

# Federal Election Commission Office of Inspector General



## Fiscal Year 2019 Work Plan

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*Deputy Inspector General*

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## FEDERAL ELECTION COMMISSION

WASHINGTON, D.C. 20463

Office of Inspector General

### A Message from the Deputy Inspector General

I am pleased to present the Federal Election Commission (FEC) Office of Inspector General's (OIG) fiscal year (FY) 2019 Annual Work Plan. This work plan includes a description of audit, inspection, investigative and special projects planned for FY 2019. The plan also sets forth the OIG's formal strategy for identifying priority issues and managing its workload and resources for FY 2019. Successful execution of this plan will enable the OIG to provide the highest quality work products to our stakeholders and to assist the FEC in ensuring their resources are being expended in a responsible and reasonable manner and their programs are being run in an efficient and effective way.

The OIG substantially completed the work planned for FY 2018 in the audit and investigative programs, as well as special projects; some of the assignments are in process and span FY 2017 through 2019. Among the audits and inspection completed by OIG in FY 2018 were the *Audit of the FEC's Fiscal Year 2017 Financial Statements* (*Financial Statement audit*) and the *Required Review under the DATA Act* (*DATA Act audit*). The DATA Act audit was conducted as required by the Digital Accountability and Transparency Act of 2014. The *DATA Act audit* was especially challenging, as the time period for the OIG to review the FEC's financial and payment data was significantly shortened when a third party agency acting as the FEC's Shared Service Provider was granted an extension to report on the data. However, the OIG was able to leverage work being conducted by contract auditors on the *Financial Statement audit*, and the audit staff rose to the challenge and completed the audit by the statutory deadline. The OIG also conducted work on the *Audit of Contract Management and Oversight by the Federal Election Commission's Operational Units*. The OIG devoted resources this past FY to audit follow-up and working with agency management toward the goal of closing outstanding Inspector General recommendations.

The FEC OIG conducted a modified peer review of the Postal Regulatory Commission OIG's audit operations during FY 2018. Peer reviews of an OIG's audit operations are mandatory, and the OIG participates in a voluntary investigative peer review program to ensure it meets the standards set by the Council of the Inspectors General on Integrity and Efficiency (CIGIE). Both peer review programs operate on three-year cycles. The FEC OIG's audit program was last peer reviewed by the Farm Credit Administration OIG in FY 2017, and received a rating of *pass*. Also in FY 2017, the FEC OIG's investigative program was found to be in compliance with CIGIE standards for investigative operations through a peer review by the Securities and Exchange Commission OIG.

The investigative program accomplished much of the work planned for 2018, which included responding to hotline complaints, OIG briefings to new employees, and

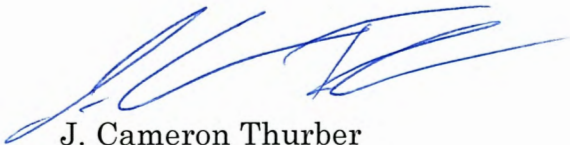
oversight of the OIG's hotline service. In FY 2018, no new investigations were opened and four were closed.

The OIG staff was actively involved in several professional working groups during FY 2018, including the CIGIE Professional Development Committee and Leadership Development Subcommittee, the Council of Counsels to Inspectors General, and the DATA Act working group.

Based on the results of the OIG's planning process, as described in the Annual Planning and Methodology Strategies section, the OIG's annual work plan is divided into four primary categories:

- (1) Audits/Inspections/Reviews;
- (2) Investigative Program;
- (3) Special Projects; and
- (4) Additional Requirements/Professional Commitments

The development and continual updating of the OIG's work plan is a critical aspect of accomplishing the OIG's objectives to promote economy and efficiency in FEC programs and to detect and prevent fraud, waste and abuse. Effective work planning ensures that all OIG resources, including audit and investigative resources, are used effectively and efficiently. I look forward to another successful year of providing the highest quality support and service to our stakeholders.



J. Cameron Thurber  
Deputy Inspector General  
Federal Election Commission

October 1, 2018

## ***OIG 2019 Work Plan***

### **AUDITS/INSPECTIONS/REVIEWS**

The term “audit” is used to describe work performed by auditors in examining financial statements, as well as work performed in reviewing compliance with applicable laws and regulations, the economy and efficiency of operations, and the effectiveness in achieving program results. Audits are prepared in accordance with generally accepted government auditing standards and vary in scope and complexity. Inspections and reviews are conducted in accordance with quality standards issued by the federal Inspector General community.

**The following audit, inspection, and review assignments are planned for FY 2019:**

#### **1. Audit of the Federal Election Commission’s 2018 and 2019 Financial Statements.**

In accordance with the *Accountability of Tax Dollars Act of 2002*, the FEC is required to prepare annual financial statements in accordance with Office of Management and Budget (OMB) Circular No. A-136, *Financial Reporting Requirements*. The *Chief Financial Officers Act of 1990*, as amended, requires the FEC Inspector General, or an independent external auditor selected by the IG, to audit the agency financial statements.

We will oversee the FY 2018 and 2019 audits. The FY 2018 audit is being conducted an independent public accounting firm, Leon Snead & Company, in the final option year of its contract. The FY 2019 audit contract is expected to go out for bid in the first quarter of FY 2019. The OIG is responsible for 1) reviewing the auditor’s approach and planning of the audit; 2) evaluating the qualifications and independence of the auditors; 3) monitoring the work of the auditors; 4) examining audit documents and reports to ensure compliance with government auditing standards, and OMB Bulletin No.17-03, *Audit Requirements for Federal Financial Statements*; and 5) other procedures the OIG deems necessary to oversee the contract and audit.

*Planned periods of audit: May 2018 – December 2018;  
April 2019 – December 2019.*

#### **2. Audit of Contract Management and Oversight by the Federal Election Commission’s Operational Units.**

The OIG is conducting an audit of contract management and oversight by the FEC’s operational units, to include review of the agency’s contract with The Elocen Group to assist with and oversee logistics, such as build-out, of its headquarters

move to a new facility. This audit is concentrating on the larger dollar amount contracts. The focus of the audit is on multiple phases of agency operational unit involvement, roles, and responsibilities in the contract process, with an emphasis on acquisition planning, contract implementation and management, and oversight by agency components. An audit plan was finalized in August 2016 after preliminary and planning work was accomplished, and work was initiated.

Due to resource constraints and various OIG mandates, the completion date of this audit had to be extended. However, in order to make continued progress on this audit, the OIG will be issuing audit issues to FEC management at the completion of each major audit section to ensure timely notification of audit issues, rather than at the completion of the entire audit.

*Planned period of audit: Ongoing – June 2019.*

### **3. Audit of the FEC's Compliance with the DATA Act.**

The *Digital Accountability and Transparency Act of 2014* (DATA Act) requires the establishment of government-wide standards for information on spending by Federal agencies, and tasks agency Inspectors General with reviewing and assessing agency compliance. Agencies began reporting spending data in compliance with the DATA Act in May 2017, and an audit report assessing the completeness, timeliness, accuracy, and quality of the FEC's reported spending data was issued in November 2017. The DATA Act requires a second audit to be performed of the FEC's spending data for the second quarter of FY 2019, and a report will be issued in November 2019.

*Planned period of review: May – November 2019.*

### **4. On-Going Audit Follow-up.**

An important responsibility of the OIG is to follow-up on previously issued audit reports with outstanding audit recommendations. Over the years, there have been numerous outstanding recommendations relating to audits and inspections. The OIG has implemented an ongoing audit process to work with management to close recommendations in a timely manner. On-going audit follow-up during FY 2019 will consist of the following responsibilities: 1) review implemented audit recommendations to ensure the audit finding has been resolved; 2) review and comment on management's corrective action plans that detail plans for resolving outstanding audit recommendations; 3) conduct scheduled biannual meetings with management to discuss progress in implementing audit recommendations; and 4) provide an annual report to the Commission detailing progress made by management and any ongoing OIG concerns. In prior years, reports to the Commission on outstanding recommendations were issued semiannually. Starting in FY 2019, the reports will be issued annually reflecting progress made as of

February of each year. Audit follow-up, however, will not be affected by this change and will continue throughout the year.

*Planned period of audit follow-up: On-going throughout FY 2019.*

## **5. Limited Scope Reviews.**

The OIG is planning to complete several limited scope, or short-term, reviews of FEC programs during FY 2019. The goal of the short-term reviews will be to focus OIG resources on very specific areas and provide timely, up-to-date information to FEC management and the Commission on the efficiency and effectiveness of FEC programs. Reviews planned or under consideration include:

- Morale study follow-up.
- Additional reviews may be performed, time permitting.

## **INVESTIGATIVE PROGRAM**

The OIG's investigative program is intended to add value to the agency's programs and operations by identifying and investigating allegations of fraud, waste, abuse, and misconduct leading to criminal, civil, and administrative penalties and recoveries. Investigations typically originate as hotline complaints and may result in formal investigations if warranted, based on OIG criteria. The OIG's investigative program also provides for initiatives designed to monitor specific high-risk areas within FEC programs and operations in order to proactively identify vulnerabilities in order to prevent fraud, waste and abuse.

**The following investigative assignments are planned for FY 2019:**

### **1. Manage Hotline Complaints and Investigation Caseload.**

The OIG will respond to hotline complaints, assess the information provided and decide on course of action. Investigations will be opened when warranted. Existing matters will continue to be investigated and brought to a resolution. When an investigation is closed, appropriate reports will be issued. The identities of complainants and witnesses will be protected pursuant to *The Inspector General Act of 1978, as amended* (IG Act).

### **2. Proactive Investigative Initiatives.**

The OIG will initiate proactive reviews involving high-dollar and high-risk programs and operations of the agency.



### **3. Outreach.**

The OIG will continue participating in the new employee orientation program to meet with all new employees to discuss the purpose and mission of the OIG, and to update the OIG Skillport training. Periodic communications to FEC staff on various topics, such as what to report to the OIG and what to expect when contacted by the OIG, are planned. Lastly, the OIG will review and revise, as necessary, the OIG's FECNet (intranet) site, public Web site, OIG brochure, fraud poster, and other outreach initiatives.

## **SPECIAL PROJECTS/OTHER WORK ASSIGNMENTS**

A strategic goal of the OIG is to add value to the agency. One way the OIG can add value is to take a proactive approach to initiatives that are facing the FEC in the near future by performing special projects. Special projects will be conducted in accordance with the appropriate quality standards issued by the federal Inspector General community.

**The following special projects/other work assignments are planned for FY 2019:**

### **1. Management Challenges.**

The OIG reports annually on the important new and existing issues and challenges facing the agency, and on efforts by the agency to meet these challenges.

### **2. Purchase and Travel Card Reporting.**

The OIG conducts annual risk assessments of FEC purchase and travel cards pursuant to the *Charge Card Abuse Prevention Act of 2012*, Public Law 112-194, and OMB Memorandum M-13-21. The OIG is required to file a report with OMB by January 31<sup>st</sup> of each year reporting on any audit recommendations from the previous FY concerning audits of purchase or travel card programs.

### **3. Improper Payments Reporting.**

The OIG is required to annually review the FEC's compliance with OMB Memorandum M-15-02, which provides statutory and executive order implementation guidance, for the *Improper Payments Information Act of 2002*, as amended, the *Improper Payments Elimination and Recovery Act of 2010*, the *Improper Payments Information Improvement Act of 2012*, and Executive Order 13520. The OIG is required to assess agency compliance with M-15-02, and to report the results to Congress, the Comptroller General, and OMB.



#### **4. Responses to Congressional Requests.**

The OIG will respond to Congressional requests as appropriate.

#### **5. Peer Review Program.**

Audit programs of Federal OIG's are required to be peer reviewed once every three years. Under the program the CIGIE has developed to ensure compliance with this requirement, each OIG undertakes a peer review of another Federal OIG. No peer reviews involving the FEC OIG are scheduled for FY 2019, although the next peer review of the FEC OIG will include those audits performed through September 30, 2019, and will likely take place the first half of FY 2020.

Additional special projects/work assignments may be undertaken during FY 2019 based on available OIG resources, benefit to the agency, and other relevant factors. Priorities may be adjusted to reflect emerging issues during the FY.

### **ADDITIONAL REQUIREMENTS/PROFESSIONAL COMMITMENTS**

In addition to the OIG's audit and investigative responsibilities, the OIG has numerous other requirements, activities, and professional commitments during FY 2019. For example, as required by the IG Act, all legislation compiled by the Commission's Congressional Affairs Office is reviewed by the Inspector General. The Inspector General and staff also participate in several Federal Inspectors General community working groups on topics related to law, audits, and investigations. All of these activities contribute to the success and mission of the OIG. The OIG's workload will be prioritized to respond to additional special projects that may arise throughout the FY.

**The following are examples of the activities and commitments planned by the OIG for FY 2019:**

#### **1. Participate in/Attend Professional Working Group and Other Meetings.**

The Inspector General or OIG staff will regularly attend the following CIGIE professional working group meetings: monthly CIGIE meetings; Executive Council of CIGIE; CIGIE Professional Development Committee; Budget Committee; Council of Counsels to the Inspector General; Assistant Inspector General for Investigations; Federal Audit Executive Council; and Financial Statement Audit Network Group.

In addition to CIGIE professional working group meetings, the Inspector General or staff will regularly attend FEC director level meetings, and management and FEC town-hall meetings, and the Institute of Internal Auditors (IIA) DC Chapter meetings throughout during the FY.

## **2. Semiannual and Quarterly Reporting.**

In accordance with the IG Act, the OIG will prepare and transmit to the Congress semiannual reports on the activities of the OIG. Semiannual reports summarize OIG activities during the immediately preceding six-month periods ending March 31<sup>st</sup> and September 30<sup>th</sup> of each year. OIG semiannual reports are provided to the Commission. The OIG will also report on a quarterly basis to the Commission on the activities of the office.

## **3. Professional Development and Training.**

The goal of the OIG's training program is to provide cost effective training to increase professional knowledge and proficiency, and ensure staff meet continuing professional educational requirements. As a result, the OIG staff will attend professional training during the FY to maintain and improve their knowledge, skills and abilities.

## ***The Federal Election Commission***

In 1975, Congress created the FEC to administer and enforce the *Federal Election Campaign Act of 1971, as amended*. The duties of the FEC, an independent regulatory agency, are to disclose campaign finance information, enforce the provisions of the law, and oversee the public funding of Presidential elections.

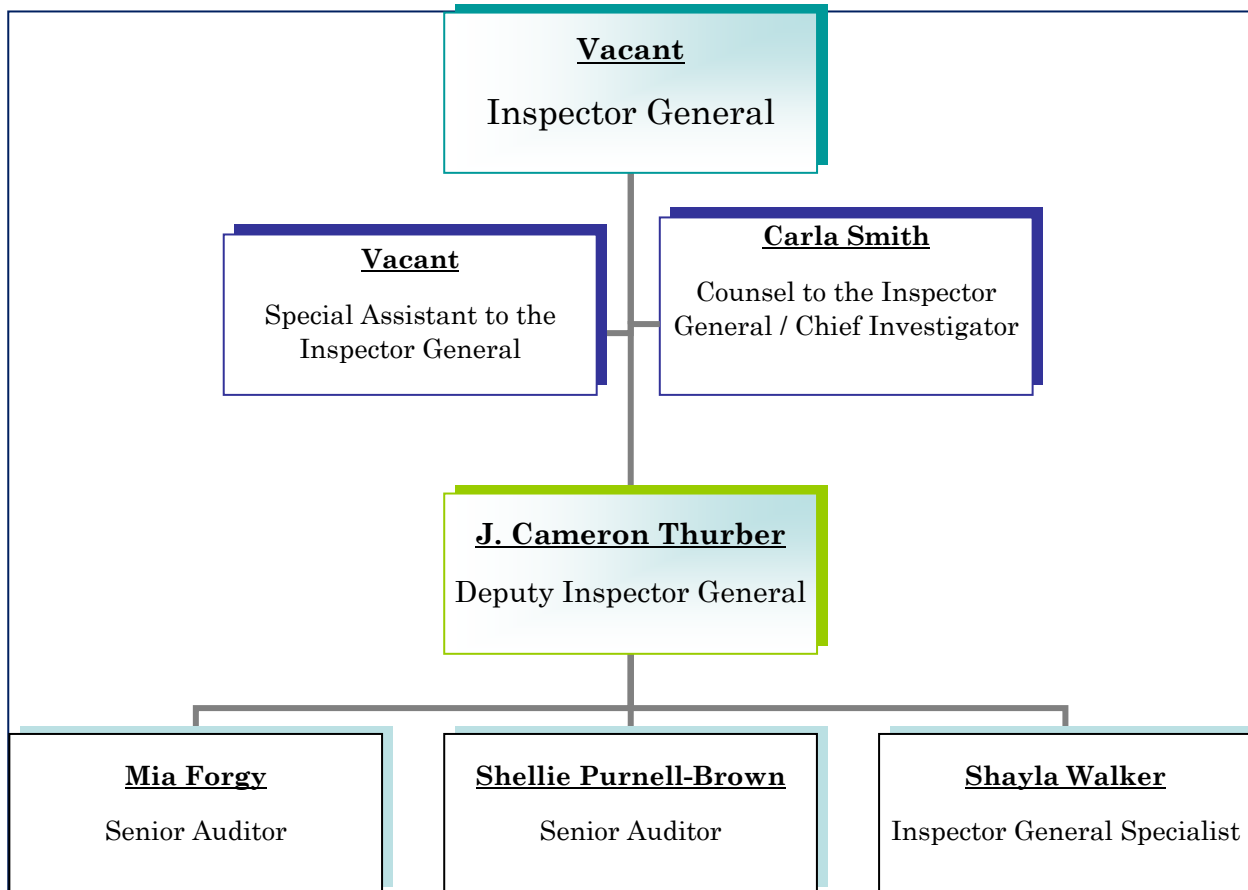
The Commission is made up of six members, who are appointed by the President and confirmed by the Senate. Each member serves a six-year term, and two seats are subject to appointment every two years. By law, no more than three Commissioners can be members of the same political party, and at least four votes are required for any official Commission action. The Chairmanship of the Commission rotates among the members each calendar year, with no member serving as Chair more than once during his or her term. The FEC has four Commissioners serving on the Commission –Caroline C. Hunter, Chair; Ellen L. Weintraub, Vice Chair; and Commissioners Steven T. Walther and Matthew S. Petersen. There are two vacancies on the Commission.

## ***Office of Inspector General***

The IG Act states that the Inspector General is responsible for: 1) conducting and supervising audits and investigations relating to the Federal Election Commission's programs and operations; 2) detecting and preventing fraud, waste, mismanagement, and abuse of agency programs and operations while providing leadership and coordination; 3) recommending policies designed to promote economy, efficiency, and effectiveness of the agency; and 4) keeping the Commission and Congress fully and

currently informed about problems and deficiencies in FEC agency programs and operations, and the need for corrective action. The OIG budget request for FY 2019 was \$1,585,597, an amount necessary to cover salaries and related expenses for seven positions, as well as audit contracts and training. The OIG's organizational chart is below.

### **FEC – OIG ORGANIZATIONAL CHART**



03/2018

## *OIG Strategic Planning*

To enhance the effectiveness of the OIG and to ensure effective audit and investigative coverage of the Commission's programs and operations, the OIG has a strategic plan that covers the period 2016 through 2020. Three major categories of OIG-wide goals and objectives are included in the strategic plan, which are as follows:

- **IMPACT:** OIG products and services will be designed to positively impact FEC policies, programs, and operations by promoting integrity, efficiency, and effectiveness.
- **QUALITY:** OIG products and services provided to the FEC will be of the highest quality and meet or exceed applicable standards.
- **EXCELLENCE:** OIG will maintain a skilled and motivated work force and empower employees to maximize their professional and personal potential by fostering accountability, communication, teamwork, and constant growth and development.

In addition, strategies and performance measures for each objective are included in the strategic plan. A detailed version of the OIG's current strategic plan can be found as an attachment of this annual work plan.

## *Annual Planning and Methodology Strategies*

The planning methodology adopted by the OIG is based on a formal risk assessment process. The purpose of the risk assessment process is to better align OIG resources to areas that will provide the most value to the FEC. A risk assessment is a process to identify, assess, respond to, and report on opportunities and threats that affect the achievement of objectives. The OIG also solicits feedback and ideas from stakeholders throughout the year. The annual work plan will, of course, require periodic updates to reflect changes, such as new priorities, as well as any changes in OIG resources.

In the spring of 2018, the OIG conducted our annual planning process that involved OIG planning meetings to discuss the upcoming FY and OIG work assignments. In addition to risk base planning, the OIG's work plan is also designed to yield work assignments that will identify opportunities for economy, efficiency and effectiveness in FEC programs and operations, and detect and prevent fraud, waste, abuse and mismanagement. The priority for conducting work assignments is based on:

- 1) mandatory legislative requirements; 2) emphasis by the President, Congress, and the Commission; 3) a program's susceptibility to fraud, manipulation, or other irregularities; 4) dollar magnitude or resources involved in the proposed area; 5) management needs identified through consultation with primary organization heads; 6) newness, changed conditions, or sensitivity of a program or operation; 7) the extent of outstanding issues resulting from prior audit coverage or review by the OIG or other oversight body; and 8) the adequacy of internal control systems in place for the program or other factors.

**FEDERAL ELECTION COMMISSION  
OFFICE OF INSPECTOR GENERAL**

**STRATEGIC PLAN**



**FISCAL YEARS  
2016 - 2020**

**Lynne A. McFarland  
Inspector General**

## **Inspectors General Vision Statement**

### **For the Office of Inspector General**

*To act as an agent of positive change striving for continuous improvement in the agency's management and program operations and in the Office of Inspector General.*

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### **Statement of Principles**

#### **We Will:**

- Strive to ensure optimal stewardship of taxpayer dollars and endeavor to ensure proper use of public funds through the fulfillment of our statutory duties and responsibilities.
- Work with the agency and the Congress to improve program management, efficiency, and effectiveness.
- Maximize the positive impact and ensure the independence and objectivity of our audits, inspections, investigations, and other reviews.
- Use our work to increase agency integrity, accountability, and recommend improved systems to prevent waste, fraud, abuse, and mismanagement.
- Use innovative tools and work products to provide the agency with suggested means for improvement.
- Continue to build and improve relationships with agency management and staff based on a shared commitment to improving program operations and effectiveness.
- Strive to continually improve the quality and usefulness of our products.
- Work with our stakeholders to address Government-wide issues.

# **STRATEGIC PLAN FOR THE OFFICE OF INSPECTOR GENERAL**

## **I. Introduction and Background:**

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

The FEC OIG was created by the 1988 amendments to the Inspector General Act of 1978 (IG Act). The mission of the OIG, as spelled out in the IG Act, is to:

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

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

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



The OIG shall also:

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

## **II. Organization:**

The OIG is currently composed of six full time equivalent employees. The staff consists of the Inspector General, Deputy Inspector General, Counsel to the Inspector General and Chief Investigator, two Senior Auditors, and a Special Assistant to the Inspector General. The OIG anticipates adding an additional staff member in early fiscal year (FY) 2016. The OIG has a Memorandum of Understanding with the Staff Director and the Designated Agency Ethics Official.

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

All products that are produced by the OIG are personally reviewed and signed by the Inspector General or Deputy Inspector General. In addition, every three years, the OIG undergoes a peer review of the audit operation. The investigative operations are also voluntarily peer reviewed on a three year cycle. Peer reviews are conducted by another Office of Inspector General following the Council of Inspectors General on Integrity and Efficiency (CIGIE) guidelines. The results of the peer reviews are given to the Commission by the Inspector General, posted on the OIG webpage and published in the Semiannual Report to Congress.

## **III. Office of Inspector General's Goals and Objectives:**

Three major OIG-wide goals, each with related objectives, have been identified. The goals focus on impact, quality, and excellence. Strategies and performance measures for each have been included.

The OIG strategic plan will continue to evolve and will be reviewed and updated as necessary to ensure maximum effectiveness in meeting changing needs, consistent with the OIG's statutory responsibilities. The term "stakeholder" as used in this plan includes, but is not limited to, the Commission, FEC management and staff, Congress, and the Inspector General community.

**IMPACT: OIG products and services will be designed to positively impact FEC policies, programs, and operations by promoting integrity, efficiency, and effectiveness.**

**Objective A:** Identify potential fraud, waste, abuse, and mismanagement, and advise FEC management on ways to implement effective safeguards to improve accountability and reduce risk of loss.

**Strategy:**

- Conduct annual risk assessment and perform audits, reviews, and inspections to address high risk areas; and
- Perform fraud vulnerability reviews to assess risk in agency programs.

**Objective B:** Identify internal control deficiencies and inefficient processes and procedures, and make recommendations to the agency to improve program management.

**Strategy:**

- Perform audits, inspections, and reviews based on risk assessment and report findings and recommendations to FEC management; and
- Incorporate information obtained through complaints and stakeholder feedback and suggestions into work plan.

**Objective C:** Conduct timely audits, investigations, reviews, and inspections, and take appropriate reporting action.

**Strategy:**

- Identify appropriate lessons learned to improve timeliness and quality; and,
- Conduct follow-up reviews to determine if intended results have been achieved.

**Objective D:** Educate the agency on fraud prevention and detection practices.

**Strategy:**

- Continue existing outreach programs and develop new ones to educate new and current employees.

**Objective E:** Improve stakeholder engagement.

**Strategy:**

- Continue to foster a collaborative relationship emphasizing open and honest communication with FEC management and staff (consistent with the independent nature of the OIG);
- Improve Congressional outreach and response;
- Ensure that priorities of IG are effectively communicated; and
- Continue involvement with the Inspector General community.

**Objective F:** Maintain a dynamic strategic planning process.

**Strategy:**

- Periodically review and update the strategic plan to address changing OIG, FEC and other stakeholder priorities; and,
- Identify factors that influence organizational change and develop short and long term plans to address them.

**Objective G:** Ensure the agency follows through with agreed-upon recommendations in a timely manner.

**Strategy:**

- Work with the agency to ensure adherence to FEC Directive 50 and other appropriate guidance; and,
- Conduct reviews of the implementation of agreed-upon recommendations.

**Performance Measures:** Determine the impact and effectiveness of OIG products and services in promoting positive change and producing results by following up with management and staff; conduct assessments to determine impact of OIG products on FEC programs and operations; reach agreement with management on at least 95% of recommendations within two months of the report issue date.

**QUALITY: OIG products and services provided to the FEC will be of the highest quality and meet or exceed applicable standards.**

**Objective A:** Deliver timely, relevant, high-quality products and services that provide value to our stakeholders.

**Strategy:**

- Conduct quality assurance programs;
- Comply with applicable statutory requirements and other applicable guidance and standards; and
- Set realistic and appropriate milestones.

**Objective B:** Assess the effectiveness of OIG activities in fulfilling statutory duties and responsibilities and in meeting stakeholder expectations and needs.

**Strategy:**

- Solicit and evaluate stakeholder feedback concerning products and services; and
- Participate in required and voluntary peer reviews.

**Objective C:** Implement and continuously update OIG processes and procedures to ensure they are efficient, effective, and consistent in producing quality products.

**Strategy:**

- Ensure that OIG operational policies and procedures are followed; and
- Ensure that OIG follow-up procedures with stakeholders are optimal.

**Performance Measures:** Determine the quality and timeliness of OIG products through stakeholder feedback and as measured by CIGIE, GAO, and other applicable standards. Participate in audit and investigative peer reviews.

**EXCELLENCE: OIG will maintain a skilled and motivated work force and empower employees to maximize their professional and personal potential by fostering accountability, communication, teamwork, and constant growth and development.**

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

**Strategy:**

- Develop and implement a comprehensive recruiting program that attracts a broad population with the knowledge, skills, abilities, and expertise necessary to make meaningful contributions to the OIG and stakeholders;
- Assess employee satisfaction and develop strategies to address employee concerns;
- Provide challenging assignments and opportunities for staff;
- Identify reasons for staff departures and develop plans to foster greater staff retention; and,
- Adhere to Equal Employment Opportunity principles and strive to maintain a diverse work force.

**Objective B:** Provide training and developmental opportunities to employees.

**Strategy:**

- Assess training needs in relation to employee and office needs;
- Ensure that *Government Auditing Standards* and professional license and certification training requirements are met;
- Provide broad based training to increase knowledge in areas not directly related to the employee's area of expertise;
- Enable participation of employees in OIG community projects as much as possible.

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

- Strategy:**
- Develop and articulate expectations for each employee's performance, including contributions in meeting the mission and goals of the OIG;
  - Ensure that rewards, when possible, are given in recognition of exceptional employee performance; and
  - Look for creative ways to ensure employees are recognized for their contributions.

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

- Strategy:**
- Ensure that communication between employees is open;
  - Provide employees with the tools and incentives they need to adequately perform their duties;
  - Reengineer or streamline OIG procedures to achieve the most effective use of resources; and,
  - Ensure that necessary technologies are made available to staff as needed.

**Performance Measures:** Within budgetary restraints, all employees meet their required CPEs associated with their ability to do their work and all professional license requirements are met annually. Ensure via budget monitoring that training resources are equitably distributed among the staff. Bi-monthly staff meetings will be held to share assignments, challenges faced and to build a sense of team.

# Federal Election Commission Office of Inspector General



## Fraud Hotline 202-694-1015



or toll free at 1-800-424-9530 (press 0; then dial 1015)

Fax us at 202-501-8134 or e-mail us at [oig@fec.gov](mailto:oig@fec.gov)

Visit or write to us at 1050 First Street, N.E., Suite 1010, Washington DC 20463

Individuals including FEC and FEC contractor employees are encouraged to alert the OIG to fraud, waste, abuse, and mismanagement of agency programs and operations. Individuals who contact the OIG can remain anonymous. However, persons who report allegations are encouraged to provide their contact information in the event additional questions arise as the OIG evaluates the allegations. Allegations with limited details or merit may be held in abeyance until further specific details are reported or obtained. Pursuant to the Inspector General Act of 1978, as amended, the Inspector General will not disclose the identity of an individual who provides information without the consent of that individual, unless the Inspector General determines that such disclosure is unavoidable during the course of an investigation. To learn more about the OIG, visit our Website at: <http://www.fec.gov/fecig/fecig.shtml>

**Together we can make a difference.**