ECIE)	Met	Met	Met	Once a year with each	Once a year with each	Once a year with each
How often OGE seeks information from IG's or DOJ on types of alleged misconduct investigated	Once from each	50-75 times a year	50-75 times a year		TBD	TBD
How often OGE discusses an ethics rule, a proposed regulation or proposed Executive order with Office of Legal Counsel, White House officials or OMB (changed in FY 01 - see next indicator)	Each proposal	na				
How often OGE creates an opportunity for discussion of a regulation or discusses a proposed Executive Order with Office of Legal Counsel, White House officials or OMB (established in FY 01)		Each draft or proposal	Each draft or proposal	Each draft or proposal	Each draft or proposal	Each draft or proposal
Length of time between formal identification of needed policy change and internal implementing draft		90% of instances time is < 6 months	90% of instances time is < 6 months	90% of instances time is < 6 months	90% of instances time is < 6 months	90% of instances time is < 6 months
Percentage of time OGE was not consulted or asked to draft ethics Executive orders	0%	0%	0%	0%	0%	0%
How often OGE pursued a regulation through to publication from final OGE draft through clearance in 6 months	Eliminated Indicator					

	FY 00 Actual	FY 01 Actual	FY 02 Actual	FY 03 Actual	FY 04 Estimated	FY 05 Projected
Performance Goal 3 <i>Eliminated for FY 02</i>						
PERFORMANCE INDICATORS						
Percentage of hearings on direct ethics matters in which input from OGE (or OGE through DOJ) is requested	no such hearings	na	Eliminated Indicator			
Percentage of instances OGE input as a result of a hearing is taken into consideration	no such hearings	na	Eliminated Indicator			
Percentage of direct ethics bills on Congressional initiatives (moving through Congress as opposed to simply introduced) in which OGE input is sought directly by Congress	100%	na	Eliminated Indicator			
Percentage of direct or related ethics bills (moving through Congress) on which OGE voluntarily submits or initiates Administration comment that is taken into consideration by Congress	100%	100%	Eliminated Indicator			
Performance Goal 4 <i>(BECOMES GOAL 3 IN FY 2003)</i>						
PERFORMANCE INDICATORS						
Number of proposals submitted to OMB	0	1	1	2	TBD	TBD
Percentage cleared for transmittal	n/a	100%	75%	50%	75%	75%
Length of time between transmittal and enactment	pending reg not enacted	na	< 18 months	< 18 months	< 18 months	< 18 months

	FY 00 Actual	FY 01 Actual	FY 02 Actual	FY 03 Actual	FY 04 Estimated	FY 05 Projected
Performance Goal 4 Added for FY 04						
PERFORMANCE INDICATORS						
Number of Negotiations					TBD	TBD
Number of required U.S. responses to existing agreements with corruption prevention or ethics program elements					TBD	TBD
Percentage of negotiations in which OGE assistance is sought					90%	90%
Percentage of USG corruption prevention or ethics program actions required by international agreements in which OGE assistance is sought					90%	90%
STRATEGIC GOAL II						
Performance Goal 1						
PERFORMANCE INDICATORS						
Number of agencies reviewed	57	52	30	39	20	35
Number of recommendations	85	49	41	33	TBD	TBD
Percent of Follow-up Reviews (WHERE RECOMMENDATIONS ARE MADE)	100%	100%	100%	100%	100%	100%
Correction of program deficiencies by agencies	82%	88%	86%	77%	80%	80%
Number of single-issue reviews	2	1	1	2	1	1
Recommendations related to single issue reviews						
Percent of single issue review recommendations adopted by OGE and agencies						
Best practices shared with agency during program reviews	86%	91%	84%	95%	80%	80%
Performance Goal 2						
PERFORMANCE INDICATORS						
Number of appointees w/ethics agreements	62	267	220	86	TBD	TBD
Number of ethics agreements	90	372	341	132	TBD	TBD
Percent of ethics agreements completed within established time frames	76.1%	93.8%	82%	75.6%	80%	80%
Percent of incomplete ethics agreements on which OGE took action	100%	100%	Eliminated Indicator			
Percent of cases resolved after OGE took action	99%	100%	100%	100%	100%	100%

	FY 00 Actual	FY 01 Actual	FY 02 Actual	FY 03 Actual	FY 04 Estimated	FY 05 Projected
Performance Goal 3						
PERFORMANCE INDICATORS						
Reports to senior staff with recommended new or adaptive uses	1 (extranet)	1 Videoconferencing	Eliminated Indicator			
	FY 00 Actual	FY 01 Actual	FY 02 Actual	FY 03 Actual	FY 04 Estimated	FY 05 Projected
Number of OGE approved new technologies adaptations	1 June/July 2000	1 Aug 2001	Eliminated Indicator			
Initial pursuit of OGE approved technologies or adaptations	August 2000	Sep 2001	Eliminated Indicator			
Develop implementation plan for approved technologies or adaptations	October 2000	Sep 2001	Eliminated Indicator			
Innovations by OGE or agencies show-cased	Show-cased electronically fillable SF 278 & OGE 450 forms at the Sep 2000 Ethics Conference	none shown	Eliminated Indicator			

	FY 00 Actual	FY 01 Actual	FY 02 Actual	FY 03 Actual	FY 04 Estimated	FY 05 Projected
Performance Goal 4 (changed in FY 00)						
PERFORMANCE INDICATORS						
Establish schedule to meet four year application development cycle		Eliminated Indicator				
OGE approval to commence development of electronic filing applications		Eliminated Indicator				
Technical assessment of existing Government approved digital signature security standards and methodologies (established FY 00)		Did not proceed with tech assessment of digital security stds pending guidance to be provided to all agencies developing and implementing electronic transactions under GPEA. Revised FY 2001 plan to reflect GPEA guidance issued by OMB and our own GPEA plan submitted to OMB in October 2000.				
Survey of agencies regarding their existing and planned computing capabilities and operating environments (established FY 01)						
Evaluation of agency capability survey results against existing security standards (established FY 01)						
Develop financial disclosure software incorporating approved electronic forms completion and filing capability (established FY 01)			Eliminated Indicator			
Cost-benefit/risk analysis completed and OGE decision to incorporate appropriate "electronic signature" capability into software			Underway			
Pilot test electronic filing software with several agencies to determine and correct and interoperability issues					End of 1st Qtr FY 2003	
Fully implement electronic filing of disclosure forms with "electronic signature" capability					End of 3d Qtr FY 2003	
Performance Goal 5 (TEXT OF GOAL CHANGED IN FY 01 AND FY 02) (Becomes Goal 3 in FY 04)						
PERFORMANCE INDICATORS						
Number of requests for advice	5176	4773	6280	3240	TBD	TBD
Number of contacts concerning adequacy of advice (TERMED "Inadequate advice" IN FY 99 AND FY 00)	< 1%	< 1%	< 1%	< 1%	1%	1%
Time expended to adequately satisfy requests for advice and information	100% within 2 days 99% within 1 day	99% within 1 day	98% within 2 days	within 2 days for 90% of requests	within 2 days for 90% of requests	within 2 days for 90% of requests

	FY 00 Actual	FY 01 Actual	FY 02 Actual	FY 03 Actual	FY 04 Estimated	FY 05 Projected
Performance Goal 6 (Becomes Goal 4 in FY 04)						
PERFORMANCE INDICATORS						
Number of inquiries	1245	895	853	735 (721 oral & 14 written)	TBD	TBD
Number of contacts concerning adequacy of advice	< 1%	< 1%	< 1%	< 1%	1%	1%
Length of time to respond to requests for information and for oral statutory and regulatory interpretations	99+% within 2 work days	99.5% within 2 work days	99.6% within 2 work days	99% 2 work days 90% of the requests	2 work days 90% of the requests	2 work days 90% of the requests
Length of time to respond to requests for written statutory and regulatory interpretations	90.67%	86.3%	88%	20 work days 85.7% of the requests	20 work days 75% of the requests	20 work days 67% of the requests
Performance Goal 7 (ELIMINATED IN FY 04)						
PERFORMANCE INDICATORS						
Number of agency requests received	251	284	300	TBD	Eliminated Indicator	Eliminated Indicator
Percentage of responses answered within 15 working days of receipt	99.2%	98.9%	95%	80%	Eliminated Indicator	Eliminated Indicator
Performance Goal 8 (Becomes Goal 5 in FY 04)						
PERFORMANCE INDICATORS						
Percentage of new agency heads met within 6 months						
Percentage of agency heads met following issuance of a a corrective action order	No orders issued	No orders issued	No orders issued	No orders issued	100%	100%
Percentage of agency heads met following notice problems with agency ethics programs	none were requested	none were requested	none were requested	none were requested	80%	80%
New resources devoted to the program by agency head to correct problems after OGE finding	no corrective action orders req resources	no corrective action orders req resources	no corrective action orders req resources	no corrective action orders req resources	100%	100%
Percentage of White House ethics initiatives on which OGE met with White House staff	were none	were none	were none	were none	100%	100%
Percentage of meetings held with White House after they expressed concerns for an OGE proposed regulation	were none	were none	were none	were none	100%	100%
(NOTE: Changed to read "Percentage of discussions"...) in FY 02 Annual Performance Plan						
Numbers of meetings with members/staff for purposes of seeking support of program	9	21	10	10	10	10
(NOTE: changed to read "meetings and discussions"...) in FY 02 Annual Performance Plan						

	FY 00 Actual	FY 01 Actual	FY 02 Actual	FY 03 Actual	FY 04 Estimated	FY 05 Projected
Performance Goal 9 <i>(Becomes Goal 6 in FY 04)</i>						
PERFORMANCE INDICATORS						
Number of nominee statements received	223	490	389	219	TBD	TBD
Percentage of nominee statements certified, opinions rendered to Senate within 2 weeks of receiving final certified form from agency after nomination	98.7%	99.2%	95.9%	95.9%	95%	95%
<i>(NOTE: changed to read "within two weeks of either nomination or OGE's receipt of receiving final certified form from agency, whichever occurs later" in FY 02 Annual Performance Plan</i>						
Number of annual and termination financial disclosure statements received	910	997	862	979	TBD	TBD
Percentage of annual and termination statements reviewed within 60 days of receipt	93.8%	85.1%	86.3%	77.8%	90%	90%
Performance Goal 10 (added for FY 02) <i>(Indicator eliminated in FY 03)</i>						
PERFORMANCE INDICATORS						
Number of permanent employees eligible for mid-year reviews			All eligible employees	Eliminated Indicator		
Number receiving mid-year reviews			All eligible employees	Eliminated Indicator		
Number with whom training and resources discussed			All eligible employees	Eliminated Indicator		
Percentage of employees with whom training and resources discussed			All eligible employees	Eliminated Indicator		
Number of new permanent employees for whom mid-year reviews were not required			All eligible employees	Eliminated Indicator		
Percentage of new permanent employees with whom training and resources discussed within 6 months of hire			All eligible employees	Eliminated Indicator		
Number of employees hired within 6 months of end of fiscal year with whom training and resources have not yet been discussed			0	Eliminated Indicator		

STRATEGIC GOAL III	FY 00	FY 01	FY 02	FY 03	FY 04	FY 05
Performance Goal 1	Actual	Actual	Actual	Actual	Estimated	Projected
PERFORMANCE INDICATORS						
Number of Needs Analyses conducted	1 completed as scheduled	2	1	1	One annually	One annually
Number of Agencies responding	56%	Eliminated Indicator				
Number of agencies providing input for the Needs Analysis (added in FY 01)		238 from 60 agencies	87	79	90	TBD
Number of training courses conducted	55	Eliminated Indicator				
Number of training courses conducted for ethics officials (added in FY 01)		41 Intro/6 Intermediate	44	50	35	35
Number of training courses conducted for employees (at agency request)(added in FY 01)		11	34	35	TBD	TBD
Number of new educational products developed	5	2	4	4	TBD	TBD
Number of evaluation instruments requested (training courses)(added in FY 01)		100%	no data	8430	TBD	TBD
Number of evaluation instruments received from ethics official training (added in FY 01)		877 Intro/111 Intermediate	no data	886	TBD	TBD
Overall rating of training courses for ethics officials (added in FY 01)		3+	3.57	4.43 (on a 5 pt. scale) <small>(CHANGED 4 TO 5 PT)</small>	at least 4 (on a 5 pt. scale)	at least 4 (on a 5 pt. scale)
Number of evaluation instruments received for OGE educational products (added in FY 01)		2368 Gifts Between Emplo; 529 Misuse of Position 81 You've Got It	8851	7440	TBD	TBD
Number of surveys/questionnaires administered	sent 608 on video 475 returned	Eliminated Indicator				
	547 surveys rec'd on web training					
Number of requests from agencies for OGE developed courses or educational products	5 courses	Eliminated Indicator				
Number of educational products downloaded from the OGE web site (added in FY 01)			99088	139135	TBD	TBD
Number of visitors to the EIC Changed in FY 2002 to read " to the web site"	38		9,975,725	15,688,000	TBD	TBD
Agency ethics education materials solicited for EIC (text changed in FY 01..see next indicator)	at 2 IEC meetings and once in Newsgram	Eliminated Indicator				
Solicitation of training materials for the EIC (added in FY 01)		Eliminated Indicator				
Request materials available from the EIC Changed in FY 01 to read " Number of requests for...."	45	Eliminated Indicator				

	FY 00 Actual	FY 01 Actual	FY 02 Actual	FY 03 Actual	FY 04 Estimated	FY 05 Projected
Performance Goal 2						
PERFORMANCE INDICATORS						
Agencies surveyed for interest and/or facilities	did not survey	Eliminated Indicator				
Draft schedule developed for producing large scale projects	worked with DOI on its broadcast	Eliminated Indicator				
Number of large scale projects produced	participated in DOI broadcast and developed 1 multimedia web based training module for each	Eliminated Indicator				
Potential audience of project	>1000	Eliminated Indicator				
Number of surveys distributed	All executive agencies	All executive agencies	127	127	TBD	TBD
Number of completed surveys received	100% compliance	100% compliance	100% compliance	100% compliance	100% compliance	100% compliance
Performance Goal 3						
PERFORMANCE INDICATORS						
Number of conference attendees	454	484	445	465	TBD	TBD
Number of agencies represented	66%	75%	72%	67%	75%	70%
Evaluations of the conference (scale 1 to 5)	3.11	Conference cancelled 9/11	3.37 (scale 1 to 5)	3.42 (scale 1 to 5)	Overall score 3 or higher (scale 1 to 4)	Overall score 3 or higher (scale 1 to 4)
Number of post-conference sessions conducted in Washington, DC (added in FY 01)		Conference cancelled 9/11	Eliminated Indicator			
Number of post-conference sessions conducted in regional locations (added in FY 01)		0	Eliminated Indicator			
Number of attendees at post-conference sessions conducted in Washington, DC (added in FY 01)		0	Eliminated Indicator			
Number of attendees at post-conference sessions conducted in regional locations (added in FY 01)		0	Eliminated Indicator			
Number of off-site locations	4	0	Eliminated Indicator			
Number of off-site attendees	500	Eliminated Indicator				

	FY 00 Actual	FY 01 Actual	FY 02 Actual	FY 03 Actual	FY 04 Estimated	FY 05 Projected
Performance Goal 4 Note: Added for FY 02						
PERFORMANCE INDICATORS						
Initiate development of extranet infrastructure			Initiated in FY 2002			
Pilot test doing ethics related business electronically with several agencies to determine and correct any potential implementation problems			End of 3rd QTR FY 2003	Revised to end of 2d QTR FY 2004	Revised to end of 2d QTR FY 2004	
Fully implement OGE ethics extranet with all agencies and departments			End of 4th QTR FY 2003	End of 4th QTR FY 2003	End of 4th QTR FY 2003	
Performance Goal 5 Note: Added for FY 02						
Initiate design and development of electronic transaction applications			Initiated in FY 2002	See next indicator	See next indicator	
Pilot test doing ethics related business electronically with several agencies to determine and correct any potential implementation problems			End of 3rd QTR FY 2003	Revised to end of 2d QTR FY 2004	Revised to end of 2d QTR FY 2004	
Fully implement OGE electronic transaction capability			End of 2nd QTR FY 2003	Revised to end of 2d QTR FY 2004	Revised to end of 2d QTR FY 2004	

	FY 00 Actual	FY 01 Actual	FY 02 Actual	FY 03 Actual	FY 04 Estimated	FY 05 Projected
STRATEGIC GOAL IV						
Performance Goal 1						
PERFORMANCE INDICATORS						
Numbers of presentations to private groups	12	40	20	13	20	20
Numbers of articles or speeches published	1	1	1	1	1	1
Performance Goal 2						
PERFORMANCE INDICATORS						
Number of new educational products developed	2	1	4	Eliminated Indicator	Eliminated Indicator	
Articles on public service ethics in Newsgram	4	1	1	Eliminated Indicator	Eliminated Indicator	
Distribution of new products to agencies	completed	All agencies	All agencies	Eliminated Indicator	Eliminated Indicator	
Requests for new products	1800 Videos distributed pamphlets	na	5	Eliminated Indicator	Eliminated Indicator	
<i>The following were added for FY 04</i>						
Number of subscriptions					8500	2000
Number of messages transmitted per year					25	25
Number of agencies represented in total subscriptions					125	120
Performance Goal 3						
<i>Goal eliminated in 02</i>						
PERFORMANCE INDICATORS						
<i>New indicators for FY 02 in italics</i>						
OGE will use the usage and access reports provided by GPO		na	Eliminated Indicator		Monthly	
		Reports show # of times OGE's electronically fillable disclosure forms have been downloaded for Federal employees. This provides an indication of employee's desire and acceptance of these forms, thus validating the need for such products				
<i>Electronic files containing or announcing this material will be transferred to the OGE webmaster within 2 working days of finalization by OGE</i>			95%	95%	95%	
<i>Electronic files will be transferred by OGE webmaster to GPO within 5 working days of receipt</i>			95%	95%	95%	
Updates made and transferred to GPO within 5 days of receipt of information	100%	100% of the time	Eliminated Indicator			

	FY 00 Actual	FY 01 Actual	FY 02 Actual	FY 03 Actual	FY 04 Estimated	FY 05 Projected
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Performance Goal 3

PERFORMANCE INDICATORS

New indicators for FY 02 in italics

In 67% of the FOIA cases, and 90% of all others days to respond to requests for the following:

documents under the Freedom of Information Act	61.7% completed within 10 calendar days 98% complete within 20 working days	77% completed within 20 working days	80% completed within 20 working days	70% completed within 20 working days	20	20
and Privacy Act		77% completed within 20 working days	80% completed within 20 working days	70% completed within 20 working days	20	20
<i>Changed in FY 02 to read: Other documents maintained by OGE, such as 278 forms (previously (278 forms)</i>	All met within 2 days	All met within 3 days	All met within 2 days	3	3	3
ethics agreements	All met within 3 days	All met within 3 days	All met within 3 days	3	3	3
waivers under 18 U.S.C. § 208(b)	All met within 3 days	All met within 3 days	All met within 3 days	All met within 3 days	3	3
certificates of divestiture	none requested	25 of 26 within 3 days	87.5% within 3 days	91% within 3 days	3	3
blind trust documents	All met within 3 days	All met within 3 days	All met within 3 days	91% within 3 days	3	3
agency 1353 reports	All met within 3 days	done within 2 days	All met within 3 days	3	3	3
informational materials (e.g. pamphlets)	most filled immediately through the Internet	Eliminated Indicator	Eliminated Indicator	Eliminated Indicator		

Performance Goal 4

(MOVED FROM STRATEGIC GOAL 1 IN 04)

PERFORMANCE INDICATORS

Number of invitations received by OGE from foreign policy agencies/organizations to participate in U.S. sponsored programs abroad	12	8	11	10	Eliminated Indicator	
Number of requests from foreign policy agencies/organizations for OGE briefings of foreign officials during visits to Washington	39	32	48	40	Eliminated Indicator	
Following OGE participation in programs and briefings, number of foreign countries or U.S. member International organizations developing practical programs or modifying existing programs that reflect OGE technical assistance <i>(percentage used in FY 99, starting FY 00, number of...)</i>	4	7	19	30	Eliminated Indicator	
Number of follow-up requests from foreign delegations for information after listening to OGE presentation in Washington	8	10	6	8	Eliminated Indicator	
Number of repeat requests from foreign policy agencies/organizations as a result of presentations made by OGE	19	3	5	3	Eliminated Indicator	

	FY 00 Actual	FY 01 Actual	FY 02 Actual	FY 03 Actual	FY 04 Estimated	FY 05 Projected
<i>Added in FY 04</i>						
Number of accepted invitations (through or approved by USG foreign policy agencies/entities) to participate in international anti-corruption/ethics programs					TBD	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	TBD
Number of specific long-term programs supported by INL/State					TBD	TBD
Number of specific foreign gov't document (e.g. draft codes of conduct) reviews requested by USG foreign policy agencies/entities					TBD	TBD
Percentage of recipients of briefings responding in a positive, tangible manner					10%	10%
Percentage of recipients of more extensive assistance responding in a positive manner evidenced by some action within the country					50%	50%