

Executive Core Qualifications Statements

ECQ #1 Leading Change

Throughout my personal life and professional career, I have embraced the saying that “change is the only constant”. To be relevant, effective, and successful in all aspects of my life, I am always open to change. Because I operate from this perspective, I have developed a reputation for being a very effective change agent, and thus have been tapped on to lead and affect change in my organization.

An example of my ability to implement strategic-level change throughout the organization was my leadership in implementing the National Security Personnel System (NSPS) across the Army Audit Agency. The Army Audit Agency’s senior leadership volunteered to transition our Agency to the NSPS earlier than scheduled. The Auditor General personally selected me to be a member of the transition team and named me as the Deputy Transition Manager. I was responsible for leading the effort to develop and standardize, where possible, job objectives for all 600 Agency employees. At the time of this selection, I served as the Director of Strategic Planning. It was my responsibility to update the Agency Strategic Plan to clearly articulate our Agency’s strategic goals, objectives, performance goals, strategies to accomplish the goals, and performance measures to assess how well the Agency achieved the goals. And then, most importantly, I was required to develop objectives which aligned employees’ individual performance with the organizational goals outlined in the strategic plan.

We were operating under very aggressive timelines—four months to update the strategic plan, then the successive two months to develop the job objectives before implementation of the Personnel System. With a very small staff, I conducted a comprehensive review of my Agency’s performance over the previous three years against established performance measures to determine where we should target strategies to increase performance. I also reviewed the strategic plans of sister audit services and other Federal audit organizations. I conducted benchmarking meetings with senior leaders with those organizations’ to gather ideas and understand what successes and challenges they had experienced with their performance measures. As a result of these reviews and meetings, I developed and recommended significant changes to the Agency’s performance goals and performance measures. I focused on providing timely and valued services to our clients; developing a professional, diverse and empowered workforce; and operating a highly effective and efficient organization that continuously improves itself. I identified the performance measures that could be used for individual accountability in Agency performance and included in job objectives. I briefed the recommended changes to the Agency’s leadership, identifying pros and cons for each change and behavior I expected to drive with each performance measure.

Upon garnering Agency leadership support, I established a working group to assist me in developing job objectives and performance plans that would directly align individual performance with the newly established goals and measures. To gain buy-in for the standardized auditor objectives, I formed focus groups consisting of representatives from each grade level and facilitated discussions to provide input/feedback on the objectives. I assessed the feedback of the

focus groups, made changes where warranted, and received executive-level approval of the objectives. I then developed implementing guidelines to help raters and employees understand the link between the Agency's strategic goals and performance measures, and their role in helping the Agency achieve them. The implementing guidelines also provided guidance for Agency raters to follow in discussing performance expectations with their employees and for evaluating individual performance.

Because of my ability to translate strategic vision to specific, individual responsibilities; my skills in a collaborative process to truly institute change; and my leadership skills of flexibility, I successfully published the new strategic plan and job objectives linking individual performance to organizational goals two weeks earlier than the established six-month milestone for completion. The job objectives have successfully been used for four performance years, with modifications to reflect changes in organizational priorities. The methodology of linking individual performance to organizational goals has been institutionalized in Army Audit Agency, evidenced in that even though we have since transitioned out of the NSPS, Agency leadership has retained the job objectives for continued use. My efforts have contributed to an overall increase in Agency performance because employees understand their individual roles in the Agency accomplishing its mission and they strive to meet or exceed their performance objectives. Further, my actions will continue to have a long-lasting benefit to Agency leadership when assessing employees' performance and how their performance impacted organizational goals.

In March 2011, the Commander of US Forces-Afghanistan asked me to review controls over his \$400 million Commander's Emergency Response Program (CERP). The focus of the review was to make sure the Commander's staff was executing valid projects that met the intent of the program and could be sustained by the local Afghan populace. The Theater Commanders had an established process to review and approve CERP projects, but this process did not provide sufficient scrutiny to assure that projects met program goals. I directed a small team of primarily inexperienced auditors to develop an improved review, approval and monitoring process. I reviewed all DOD and Army criteria and polices for the program. I also collaborated with all levels of military personnel to understand the processes Commanders used to develop, nominate, review and approve CERP projects. I determined that the project review and approval process was not objective and measurable. There were no specific criteria to assess risk and approve projects based on their ability to be completed on schedule and within established cost estimates, and most important, to be sustained over the long term by the Afghan populace. I facilitated a group comprising military engineers, resource managers, and my audit team to develop a solution to improving the CERP process. I developed a risk assessment matrix for use in reviewing nominated CERP projects, which incorporated criteria from the DOD and local regulations, established risk parameters, and assigned a weighted score to each project. The weighted score would help the decision authorities understand the risks associated with each project so that they could approve, disapprove or approve projects with mitigating actions for the identified risks. I briefed the risk assessment matrix to the Deputy Commanding General who enthusiastically embraced the new process, stating that it "will provide the appropriate scrutiny to CERP projects and give assurance that Commanders are being good stewards of taxpayers' dollars." The Deputy Commanding General has implemented this new process for all CERP projects beginning FY 2012.

ECQ #2 Leading People

Over the course of my career, I have successfully accomplished the technical aspects of my various positions because of my strong skills in leading people. I create a vision for my organization; I lead by example, and others willingly follow. I promote an environment that encourages diversity, empowerment, teamwork and accountability,

Within just a few weeks of stepping into my new position as Director, Strategic Planning and Special Studies Division, I determined that the Division lacked a strategic vision and was functioning in a reactive and crisis management mode, rather than from a deliberate, forward-thinking and visionary perspective. To address these issues, I met with each of my staff members as well as the staff of the Knowledge Management Branch to get their perspective of their role in the Division. I gathered information about what they completed on a daily basis, what challenges they faced, and what tasks they believed did not add value. I found work was not fairly distributed across the Division, staff members had competing priorities, and they were often unsure which priorities took precedence, resulting in delays in publishing our Agency's quarterly and annual performance reports.

I redistributed the workload and developed a prioritized tracking system for division projects, identified lead personnel for each project, and established reasonable milestones with iterative interim milestones. I moved responsibilities such as speech writing for The Auditor General and assimilation of Agency Training Course evaluations out of the Division. In addition, I incorporated the Knowledge Management Branch into my Division. These actions resulted in ensuring all personnel in the Division were fully engaged, eliminating redundant and unnecessary work processes, and streamlining the processes to report Agency performance and results data. Since I restructured the Division and improved the various processes, the Division has consistently published the quarterly performance report and annual performance report within three days after the end of the quarter, far exceeding the established goal of within 10 days of the end of the quarter.

In addition, I built a cohesive, high performing team, developed a results-oriented environment where employees were empowered, and I communicated openly and honestly with them about performance and all Agency matters. Division personnel embraced the new operating environment, as reflected in employee satisfaction ratings in the annual workforce satisfaction survey of 95 percent for Leadership and Management, 100 percent for Empowerment, Motivation and Teamwork; and 90 percent for Communications.

As the Program Director for the Expeditionary Support Audits Division, I quickly assessed the team composition and noticed that they were in a significant state of transition. In addition to having a new program director, three of the five audit managers rotated off of the team and the remaining two audit managers were scheduled to rotate within six months. The junior members of the team were concerned that the team was losing much of its contingency operations experience and were unsure of the future of the team.

Within six weeks of taking over the team, I traveled to Kuwait and Iraq to meet my team members deployed to those countries. Because of travel difficulties getting into Afghanistan, I had one-on-one telephone conversations with the employees deployed to that country. During these meetings, I asked each team member to share his or her concerns and what he or she believed were the strengths and weaknesses of the team. Recurring themes in the feedback included concern about turnover on the team and unfair application of policies and procedures. To resolve the concerns they expressed, I clearly articulated my vision and expectations for the team, and emphasized the importance of the team focusing on helping the Army accomplish its mission in the Global War on Terrorism. I also explained that I needed everyone's commitment for the team to be successful in achieving our Agency's mission. To alleviate their concerns about consistency of operations, I asked several team members to extend their commitment to the team and nine members agreed to extend for six months to a year. Additionally, the Deputy Auditor General and I contacted other audit managers within the Agency to ask them to join the Expeditionary Audits Team. I conveyed the significance and challenges of the work to be performed. As a result, I successfully recruited three audit managers to the team. This is especially significant because unlike other oversight organizations, we do not use incentive bonuses to attract volunteers. Through my leadership, I have created a sense of team pride and commitment to the Agency's and Army's goals. This was clearly evident in an email I recently received from one of my team members when he had to return to the U.S. from deployment due to health issues. He wrote, "To me there is no greater honor, and nothing fills me with more pride and joy than being able to say that I made a difference, at least in some small way. I helped a Soldier or Marine. I can think of no place better than the Expeditionary Audits Team, where I can say with such certainty that I made an impact, and fulfilled my oldest ambitions."

Further, I have invested time and personal commitment to mentoring and developing the GS-13s (auditors-in-charge) and GS-14s (audit managers) on my team. Specifically, I have included my audit managers in the strategic audit planning process—teaching them how the Agency's process works to build an audit program; how to develop staffing requirements, and how to scope audit efforts so to fulfill the commitments we make to our clients while simultaneously developing subordinates' technical and leadership skills. I have paired new or struggling auditors-in-charge with others that have demonstrated strong technical and leadership abilities so that they could benefit from day-to-day on-the-job training and mentorship.

In response to the positive changes I made, I received the Auditor General Award with the Commander's Award for Civilian Service and the Superior Civilian Service Award. This award was particularly special and most humbling because my staff developed and submitted the justification package to the award review board.

ECQ #3 Results Driven

Throughout my career, I have always sought to produce results that will enhance my Agency's and the Army's ability to effectively execute our mission. My ability to develop detailed plans, conduct risk analysis, make timely and effective decisions, and provide appropriate oversight to audit and internal corporate projects have always produced excellent results.

As the Program Director of the Expeditionary Support Audits Division, I am responsible for the Agency's most important mission—providing timely and high quality audit services to the military and civilian leaders on the battlefield in Southwest Asia. When I took charge of the team, my clients told me that Army Audit Agency provided exceptional audit service, but we took too long to provide them with the audit report. Sometimes personnel in the audited activity rotated out of theater by the time we submitted our report with audit conclusions, results and recommendations.

I aggressively took action to reduce the time to submit a report to the client. I met with key leadership at the General Officer, SES and Colonel levels to identify their highest priority areas. I developed audits with focused objectives that were directly targeted at identifying the root cause of the identified issues. I was actively engaged in each audit and provided oversight through personal involvement during the in-process review decision gates and report message agreement meetings with each audit team. During these meetings, I guided my teams in identifying areas worth the investment of audit resources and making conscious decisions to not to pursue the less fruitful areas. I began requiring the teams to start framing the outline for the draft report at the first decision gate meeting. These actions significantly reduced my cycle time as reflected in the following statistics. For the nine audit reports I have published thus far in FY 2011, the average elapsed days from audit start to draft report release is 154 days, compared to the Agency corporate metric of 300 elapsed days. The total elapsed days average from audit start to final report publication for these reports is 336 days, 26 percent lower than the Agency's average for report publication cycle time. Further, I have identified over \$58 million in agreed-to monetary benefits. Providing these timely, value-added audit services has significantly improved customer satisfaction, credibility, and requests for the Agency's audit services in the theater.

As the Deputy Transition Director, National Security Personnel System (NSPS), I was very instrumental in developing and executing the steps necessary to transition my organization to the new performance evaluation system. Because Army Audit Agency was one of the lead organizations to implement NSPS in the Headquarters Department of Army element, there were very few opportunities to benchmark and gain insights from other organizations. I studied the DOD implementing guidance for designing pay pools and developed three alternative approaches for Army Audit Agency's pay pool structure. I determined that the pay pools could be aligned: (i) along the Agency's directorate organizational structure; (ii) by positions within the Agency; and (iii) by pay schedule and pay band. Using DOD criteria, I compared and evaluated the merits of the three alternatives. I created a matrix which helped me to identify the preferred approach to a pay pool process that fairly and equitably distributed pay increases and bonuses to the workforce. The Agency's Executive group, which consisted of the Agency's five

SES leaders, approved the proposal to establish the pay pools by pay schedule and band. I then developed a strategy to staff the pay pools and developed comprehensive business rules to define roles, responsibilities, and provide operating procedures for the pay pools.

I conducted a mock pay pool scenario to test the business rules and revised the rules based on the results of the mock. I also prepared a briefing that disclosed the results of the mock pay pool, lessons learned, and the Agency's plan to prepare the workforce for the official pay pools which were going to be executed in six months. My major observation from the mock pay pool was that employees did not prepare complete self assessments and raters did not prepare complete or sufficient written assessments of their employees. At the Agency Leadership Meeting, I convinced leaders—SESs and my GS-15 peers—that we needed to educate our workforce on how to prepare complete assessments, rather than providing them with written examples of good assessments. I prepared a briefing package with detailed talking points for the SESs to use as they visited or conducted video teleconferences with each Agency field office to educate employees on preparing complete written assessments. Because of my self-taught expertise in the subject matter, I delivered the presentation to 8 of the Agency's 22 field offices and effectively handled difficult and sometimes hostile questions from the workforce about the transition to the Personnel System.

As a result of my efforts, we smoothly conducted our very first pay pool six months after the mock, and employee performance payouts were accurately calculated and certified by the Performance Review Authority before the deadline to submit the pay pool results for payroll processing. After the first pay pool, I evaluated our Agency processes for the Personnel System; developed lessons learned from the first year of implementation, and identified improvement strategies for the succeeding year. Using this analysis, I led a team of Human Resource professionals to develop a comprehensive training session focused on National Security Personnel System tenets and our Agency-specific processes. We successfully provided this training to over 100 Agency supervisors. I received laudatory feedback from the supervisors, stating the training was valuable and they were better prepared to fulfill their rater responsibilities under the new Personnel System.

Because of my exceptional efforts in developing the Agency's pay pool structure, managing the pay pool process, and developing training to address our lessons learned, I received a "Role Model" performance rating for the year.

ECQ #4 Business Acumen.

I continuously strive to find ways to help my Agency, the Army, and DOD leaders use resources more effectively and efficiently. Over the course of my career, I have gained considerable experience in managing resources, especially in times of significant resource constraints.

When the Deputy Auditor General for Policy and Operations Management retired, I was detailed into this Senior Executive Service position for 120 days, while simultaneously performing my assigned duties as Program Director, Strategic Planning and Special Studies. While detailed, I managed Agency resources totaling almost \$70 million; personnel support for about 600 Agency employees; Agency-sponsored training for about 550 auditors; and various administrative services including facilities management; property accountability; security; procurement of supplies and equipment; and mail service. I successfully defended Agency budget requirements during a period of intense competition for limited resources and prioritized how we should allocate those resources internally.

Upon my assignment to this position, The Auditor General charged me with determining the cause of pervasive low morale and performance among the professional support staff. I immediately created an open door policy and held one-on-one meetings to open the lines of communication. Through these meetings, I found that the predominant cause of low morale and complacency towards work completion was lack of clarity in workflow processes and lack of developmental and career growth opportunities for one-deep positions for most of the professional support staff positions. I briefed this issue to the Agency's Human Capital Plan Development Team and successfully led the effort to include a long term improvement strategy in the Human Capital Plan. The improvement strategy addressed the issue of one-deep positions and the challenges associated with appropriately staffing and managing professional support positions. When the Deputy Auditor General position was filled, I provided the incumbent with an exceptionally smooth transition into the position by detailing the responsibilities of the position as well as a prioritization of the challenges he should address.

I have also demonstrated my ability to manage human, financial, and information resources strategically in my role as the Program Director for the Expeditionary Support Audits Division. I manage 40 auditors assigned to five field offices located in combat environments in three countries. I continuously evaluate and manage competing requirements to execute my mission within an operating budget of about \$4M for travel, incremental pay for deployed civilians, supplies and equipment. This operating environment presents significant challenges to include providing sufficient logistical support for my team—such as, office space, lodging, and housing—especially in Afghanistan where accommodations are especially austere. Over the past year I effectively networked and built relationships with land and housing managers, and mayor cell officials, to establish two new field offices in Afghanistan—Kandahar and Kabul—and secure sufficient office and lodging accommodations. I identified office equipment, information technology and communication equipment, and supplies necessary to operate the new offices, and convinced my Agency's Senior Executives to make these unfunded requirements a high priority. As a result, I successfully provided the resources my staff needed to effectively support US Forces-Afghanistan with valued audit services. Positioning auditors in the Southern region

of Afghanistan, where US Forces have expanded to battle the Taliban, has increased our ability to provide timely, relevant audit services and solutions to problems Commanders are experiencing.

When the Auditor General visited my teams in Southwest Asia, he commended me and stated that my staff was highly motivated and dedicated to doing what they understood to be a very important mission. My efforts have made Army Audit Agency the oversight provider of choice in the Southwest Asia Theater as evidenced by 100 percent of my FY 2012 audit program is requested by Senior DOD and Army leadership.

Also, in my role as Program Director of the Expeditionary Support Audits Division, I saw the need to address severe information technology connectivity issues, which hampered my deployed teams' ability to reliably access Agency document management resources back in the U.S. These resources are critical to executing our business model and meeting audit standards—most importantly, these issues adversely impacted the staff's ability to post audit work products and perform supervisory reviews of those work products. My Afghanistan audit teams are located at three main locations and travel frequently to other forward operating bases and smaller camps. Therefore, this lack of access to document management resources reduced their efficiency and impacted mission accomplishment. I directed a member of my team to research available options to replicate our U.S.-based document management system in a contingency environment. I assessed available options and identified an information technology resource that could provide a 90 percent solution, and allow us to accomplish our mission and meet audit standards. To implement the initial solution, we collaborated with Afghanistan Theater personnel to design, test, and place the SharePoint document management site online. The first audit team to use these new capabilities was one of my split-based audit teams that required a means for electronically consolidating their analyses and conclusions. The team's charter was to answer questions about a program that is a key element of the Army's strategy in the Afghanistan war. Under my leadership, the team was able to use the new SharePoint system's capabilities to reduce downtime, quickly perform complex audit analyses, develop accurate results and conclusions, and make recommendations to improve the financial stewardship of the Army's \$400 million program.

Since development of the initial solution, I have directed enhancement of the SharePoint site's capabilities to incorporate many business-essential tools. Specifically, the site includes applications that provide accountability for all deployed staff members; direct internet links to key Agency resources back in the U.S. and to command resources in theater; the ability to collaborate and maintain communication with audit teams in Afghanistan, Kuwait and the U.S.; and maintain a centralized document library of key policies, procedures, and forms relative to operating in a contingency environment. Immediate access to all of these resources has increased my teams' effectiveness and efficiency exponentially.

ECQ #5 Building Coalitions

My interpersonal and communication skills and innate ability to build relationships are at the foundation of my career success. Throughout my 25-year career at Army Audit Agency, I have been effective at winning the support of the people I'm trying to influence and establishing networks that facilitate the delivery of high quality results.

When I became the Program Director for the Expeditionary Audit Support team, the team had a tenuous working relationship with our higher-level oversight organization. This relationship often led to disagreements and conflicts. I immediately recognized that I needed to improve this relationship because this oversight organization had the ability to help or hinder our audit processes. To execute my audit program, I had to gain approval from this organization to perform audits involving DOD activities outside of the Army. Additionally, I had to staff audit reports with recommendations to activities outside of the Department of Army through them. Therefore, I adopted an approach of teamwork and transparency with the oversight organization. I met with the Special Deputy Inspector General for Southwest Asia—a Tier 3 Senior Executive Service member—and discussed how we could partner to ensure timely and valued audit services to U.S. Central Command, Army Central Command, US Forces-Iraq, and US Forces-Afghanistan. I established weekly telephone conference calls to update him on the work I was doing and give him advanced notice of audit findings and recommendations I would be making to the various Command elements. This has proven to be an extremely beneficial relationship. The Special Deputy has often shared the insights he's gained on various topics from participating in the daily battle update briefs with the senior commanders. I have also shared with him my observations from being on the ground with the Soldiers and unit-level commanders. Having both perspectives has improved my ability to develop corrective actions that will have long lasting impact in the Southwest Asia Theater. Because of this solid relationship, on several occasions, the Special Deputy has intervened and facilitated the processing of my reports through the oversight organization, reducing the time to finalize my audit reports.

The Special Deputy also chairs the quarterly Southwest Asia Joint Planning Group which consists of representatives from the various oversight organizations in Southwest Asia. I am an active participant in the quarterly meetings and use the opportunity to expand my network and share information with my colleagues in the oversight community. Some of the members include Congressman Chris Shays, the co-chair of the Commission on Wartime Contracting, and numerous Senior Executive Service members, GS-15s and Colonels that are inspectors general in the Departments of Defense, State, U.S. Agency for International Development, and Army; Special Inspectors General for Iraq and Afghanistan Reconstruction; and representatives from the Government Accountability Office. On several occasions the Chairman of the Southwest Asia Joint Planning Group has commended me and my team for maintaining open lines of communication with Command personnel and helping command by sharing audit results early in the audit.

Additionally, early in my tenure as the Director, I also met with my peer who is responsible for our higher-level oversight organization's audit coverage in Southwest Asia. I shared my desire to work together to reduce overlap of audit coverage and reduce the burden of "over auditing"

command. As I developed my audit plan for fiscal year 2011, I designed a plan where we would have clearly identifiable lines of audit coverage between the two organizations. I met with my peer and the Deputy Inspector General for Audit of our higher-level oversight organization and shared the audit plan. I even suggested audit topics that I believed they were in a better position to evaluate. The meeting proved to be extremely productive as we discussed potential collaboration opportunities. They approved my audit plan and over the course of the past 10 months, we have continued our discussions regarding de-conflicting future audit work in the theater.

By far, my most important coalitions have been with military commanders and civilian leaders in Afghanistan. When I became the Program Director of the Expeditionary Audit Support team, the team had positive relationships and credibility with leaders in Kuwait and Iraq. However, only about ten percent of our audit resources were dedicated to Afghanistan, and we didn't have the same level of visibility and credibility in that theater. I made establishing Army Audit Agency as the "oversight provider of choice" in Afghanistan my highest priority. Using my relationship with the DOD Inspector General's Special Deputy Inspector General as the foundation, I am now included in the tri-weekly audit "shura"—a forum for representatives from the oversight community to update command personnel on their ongoing and planned audit coverage. Participating in the shura has provided me the opportunity to personally meet some of the primary staff members of the US Forces-Afghanistan command element. Many of these General Officers and Colonels didn't view audit services as a tool to help them. Rather, they believed auditors' motives were to create headline news stories out of the problems they identified in the theater.

To dispel this mistrust, I held meetings with military and civilian leaders, sharing with them our Agency's philosophy that we are a solutions-focused organization. I discussed opportunities where I believed my team could provide valuable audit service. I have led my team to execute audits where we delivered on my commitment to produce timely results and meaningful, recommendations that could be implemented immediately. As a result, I received the following feedback from the Central Command Inspector General: "This is a good news story where AAA [Army Audit Agency] shared results with us early in the audit and as they note, we've already taken most of the corrective actions they recommend. We need to acknowledge AAA's release of preliminary findings and encourage all audit agencies to do the same." Further, the Deputy Commanding General for Support of US Forces-Afghanistan told the Commanding General that Army Audit's process for providing results to the Command is the "model" that other oversight organizations should follow.

Additionally, after briefing the Deputy Commander of Army Materiel Command—a 3 Star Lieutenant General Officer—on my work in theater, he mailed me his "coin for excellence" and in a hand-written note stated, "I was very impressed with you today during your presentation. I wish all who support our Soldiers had the same enthusiasm as you! Please keep it up...we need more like you. You are good!" For FY 2012, 100 percent of my audit workload has been requested by General Officers and Senior Executive Service personnel in Afghanistan and at Headquarters, Department of the Army. This is a measure that I have gained the trust and confidence, and built solid coalitions with senior military and civilian leaders.