

ETHICS PROGRAM REVIEW FOLLOW-UP REPORT

Agency: Defense Intelligence Agency

Follow-up to OGE Report Number: 18-58I

Report No.: 20-11IF

Date: April 24, 2020

UNITED STATES OFFICE OF
GOVERNMENT ETHICS


Preventing Conflicts of Interest
in the Executive Branch

As a result of its inspection of the Defense Intelligence Agency (DIA) ethics program, the U.S. Office of Government Ethics (OGE) issued eight recommendations in its September 2018 inspection report. OGE conducted a follow-up review to assess whether DIA has taken sufficient action to resolve the deficiencies underlying these recommendations. The results of the follow-up review are summarized below:

	Recommendation	Agency Action and OGE Finding	Status
1	Ensure that public financial disclosure reports are certified timely	During the follow-up review, OGE determined that DIA is working to improve the timely certification of public financial disclosure reports. OGE will keep this recommendation open pending additional follow-up.	Open
2	Ensure that new entrant confidential financial disclosure reports are filed timely	<p>During the follow-up review, OGE verified that 103 (85%) of the 120 new entrant confidential reports filed from January 2019 to the date of OGE's onsite follow up were filed timely.</p> <p>This represents a vast improvement from our September 2018 inspection finding when OGE identified that only 36% of the sampled confidential new entrant reports examined filed timely.</p> <p>OGE encourages the Ethics Office to continue to monitor this area of its ethics program to help ensure that new entrants are identified timely, and once identified, file their new entrant reports timely.</p>	Closed
3	Ensure that annual confidential financial disclosure reports are filed timely	<p>During the follow-up review, OGE verified that all 444 (100%) annual confidential reports filed in 2019 were filed timely.</p> <p>This again shows marked improvement, as OGE's September 2018 report indicated that only 64% of the annual confidential reports OGE examined filed timely.</p>	Closed

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4	Ensure that confidential financial disclosure reports are certified timely	<p>During the follow-up review, OGE verified that of the 564 new entrant and annual confidential reports filed since OGE's original inspection, 534 (95%) were certified timely.</p> <p>This represents a significant improvement from OGE's September 2018 inspection finding when OGE identified that only 74% of the sampled confidential reports examined were certified timely.</p>	Closed
5	Establish written procedures for issuing notices to prospective employees, as required by 5 C.F.R. § 2638.303(c)	Written procedures for issuing notices to prospective employees were established, which the DAEO committed to reviewing each year, as required.	Closed
6	Establish written procedures for supervisory ethics notices, as required by 5 C.F.R. § 2638.306(d)	Written procedures for supervisory ethics notices were established, which the DAEO committed to reviewing each year, as required.	Closed
7	Ensure that public filers complete their annual ethics training before the end of the calendar year as required by 5 C.F.R. § 2638.308(a)	During the follow-up review, OGE confirmed that all 184 public filers who were required to complete annual ethics training did so by the end of 2018.	Closed
8	Ensure that confidential filers complete their annual ethics training before the end of the calendar year as required by 5 C.F.R. § 2638.307(a)(d)	During the follow-up review, OGE confirmed that 502 of the 503 confidential filers that were required to complete annual ethics training did so by the end of 2018. The one filer not trained was on extended medical leave.	Closed

Based on the results of OGE's follow-up review, all recommendations except for recommendation 1 are closed. OGE will conduct an additional follow-up review in 2020 to assess whether the remaining recommendation can be closed.