

NATIONAL GOVERNMENT ETHICS  
**SUMMIT**

MARCH 10<sup>th</sup>-12<sup>th</sup>



**2020**

U.S. OFFICE OF GOVERNMENT ETHICS

# WELCOME

## TO THE **2020** NATIONAL GOVERNMENT ETHICS SUMMIT



Emory A. Rounds, III  
Director of OGE

A very warm welcome to all of the ethics practitioners assembled for the 2020 National Government Ethics Summit.

OGE's staff and your colleagues across government have worked hard to put on an exciting and informative event. I am immensely grateful for their efforts and for your presence here at our 2020 Summit.

This week together will provide us with opportunities to contemplate emerging issues in government ethics, think anew about the purpose of and strategies for program compliance, and prepare each of us and our programs for a presidential election.

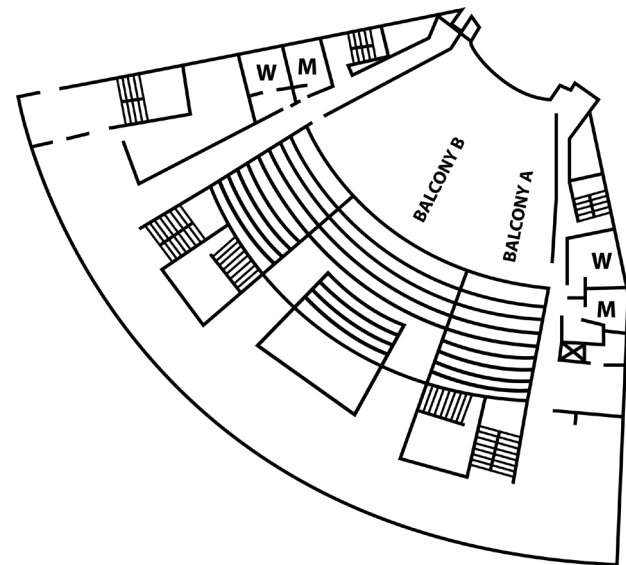
One of the greatest assets of our executive branch ethics program is the expertise of the practitioners who lead it. By taking the time to attend this Summit, you are making an investment that will pay dividends, not only for yourself and your agency, but for the ethics community as a whole. It is my sincere hope that you find the quality of the event worthy of that investment.

Thank you for your service to our country.

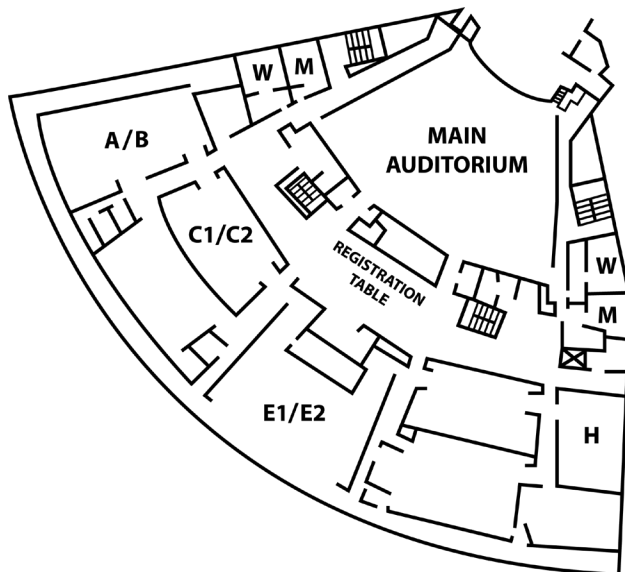
A handwritten signature in black ink that reads "Emory Rounds". The signature is written in a cursive, flowing style.

# MAP OF MEETING ROOMS AT NIH

## GENERAL INFORMATION



GROUND FLOOR



BASEMENT FLOOR

### THERE IS NO ON-SITE REGISTRATION.

All participants should have registered online in advance. All substitutions should also have been made in advance. We regret that we will not be able to accommodate substitutions on the day of an event. Registrants may check in starting at 8:30 a.m.

### PRESENTATION MATERIALS

All Summit materials, including slide presentations, handouts, and reference materials, will be posted online at: <https://extapps2.oge.gov/Training/OGETraining.nsf/Calendar.xsp>.

### LUNCH

Lunch is on your own. The NIH cafeteria is open for lunch from 11:00 a.m. to 2:30 p.m. Food is allowed in all rooms except the Auditorium and Balconies.

### DRESS CODE

Business casual. Attendees are encouraged to wear layered clothing to allow for varying weather and meeting room temperatures.

### VIRTUAL EVENTS

We will be live streaming the sessions in the Auditorium. After the Summit you can watch these sessions by visiting: <https://extapps2.oge.gov/Training/OGETraining.nsf/IEGHome.xsp>.

### LOCATION

The National Institutes of Health  
Building 45, Natcher Building on the NIH Campus  
9000 Rockville Pike, Bethesda, Maryland 20892

### METRO DIRECTIONS

The NIH campus is located at the Medical Center Metro Station (Red Line). The station's escalators exit onto the campus immediately in front of the NIH Gateway Center, which Summit attendees will enter for security processing.

@OfficeGovEthics  
#EthicsSummit

	Auditorium	Balcony A	Room A/B	Room C1/C2	Room E1/E2
9:30 - 9:40	Administrative Remarks				
9:40 - 9:50	Welcome Remarks				
9:50 - 10:30	Ethics Challenges, Changes, and the Next Chapter: The View from OGE on the Executive Branch Ethics Program				
10:45 - 12:00	Transparency and the Public Trust: The Disclosure of Ethics Records under the Ethics in Government Act	Global Perspectives on Preventing Corruption and Conflicts of Interest	Using Outreach to Maximize Limited Resources: Innovative Approaches by USDA and DOI (Part I)		Conference Speakers, Registration Fees and the Federal Travel Regulation: The Latest Updates
12:15 - 12:45		Proposed Updates to the Standards of Conduct	Using Outreach to Maximize Limited Resources (Part II)		Which Came First, the Congressional Inquiry or the Press?
1:00 - 1:30		Want to Work at an International Organization? A Post-Gov't Restriction Waiver Guide	The IEG: A Powerful Tool for Developing Your Agency's Ethics Staff	Getting to Compliance	
1:45 - 3:00	The 2020 Election Season: What Every Federal Employee Needs to Know about the Hatch Act	Crowdsourcing: Pointers and Pitfalls	Unique Ethics Challenges Faced by Multi-Member Boards and Commissions	<i>Integrity</i> 101	#Compliance: Official Use of Social Media – Guidelines and Gray Areas
3:15 - 4:30	Hatch Act Q&A	Transparency and the Public Trust: The Disclosure of Ethics Records under the FOIA	The Full Ethics Story	<i>Integrity</i> Q&A – Answers to Your Questions	Ethics and Public Affairs, Stronger Together

	Auditorium	Balcony A	Balcony B	Room A/B	Room E1/E2
9:30 - 10:45	Making Ethics Education Relevant ... and Therefore Interesting	Ethics and Employee Engagement—Creating an Environment Where Employees Do Their Best	Promoting an Ethical Culture: Setting the Tone from the Top	Benchmarking: Using Data to Build a Stronger Ethics Program	OIG and Agency Cooperation: Channeling Grace, Humor, and Patience to Increase Awareness and Compliance
11:00 - 12:00	Fireside Chat: Michael Horowitz and Chip Christopher				
12:15 - 12:45		Agency Supplemental Ethics Regulation Workshop	How to Use the Ethics Program Inspection Form to Conduct a Self-Assessment	Developing Effective Written Procedures for an Ethics Program	New Employee Orientation—An “Agency Culture” Bootcamp
1:00 - 1:30		Demonstration of Automated Ethics System		Developing Effective Written Procedures for an Ethics Program	Instant Ethics Training: Using OGE-Created Training Tools for Targeted Training
1:45 - 3:00	When Technical Compliance Isn’t Enough: Appearances Matter!	Using Surveys to Support Your Ethics Program: Learn from Your Peers	Ethics Concerns for Private Practice Attorneys Entering and Leaving Government		Ethics, Investigations and Discipline
3:15 - 4:30	A Privacy Primer for Agency Ethics Officials	Advice and Counsel Data Call: Summary of Agency Responses	Advising Employees Who Want to Sell a Book Idea	Honoring the Unenforceable	One Size Does Not Fit All: Using Enterprise Risk Management Tools to Customize Ethics Education

	Auditorium	Balcony A	Balcony B	Room A/B	Room E1/E2
9:30 - 10:45	Anticipating and Addressing Corruption Risks When Employees Seek New Employment	A Question of Impartiality: How Would You Advise?	Statutory Updates and Overview—Prohibited Personnel Practices/ Whistleblower Protections	Ethics Program Planning for a Presidential Election Year	Family Trusts and Public Financial Disclosure
11:00 - 12:00	Are You Ready? Preparing for the Presidential Election				
12:15 - 12:45			<i>Integrity</i> Best Practices	Practical Tools & Procedures for Preparing Employees Leaving Government Service	
1:00 - 1:30					Certification of Ethics Agreement Compliance: Process, Pitfalls & Possibilities
1:45 - 3:00	Money on My Mind: An Introduction and Refresher to 18 U.S.C. § 208	<i>Integrity</i> Nominee Functionality	Certificates of Divestiture (CDs)	Analyzing Common and Complex Financial Interests: A Roadmap	Journey to Nomination
3:15 - 4:30	Intersecting Perspectives: Post-Employment Counseling from Both Sides	Vacancies in High-Level Positions and Delegations of Authority	<i>Integrity</i> : Preparing for the 2020 Annual Filing Season	Difficulties with Divestiture	Public Financial Disclosure Reports Requiring OGE Certification: Tips for Agency Reviewers



9:30-9:40

Auditorium

**Administrative Remarks**

Nicole Stein, Office of Government Ethics

9:40-9:50

Auditorium

**Welcome Remarks**

Emory A. Rounds, III, Director, Office of Government Ethics

9:50-10:30

Auditorium

**Ethics Challenges, Changes, and the Next Chapter: The View from OGE on the Executive Branch Ethics Program**

Hear from OGE leaders at this panel discussion about recent highlights, initiatives, and what's next for the executive branch ethics program.

David J. Apol, Office of Government Ethics

Dale "Chip" Christopher, Office of Government Ethics

Shelley K. Finlayson, Office of Government Ethics

10:45-12:00

Auditorium

**Transparency and the Public Trust: The Disclosure of Ethics Records under the Ethics in Government Act**

The "public" aspect of the public financial disclosure program plays an important role in promoting confidence in government decision making. This session will provide an overview of the disclosure provisions of the Ethics in Government Act and agencies' responsibilities thereunder. It will also include a practical look at how OGE processes EIGA disclosure requests.

Megan Granahan, Office of Government Ethics

Jennifer Matis, Office of Government Ethics

Rachel McRae, Office of Government Ethics

**Global Perspectives on Preventing Corruption and Conflicts of Interest**

In this session, experts from the Organisation for Economic Co-Operation and Development (OECD), the World Bank, and the United Nations' Stolen Asset Recovery Initiative (StAR) will discuss global trends and developing practices that are used to prevent public sector corruption and conflicts of interest around the world. Through exposure to the innovative ways our international colleagues deal with these challenges, attendees will learn about different international approaches that may affect and improve their own ethics program practices and procedures.

Dr. Julio Bacio Terracino, Organisation for Economic

Co-operation and Development

Elsa Gopala Krishnan, United Nations Stolen Asset Recovery Initiative

Alexandra Habershon, World Bank Group

Seth Jaffe (moderator), Office of Government Ethics

**Using Outreach to Maximize Limited Resources: Innovative Approaches by USDA and DOI (Part I)**

USDA and DOI have employees stationed across the United States and around the world. To get the word out about ethics, our offices focused on five distinct areas: (1) developing video training resources; (2) developing and updating USDA's Ethics App; (3) increasing in-person outreach through field visits; (4) distributing electronic "Ethics One-Pagers"; and (5) utilizing online learning management systems. This session will touch on how the presenters went about increasing ethics awareness and provide you with practical tips to replicate some of these practices in your agency. *Part II of this session will take place from 12:15 to 12:45 in Room A/B.*

Alice Bartek-Santiago, Department of the Interior

Cynthia Brown, Department of the Interior

Stuart Bender, Department of Agriculture

Andrew Tobin, Department of Agriculture

10:45-12:00

Balcony A

10:45-12:00

Room A/B

10:45-12:00  
Room E1/E2**Conference Speakers, Registration Fees, and the Federal Travel Regulation: The Latest Updates**

In November 2019, the Federal Travel Regulation changed in important ways with respect to speakers who travel to conferences: primarily, a registration fee waiver for a speaker is no longer considered a gift on the day (or days) when the speaker is presenting at the conference. In this session, a representative from GSA's Office of Governmentwide Policy will discuss how the changes provide more clarity and efficiency for Federal agencies. A representative from OGE will be available to address any ethics-related questions.

Jill Denning, General Services Administration  
Cheryl Kane-Piasecki, Office of Government Ethics

12:15-12:45  
Balcony A**Proposed Updates to the Standards of Conduct**

This session will discuss OGE's continuing work to update and modernize the Standards of Conduct. Unlike recent comprehensive regulatory revisions to Subparts B and F, the bulk of OGE's current effort is more simply focused on incorporating past interpretive guidance, updating regulatory examples, improving clarity, updating citations, and making technical corrections. This session will provide a general overview of the updates OGE will be suggesting as part of the 'modernization' of the Standards, and also will include a discussion of the few substantive changes OGE will be proposing, including updates to Subparts C and E.

David J. Apol, Office of Government Ethics  
Kimberly L. Sikora Panza, Office of Government Ethics

12:15-12:45  
Room A/B**Using Outreach to Maximize Limited Resources: Innovative Approaches by USDA and DOI (Part II)**

*This session, which is a continuation of the session that takes place from 10:45 to 12:00 in Room A/B, focuses on specific tactics.*

**Which Came First, the Congressional Inquiry or the Press?**

As headlines and hearings hold government officials accountable, effectively working with Congress and the press is essential. This session will discuss proactive strategies to increase understanding of the executive branch ethics program and provide an overview of OGE's communications and legislative affairs teams.

Grant Anderson, Office of Government Ethics  
Elizabeth D. Horton, Office of Government Ethics

12:15-12:45  
Room E1/E2**Want to Work at an International Organization? A Post-Government Restriction Waiver Guide**

Many federal employees do not realize that Congress has provided a special approval process to relieve former federal employees working at international organizations from the usual post-government restrictions that would otherwise apply. Under 18 U.S.C. § 207(j)(3), the Secretary of State has authority to prospectively waive these restrictions under certain circumstances. In this session, the presenters will explain the standards and process for seeking and receiving such waivers.

Margaux Radano, Department of State  
John Schnitker, Department of State

1:00-1:30  
Balcony A**The IEG: A Powerful Tool for Developing Your Agency's Ethics Staff**

Join us for a short discussion of strategies for using the Institute for Ethics in Government training library to help develop the ethics officials who administer your agency's ethics program. We will share some ready-made curricula you can use now, some lessons learned from training OGE's staff, and show you how to create bespoke curricula to meet the needs of your ethics program.

Cheryl Kane-Piasecki, Office of Government Ethics  
Patrick Shepherd, Office of Government Ethics

1:00-1:30  
Room A/B



1:00-1:30

Room C1/C2

**Getting to Compliance**

In this session, we will identify recurring compliance challenges and break into groups to brainstorm ways to address them. We will then reconvene to share our ideas with the group as a whole.

Suzanne Meyer, Office of Government Ethics

1:45-3:00

Auditorium

**The 2020 Election Season: What Every Federal Employee Needs to Know about the Hatch Act**

With the presidential election in full swing, this session will provide a detailed look at prohibited and permitted activities under the Hatch Act, which governs the political activity of federal employees. Special attention will be placed on novel issues and emerging trends the Office of Special Counsel observed during and since the last election cycle, such as agency and employee participation on social media. The session will also (1) identify issues that are likely to arise for agency principals; (2) discuss recent disciplinary actions; and (3) provide guidance on how agencies can promote a nonpartisan work environment this year and beyond.

Ana Galindo-Marrone, Office of Special Counsel

**Crowdsourcing: Pointers and Pitfalls**

This session will be a panel discussion about the ethics concerns surrounding the increasingly popular use of crowdsourced fundraising websites. Our panel will address ethics challenges specific to crowdsourced fundraising, such as screening online donations for prohibited sources and referencing an employee's official position on a fundraising website. We will also discuss how to apply ethics rules to various common crowdsourcing situations, such as fundraisers established by family members and crowdsourcing within the Federal workplace. OGE has received a high volume of agency questions about this emerging area and looks forward to a discussion on how to apply the ethics rules to new technology.

Erica Dornburg, Department of Homeland Security  
Elizabeth J. Fischmann, Department of Health and Human Services

Maura Leary (moderator), Office of Government Ethics  
CDR Eric Nelson, JAGC, United States Navy

**Unique Ethics Challenges Faced by Multi-Member Boards and Commissions**

Ethics officials at multi-member boards and commissions face unique challenges. For example, such ethics officials must master objectively and diplomatically delivering ethics advice to multiple presidentially appointed members, directors, or commissioners from different political parties. Board members may have years of experience with government ethics requirements, or none at all. Navigating these circumstances can be challenging, and hearing from veteran ethics officials who have walked that road before may help you find your way more easily. This panel session will address some hot topics related to running an ethics program at a board or commission.

Joseph Gilman, Defense Nuclear Facilities Safety Board  
Amy Mertz Brown, Securities and Exchange Commission  
Neysa Slater-Chandler, Nuclear Waste Technical Review Board  
Andrew Welz, National Transportation Safety Board

1:45-3:00

Balcony A

1:45-3:00

Room A/B

1:45-3:00

Room C1/C2

**Integrity 101**

This session will provide users with an introduction to *Integrity* resources and an overview of filer, reviewer, and administrator features.

Elysabeth Benjamin, Office of Government Ethics  
Rodrigo Gamarra (contractor), Office of Government Ethics  
George Hancock, Office of Government Ethics  
Tracy Hurston, Office of Government Ethics

1:45-3:00

Room E1/E2

**#Compliance: Official Use of Social Media – Guidelines and Gray Areas**

It's a POIDH (Pictures Or It Didn't Happen!) world and your agencies are posting, tweeting, and 'gramming everything from job announcements to snapshots from space. These official social media activities raise numerous #GeneralLaw issues. Don't be 🙄. We've got answers (and more questions, TBH) on ethics, records, and more.

Kristen Albrittain, National Archives and Records Administration  
David J. Apol (moderator), Office of Government Ethics  
Hannah Bergman, National Archives and Records Administration  
Elizabeth Hochberg, U.S. Trade and Development Agency  
David Taube, Office of Government Ethics

3:15-4:30

Auditorium

**Hatch Act Q&A**

This session will be an open Q&A for Hatch Act related questions.

Ana Galindo-Marrone, Office of Special Counsel

**Transparency and the Public Trust: The Disclosure of Ethics Records under the FOIA**

Agency ethics officials are often called upon to assist their agency Freedom of Information Act (FOIA) staff in reviewing ethics records for release. To assist ethics officials in that role, this session will provide an overview of the FOIA and highlight special considerations for the disclosure of ethics records.

Jennifer Matis, Office of Government Ethics  
Rachel McRae, Office of Government Ethics  
Sara Nekou, Office of Government Ethics

**The Full Ethics Story**

When an ethics violation happens, the impacts on the agency go beyond a laundry list of rules violated. In this workshop, you will work with other attendees to explore a case study illustrating the full ethics story – including impact. What interventions can help protect the integrity of your agency's programs? How, as an ethics official, would you implement your ideas? Are you thinking "what else"? We encourage you to share your experiences and learn from other ethics officials who have faced similar challenges.

Roland DeLeon, Office of Government Ethics  
Kim H. Kaplan, Office of Government Ethics

**Integrity Q&A – Answers to Your Questions**

In this session, the *Integrity* Team will answer questions about OGE's public financial disclosure filing system.

Elysabeth Benjamin, Office of Government Ethics  
Rodrigo Gamarra (contractor), Office of Government Ethics  
George Hancock, Office of Government Ethics  
Tracy Hurston, Office of Government Ethics

3:15-4:30

Balcony A

3:15-4:30

Room A/B

3:15-4:30

Room C1/C2

3:15-4:30  
Room E1/E2

## **Ethics and Public Affairs, Stronger Together**

Do you have personnel who want to give a speech, make a presentation, write a book, or publish an article? Have you ever had an event involving your agency where you are trying to find someone in public affairs to address concerns? Do you ever speak to the press or have personnel who do? Do you know why you need government public affairs professionals as part of your team? This session will address how ethics and public affairs work together to ensure your personnel and agency are protected.

Mark Kogan, Department of Defense, Military Health System

**9:30-10:45**  
Auditorium

**Making Ethics Education Relevant . . . and Therefore Interesting**

How can we make ethics education more relevant for our audiences, who often have radically different job duties? How can we interest audiences such as engineers, procurement officials, and scientists in ethics when they feel the subject is far removed from their everyday duties? Besides annual training, what can we do to disseminate relevant ethics information throughout the year? Our panel will share past practices and suggestions – and solicit audience input – for keeping employees engaged and audiences on the edge of their seats . . . or at least awake.

Adhana Davis, National Aeronautics and Space Administration  
Jennifer Dure, National Aeronautics and Space Administration  
Dawn Feick, National Aeronautics and Space Administration

**9:30-10:45**  
Balcony A

**Ethics and Employee Engagement—  
Creating an Environment Where  
Employees Do Their Best**

Ethics and employee engagement are closely connected. Both affect employees’ perceptions about the integrity of their organization, the quality of their leaders, and how employees perform their work. In this session we will consider how ethics programs can use the FEVS and other employee input to:  
(1) encourage leadership to promote integrity and accountability in both actions and decision-making across the organization;  
(2) assess where the organization is performing well and where there are potential ethics risks; and (3) measure the quality of the ethics program and its support of the work of the organization.

Peter Constantine, Department of Labor  
Adam Greenstone, National Aeronautics and Space Administration  
Camille Hoover, National Institutes of Health, Department of Health and Human Services  
Cheryl Kane-Piasecki (moderator), Office of Government Ethics

**9:30-10:45**  
Balcony B

**Promoting an Ethical Culture: Setting the Tone from the Top**

Three cabinet-level agency ethics officials will share their perspective, successes, and challenges in building and promoting an ethical culture. How can ethics officials convey the mission imperative for ethics and ethical decision-making? Are the 14 Principles of Ethical Conduct enough? Learn best practices and examples of leaders who set a positive “tone from the top.” Share ideas about what to do when leader messaging and conduct does not promote an ethical culture. Attendees will take away new ideas and renewed excitement for their role in moving organizations beyond mere compliance with minimum standards.

Stuart Bender (moderator), Department of Agriculture  
Scott de la Vega, Department of the Interior  
Scott Thompson, Department of Defense

**9:30-10:45**  
Room A/B

**Benchmarking: Using Data to Build a Stronger Ethics Program**

This session will explore how benchmarking your ethics program can help you identify potential strengths, weaknesses, and better meet the needs of your agency and its employees. External benchmarking provides an opportunity to develop a broader view of your agency’s ethics program in comparison with other agencies and to identify potential communities of ethics practice. Internal benchmarking establishes the baseline of current performance to set goals and to identify measurable objectives. Discussion will cover examples of how benchmarking can be tailored to both large and small agency ethics programs.

Monica Garcia, Department of the Interior  
Heather Gottry, Department of the Interior

**9:30-10:45**  
Room E1/E2

**OIG and Agency Cooperation: Channeling Grace, Humor, and Patience to Increase Awareness and Compliance**

Have you ever wished for a smoother relationship between the agency and the OIG when implementing OGE's ethics requirements? Have you ever struggled with counseling up? Have you wondered how you could turn a wearisome annual ethics training into the most exciting training of the year? This presentation will discuss using humor and patience to successfully tackle these timeworn issues—and more. Come prepared to participate—and bring your best ethics stories and jokes to share.

Nancy Eyl, Appalachian Regional Commission  
Gladis C. Griffith, U.S. Postal Service

**11:00-12:00**  
Auditorium

**Fireside Chat: Michael Horowitz and Chip Christopher**

In this plenary session, the Honorable Michael E. Horowitz, Chair of the Council of the Inspectors General on Integrity and Efficiency (CIGIE) and Inspector General for the U.S. Department of Justice, will share his insights regarding the intersection of interests between Inspectors General and the ethics community.

Dale "Chip" Christopher, Office of Government Ethics  
Michael Horowitz, Council of the Inspectors General on Integrity and Efficiency and Department of Justice

**Agency Supplemental Ethics Regulation Workshop**

OGE's Legal Advisory addressing agency supplemental ethics regulations (LA-11-07) was issued nearly a decade ago. The purpose of this workshop is to share recently updated and newly developed resources relating to agency supplemental regulations. The goal in sharing these resources is to assist agency ethics officials who have questions regarding the supplemental process or who have an interest in adopting or modifying their regulations for their agencies. In this workshop we will review updated and new resources including: A Supplemental Regulations Quick Reference Chart and Detailed Chart; a Section-by-Section Analysis for Proposed Supplemental Ethics Regulations; and a Side-by-Side Comparison of Current and Proposed Supplemental Ethics Regulations.

Seth Jaffe, Office of Government Ethics  
Kimberly L. Sikora Panza, Office of Government Ethics

**How to Use the Ethics Program Inspection Form to Conduct a Self-Assessment**

Take a peek behind the curtains and see how OGE determines compliance with the elements on the inspection form, and learn how your agency can conduct a self-assessment.

Tri Duong, Office of Government Ethics  
Robert E. Lubitz, Office of Government Ethics

**12:15-12:45**  
Balcony A

**12:15-12:45**  
Balcony B

**12:15-12:45**  
Room A/B

### **Developing Effective Written Procedures for an Ethics Program**

Standard operating procedures and similar written guidance are essential tools for an organization's daily operations and continuity. Effective written procedures ensure consistency across an agency's ethics program, from headquarters to subcomponents and regional offices, as well as satisfy certain statutory and regulatory requirements. Join OGE's moderated discussion on strategies to develop effective written guidance for various ethics program elements. *This session will be repeated at 1:00 in Room A/B.*

J. Mathai, Office of Government Ethics  
David Meyers, Office of Government Ethics

**12:15-12:45**  
Room E1/E2

### **New Employee Orientation—an "Agency Culture" Bootcamp**

Every agency has a distinct culture that is reflected in the work it performs, the achievements it prides, the beliefs that it values, and the behaviors it rewards or punishes. During this session we will explore how your initial ethics orientation can/should introduce new employees to your agency's culture by addressing some or all of the following: (1) this is who we are; (2) this is what we do; (3) this is what we value and believe; and (4) this is how we do our work consistent with who we are and what we value and believe.

Cheryl Kane-Piasecki, Office of Government Ethics

**1:00-1:30**  
Balcony A

### **Demonstration of Automated Ethics System**

Assigning and managing confidential financial disclosure reports, speaking and invitation requests, and training records is a substantial project for many agencies. It is critical that agencies have a system that stores important ethics information and is easily searchable. OMB will demonstrate its Ethics system, including the functions that permit easy review and clearance, compliance reviews, and reporting.

Rachel Kim, Office of Management and Budget  
Steve Kuennen, Office of Management and Budget

### **Developing Effective Written Procedures for an Ethics Program**

*This session is a repeat of the session that takes place from 12:15 to 12:45 in Room A/B.*

**1:00-1:30**  
Room A/B

### **Instant Ethics Training: Using OGE-Created Training Tools for Targeted Training**

We all understand that targeted ethics training is more effective at helping our employees navigate ethics challenges in the workplace. But, who has time to design bespoke training for every office and program? In this session, instructors from the Institute for Ethics in Government will share some ready-made tools that can help you plan, develop, deliver, and evaluate customized ethics training, and do so quickly! So join us and learn how you can develop instant ethics training.

Patrick Shepherd, Office of Government Ethics  
Michele Worthington, Office of Government Ethics

**1:00-1:30**  
Room E1/E2

### **When Technical Compliance Isn't Enough: Appearances Matter!**

In this session, we will look at how a series of unfortunate actions by individuals in connection with a high profile procurement resulted in years of media and Congressional inquiries, investigations, litigation and delays, even where no actual violations of law or regulation took place.

Danica Irvine, Department of Defense

**1:45-3:00**  
Auditorium



1:45-3:00

Balcony A

### Using Surveys to Support Your Ethics Program: Learn from Your Peers

Have you thought about developing a survey to support your ethics program, but felt overwhelmed at the prospect? Or maybe you've discarded the idea because you're concerned that your fellow employees are feeling survey fatigue? Join us to get inspiration and concrete ideas about how to craft an effective survey to support your ethics program. The panel will discuss various approaches to survey design; how to promote employee participation; the importance of developing questions that provide useful data; how to use data to measure the effectiveness of your ethics program, and more.

Kathy Burow, National Labor Relations Board  
Caitlin Cater, National Endowment for the Humanities  
Peter Constantine, Department of Labor

1:45-3:00

Balcony B

### Ethics Concerns for Private Practice Attorneys Entering and Leaving Government

Attorneys entering the government from or leaving to go to private practice raise a particular set of ethics concerns. This presentation will walk through common interests of private practice attorneys that need to be considered from an ethics perspective, including law firm equity, partnership share, contingency and referral fees, and partner retirement plans, among others, and will discuss special considerations for small-firm attorneys and solo practitioners. We also will address ethics issues that may arise when a government employee has a spouse who is an attorney in private practice, and will highlight potential ethics issues for attorneys departing government for private practice.

Heather Jones, Office of Government Ethics  
Kimberly L. Sikora Panza, Office of Government Ethics

### Ethics, Investigations and Discipline

This session will discuss the relationship between: (1) the ethics regulations and related policies, as well as rules of professional conduct; (2) investigations that result from alleged violations of these authorities; and (3) resulting actions that can be taken against employees. The session will review the entire process, including the roles and responsibilities of agency officials in providing advice and reporting misconduct, the different entities that may investigate ethics violations, and the implementation of discipline and other penalties against individuals found to have violated ethics-related rules and policies.

Jeff Rosenbloom, Federal Deposit Insurance Corporation  
Jill Weissman, Department of Justice

1:45-3:00

Room E1/E2

### A Privacy Primer for Agency Ethics Officials

In this session, we will give an overview of the recent changes to the two OGE Governmentwide Privacy Act systems of records. The session will discuss basic privacy concepts and touch on best practices for ethics officials dealing with privacy issues. The goal is that agency ethics officials will walk away from this session with sufficient information to effectively collaborate with their agency's information law specialists to ensure that privacy issues are appropriately addressed in their agency's program.

Jennifer Matis, Office of Government Ethics  
Diana J. Veilleux, Office of Government Ethics

3:15-4:30

Auditorium

3:15-4:30  
Balcony A

### Advice and Counsel Data Call: Summary of Agency Responses

In this session, Desk Officers will summarize agency responses to the 2019 advice and counsel data call. The session will describe how agencies structure their advice and counsel program, raise employee awareness of the availability of ethics advice, and ensure consistency of advice. The session will also review how agencies use technology to support the advice and counsel function and how agencies assess their advice and counsel process. This session will include time for question and answers.

Chris Brown, Office of Government Ethics  
Kehli Cage, Office of Government Ethics  
Roland DeLeon, Office of Government Ethics  
Wendy Pond, Office of Government Ethics

3:15-4:30  
Balcony B

### Advising Employees Who Want to Sell a Book Idea

Agency ethics officials are often presented with questions about whether a Government employee may accept compensation for outside teaching, speaking, or writing during Government service. To assist agency ethics officials with these questions, this session will review the purpose of section 2635.807 and provide guidance on how best to evaluate the issues involved when employees want to know whether they can get paid for outside teaching, speaking, or writing. This session will also address issues specific to employees preparing to leave government service and write a book, including whether an outgoing employee may “shop a book around” or engage in promotional activities.

Seth Jaffe, Office of Government Ethics  
Rachel McRae, Office of Government Ethics

### Honoring the Unenforceable

What if there were no penalties for ethics violations – no criminal or administrative penalties, no letters of reprimand, no nothing? How would you get employees to comply with the ethics laws, regulations, policies, and principles? This session is a facilitated discussion in which you will work creatively and collaboratively with fellow participants to explore this intriguing question.

Kim H. Kaplan, Office of Government Ethics  
Suzanne Meyer, Office of Government Ethics

3:15-4:30  
Room A/B

### One Size Does Not Fit All: Using Enterprise Risk Management Tools to Customize Ethics Education

Ethics risks and training needs vary dramatically, not only across the executive branch, but even within a single federal agency. In this session, the presenters will discuss how Enterprise Risk Management (ERM) tools helped USAGM identify significant differences in ethics risks and training needs agency-wide. USAGM Counsel will share the customized ethics training and communications strategy that resulted from her Agency’s ethics-specific ERM process and how it helped her office better target different populations and ethics risks across USAGM.

Dana Sade, U.S. Agency for Global Media  
Patrick Shepherd, Office of Government Ethics

3:15-4:30  
Room E1/E2

9:30-10:45

Auditorium

### Anticipating and Addressing Corruption Risks When Employees Seek New Employment

Employees who are seeking new employment present ethics challenges that are different from incoming or current employees. Employees' motivations and incentives change when they are preparing to leave, and those motivations and incentives do not always align with the public interest. As a result, separation is a time of increased risk for corruption and harm to agency operations. This course will discuss how agencies can adopt some of the tools of enterprise risk management to strategically anticipate and address those risks at the organizational, group, and individual level.

Chris Swartz, Department of the Interior

9:30-10:45

Balcony A

### A Question of Impartiality: How Would You Advise?

Section 2635.502 of the Standards of Conduct helps "ensure that an employee takes appropriate steps to avoid an appearance of loss of impartiality." As part of this process, both employees and agency designees must put themselves in the shoes of a "reasonable person" in deciding whether employees should participate in certain matters. At the same time, there may be other circumstances that could raise a question regarding an employee's impartiality, even if those circumstances don't fall squarely within the regulation. Join us as we explore some of these scenarios and ask, "how would you advise?"

David J. Apol, Office of Government Ethics  
Monica Ashar, Office of Government Ethics  
Cynthia K. Shaw, Department of Justice

### Statutory Updates and Overview—Prohibited Personnel Practices/ Whistleblower Protections

The trainer will present an overview of the 14 Prohibited Personnel Practices (PPPs) with a focus on whistleblower protections. The presentation will also cover recent statutory changes to Title 5 whistleblower protections and present recent examples of the most commonly filed PPPs.

Shirine E. Moazed, Office of Special Counsel

### Ethics Program Planning for a Presidential Election Year

Presidential election years place serious demands upon executive branch ethics programs. Managing the increased workload in advice and counsel, financial disclosure, and ethics training requires sound planning, creativity, and careful execution. In this interactive workshop, we will work together to develop strategies for anticipating periods of increased workload, leveraging limited resources, and seeking assistance from other stakeholders in your organization.

Patrick Shepherd, Office of Government Ethics

### Family Trusts and Public Financial Disclosure

This session addresses how the public financial disclosure requirements apply to family trusts and the conflicts considerations raised by services with, interests in, and payments from a trust. Particular emphasis will be given to determining when a filer has a reportable current or future interest and when such an interest requires the disclosure of the trust's underlying holdings and the transactions involving those holdings. However, the session will also cover compensated and uncompensated trustee positions, discretionary trust income, transactions with trusts, and loans and gifts to or from trusts.

Keith Labedz, Office of Government Ethics

9:30-10:45

Balcony B

9:30-10:45

Room A/B

9:30-10:45

Room E1/E2

11:00-12:00  
Auditorium**Are You Ready? Preparing for the Presidential Election**

The peaceful transfer of power from one Administration to the next is one of the remarkable aspects of our democracy. Join us for an informative panel discussion about the work underway to be ready for the Presidential election, regardless of outcome, from the unique perspective of each of our expert panelists.

Shelley K. Finlayson, Office of Government Ethics  
Mary Gibert, Federal Transition Coordinator, General Services Administration  
Dr. Martha Kumar, Director, White House Transition Project  
David Marchick, Director, Center for Presidential Transition, Partnership for Public Service

12:15-12:45  
Balcony B**Integrity Best Practices**

Hear recommendations on getting the most from *Integrity*, OGE's electronic filing system for OGE 278s.

Elysabeth Benjamin, Office of Government Ethics  
Rodrigo Gamarra (contractor), Office of Government Ethics  
George Hancock, Office of Government Ethics  
Tracy Hurston, Office of Government Ethics

12:15-12:45  
Balcony A/B**Practical Tools and Procedures for Preparing Employees Leaving Government Service**

As federal employees prepare to leave the government, ethics officials provide ongoing support for their departures by providing valuable proactive seeking and post-employment counseling. In this session we will discuss preemptive strategies for anticipating points of behavioral and organizational risk when employees begin seeking employment. We will also identify practical tools and procedures agencies can use to mitigate these risks in order to protect agency programs and assist employees in avoiding conflicts of interest before and after they leave government service.

Cheryl Kane-Piasecki, Office of Government Ethics  
Bernadette Tolson, Office of Government Ethics

**Certification of Ethics Agreement Compliance: Process, Pitfalls, and Possibilities**

OGE staff will explain how OGE processes Certification of Ethics Agreement Compliance forms, what to watch out for, and what happens when a Presidentially appointed, Senate-confirmed official fails to timely comply with their ethics agreement. But, primarily, this is an opportunity for ethics practitioners to ask questions and share the benefits of their experiences with OGE. If you have questions about the process or suggestions for how it can be improved, this session is an opportunity.

Doug Chapman, Office of Government Ethics  
Michelle Walker, Office of Government Ethics  
Josh Yanetsko, Office of Government Ethics

1:00-1:30  
Room E1/E2**Money on My Mind: An Introduction and Refresher to 18 U.S.C. § 208**

Self-Dealing. Corruption. Betraying the public trust. Acts affecting a personal financial interest, 18 U.S.C. § 208, is the quintessential law that the public associates with a conflict of interest. Intended for both new and experienced ethics officials, presenters will review the history of the statute, its individual elements and nuances, common pitfalls, associated exemptions and waiver mechanisms, as well as useful OGE guidance on this omnipresent statute.

Karena Dees, Department of Health and Human Services  
Patrick Lightfoot, Office of Government Ethics

1:45-3:00  
Auditorium**Integrity Nominee Functionality**

This session demonstrates how to use *Integrity* for PAS Nominee reports. After an overview of the Nominee workflow, participants will follow a sample financial disclosure report within *Integrity* from the assignment of the initial draft to final certification. Along the way, participants will learn about user roles and features specific to Nominee reports.

Keith Labeledz, Office of Government Ethics

1:45-3:00  
Balcony A

**1:45-3:00**  
Balcony B

**Certificates of Divestiture (CDs)**

This session will focus on various CD issues that seem to arise at the least opportune time. We will discuss timing issues, what constitutes “similar or related property,” prohibited holdings, trust instruments, and more.

Elaine Newton, Office of Government Ethics  
Danae Serrano, Securities and Exchange Commission

**1:45-3:00**  
Room A/B

**Analyzing Common and Complex Financial Interests: A Roadmap**

In this interactive session, we will discuss step-by-step strategies that can assist both new and experienced financial disclosure reviewers in ensuring compliance with the reporting requirements of the Ethics in Government Act and addressing potential conflicts of interest under 18 U.S.C. § 208 and 5 C.F.R. Part 2640. In the process, we will also apply those strategies to a variety of common and complex financial interests.

Monica Ashar, Office of Government Ethics  
Deborah Bortot, Office of Government Ethics  
Stephanie Nonluecha, Office of Government Ethics

**1:45-3:00**  
Room E1/E2

**Journey to Nomination**

You are assigned a Presidential nominee report in *Integrity*. What do you do now? This session will walk you through the journey from notification to nomination from both the agency and OGE perspectives. We will share helpful guidance, lessons learned, and practical strategies that agencies use to analyze conflicts and work with filers to resolve potential conflicts.

M. J. (Alex) Alexander, Department of State  
Sean Croston, Board of Governors of the Federal Reserve System  
Jeffrey Green, Department of Defense  
Lorna Syme, Office of Government Ethics  
Teresa Williamson, Office of Government Ethics

**Intersecting Perspectives: Post-Employment Counseling from Both Sides**

When government employees transition into the private sector, agency ethics officials and corporate compliance officials can be partners in promoting ethical conduct. This session will discuss how these two kinds of officials assist former government employees and how they can work together. It will also offer a glimpse into corporate ethics and compliance programs and allow the audience to ask questions and gauge best practices.

David Taube, Office of Government Ethics  
Ruth Vetter, Boeing Defense, Space & Security and Government Operations

**Vacancies in High-Level Positions and Delegations of Authority**

This session will focus on legal issues related to vacancies in Senate-confirmed positions at Executive agencies. The discussion will provide an overview of the Vacancies Reform Act and related areas of law, including delegation of authorities, reassignment of duties, and agency orders of succession.

Laura Heim, Department of Justice

***Integrity*: Preparing for the 2020 Annual Filing Season**

Attend to learn recommendations for surviving the 2020 Annual Filing Season. What needs to be done by when for a best-ever experience.

Elysabeth Benjamin, Office of Government Ethics  
Rodrigo Gamarra (contractor), Office of Government Ethics  
George Hancock, Office of Government Ethics  
Tracy Hurston, Office of Government Ethics

**3:15-4:30**  
Auditorium

**3:15-4:30**  
Balcony A

**3:15-4:30**  
Balcony B

**3:15-4:30**

Room A/B

**Difficulties with Divestiture**

This will be an interactive session in which participants work in small groups to solve challenging divestiture scenarios. The facilitators will help identify the red flags that indicate a difficult divestiture situation may be afoot. They will present scenarios encountered during their work in the nominee program and detail how a divestiture solution was reached. The facilitators will also provide guidance about when other remedies may be considered and when divestiture is the only remedy available.

Heather Jones, Office of Government Ethics  
Jody Keegan, Office of Government Ethics  
Jack MacDonald, Office of Government Ethics

**3:15-4:30**

Room E1/E2

**Public Financial Disclosure Reports  
Requiring OGE Certification: Tips for  
Agency Reviewers**

This session is geared towards agency ethics officials who have responsibility for the review of those public financial disclosure reports required to be submitted to OGE for final certification. We'll discuss OGE's review process, highlight common technical reporting errors we see during our reviews, address frequently asked questions we receive from agency reviewers, and provide general tips with the goal of minimizing the amount of follow up required for OGE certification.

Megan Granahan, Office of Government Ethics  
Mark Stewart, Office of Government Ethics



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# ROOM C1/C2

**Wednesday**  
9:30-4:30

Visit the ***Integrity*** Help Desk Kiosk to say hello or for assistance in making a change or discussing possible changes to agency settings. The Help Desk lead or an ***Integrity*** team member will be available to answer your questions about ***Integrity***.

**Thursday**  
9:30-4:30

Sign up at the registration desk to preview parts of **OGE's Redesigned Website** and offer user feedback.

UNITED STATES OFFICE OF  
**GOVERNMENT ETHICS**

— ★ —  
Preventing Conflicts of Interest  
in the Executive Branch