

U. S. OFFICE OF GOVERNMENT ETHICS



**Fiscal Year 2004
Explanatory Notes
and
Annual Performance Plan**

**Prepared for the
Committee on Appropriations**

February 2003



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

February 20, 2003

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

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

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 \$10,738,000 and 80 full-time equivalents, as set forth in the President's FY 2004 budget.

We will be pleased to discuss our request with representatives from your office, and we look forward to our annual hearing on OGE's plan and budget. If you need additional information with regard to this request please contact Daniel D. Dunning, Deputy Director, Office of Administration and Information Resources Management, at 202-208-8000.

Sincerely,

A handwritten signature in cursive script, appearing to read "Amy L. Comstock".

Amy L. Comstock
Director

The Honorable C.W. Young
The Honorable Ted Stevens
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cc: (w/Encl.): The Honorable David R. Obey
Ranking Member
Committee on Appropriations
United States House of Representatives
The Capitol, Room H-218
Washington, DC 20515-6015

The Honorable Robert C. Byrd
Ranking Member
Committee on Appropriations
United States Senate
The Capitol, Room S-125
Washington, DC 20510

The Honorable Ernest Istook, Jr.
Chairman
Subcommittee on Transportation, Treasury,
Postal Service, and General Government
Committee on Appropriations
United States House of Representatives
B307 Rayburn House Office Building
Washington, DC 20515-6028

The Honorable Ben Nighthorse Campbell
Chairman
Subcommittee on Treasury
and General Government
Committee on Appropriations
United States Senate
188 Dirksen Senate Office Building
Washington, DC 20510

The Honorable Byron L. Dorgan
Ranking Member
Subcommittee on Treasury
and General Government
Committee on Appropriations
United States Senate
Dirksen Senate Office Building
Washington, DC 20510

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 C.W. Young
The Honorable Ted Stevens
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The Honorable Thomas M. Davis III
Chairman
Committee on Government Reform
United States House of Representatives
2157 Rayburn House Office Building
Washington, DC 20515-6143

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

The Honorable John Conyers, Jr.
Ranking Member
Committee on the Judiciary
United State House of Representatives
B-351C Rayburn House Office Building
Washington, DC 20515

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 Joseph I. Lieberman
Ranking Member
Committee on Government Affairs
United States Senate
604 Hart Senate Office Building
Washington, DC 20510-6250

OFFICE OF GOVERNMENT ETHICS
RESOURCES BY UNIT
(dollars in thousands)

OFFICE	FTE	2002		2003		2004	
		ACTUAL	AMOUNT	REQUEST	AMOUNT	REQUEST	AMOUNT
DIRECTOR	3		\$603	3	\$595	3	\$620
GENERAL COUNSEL AND LEGAL POLICY	17		\$2,660	21	\$2,700	20	\$2,760
ADMINISTRATION	15.5		\$2,049	17.5	\$1,860	17.5	\$1,910
AGENCY PROGRAMS	32.5		\$4,115	35	\$4,688	35	\$4,778
GOVERNMENT RELATIONS & SPECIAL PROJECTS	4		\$600	4.5	\$645	4.5	\$670
Direct Obligations			\$10,027		\$10,488		\$10,738
Reimbursable Obligations			\$91		\$160		\$160
Subtotal	72		\$10,118	81	\$10,648	80	\$10,898

OFFICE OF GOVERNMENT ETHICS
 OBJECT CLASSIFICATION
 (in thousands)

Direct Obligations	2002 Actual	2003 Requested	2004 Requested
11.1 Full-time Permanent	\$5,593	\$6,552	\$6,613
11.3 Other than full time permanent	\$74	\$80	\$85
11.7 Other personnel compensation	\$232	\$190	\$190
11.9 Total personnel compensation	\$5,899	\$6,822	\$6,888
12.1 Civilian personnel benefits	\$1,265	\$1,460	\$1,500
21.0 Travel & Transportation/persons	\$133	\$168	\$168
22.0 Transportation of things	\$4	\$5	\$5
23.1 Rental payments to GSA	\$1,065	\$1,340	\$1,200
23.3 Communications, utilities, misc	\$77	\$81	\$80
24.0 Printing and Reproduction	\$41	\$75	\$75
25.2 Other Services	\$1,140	\$295	\$572
26.0 Supplies and materials	\$97	\$105	\$105
31.0 Equipment/Land & Structures	\$306	\$137	\$145
99.0 Subtotal, direct obligations	\$10,027	\$10,488	\$10,738
99.0 Reimbursable obligations	\$91	\$160	\$160
99.9 Total obligations	\$10,118	\$10,648	\$10,898

BUDGET REQUEST

Fiscal Year 2002 Request 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

- Provided OGE's Congressional Relations services, including drafting testimony and responding to congressional requests, successfully pursued reauthorization of OGE and continued to pursue passage of the public financial disclosure amendments
- Provided OGE's response to over 225 requests from OMB for review of draft bills, legislation, bill reports and testimony
- Coordinated and provided OGE's technical assistance and special international program oversight in support of U.S. efforts at encouraging anti-corruption measures throughout the world
- In conjunction with the Departments of State and Justice prepared written materials for and hosted an evaluation team from GRECO (Group of States Against Corruption, of which the U.S. is a member) as it reviewed the USG's anti-corruption efforts generally, but also with a particular focus on three of the Council of Europe's 20 Guiding Principles for the Fight against Corruption
- Served as principle drafter of the USG's response to a questionnaire that served as the first step in mutual evaluation by States Parties of all signatories to the Inter-American Convention against Corruption
- Conducted the research and option recommendation stages of a special project focusing upon measuring agency ethics program effectiveness
- Coordinated follow-up with congressional confirming committees and Executive branch agencies based upon OGE's April 2001 report on streamlining the financial disclosure process for Presidential appointees

Office of General Counsel and Legal Policy

- Reviewed and certified for the Senate, the large number of public financial disclosure statements filed by Presidential nominees in the first year of a new Administration

- Provided ethics training through OPM, and the White House if requested, to White House staff, new Schedule C's and noncareer SES
- Completed drafting proposed regulations implementing 18 U.S.C. § 207
- Undertook a study of the need for any revisions to the criminal conflict of interest statutes in Title 18
- Issued final guidance interpreting 18 U.S.C. § 209
- Issued final regulations revising the exemptions to 18 U.S.C. § 208
- Initiated a study of the ethics requirements that apply to Government contractors
- Supported the Office of Government Relations and Special Projects' Congressional relations requirements which may include drafting testimony, responding to Congressional requests, and reviewing legislative proposals and testimony
- Assisted the Office of Director in preparing reports to Congress
- Responded to a large number of requests for Certificates of Divestiture, and provided services in support of the blind trust program
- Provided oral and written guidance and interpretations of the executive branch standards of ethical conduct and financial disclosure requirements
- 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, including matters involving OGE's development of electronic financial disclosure forms
- Functioned as the liaison with the Office of Legal Counsel and the Criminal and Civil Division of the Department of Justice in coordinating advice, regulations and referrals

- Assisted the Office of Agency Programs in reviewing and developing ethics training materials, including computer based-training, and pamphlets, and providing legal review of materials used in training
- Developed and offered, with the assistance of the Office of Agency Programs, specialized single statute or issue seminars targeted for ethics officials who provide legal advice
- Supported OGE speaking/training and outreach programs by providing speakers and presenters
- Provided support to the Program Services Division, including working with desk officers to address complex questions concerning conflicts of interest and ethics statutes and regulations
- Provided support to the Program Review Division by developing appropriate areas of inquiry prior to an agency's review, assisting with the review and the advice to be provided to that agency and advising on appropriate areas of inquiry for single issue audits
- Supported OGE's public information requirements including answering press inquiries
- Supported the OGE Records Management System by 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

- Monitored the ethics agreements of approximately 220 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 2000 financial disclosure statements to the news media and the public
- Tracked, collected, analyzed and made available to the public, the semiannual reports from executive branch departments and agencies of travel payments accepted under 31 U.S.C, § 1353 from non-Government sources
- Conducted ethics program evaluations in 30 Federal agencies, regional offices, and military bases, focusing on 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
- Performed two single-issue reviews Government-wide of major ethics issues to determine whether OGE and agency ethics policies are effectively meeting intended objectives
- Responded to agency requests for administrative waivers, exemptions and extensions relating to the public financial disclosure system
- Maintained a desk officer system to monitor and assist all executive branch agency ethics staffs on a daily basis
- Responded to telephone requests from agency ethics officials for assistance on all types of ethics issues
- Held periodic seminars with small groups of agency ethics officials to discuss current ethics issues
- Developed and conducted ethics training workshops for ethics practitioners, trainers, counselors, disclosure reviewers and enforcement officials in Washington, DC and Federal regions

- Developed multimedia and computer-based training modules for use by all executive branch departments and agencies in meeting the annual ethics training requirement, especially for employees in remote locations
- Provided primary support and maintenance for the content and architecture of the OGE Web site
- Continued to modify, design and test courses developed based on the results of the annual needs analysis
- Initiated a new needs analysis to identify the changing ethics training needs of the ethics community in meeting their ethics program goals with reduced resources
- Planned, organized, supported and hosted the Twelfth Annual National Government Ethics conference for approximately 450 ethics practitioners
- Developed, edited and published the Government Ethics Newsgram
- Reviewed and analyzed the Annual Agency Ethics Program Questionnaire required by the Ethics in Government Act of 1978, as amended
- Continued to design and produce easy-to-use reference materials for ethics counselors
- Assisted agencies in conducting annual ethics training when their good faith efforts to complete the requirement have been unsuccessful with special emphasis on micro agencies
- Continued surveys to assess customer satisfaction with OGE services and products
- Supported the Director's program of outreach to the public, private sector organizations and other governments

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. Specific examples include termination of imprest fund operations and the identification of alternative reimbursement and purchasing methods, the switch to a new financial accounting service provider, the completion of a review of the security requirements of all Agency positions, the update of employee security clearances as needed and the institution of a telecommuting policy

- 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
- Provided technical assistance to the Education Division in developing and publishing semi-annual updates to the "Ethics CD-ROM" and technical assistance in the development and deployment of interactive ethics training computer programs on The Ethics CD-ROM and OGE Web site
- Provided 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
- Provided telephone support to executive agencies and employees using the OGE developed and distributed financial disclosure software
- Continued the development of additional electronic ethics forms for use by departments and agencies
- Provided new and upgraded software applications training to OGE staff
- Completed an Information Technology (IT) security review of Agency networks and procedures and identified corrective actions
- Developed an Information Technology Strategic Plan, an Information Security Plan, and an Information Security Technology Plan
- Other IT related accomplishments include: the documentation of the Agency local area network (e.g. responsibilities, configuration of servers, routers, etc.; maintenance schedules; names and addresses of vendors; etc.), the organizational realignment of the Agency's web page function, the rewiring of the Agency's local network infrastructure, the assistance to the Office of Agency Programs to implement a "news" distribution service via list serve technology, and the acquisition of electronic bulletin board and digital video conferencing technologies

- Began the planning and development of a revised OGE Audit Tracking System (OATS)

OFFICE OF GOVERNMENT ETHICS

Fiscal Year 2003 Request 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

- Provide OGE's Congressional Relations services, 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 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 such as the 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 proposed and final regulations implementing 18 U.S.C. § 207
- Undertake a study of the efficacy of the confidential financial disclosure system
- Undertake a study of, and make proposed recommendations to revise the Standards of Ethical Conduct for Executive Branch Employees

- Assist in the drafting of legislation to implement revisions to the criminal conflict of interest statutes in Title 18
- Issue proposed regulations implementing the revised provisions of the criminal conflict of interest statutes in Title 18
- Issue proposed and final regulations implementing OGE's gift acceptance authority
- Issue proposed and final regulations implementing provisions of the Privacy Act, 5 U.S.C. app.
- Issue final regulations designating agency components under 18 U.S.C. § 207
- Issue proposed and final "plain English" regulations implementing Certificate of Divestiture and qualified trust requirements
- Complete a study of the ethics requirements that apply to Government contractors, including issuing any needed recommendations
- Develop any required regulations implementing any statutory changes to conflicts of interests, ethics or financial disclosure statutes, including regulations pertaining to the blind trust and CD programs
- 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 the Director in preparing reports to Congress
- Respond to requests for Certificates of Divestiture, and provide services in support of 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 and 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 a mailing list service to communicate with 10,000 ethics practitioners and enforcement personnel across the Executive Branch
- Plan organize and support the Thirteenth 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
- Revise 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.
- 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 1,500 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 45 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-review surveys of agency employees to determine the effectiveness of the agency ethics program and areas for more in-depth review
- Develop 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
- Develop training evaluation instruments to measure the extent to which employees acquired knowledge from various training courses, including live training and computer-based training
- Continue to modify, design and develop courses based on the results of the end of course evaluations and annual needs assessment analysis
- Design and develop reference materials for use by attorneys and desk officers when participating in conferences, panels, workshops, etc
- Initiate and conduct a new needs analysis to identify the changing training needs of the ethics community in meeting program goals with reduced resources
- Develop and conduct ethics training workshops for ethics practitioners, trainers, counselors, financial disclosure reviewers, and enforcement officials in Washington, DC and Federal regions

- Evaluate 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
- Design and produce easy-to-use reference materials for agency ethics counselors in managing the ethics program on a daily basis
- Assist agencies in conducting annual ethics training when their good faith efforts to complete the requirement have been unsuccessful. Special emphasis will be placed on micro agencies

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. Planned activities include: the completion of a new Agency policy on travel, procurement, emergency planning, and property management; begin negotiations on the Agency's first collective bargaining agreement; and the outsourcing of the Agency's EEO complaint process
- Continue providing Records Management (RM) services, including forms clearance, developing policies and procedures, providing RM guidance and training, identifying, organizing and disposing of files, and developing and drafting records schedules
- Continue 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
- Provide 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 telephone support to executive agencies and employees using the OGE developed and distributed financial disclosure software
- Continue providing new and upgraded software applications training to OGE staff

- Begin the testing and implementation of newly developed OGE Audit Tracking System (OATS)
- Complete the IT security corrective actions identified in FY 02 security review
- Other IT related activities that are planned include: the implementation of an internal web site accessible only by Agency employees that provides information on internal policies and procedures; the completion of numerous GPEA projects; and the replacement of the Agency's telephone system

OFFICE OF GOVERNMENT ETHICS

Fiscal Year 2004 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 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 such as the 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 confidential financial disclosure system
- Issue a proposed regulation to implement revisions to the Standards of Ethical Conduct for Executive Branch Employees
- Issue final regulations implementing the 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 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 the Director in preparing reports to Congress
- Respond to requests for Certificates of Divestiture, and provide services in support of 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 and 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 a mailing list service to communicate with 10,000 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 1,500 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 20 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-review surveys of agency employees to determine the effectiveness of the agency ethics program and areas for more in-depth review
- Develop CD-Rom and web-based training courses for use by all executive branch departments and agencies in meeting

the annual ethics training requirement. This will include the Ethics for Supervisors Course and the Initial Ethics Orientation Course

- Continue to modify, design and develop courses based on the results of the end of course evaluations and annual needs assessment analysis
- Evaluate OGE training courses to determine whether they are effective in meeting the needs of the ethics community and are properly designed for adult learning.
- Convert an OGE instructor-led course for ethics officials to web-based training
- Evaluate the effectiveness of web-based training for agency ethics officials
- Continue to design and produce easy-to-use reference materials for agency ethics counselors in managing the ethics program on a daily basis
- Develop and conduct ethics training workshops for ethics practitioners, trainers, counselors, financial disclosure reviewers, and enforcement officials in Washington, DC and Federal regions
- Conduct an annual needs analysis to identify the changing needs of the ethics community in meeting their ethics program goals with reduced resources
- Assist agencies in conducting annual ethics training when their good faith efforts to complete the requirement have been unsuccessful. Special emphasis will be placed on micro agencies

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 (including the completion of the Agency's first collective bargaining agreement and revisions to existing Agency human resources policies as appropriate), security, printing, and mail services
- Continue providing Records Management (RM) services, including forms clearance, developing policies and procedures, providing RM guidance and training, identifying, organizing and disposing of files, and developing and drafting records schedules
- Continue 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 telephone support to executive agencies and employees using the OGE developed and distributed financial disclosure software
- Continue providing new and upgraded software applications training to OGE staff
- Complete the testing and implementation of newly developed OGE Audit Tracking System (OATS)
- Continue providing IT user and systems support regarding hardware and software installation, maintenance, and trouble shooting

ANNUAL PERFORMANCE PLAN

FY 2004

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.

ANNUAL PERFORMANCE PLAN

FY 2004

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	20
● 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 information and for oral and regulatory information	2 work days for 90% of the statutory requests
• Length of time to respond to requests for written statutory and regulatory interpretations	20 work days 75% 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. Number of timely responses sent to agencies concerning exemptions, waivers, late filing fees, and other administrative matters.

PERFORMANCE GOAL

OGE will respond in writing to agencies concerning exemptions, waivers, late filing fees and other administrative matters in relation to the public financial disclosure system. Total response time including time for analysis and decision will not exceed 15 working days, except in cases where further information must be obtained from the agencies to act on their request, or the request involves multiple parties.

PERFORMANCE INDICATORS

Target

- | | |
|--|-----|
| ● Number of agency requests received | TBD |
| ● Percentage of responses answered within 15 working days of receipt | 80% |

MEANS OF VALIDATING MEASURED VALUES

- Automated system for tracking administrative correspondence

OUTCOME GOAL

Agencies will be able to operate more effective and efficient financial disclosure systems with timely decisions by OGE on exemptions, waivers and late filing fees for officials and employees.

6. 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.

7. 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 50
- 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 3 (on a 4 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 | 75% |
| ● | 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	8,500
• Number of messages transmitted per year	25
• Number of agencies represented in total subscriptions	125

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 90% of the cases the number of working days to respond to requests for the following:

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

MEANS OF VALIDATING MEASURED VALUES

- OGE will develop a standardized response tracking instrument

OUTCOME GOAL

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

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

PERFORMANCE GOAL

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

PERFORMANCE INDICATORS

Target

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

MEANS OF VALIDATING MEASURED VALUES

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

OUTCOME GOAL

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

Schedule of Performance Indicators
 Comparing Actual, Estimated and Projected Targets
 For the Fiscal Years 1999 - 2004

New Performance Indicators introduced in FY 02 are in italics

STRATEGIC GOAL I	FY 99 Actual	FY 00 Actual	FY 01 Actual	FY 02 Actual	FY 03 Projected	FY 04 Projected
Performance Goal 1						
PERFORMANCE INDICATORS						
How often OMB requests input		183	148	205	TBD	TBD
Percentage of timely inputs	100%	98%	99%	99%	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)	91%	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	Met	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	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	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
Length of time between formal identification of needed policy change and internal implementing draft	100%		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	100%	Eliminated Indicator				

	FY 99 Actual	FY 00 Actual	FY 01 Actual	FY 02 Actual	FY 03 Projected	FY 04 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	100%	no such hearings	na		Eliminated Indicator	
Percentage of instances OGE input as a result of a hearing is taken into consideration	100%	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	were none	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%	100%		Eliminated Indicator	
Performance Goal 4 <i>(BECOMES GOAL 3 IN FY 2003)</i>						
PERFORMANCE INDICATORS						
Number of proposals submitted to OMB	1	0	1	TBD	TBD	TBD
Percentage cleared for transmittal	100%	n/a	100%	75%	75%	75%
Length of time between transmittal and enactment	was not enacted	pending reg not enacted	na	< 18 months	< 18 months	< 18 months
Performance Goal 4						
PERFORMANCE INDICATORS						
Number of invitations received by OGE from foreign policy agencies/organizations to participate in U.S. sponsored programs abro	11	12	8	11	10	Eliminated Indicator
Number of requests from foreign policy agencies/organizations for OGE briefings of foreign officials during visits to Washington	48	39	32	48	35	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>	65%	4	7	19	5	Eliminated Indicator
Number of follow-up requests from foreign delegations for information after listening to OGE presentation in Washington	7	8	10	6	5	Eliminated Indicator
Number of repeat requests from foreign policy agencies/organizations as a result of presentations made by OGE	11	19	3	5	5	Eliminated Indicator

	FY 99 Actual	FY 00 Actual	FY 01 Actual	FY 02 Actual	FY 03 Projected	FY 04 Projected
<i>Added for FY 04</i>						
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%
STRATEGIC GOAL II						
Performance Goal 1						
PERFORMANCE INDICATORS						
Number of agencies reviewed	65	57	52	30	45	20
Number of recommendations	88	85	49	41	TBD	TBD
Percent of Follow-up Reviews (WHERE RECOMMENDATIONS ARE MADE)	100%	100%	100%	100%	100%	100%
Correction of program deficiencies by agencies	92%	82%	88%	86%	80%	80%
Number of single-issue reviews	3	2	1	1	2	1
Recommendations related to single issue reviews	1	Eliminated Indicator				
Percent of single issue review recommendations adopted by OGE and agencies	100%	Eliminated Indicator				
Best practices shared with agency during program reviews	100%	86%	91%	84%	80%	80%
Performance Goal 2						
PERFORMANCE INDICATORS						
Number of appointees w/ethics agreements	66	62	267	220	TBD	TBD
Number of ethics agreements	96	90	372	341	TBD	TBD
Percent of ethics agreements completed within established time frames	74%	76.1%	93.8%	82%	80%	80%
Percent of incomplete ethics agreements on which OGE took action	100%	100%	100%	Eliminated Indicator		
Percent of cases resolved after OGE took action	95%	99%	100%	100%	100%	100%
Performance Goal 3						
PERFORMANCE INDICATORS						
Reports to senior staff with recommended new or adaptive uses	4	1 (extranet)	1 Videoconferencing	Eliminated Indicator		

	FY 99 Actual	FY 00 Actual	FY 01 Actual	FY 02 Actual	FY 03 Projected	FY 04 Projected
Number of OGE approved new technologie adaptations	no response	1 June/July 2000	1 Aug 2001		Eliminated Indicator	
Initial pursuit of OGE approved technologies or adaptations	Yes, (SF 278 & 450)	August 2000	Sep 2001		Eliminated Indicator	
Develop implementation plan for approved technologies or adaptations	did not develop	October 2000	Sep 2001		Eliminated Indicator	
Innovations by OGE or agencies show-cased	1	Show-cased electronically fillable SF 278 & OGE 450 forms at the Sep 2000 Ethics Conference	none shown		Eliminated Indicator	

	FY 99 Actual	FY 00 Actual	FY 01 Actual	FY 02 Actual	FY 03 Projected	FY 04 Projected
Performance Goal 4 (changed in FY 00)						
PERFORMANCE INDICATORS						
Establish schedule to meet four year application development cycle	did not establish	Eliminated Indicator				
OGE approval to commence development of electronic filing applications	did not commence	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 00)						
Evaluation of agency capability survey results against existing security stds (established FY 00)						
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 1sr 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	3797	5176	4773	6280	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	96% same day, 3% met 1% within 2 days	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

	FY 99 Actual	FY 00 Actual	FY 01 Actual	FY 02 Actual	FY 03 Projected	FY 04 Projected
Performance Goal 6 (Becomes Goal 4 in FY 04)						
PERFORMANCE INDICATORS						
Number of inquiries	1129	1245	895	853	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	98% within 2 work days	99+% within 2 work days	99.5% within 2 work days	99.6% within 2 work days	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% 22 written opinions	90.67%	86.3%	88%	20 work days 75% of the requests	20 work days 75% of the requests
Performance Goal 7 (Becomes Goal 5 in FY 04)						
PERFORMANCE INDICATORS						
Number of agency requests received	243	251	284	300	TBD	TBD
Percentage of responses answered within 15 working days of receipt	80%	99.2%	98.9%	95%	80%	80%
Performance Goal 8 (Becomes Goal 6 in FY 04)						
PERFORMANCE INDICATORS						
Percentage of new agency heads met within 6 months	2 of 3 within 6 months (BUT OUTSIDE OF FY)			Eliminated Indicator		
Percentage of agency heads met following issuance of a corrective action order	No orders issued	No orders issued		Eliminated Indicator		
Percentage of agency heads met following notice problems with agency ethics programs	none were requested	none were requested		Eliminated Indicator		
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		Eliminated Indicator		
Percentage of White House ethics initiatives on which OGE met with White House staff	were none	were none		Eliminated Indicator		
Percentage of meetings held with White House after they expressed concerns for an OGE proposed regulation	were none	were none		Eliminated Indicator		
(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	16	9	21	10	10	
(NOTE: changed to read "meetings and discussions"...) in FY 02 Annual Performance Plan						

	FY 99 Actual	FY 00 Actual	FY 01 Actual	FY 02 Actual	FY 03 Projected	FY 04 Projected
Performance Goal 9 <i>(Becomes Goal 7 in FY 04)</i>						
PERFORMANCE INDICATORS						
Number of nominee statements received	271	223	490	389	TBD	TBD
Percentage of nominee statements certified, opinions rendered to Senate within 2 weeks receiving final certified form from agency after nomination	78%	98.7%	99.2%	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	621	910	997	862	TBD	TBD
Percentage of annual and termination statements reviewed within 60 days of receipt	90%	93.8%	85.1%	86.3%	90%	90%
Performance Goal 10 (added for FY 02) <i>(Becomes Goal 8 in FY 04)</i>						
PERFORMANCE INDICATORS						
Number of permanent employees eligible for mid-year reviews				All eligible employees	TBD	TBD
Number receiving mid-year reviews				All eligible employees	100%	100%
Number with whom training and resources discussed				All eligible employees	TBD	TBD
Percentage of employees with whom training and resources discussed				All eligible employees	90%	90%
Number of new permanent employees for whom mid-year reviews were not required				All eligible employees	TBD	TBD
Percentage of new permanent employees with whom training and resources discussed within 6 months of hire				All eligible employees	100%	100%
Number of employees hired within 6 months of end of fiscal year with whom training and resources have not yet been discussed				0	TBD	TBD

STRATEGIC GOAL III	FY 99 Actual	FY 00 Actual	FY 01 Actual	FY 02 Actual	FY 03 Projected	FY 04 Projected
Performance Goal 1						
PERFORMANCE INDICATORS						
Number of Needs Analyses conducted	1 during 1st Qtr	1 completed as scheduled	2	One annually	One annually	One annually
Number of Agencies responding	25 questionnaires 7 focus group responses	56%	Eliminated Indicator			
Number of agencies providing input for the Needs Analysis (added in FY 01)			238 from 60 agencies	87	TBD	TBD
Number of training courses conducted	73	55	Eliminated Indicator			
Number of training courses conducted for ethics officials (added in FY 01)			41 Intro/6 Intermediate	44	35	35
Number of training courses conducted for employees (at agency request)(added in FY 01)			11	34	TBD	TBD
Number of new educational products developed	4	5	2	4	TBD	TBD
Number of evaluation instruments requested (training courses)(added in FY 01)			100%	TBD	TBD	TBD
Number of evaluation instruments received from ethics official training (added in FY 01)			877 Intro/111 Intermedia	TBD	TBD	TBD
Overall rating of training courses for ethics officials (added in FY 01)			3+	3.57	at least 3 (on a 4 pt. scale)	at least 3 (on a 4 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	TBD	TBD
Number of surveys/questionnaires administered	3 agencies admin question on 2 videos and one ethics game	sent 608 on video 475 returned	Eliminated Indicator			
		547 surveys rec'd on web training				
Number of requests from agencies for OGE de courses or educational products	306 6696	5 courses	Eliminated Indicator			
Number of educational products downloaded from the OGE web site (added in FY 01)				99088		
Number of visitors to the EIC Changed in FY 2002 to read " to the web site"	76 in person	38		9975725		
Agency ethics education materials solicited for EIC (text changed in FY 01..see next indicator)	at monthly Interagency Ethics Council Meeting	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...."	13	45	Eliminated Indicator			

	FY 99 Actual	FY 00 Actual	FY 01 Actual	FY 02 Actual	FY 03 Projected	FY 04 Projected
Performance Goal 2						
PERFORMANCE INDICATORS						
Agencies surveyed for interest and/or facilities	20 done through Interagency Ethics Council	did not survey	Eliminated Indicator			
Draft schedule developed for producing large scale projects	not by OGE, USDA participated on 2	worked with DOI on on its broadcast	Eliminated Indicator			
Number of large scale projects produced	none, participated in 2 w/o agencies	participated in DOI broadcast and developed 1 multimedia web based training module for each	Eliminated Indicator			
Potential audience of project	Exceeded	>1000	Eliminated Indicator			
Number of surveys distributed	All executive agencies	All executive agencies	All executive agencies	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	488	454	484	445	450	TBD
Number of agencies represented	77%	66%	75%	72%	90%	75%
Evaluations of the conference (scale 1 to 5)	3.54	3.11	Conference cancelled 9/11	3.37 (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	0	4	0	Eliminated Indicator		
Number of off-site attendees	0	500	Eliminated Indicator			

	FY 99 Actual	FY 00 Actual	FY 01 Actual	FY 02 Actual	FY 03 Projected	FY 04 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	End of 3rd QTR FY 2003	
Fully implement OGE ethics extranet with all agencies and departments				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		
Pilot test doing ethics related business electronically with several agencies to determine and correct any potential implementation problems				End of 3rd QTR FY 2003	End of 3rd QTR FY 2003	
Fully implement OGE electronic transaction capability				End of 2nd QTR FY 2003	End of 2nd QTR FY 2003	

	FY 99 Actual	FY 00 Actual	FY 01 Actual	FY 02 Actual	FY 03 Projected	FY 04 Projected
STRATEGIC GOAL IV						
Performance Goal 1						
PERFORMANCE INDICATORS						
Numbers of presentations to private groups	37	12	40	20	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	1 partially completed	2	1	4	1	Eliminated Indicator
Articles on public service ethics in Newsgram	2	4	1	1	1	Eliminated Indicator
Distribution of new products to agencies	completed	completed	All agencies	All agencies	All agencies	Eliminated Indicator
Requests for new products	none available	1800 Videos distributed pamphlets	na	5	TBD	Eliminated Indicator
<i>The following were added for FY 04</i>						
Number of subscriptions						8500
Number of messages transmitted per year						25
Number of agencies represented in total subscriptions						125
Performance Goal 3						
PERFORMANCE INDICATORS						
<i>New indicators for FY 02 in italics</i>						
OGE will use the usage and access reports provided by GPO	Once a month	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	na	Monthly	Monthly	Monthly
<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	96%	100%	100% of the time	Eliminated Indicator		

	FY 99 Actual	FY 00 Actual	FY 01 Actual	FY 02 Actual	FY 03 Projected	FY 04 Projected
Performance Goal 4						
PERFORMANCE INDICATORS						
<i>New indicators for FY 02 in italics</i>						
In 90% of the cases the number of days to respond to requests for the following:						
documents under the Freedom of Information Act	40 requests, 72.5% of the time	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	20	20
and Privacy Act	6 requests, 83% of the time (5 processed in 10 days)		77% completed within 20 working days	80% 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>	98% in 2 days	All met within 2 days	All met within 3 days	All met within 2 days	3	3
ethics agreements	none requested	All met within 3 days	All met within 3 days	All met within 3 days	3	3
waivers under 18 U.S.C. § 208(b)	none requested	All met within 3 days	All met within 3 days	All met within 3 days	3	3
certificates of divestiture	none requested	none requested	25 of 26 within 3 days	87.5% within 3 days	3	3
blind trust documents	100% - 3 cases response in 3 days	All met within 3 days	All met within 3 days	All met within 3 days	3	3
agency 1353 reports	2 cases, 2 days avg	All met within 3 days	done within 2 days	All met within 3 days	3	3
informational materials (e.g.pamphlets)	no tracking system (ref'd to web)	most filled immediately through the Internet	Eliminated Indicator	Eliminated Indicator	Eliminated Indicator	