

Confidential Financial Disclosure Planning and Administration Aid

| | Goals | Tactics (Examples) |
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| Staffing/Resources/Training | Meet the 60-day review deadline | Stagger filing notifications. Triage reviewing easier v. difficult reports. |
| | Complete supervisory/intermediate reviews timely | Provide supervisors with a 450 review checklist; remind them that untimely reviews will show up on OGE's periodic program reviews. |
| | Acquire additional staff | Get detailees from other parts of the agency, or see if other GC staff can lend a hand temporarily to assist during the OGE 450 filing season. |
| | Train ethics program managers and new staff | Get program managers trained on administrative duties to free up reviewers to exclusively review reports and not be hampered by ministerial duties. Train new reviewer staff using OGE's Institute for Ethics in Government's IEG's self-paced curricula and job aids . |
| | Coordinate review guidelines with regional ethics staff. | Hold online review meetings for regional staff to attend so that the central ethics office and regional offices are on the same page and following the same guidelines. |
| Timely/Accurate Reporting | Provide filers with resources to improve accurate reporting | Distribute a list of common filing mistakes; create a tips and tricks one-pager, using bullet points and brevity. Include information on DMFs, 529s, spousal information, etc. Create short training videos. Establish office hours and a financial disclosure mailbox. |
| | Enlist agency leadership to support timely filing | Remind leadership of the importance of their support and their obligations as outlined in 5 C.F.R. § 2638 in supporting the ethics program. Stress the importance of filing as part of an ethical culture. Establish a relationship with an advocate at the highest levels of leadership and reinforce that relationship with regularly scheduled meetings. Discuss the importance of timely filing in annual training. |
| | Improve quality of annual reporting | Invest effort in getting new entrant reports completed accurately, and then ensure filers have access to the final versions of their reports for subsequent filings. For e-filing, this will assist with accurate pre-population of annual reports. |
| Logistical/Technical | Meet the challenges of system upgrades | Collaborate with IT on how system upgrades will work and roll out the changes to reviewers and filers. Create upgrade tutorials.. |
| | Manage PDF report filing | Anticipate filers filing a PDF for the first time if they are used to filing paper reports. Provide your filers with explicit instructions for where to file their PDF reports. |
| | Meet the challenges presented by the pandemic. | Read PA-20-01 . Factor in that there may be periodic system outages. Get IT onboard in setting up digital signatures for reports. |
| Identify/Track Filers | Track all filers, including new entrants and annual filers in one place | Create an Excel spreadsheet with this information; store on a shared drive for other ethics officials to use. |
| | Partner with HR, IT and supervisors to identify new filers at the agency throughout the year | Have the ethics office added to administrative emails for onboarding new employees. Include ethics in IT set-up notifications for new hires; use these notices to prompt template emails to supervisors to assist with 450 designations. Request monthly HR reports of GS promotions to identify movement into filing status. Use OGE's 450 Filer Job Aid or create your own to help supervisor's identify who should file a confidential report. |