

ETHICS PROGRAM INSPECTION REPORT

Agency: James Madison Memorial Fellowship Foundation

Report No.: 19-271

Date: June 21, 2019

Period Covered by Review: January 1 through December 31, 2018



1.0 AGENCY DATA		
EMPLOYEES		
1.1	Number of full-time agency employees.	3
1.2	Number of Presidentially appointed, Senate-confirmed (PAS) public financial disclosure reports required to be filed.	0
1.3	Number of non-PAS public financial disclosure reports required to be filed.	1
1.4	Number of confidential financial disclosure reports required to be filed.	0
ETHICS PROGRAM		
1.5	Title of Designated Agency Ethics Official (DAEO).	President
1.6	Grade level of DAEO.	Executive Level III
1.7	Title of Alternate DAEO (ADAEO).	Management and Program Analysis Officer
1.8	Grade level of ADAEO.	GS-13
1.9	Title of the primary, day-to-day ethics program administrator.	Management and Program Analysis Officer
1.10	Grade level of the primary, day-to-day ethics program administrator.	GS-13
1.11	Current number of full-time ethics officials.	0
1.12	Current number of part-time ethics officials.	2
1.13	Number of reporting levels between the DAEO and the agency head.	Agency head serves as DAEO
COMMENTS		
<p>(1.2) The James Madison Memorial Fellowship Foundation (Foundation) does not have any PAS officials. The public law creating the Foundation established a Board of Trustees to govern the Foundation, consisting of thirteen members. The law specifies that two members of the Senate, two members of the House of Representatives, two members of the federal judiciary, one governor, two members of the general public, and three members from the academic community serve on the board. The Secretary of Education serves as an ex-officio member but is not eligible to serve as Chairman. With the exception of the federal judges and the Secretary of Education, the board is evenly divided between political parties.</p> <p>(1.3) The President/DAEO is appointed by the Board of Trustees and is the Foundation's only public financial disclosure filer. The DAEO's report is initially reviewed by the agency's ADAEO and is then forwarded to OGE for a final review and certification.</p> <p>(1.4) The Foundation has historically had no positions whose incumbents are required to file confidential financial disclosure reports. During the period under review, the Foundation had no confidential filers.</p>		

2.0 LEADERSHIP				
COMPLIANCE REQUIREMENTS		Yes	No	N/A
2.1	OGE has received an up-to-date designation from the agency head naming the DAEO. <i>See</i> 5 C.F.R. § 2638.107(a).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.2	OGE has received an up-to-date designation from the agency head naming the ADAEO. <i>See</i> 5 C.F.R. § 2638.107(a).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
COMMENTS				
None				

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3.0 PUBLIC FINANCIAL DISCLOSURE (OGE Form 278e, OGE Form 278-T)

COMPLIANCE REQUIREMENTS		Yes	No	N/A
The agency has written policies and procedures in place governing: <i>See</i> 5 U.S.C. app. IV, § 402(d)(1).				
3.1	• Collection of public financial disclosure reports	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.2	• Review/evaluation of public financial disclosure reports	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.3	• Public availability of public financial disclosure reports	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.4	The agency can demonstrate that late filing fees are collected or, where appropriate, waivers are issued when public filers do not timely file financial disclosure reports.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
3.5	Public financial disclosure reports are securely maintained. <i>See</i> OGE/GOVT-1.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.6	Public financial disclosure reports are retained in accordance with the retention requirements. <i>See</i> 5 C.F.R. § 2634.603(g)(1).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.7	There is reasonable assurance that the lead human resources official or designee promptly (no later than 15 days after appointment) notifies the DAEO of all appointments to positions that require incumbents to file public financial disclosure reports. <i>See</i> 5 C.F.R. § 2638.105(a)(1).	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
3.8	There is reasonable assurance that the lead human resources official or designee promptly (no later than 15 days after termination) notified the DAEO of terminations of employees in positions that require incumbents to file public financial disclosure reports. <i>See</i> 5 C.F.R. § 2638.105(a)(2).	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
DATA ANALYSIS				%
3.9	Percentage of sampled non-PAS new entrant reports filed timely. <i>See</i> 5 C.F.R. § 2634.201(b).	N/A		
3.10	Percentage of sampled non-PAS annual reports filed timely. <i>See</i> 5 C.F.R. § 2634.201(a).	100%		
3.11	Percentage of sampled non-PAS termination reports filed timely. <i>See</i> 5 C.F.R. § 2634.201(e).	N/A		
3.12	Percentage of sampled non-PAS public financial disclosure reports reviewed within 60 days of receipt. <i>See</i> 5 C.F.R. § 2634.605(a).	0%		
3.13	Percentage of sampled non-PAS public financial disclosure reports certified within 60 days of receipt. <i>See</i> 5 C.F.R. § 2634.605(a).	0%		
3.14	Percentage of sampled PAS annual reports filed timely. <i>See</i> 5 C.F.R. § 2634.201(a).	N/A		
3.15	Percentage of sampled PAS termination reports filed timely. <i>See</i> 5 C.F.R. § 2634.201(e).	N/A		
3.16	Percentage of sampled PAS annual and termination reports reviewed within 60 days of receipt. <i>See</i> 5 C.F.R. § 2634.605(a).	N/A		
3.17	Percentage of sampled PAS annual and termination reports certified within 60 days of receipt. <i>See</i> 5 C.F.R. § 2634.605(a).	N/A		

COMMENTS

(3.4) The one public report filed at the Foundation was not subject to the late filing fee or a waiver of the fee during the period of review.

(3.7) The Foundation's human resource services are administered by the Department of the Interior. Nonetheless, during the period covered by the review, the Foundation did not have any new employees who were required to file a public financial disclosure report.

(3.8) During the period covered by the review, the Foundation did not have any employees terminating from positions whose incumbents are required to file a public financial disclosure report.

(3.12-3.13) During the period covered by the review, the DAEO's public report was not reviewed and certified within 60 days of receipt. Late certification occurred as a result of the ADAEO having pressing duty assignments and being on extended sick leave at that time. While OGE is making no formal recommendation for improvement, it remains essential that reports be reviewed and certified within 60 days of being filed to ensure that potential conflicts of interest are promptly identified and remedied.

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(3.14 – 3.17) The Foundation does not have any PAS officials.

4.0 CONFIDENTIAL FINANCIAL DISCLOSURE

COMPLIANCE REQUIREMENTS

Yes No N/A

The agency has written policies and procedures in place governing: *See* 5 U.S.C app. IV, § 402(d)(1).

4.1	• Collection of confidential financial disclosure reports.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.2	• Review/evaluation of confidential financial disclosure reports.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.3	Confidential financial disclosure reports are securely maintained. <i>See</i> OGE/GOVT-2.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
4.4	Confidential financial disclosure reports are retained in accordance with the retention requirements. <i>See</i> 5 C.F.R. § 2634.604.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
4.5	The agency's OGE-approved alternative confidential financial disclosure system complies with plans approved by OGE. <i>See</i> 5 C.F.R. § 2634.905(a).	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
4.6	There is reasonable assurance that the lead human resources official or designee promptly (no later than 15 days after appointment) notifies the DAEO of all appointments to positions that require incumbents to file confidential financial disclosure reports. <i>See</i> 5 C.F.R. § 2638.105(a)(1).	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

DATA ANALYSIS

%

4.7	Percentage of sampled confidential new entrant reports filed timely. <i>See</i> 5 C.F.R. § 2634.903(b).	N/A		
4.8	Percentage of sampled confidential annual reports filed timely. <i>See</i> 5 C.F.R. § 2634.903(a).	N/A		
4.9	Percentage of sampled reports reviewed within 60 days of receipt. <i>See</i> 5 C.F.R. § 2634.605(a).	N/A		
4.10	Percentage of sampled confidential financial disclosure reports certified within 60 days of receipt. <i>See</i> 5 C.F.R. §§ 2634.605(a) and 2634.909(a).	N/A		

COMMENTS

(4.3, 4.4, and 4.6- 4.10) The Foundation has historically had no positions whose incumbents are required to file a confidential financial disclosure report and had no confidential filers during the period covered by OGE's review.

(4.5) The Foundation does not have an OGE-approved alternative confidential financial disclosure system.

5.0 Notices to Prospective Employees

COMPLIANCE REQUIREMENTS

Yes No N/A

Written offers of employment for positions covered by the Standards of Conduct provide: *See* 5 C.F.R. § 2638.303.

5.1	• A statement regarding the agency's commitment to government ethics.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.2	• Notice that the individual will be subject to the Standards of Conduct and the criminal conflict of interest statutes as an employee.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.3	• Contact information for an appropriate agency ethics office or an explanation of how to obtain additional information on applicable ethics requirements.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
5.4	• Where applicable, notice of the time frame for completing initial ethics training.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.5	• Where applicable, a statement regarding financial disclosure requirements and an explanation that new entrant reports must be filed within 30 days of appointment.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.6	The agency has established written procedures for issuing the notice to prospective employees. <i>See</i> 5 C.F.R. § 2638.303(c).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.7	The agency's written procedures are reviewed by the DAEO each year. <i>See</i> 5 C.F.R. § 2638.303(c).	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

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5.8	The agency can demonstrate that there is an effective process for ensuring all covered employees receive the required information with their written offer of employment. <i>See</i> 5 C.F.R. § 2638.303.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
COMMENTS				
<p>(5.0) As previously noted, the Foundation’s human resource services are administered by the Department of the Interior, including the provision of offer letters to prospective employees. The Foundation had two new employees – one full-time and one part-time – enter on duty during the period covered by OGE’s review.</p> <p>(5.3) OGE did not find a specific ethics point of contact for the agency’s ethics office included in the Foundation’s written notice to prospective employees. However, prior to the conclusion of OGE’s review, the ADAEO confirmed that the letter template would be updated by the Department of Interior to include the ADAEO as the specific ethics point of contact. As a result, OGE is making no formal recommendation.</p> <p>(5.6 -5.7) At the time of OGE’s review, the Foundation had not established written procedures for issuing notices to prospective employees. However, prior to the conclusion of OGE’s review, written procedures had been established which the DAEO will review each year. As a result, OGE is making no formal recommendation.</p>				

6.0 Notices to New Supervisors						
COMPLIANCE REQUIREMENTS				Yes	No	N/A
The agency provides each employee upon initial appointment to a supervisory position with: <i>See</i> 5 C.F.R. § 2638.306.						
6.1	<ul style="list-style-type: none"> • Contact information for the agency’s ethics office. 	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>		
6.2	<ul style="list-style-type: none"> • The text of 5 C.F.R. § 2638.103. 	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
6.3	<ul style="list-style-type: none"> • A copy of, a hyperlink to, or the address of a Web site containing the Principles of Ethical Conduct 	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>		
6.4	<ul style="list-style-type: none"> • Other information the DAEO deems necessary. 	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>		
6.5	The agency has established written procedures for supervisory ethics notices. <i>See</i> 5 C.F.R. § 2638.306(d).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
6.6	The agency’s written procedures are reviewed by the DAEO each year. <i>See</i> 5 C.F.R. § 2638.306(d).	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>		
6.7	The agency can demonstrate that there is an effective process for ensuring that new supervisors receive the required information within one year of appointment. <i>See</i> 5 C.F.R. § 2638.306(b).	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>		
COMMENTS						
<p>(6.1) OGE did not find a specific ethics point of contact on the notice to new supervisors template. However, prior to the conclusion of OGE’s review, the ADAEO confirmed that the letter template would be updated by the Department of Interior to include the ADAEO as the specific ethics point of contact. As a result, OGE is making no formal recommendation.</p> <p>(6.5 – 6.6) At the time of OGE’s review, the Foundation had not established written procedures for issuing ethics notices to new supervisors. However, prior to the conclusion of OGE’s review, written procedures had been established which the DAEO will review each year as required. As a result, OGE is making no formal recommendation.</p> <p>(6.7) The only two employees with supervisory duties at the Foundation are the DAEO and ADAEO. Since both the DAEO and ADAEO have been with the agency for a number of years, OGE could not directly assess compliance with this requirement.</p>						

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7.0 Initial Ethics Training							
COMPLIANCE REQUIREMENTS				Yes	No	N/A	
Each new employee of the agency subject to the Standards of Conduct must complete initial ethics training. <i>See 5 C.F.R. § 2638.304.</i>							
7.1	The training presentation(s) addressed concepts related to conflicts of interest, impartiality, misuse of position and gifts. <i>See 5 C.F.R. § 2638.304(e)(1).</i>				<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
7.2	The agency provided new employees with either the following written materials or written instruction for accessing them: The summary of the Standards of Conduct distributed by the Office of Government Ethics or an equivalent summary prepared by the agency; provisions of any supplemental agency regulation that the DAEO determines to be relevant or a summary of those provisions; such other written materials as the DAEO determines should be included; instructions for contacting the agency's ethics officials. <i>See 5 C.F.R. § 2638.304(e)(2).</i>				<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
7.3	The agency has established written procedures for initial ethics training. <i>See 5 C.F.R. § 2638.304(f).</i>				<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.4	The agency's written procedures are reviewed by the DAEO each year. <i>See 5 C.F.R. § 2638.304(f).</i>				<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
DATA ANALYSIS				%			
7.5	Percentage of new employees who received initial ethics training. <i>See 5 C.F.R. § 2638.304.</i>				0%		
7.6	Percentage of new employees who received initial ethics training within three months of appointment. <i>See 5 C.F.R. § 2638.304(b).</i>				0%		
COMMENTS							
<p>(7.1) The Foundation had two new employees who were required to receive initial ethics training during the period covered by OGE's review. OGE notes that the Foundation has very little turnover and prior to hiring their two newest employees – the Foundation had not hired any new staff members since 2014. Since new employees are hired very infrequently at the Foundation it was initially assumed by Foundation ethics officials that initial ethics training would be provided to new employees by the Department of the Interior. However, as a result of this review, ethics officials learned that the Department of the Interior is not training new Foundation employees. The OGE review team suggested, and the ADAEO agreed, that Foundation ethics officials will now provide the required initial ethics training presentation to all future hires.</p> <p>(7.2) In addition to providing the required initial ethics training presentation, the ADAEO also agreed to provide all future hires with the required written materials or written instructions for accessing them.</p> <p>(7.3 – 7.4) At the time of OGE's review, the Foundation had not established written procedures for initial ethics training. However, prior to the conclusion of OGE's review, written procedures had been established which the DAEO will review each year as required. As a result, OGE is making no formal recommendation.</p> <p>(7.5 -7.6) As noted, initial ethics training was not provided to the two new Foundation employees during the period covered by this review. Although new employees are hired infrequently at the Foundation, the ADAEO has agreed to provide the initial ethics training to all future hires.</p>							

8.0 Annual Ethics Training							
COMPLIANCE REQUIREMENTS				Yes	No	N/A	
Each calendar year, public filers, confidential filers, and certain other employees must complete ethics training which meets specified requirements. <i>See 5 C.F.R. §§ 2638.307 and 2638.308.</i>							
8.1	The training presentation(s) addressed concepts related to financial conflicts of interest, impartiality, misuse of position and gifts. <i>See 5 C.F.R. §§ 2638.307(e)(1) and 2638.308(f)(1).</i>				<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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8.2	The agency provided employees with either the following written materials or written instruction for accessing them: The summary of the Standards of Conduct distributed by the Office of Government Ethics or an equivalent summary prepared by the agency; provisions of any supplemental agency regulation that the DAEO determines to be relevant or a summary of those provisions; such other written materials as the DAEO determines should be included; instructions for contacting the agency's ethics officials. <i>See</i> 5 C.F.R. § 2638.308(f)(2).	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
8.3	The agency's annual ethics training complies with the formatting requirements for public filers, confidential filers, and certain other employees. <i>See</i> 5 C.F.R. §§ 2638.307(d) and 2638.308(e).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.4	The agency's program for annual ethics training complies with the tracking requirements for public filers, confidential filers, and certain other employees. <i>See</i> 5 C.F.R. §§ 2638.307(f) and 2638.308(g).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.5	The agency can demonstrate it has an effective process for ensuring covered public filers, other than those whose pay is set at Level I or Level II of the Executive Schedule, complete live annual ethics training at least once every two years. <i>See</i> 5 C.F.R. § 2638.308(e)(2).	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
DATA ANALYSIS		Training Format		
		Live	Interactive	
Percentage of public filers who completed annual ethics training before the end of the calendar year. <i>See</i> 5 C.F.R. § 2638.308(a).				
8.6	<ul style="list-style-type: none"> Executive Schedule Level I and Level II. <i>See</i> 5 C.F.R. § 2638.308(e)(1). 	N/A	N/A	
8.7	<ul style="list-style-type: none"> Other PAS and Equivalent. <i>See</i> 5 C.F.R. § 2638.308(e)(2). 	100%	N/A	
8.8	<ul style="list-style-type: none"> SES and Equivalent. <i>See</i> 5 C.F.R. § 2638.308(e)(3). 	N/A	N/A	
Percentage of confidential filers and certain other employees who completed annual ethics training before the end of the calendar year. <i>See</i> 5 C.F.R. § 2638.307(a)(d).				
8.9	<ul style="list-style-type: none"> Employees required to file an annual confidential financial disclosure report. <i>See</i> 5 C.F.R. § 2638.307(a)(1). 	N/A	N/A	
8.10	<ul style="list-style-type: none"> Employees appointed by the President. <i>See</i> 5 C.F.R. § 2638.307(a)(2). 	N/A	N/A	
8.11	<ul style="list-style-type: none"> Employees of the Executive Office of the President. <i>See</i> 5 C.F.R. § 2638.307(a)(2). 	N/A	N/A	
8.12	<ul style="list-style-type: none"> Contracting officers described in 41 U.S.C. § 2101. <i>See</i> 5 C.F.R. § 2638.307(a)(3). 	N/A	N/A	
8.13	<ul style="list-style-type: none"> Other employees designated by the head of the agency. <i>See</i> 5 C.F.R. § 2638.307(a)(4). 	N/A	N/A	
COMMENTS				
<p><u>Suggestions</u></p> <p>(8.1) OGE found the annual training provided during the period under review to address all training concepts with the possible exception of financial conflicts of interest. However, OGE found the training to address conflicts of interest implicitly. While OGE is not making a formal recommendation for the omission of the concept related to financial conflicts of interest, OGE suggested that in future trainings, ethics officials make certain to highlight each of the four topics through discussion questions or summary statements by the instructor to ensure that each concept is addressed.</p> <p>(8.2) As the head of the agency's ethics program and its only public filer required to receive annual ethics training, the DAEO is aware of the Standards and criminal conflicts of interest, so it is understandable if the Standards and conflict of interest statutes are not provided to the DAEO each year. (According to the ADAEO, these documents were not provided to the DAEO during the period covered by this review) As a good management practice, since the Foundation trains all employees, OGE suggested and the ADAEO agreed to begin to provide the required written material to all trainees, including the DAEO.</p> <p>(8.4) With only one filer required to receive annual ethics training – the DAEO - an elaborate tracking system is not necessary. During the onsite review, ethics officials confirmed that all Foundation employees were trained during the period covered by this review. As a good management practice, OGE suggested, and the ADAEO agreed, to start having the DAEO sign a sheet to document his receipt of the required training each year.</p> <p><u>Model Practice Identified</u></p> <p>Providing annual ethics training to all employees, not just those required by the regulation is a model practice.</p>				

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(8.6, 8.8 and 8.9-8.13) The Foundation did not have any public or confidential filers within these categories.

9.0 ETHICS ADVICE AND COUNSELING

COMPLIANCE REQUIREMENT

Yes No N/A

9.1 Based on a sample collected by OGE, guidance provided by agency ethics officials to employees appears to be consistent with applicable laws and regulations. *See* 5 C.F.R. § 2638.104(c)(4).

COMMENTS

(9.1) According to the ADAEO, the Foundation did not provide any written ethics counseling during the period under review.

10.0 Special Government Employees (SGE) Serving on Advisory Committees and Boards

Confidential Financial Disclosure

10.1 Number of SGEs serving on Advisory Committees and Boards.

N/A

DATA ANALYSIS

%

10.2 Percentage of sampled confidential new entrant reports filed timely. *See* 5 C.F.R. § 2634.903(b).

N/A

10.3 Percentage of sampled reports reviewed within 60 days of receipt but not later than the SGE's first meeting. *See* 5 C.F.R. § 2634.605(a).

N/A

10.4 Percentage of sampled reports certified within 60 days of receipt. *See* 5 C.F.R. § 2634.605(a).

N/A

Ethics Training

COMPLIANCE REQUIREMENTS

Yes No N/A

Required ethics training must be provided to each SGE. *See* 5 C.F.R. §§ 2638.304 and 2638.307.

10.5 The training presentation(s) addressed concepts related to conflicts of interest, impartiality, misuse of position and gifts. *See* 5 C.F.R. § 2638.304(e)(1).

10.6 The agency provided employees with either the following written materials or written instruction for accessing them: The summary of the Standards of Conduct distributed by the Office of Government Ethics or an equivalent summary prepared by the agency; provisions of any supplemental agency regulation that the DAEO determines to be relevant or a summary of those provisions; such other written materials as the DAEO determines should be included; instructions for contacting the agency's ethics officials. *See* 5 C.F.R. § 2638.304(e)(2).

DATA ANALYSIS

%

10.7 Percentage of SGEs who received initial ethics training. *See* 5 C.F.R. § 2638.304.

N/A

10.8 Percentage of SGEs who received initial ethics training timely. *See* 5 C.F.R. § 2638.304(b)(2).

N/A

10.9 Percentage of SGEs who received annual ethics training. *See* 5 C.F.R. § 2638.307(d)(2).

N/A

COMMENTS

(10.1 - 10.9) The Foundation does not have any SGEs serving on advisory committees or boards.

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ISSUES IDENTIFIED AND RESOLVED DURING THE INSPECTION

Element	ISSUE	Compliance Due
5.3	<p><u>ISSUE</u>: OGE did not find the contact information for the agency's ethics office included within the notice to prospective employees.</p> <p><u>OGE COMMENT</u>: Prior to the conclusion of OGE's review, the ADAEO confirmed that the letter template would be updated by the Department of Interior to include the ADAEO as the specific ethics point of contact.</p>	
5.6-5.7	<p><u>ISSUE</u>: OGE did not find the Foundation to have written procedures for issuing notices to prospective employees.</p> <p><u>OGE COMMENT</u>: Prior to the conclusion of OGE's review, written procedures were established.</p>	
6.1	<p><u>ISSUE</u>: OGE did not find the contact information for the agency's ethics office included within the Foundation's written notice to new supervisors.</p> <p><u>OGE COMMENT</u>: Prior to the conclusion of OGE's review, the ADAEO confirmed that the letter template would be updated by the Department of Interior to include the ADAEO as the specific ethics point of contact.</p>	
6.3	<p><u>ISSUE</u>: OGE did not find the hyperlink identified within the notice to new supervisors to directly link to a website containing the Principles of Ethical Conduct.</p> <p><u>OGE COMMENT</u>: The ADAEO agreed to have the Department of Interior update the hyperlink within the notices.</p>	
6.5	<p><u>ISSUE</u>: OGE did not find the Foundation to have written procedures for issuing ethics notices to new supervisors.</p> <p><u>OGE COMMENT</u>: Prior to the conclusion of OGE's review, written procedures were established.</p>	
7.3	<p><u>ISSUE</u>: OGE did not find the Foundation to have written procedures for initial ethics training.</p> <p><u>OGE COMMENT</u>: Prior to the conclusion of OGE's review, written procedures were established.</p>	