

**FEDERAL ELECTION COMMISSION
OFFICE OF INSPECTOR GENERAL**

STRATEGIC PLAN



**FISCAL YEARS
2010 - 2015**

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Inspectors General Vision Statement

We are agents of positive change striving for continuous improvement in our agencies management and program operations and in our own offices.

Statement of Reinvention Principles

We Will:

- Work with our agency head and the Congress to improve program management.
- Maximize the positive impact and ensure the independence and objectivity of our audits, investigations and other reviews.
- Use our investigations and other reviews to increase Government integrity and recommend improved systems to prevent waste, fraud and abuse.
- Be innovative and question existing procedures and suggest improvements.
- Build relationships with program managers based on a shared commitment to improving program operations and effectiveness.
- Strive to continually improve the quality and usefulness of our products.
- Work together to address Government-wide issues.

STRATEGIC PLAN FOR THE OFFICE OF INSPECTOR GENERAL

I. Introduction and Background:

To enhance the effectiveness of the Office of Inspector General (OIG) at the Federal Election Commission (FEC), and to ensure effective audit coverage of the Commission's programs and operations, this office has developed the following strategic plan. In conjunction with the strategic plan, the OIG will continue to request audit ideas from all staff. The OIG will also take into consideration the FEC's strategic plan in making its decisions on areas to audit. This will enable the office to address the audit requirements of its customers.

The Office of Inspector General within the Federal Election Commission was created in accordance with the Inspector General Act of 1978, as amended. The mission of the OIG, as spelled out in the Act, is to:

- conduct and supervise independent and objective audits and investigations relating to agency programs and operations;
- promote economy, effectiveness, and efficiency within the agency;
- prevent and detect fraud, waste and abuse in agency program and operations;
- review and make recommendations regarding existing and proposed legislation and regulations relating to agency programs and operations;
- keep the agency head and the Congress fully and currently informed to problems in agency programs and operations.

To carry out these responsibilities, the Congress has given the Inspector General:

- access to all records, reports, audits, reviews, documents, papers, recommendations or other material which relate to the programs and operations of the Commission;
- authority to make such investigations and reports, that in the judgment of the Inspector General, are necessary;
- authority to request assistance from any federal, state or local government agency as may be necessary;
- authority to issue subpoenas;
- authority to administer and take oaths, affirmations or affidavits;
- direct and prompt access to the Commission (as head of the agency);
- authority to select, appoint and employ such officers and employees as may be necessary for carrying out the functions, powers, and duties of the OIG;
- authority to obtain expert and consultant services; and,
- within the limits of the budget, authority to contract out for audits, studies, analyses, and other services.

The OIG shall also:

- comply with Government Auditing Standards and other applicable auditing and investigative standards;
- ensure that any work performed by non-federal auditors complies with Government Auditing Standards;
- avoid duplication with the U.S. General Accountability Office (GAO) and ensure effective coordination and cooperation;
- report all suspected violations of criminal law to the Attorney General; and,
- arrange for a review of the OIG by a federal audit entity at least once every three years for the purpose of determining whether Government Auditing Standards are being followed.

II. Organization:

The OIG is currently assigned six FTE. The staff consists of the Inspector General, Deputy Inspector General, Counsel to the Inspector General/Chief Investigator, Senior Auditor, Auditor, and Special Assistant to the Inspector General. The OIG has a Memorandum of Understanding with the Staff Director and the Designated Agency Ethics Official.

The OIG takes several steps to ensure the quality of the work performed and products produced. The office hires only qualified and competent staff and ensures that their expertise and professional competence is maintained by being certain that all staff receive the amount of training required by the Government Auditing Standards. A deliberate effort is made to give staff a wide variety of assignments, including special projects, to further increase their knowledge and capabilities. Since the staff size is small, the Inspector General is very involved in the audit and investigative processes.

All products that are produced by the OIG are personally reviewed and signed by the Inspector General or Deputy Inspector General. In addition, every three years, the OIG undergoes a peer review of the audit operation. This is conducted by another Office of Inspector General following the Council of Inspectors General on Integrity and Efficiency (CIGIE) guidelines. The results of the peer review are given to the Commission by the Inspector General.

III. Federal Election Commission - Mission Statement and Goals:

The mission statement of the FEC is:

To prevent corruption in the federal campaign process by administering, enforcing and formulating policy with respect to federal campaign finance statutes.

To achieve its mission, the FEC has identified one overarching strategic goal:

To protect the integrity of the federal campaign process by providing transparency, enforcing contribution restrictions, and fairly administering the FECA and related statutes.

This goal is supported by three strategic objectives. They are:

- 1. **Transparency:** receiving accurate and complete campaign finance disclosure reports and making them available to the public*
- 2. **Compliance:** education and enforcement*
- 3. **Development of the Law:** interpreting, administering, and defending the FECA*

IV. Office of Inspector General's Goals and Objectives:

Subsequent to the evaluation of the various considerations that would affect the OIG mission and the ability to meet it, three major categories of OIG-wide goals and objectives have been identified. They are Products, Processes, and Staff. Possible strategies and performance measures for each have been included.

The OIG strategic plan will continue to evolve and will be reviewed and updated as necessary to ensure maximum effectiveness in meeting the changing needs of the FEC, consistent with the OIG's statutory responsibilities.

OIG Products: To provide products and services that promote positive change in FEC policies, programs, and operations.

Objective A: Deliver timely, high-quality products and services that promote positive change.

- Strategy:**
- establish common OIG standards for communicating results;
 - conduct quality assurance programs;
 - solicit appropriate internal and external review and comment;
 - comply with applicable statutory guidelines and standards; and
 - set realistic and appropriate milestones.

Objective B: Address priority issues and concerns of the Commission, Management and Congress.

- Strategy:**
- Perform work that supports:
 - Federal Election Commission and Congressional priorities;
 - Strategic Management Initiative efforts;
 - Focus OIG attention in the following areas of emphasis:
 - managing change;
 - resource allocation in relation to policy objectives;
 - delivery of client service;

- causes of fraud and inefficiency; and,
- automation and communication.

Objective C: Follow-up and evaluate results of OIG products and services to assess their effectiveness in promoting positive change.

- Strategy:**
- Identify, as appropriate, lessons learned to improve timeliness and quality; and,
 - conduct follow-up reviews to determine if intended results have been achieved.

Objective D: Satisfy customers, consistent with the independent nature of the OIG.

- Strategy:**
- establish professional communication and interaction with customers to promote the open exchange of ideas;
 - incorporate customer feedback, as appropriate; and,
 - be open to customer-generated solutions and options.

Performance Measures: Determine the timeliness and quality of products and services; their effectiveness in promoting positive change; and, reach agreement with management on at least 90% of recommendations within six months of the report issue date.

OIG Processes: To develop and implement processes, policies, and procedures to ensure the most effective and appropriate use of OIG resources in support of our people and products.

Objective A: Maintain a dynamic strategic planning process.

- Strategy:**
- periodically review and update the strategic plan to address changing OIG and FEC priorities; and,
 - identify factors that influence organizational change and develop short and long term plans to address them.

Objective B: Plan and conduct cost-effective work that address critical issues and results in positive change.

- Strategy:**
- solicit FEC and Congressional input in planning OIG activities;
 - develop internal planning mechanisms to support FEC goals and priorities;

- ensure that priorities of IG are effectively communicated; and
- identify specific targets for OIG review that are the most cost-effective.

Objective C: Identify customer needs and provide products and services to meet them.

- Strategy:**
- establish new customer feedback mechanisms;
 - consider and evaluate customers' feedback when planning and developing products and services;
 - respond to congressional inquiries and requests for briefing and testimony;
 - promote open exchange of ideas and information through outreach and through use of e-mail; and,
 - receive, evaluate, and respond, as appropriate, to information received through the OIG hotline and other sources.

Objective D: Implement efficient, effective, and consistent resolution and follow-up procedures.

- Strategy:**
- ensure that IG follow-up procedures are followed and that management is aware of their role in the process; and
 - establish common OIG standards for terminology, date maintenance and communications.

Objective E: Establish a positive and productive working environment.

- Strategy:**
- reengineer or streamline OIG procedures to achieve the most effective use of resources; and,
 - ensure that necessary technologies, evolving and otherwise, are made available to staff as needed.

Performance Measures: An annual audit plan is issued; strategic plan is periodically reviewed; and, necessary technology is provided to staff to enable them to most efficiently perform their duties.

OIG Staff: To maintain a skilled and motivated work force in an environment that fosters accountability, communications, teamwork, and personal and professional growth.

Objective A: Attract and retain well-qualified, diverse and motivated employees.

- Strategy:**
- develop and implement a comprehensive recruiting program that attracts a broad population with the knowledge, skills, abilities, and expertise necessary to make meaningful contributions to the OIG;
 - assess employee satisfaction and develop strategies to address employee concerns;
 - identify reasons for staff departures and develop plans to foster greater staff retention; and,
 - adhere to EEO principles and strive to maintain a diverse work force.

Objective B: Provide training and developmental opportunities to employees.

- Strategy:**
- assess training needs in relation not only to employee but office needs as well;
 - ensure that Government Auditing Standards in relation to training are adhered to; and,
 - maintain a reporting system to ensure that educational requirements are met.

Objective C: Assess, recognize, and reward, when possible, performance that contributes to achieving the OIG mission.

- Strategy:**
- develop and articulate expectations for each employee's performance, including contributions in meeting the mission & goals of the OIG; and,
 - ensure that rewards, when possible, are given in recognition of exceptional employee performance.

Objective D: Create and maintain a working environment that promotes teamwork and effective communication.

- Strategy:**
- ensure that communication between employees is open; and
 - provide employees with the tools and incentives they need to adequately perform their duties.

Performance Measures: All employees meet the training requirements; all employees have performance standards; and all employees meet the basic requirements for the position in which they were hired to perform.