



Leveraging Technology to Better Manage Your Ethics Program

Elizabeth Horton

March 9, 2016

Overall Objective:

- To Modernize the Retention and Retrieval of Advice, Filing and Training Records



Change can have its downsides:



MORRIS WAS FINDING IT MORE DIFFICULT THAN MOST TO ADJUST TO THE CONCEPT OF A 'PAPERLESS' OFFICE

But it also has its upsides:



Morris can now immediately find the information he was looking for.



Treasury's Ethics Tracker

- ✓ Advice Archive
- ✓ Program Management Tools
- ✓ Automated Confidential Filing

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https://app.treasuryecm.gov/sites/ethics/Pages/Home

The screenshot shows the Treasury Ethics Tracker website. At the top, there is a navigation bar with 'Home', 'Users', 'Reports', 'Admin', and 'Help'. Below this is an 'Announcements' section with a 'Welcome' message dated 09/02/2015, encouraging users to use the site and providing contact information for ethics questions. To the right is a 'Forms' section listing several PDF documents: 'Invitation Questionnaire (Non-Federal).pdf', 'Travel Questionnaire.pdf', 'Outside Employment and Business Activities Request Form.pdf', and 'Departmental Offices Gift Register.pdf'. The main area is the 'Ethics Dashboard', which features a left-hand menu with '278 Filing', '450 Filing', 'Training', and 'Advice'. The dashboard contains two large pie charts. The first chart, titled 'Training', shows a very small slice of dark blue, indicating that only a tiny fraction of users have completed training. The second chart, titled 'Training: Not Completed', shows a large slice of dark blue, indicating that the vast majority of users have not completed their training. The Windows taskbar at the bottom shows the time as 2:51 PM on 3/4/2016.



- Advice Archive:
 - ✓ Provides a chronological record of advice attached to each employee record.
 - ✓ Can be used to record analysis/advice concerning invitations, non-federal source travel, outside activities and conflicts.
 - ✓ The advice archive can be sorted/searched within each employee record or as part of a larger advice report.

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Announcements

Welcome (09/02/2015)

Welcome to the Treasury Ethics Tracker Website. We encourage you to browse this site and familiarize yourself with the ethics resources provided. Do not hesitate to seek guidance from a Treasury Ethics Official if you have any questions regarding ethics matters.

Send Ethics Questions to: Ethics@Treasury.gov

Forms

[Invitation Questionnaire \(Non-Federal\).pdf](#)

[Travel Questionnaire.pdf](#)

[Outside Employment and Business Activities Request Form.pdf](#)

[Departmental Offices Gift Register.pdf](#)

Ethics Dashboard

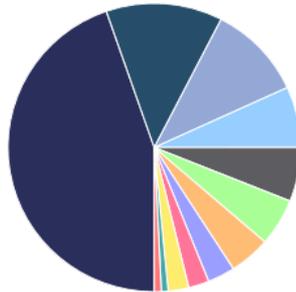
278 Filing

450 Filing

Training

Advice

Advice



My Tasks

10:27 AM
3/4/2016

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https://app.treasuryecm.gov/sites/ethics/Pages/Advice

Advice Report



Ethics

Home

Users

Reports

Admin

Help

Advice Report

Email Users Save changes Cancel changes Export to Excel

		FULL NAME	ADVICE TYPE	SUBJECT	ADVICE DATE	REVIEWER	FORM TYPE	FORM RECEIVED DATE	FORM REVIEW DATE	FORM APPROVED DATE
<input type="checkbox"/>			Outside Activities	Op-ed piece for Politico	02/05/2016					
<input type="checkbox"/>			Misuse of Position	Letter of recommendati...	02/04/2016					
<input type="checkbox"/>			Post Employment	Held concurrent positio...	01/07/2016					
<input type="checkbox"/>			Invitations	Panelist - Virtual Round...	01/08/2016		Invitation Questionnaire	01/08/2016	01/08/2016	01/08/2016
<input type="checkbox"/>			Seeking Employment	Refresher on rules gove...	01/14/2016					
<input type="checkbox"/>			Seeking Employment	Refresher on rules gove...	01/15/2016					
<input type="checkbox"/>			Personal COI	Approval of an Applicat...	01/07/2016					
<input type="checkbox"/>			Post Employment	Post Employment briefi...	01/07/2016					

<

1 2

1



10:33 AM 3/4/2016



- Program Management Tools:
 - ✓ Reports: Can be sorted using a wide range of data. This enables the team to produce very specific reports concerning training, advice and financial disclosure.
 - ✓ Dashboards: Provides management with real-time information regarding the status of filing and training.
 - ✓ Team Wiki Page: Enables collaboration and maintains continuity on selected topics.

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Browser address bar: <https://app.treasuryecm.gov/sites/ethics/Pages/FilingR> | Filing Report

Ethics

Home | Users | Reports | Admin | Help

Filing Report

Email Users
 Save changes
 Cancel changes

	FULL NAME	FILING TYPE	DUE DATE	TYPE OF FORM	FORM RECEIVED DATE	SUPERVISOR REVIEW DATE	REVIEWER	POTENTIAL CONFLICT	1ST EXTENSION DATE
<input type="checkbox"/>		Annual	02/21/2016	450					
<input type="checkbox"/>		New Entrant	03/04/2016	450				False	03/04/2016
<input type="checkbox"/>		New Entrant	03/08/2016	450				False	
<input type="checkbox"/>		Annual	01/14/2016	278T	01/04/2016			False	
<input type="checkbox"/>		New Entrant	12/25/2015	278				False	
<input type="checkbox"/>		New Entrant	03/04/2016	450				False	03/04/2016
<input type="checkbox"/>		New Entrant	03/04/2016	450				False	03/04/2016
<input type="checkbox"/>		New Entrant	03/28/2016	450				False	

Page navigation: 1 | 2

Windows taskbar: 10:36 AM 3/4/2016

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https://app.treasuryecm.gov/sites/ethics/Pages/Trainin Training Report

Ethics

Home Users Reports Admin Help

Training Report

Email Users Save changes Cancel changes Export to Excel

		FULL NAME	ETHICS AGREEMENT	IG REFERRAL DATE	TRAINING TYPE	TRAINING FORMAT	TRAINING DUE DATE	TRAINING COMPLETED DATE	TRAINING EXCUSED DATE	COMMENT
<input type="checkbox"/>	3		False		Annual	Ethics Q&A	12/31/2016	02/23/2016		
<input type="checkbox"/>	3		False		Annual	Ethics Q&A	12/31/2016	02/23/2016		
<input type="checkbox"/>	3		False		Annual	Ethics Q&A	12/31/2016	02/23/2016		
<input type="checkbox"/>	3		False		Annual	Ethics Q&A	12/31/2016	02/23/2016		
<input type="checkbox"/>	3		False		Annual	Ethics Q&A	12/31/2016	02/23/2016		
<input type="checkbox"/>	3		False		Annual	Ethics Q&A	12/31/2016	02/23/2016		
<input type="checkbox"/>	3		False		Annual	Ethics Q&A	12/31/2016	02/23/2016		
<input type="checkbox"/>	3		False		Annual	Ethics Q&A	12/31/2016	02/23/2016		

1 2 3 4

10:40 AM 3/4/2016



- Automated Confidential Filing:
 - ✓ Provides a paperless (and therefore more streamlined and more secure) process for New Entrant and Annual OGE 450s.
 - ✓ Allows filers to populate forms with data from the previous year.
 - ✓ Data from the filing system is immediately available through reports and dashboards, creating an accurate picture of filing status throughout Departmental Offices (headquarters).
 - ✓ Filers can begin the filing process via the personalized dashboard on the ethics homepage.

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https://app.treasuryecm.gov/sites/ethics/Pages/Home. ... Inbox - rsdodson@gmail.com ... Home Home

File Edit View Favorites Tools Help

Ethics

Home Help

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- [Departmental Offices Gift Register.pdf](#)

My Tasks

Training

Training Type	Training Format	Due Date	Date Complete
Annual	In Person	11/05/2015	11/02/2015

Filing

Form Type	Filing Type	Due Date	Received Date	Reviewed Date	Form
450	Annual	02/20/2016			View Form

11:19 AM 3/4/2016



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