CY18 ANNUAL AGENCY ETHICS PROGRAM QUESTIONNAIRE

AUGUST 27, 2019

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OFFICE OF GOVERNMENT ETHICS
AGENDA

• Annual Questionnaire Background

• How to Access the Individual Responses and the Summary Document

• Benchmarking Your Agency
  • Agency Practices
  • Compliance with Training and Financial Disclosure Requirements
BACKGROUND

• The Ethics in Government Act of 1978, as amended, requires executive branch agencies to submit an annual report to OGE (5 U.S.C., app, section 402(e)(1)).

• OGE regulations stipulate that the report is due to OGE on or before February 1 of each year and covers the previous calendar year (5 C.F.R. § 2638.207).
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Open Government

Officials’ Individual Ethics Disclosures

To help citizens ensure that their government leaders are free from financial conflicts of interest, OGE publishes ethics disclosures and associated documents.

Financial Disclosures, Ethics Agreements, and Compliance Documents for:

- Presidential and Vice Presidential Candidates
- President and Vice President
- Cabinet secretaries and other government agency heads
- Senior White House personnel and other top senior government officials
- Other agency officials

Certificates of Divestiture
- Ethics Pledge Waivers (Trump Ethics Pledge E.O. 13770)
- Ethics Pledge Waivers (Obama Ethics Pledge E.O. 13400)

Ethics Program Oversight Documents and Reports

OGE performs oversight reviews and data collections to ensure that agency ethics programs are functioning properly. We publish the results so that citizens can assess our effectiveness.

Oversight Reports

- Program Review Reports
- Annual Agency Ethics Program Questionnaire Results
- OGE Special Reports
- Agency Travel Reports
Annual Agency Ethics Program Questionnaire

This section features, by calendar year, summary reports and individual agency responses to the Annual Agency Ethics Program Questionnaire. The Annual Agency Ethics Program Questionnaire asks for extensive information about agency ethics programs, including core elements of the ethics program that assist in the identification and resolution of potential conflicts of interest.

collapse all / expand all

- CY18
  - Annual Agency Ethics Program Questionnaire - Agency Responses (CY18)
  - Annual Agency Ethics Program Questionnaire - Summary Report (CY18)
- CY17
  - Annual Agency Ethics Program Questionnaire - Agency Responses (CY17)
  - Annual Agency Ethics Program Questionnaire - Summary Report (CY17)

Video Presentation: “Benchmarking Your Ethics Program”
2018 AGENCY ETHICS PROGRAM QUESTIONNAIRE

Blank questionnaire in PDF format

Click here to return to OGE.gov

Agency/Dept

Administrative Conference of the United States
Advisory Council on Historic Preservation
African Development Foundation
American Battle Monuments Commission
Appalachian Regional Commission
Appraisal Subcommittee
Architectural and Transportation Barriers Compliance Board (United States Access Board)
Arctic Research Commission
Armed Forces Retirement Home
Armed Services Board of Contract Appeals
Barry Goldwater Scholarship and Excellence in Education Foundation
Board of Governors of the Federal Reserve System
Bureau of Consumer Financial Protection
Central Intelligence Agency
Chemical Safety and Hazard Investigation Board
Commission of Fine Arts
Commission on Civil Rights
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Did your agency conduct a self-assessment to evaluate any aspect of the ethics program?
EXAMPLES OF CHANGES RESULTING FROM SELF-ASSESSMENT

• Added additional language for applicant/new hire ethics notifications and requirements

• Changed substance and tracking of FACA SGE annual training and submission of conflicts forms

• Reevaluated which agency personnel should be required to file financial disclosures, and documented the results of the assessment
EXAMPLES OF CHANGES RESULTING FROM SELF-ASSESSMENT (CONT’D)

• At HQ, redistribution of administrative ethics work, redistribution of assignments among attorneys

• Greater use of ethics inter and intranet websites, connecting different databases such as HR employee records and ethics records tracking systems

• Created new intake forms to gather complex factual information regarding outside employment
EXAMPLES OF CHANGES RESULTING FROM SELF-ASSESSMENT (CONT'D)

• Began preparing monthly status updates tracking the status of financial disclosure reports, ethics training, and post-employment counseling

• Revised educational materials and the ethics annual communications plan (e.g., emails to all-hands, information distributed to management officials, information on our intranet site) to incorporate additional topics and specific ethics questions based on the survey responses. We also offered specialized training to offices based on their survey responses.
Did the agency head meet with the ethics staff to discuss the strengths and weaknesses of the ethics program?
 Until then, as the leader of your agency and its ethics program, you can take action now to protect your agency and its mission. Consider demonstrating your commitment to ethical leadership by communicating it directly to your staff, meeting with your ethics team to make sure they have the support they need, and inviting your ethics officials to executive planning meetings to help foresee and prevent ethics challenges.
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INITIAL ETHICS BRIEFING
Timeliness of Initial Ethics Briefing for Agency Leaders

99% within 15 days
1% late
0% hadn't yet received
INITIAL ETHICS TRAINING
Within 3 months: 92%
Late: 2%
Hadn't yet received: 5%
Percentage of Employees who Had Not Yet Received Initial Ethics Training, by Agency

Each orange dot represents 1 agency.
Timeliness of Initial Ethics Training for New Employees

- 92% within 3 months
- 2% late
- 5% hadn't yet received
Percentage of Employees who Received Initial Ethics Training Late, by Agency

Each orange dot represents 1 agency.
ANNUAL ETHICS TRAINING
95% compliance rate

Of the 410,952 employees required to receive annual ethics training 390,791 received it
Percentage of Employees who Completed Required Annual Ethics Training, by Agency

Each orange dot represents 1 agency
ETHICS NOTICE TO PROSPECTIVE EMPLOYEES:
Certification that notice is being issued
Did all of the office(s) responsible for issuing ethics notices to prospective employees provide the DAEO with the required certification?

- All: 76%
- Some: 11%
- None: 13%
Did all of the office(s) responsible for issuing ethics notices to prospective employees provide the DAEO with the required certification?*

* 2017 was a yes/no question. 2018 asked agencies to describe how many offices provided the certification: all, some, or none. The 2018 chart shows agencies that answered all and some.
INITIAL ETHICS TRAINING:
Certification that the initial ethics training is being provided
Did all of the office(s) delegated the responsibility for providing initial ethics training provide the DAEO the required certification?
Did all of the office(s) delegated the responsibility for providing initial ethics training provide the DAEO the required certification?*

* 2017 was a yes/no question. 2018 asked agencies to describe how many offices provided the certification: all, some, or none. The 2018 chart shows agencies that answered all and some.
FINANCIAL DISCLOSURE
99% compliance rate

26,045 public financial disclosure reports filed out of the 26,205 required
380,863 confidential financial disclosure reports filed out of the 382,901 required
Financial Disclosure: Percentage of Extensions Granted and Late Fees Waived and Paid

*Late fees are applicable only to public disclosures. Agencies may use other administrative remedies to address late confidential disclosure filings.*
Frequency: Percent of 278 Reports Granted Filing Extensions

Percentage of Reports Granted Filing Extension

Frequency (Number of Agencies)

10% 20% 30% 40% 50% 60% 70% 80% 90% 100%

20 29 17 8 7 1 3 1 0 3
How often, within the 15-day deadline, did the human resources office(s) notify the DAEO of appointments to financial disclosure filing positions?
How often, within the 15-day deadline, did the human resources office(s) notify the DAEO of terminations from public financial disclosure filing positions?

- All cases: 56%
- Most cases: 36%
- Some cases: 4%
- Never: 4%
USE OGE’S 2017 PRESENTATION ON RATIOS TO BENCHMARK YOUR AGENCY

• With the 2017 data, OGE calculated key ratios such as the ratio of full-time employees to full-time equivalent ethics officials, the ratio of 278s and 450s to ethics officials, and the ratio of employees required to receive training to ethics officials

• Link to the presentation:
2017 AQ RATIO PRESENTATION

Example of ratios calculated for agencies with more than 10,000 employees
Example of ratios calculated for agencies with more than 10,000 employees.
Example of ratios calculated for agencies with more than 10,000 employees.
Example of ratios calculated for agencies with more than 10,000 employees.
# Ethics Program Self-Assessment Worksheet

<table>
<thead>
<tr>
<th>Program Element</th>
<th>Benchmark Ratios (Source: Annual Questionnaire)</th>
<th>Compliance Indicators (Source: Annual Questionnaire and Agency Records)</th>
<th>Other Indicators (Source: Agency Records)</th>
<th>Assessment &amp; Action Item</th>
</tr>
</thead>
<tbody>
<tr>
<td>Example: Initial Ethics</td>
<td>Our ratio: ~260 IET trainees per FTE ethics official</td>
<td>Percentage trained within 3-month deadline: 85%</td>
<td>70% of employees report better understanding their ethics obligations after taking training</td>
<td>Increase 3-month compliance rate: Identify and address the reasons for late training</td>
</tr>
<tr>
<td>Training</td>
<td>Average ratio for our cohort: 97</td>
<td>Exec branch percentage: 91%</td>
<td></td>
<td>Increase the training comprehension: Follow up with those who reported they didn’t have a better understanding after training and ask for feedback</td>
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<td></td>
<td>Our rank in the cohort: 38</td>
<td>Percentage of employees trained after 3 months: 15%</td>
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</tr>
<tr>
<td>Initial Ethics Training</td>
<td>Our ratio: _____</td>
<td>Percentage trained within 3-months: _____</td>
<td>Examples: * Percent of employees who better understanding their ethics obligations after taking training * Number of questions received after training</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Average ratio for our cohort: _____</td>
<td>Percentage of employees trained after 3 months: _____</td>
<td></td>
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<tr>
<td></td>
<td>Our rank in the cohort: _____</td>
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<tr>
<td>Annual Ethics Training</td>
<td>Our ratio: _____</td>
<td>Compliance rate: _____</td>
<td>Examples (see above)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Average ratio for our cohort: _____</td>
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QUESTIONS? COMMENTS? SUGGESTIONS FOR USES OF ANNUAL QUESTIONNAIRE DATA?

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