

CY14 Annual Agency Ethics Program Questionnaire Results



**A Snapshot View of the Executive
Branch Ethics Program**

**U.S. Office of Government Ethics
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Section 1 -Introduction

This document reports summary data compiled from responses to the Annual Agency Ethics Program Questionnaire (Annual Questionnaire or questionnaire) for calendar year 2014. Responses were submitted by each executive branch agency to the U.S. Office of Government Ethics (OGE) in early 2015. The compiled data provides a snapshot view of the executive branch ethics program. We hope you find this report informative.

The first section provides a brief overview of the legal reporting requirement, OGE's survey methodology, and the limitations of the data collected. The second section provides highlights from the summary data. The third section contains the aggregate responses to each question. Finally, the Appendix contains 31 tables of additional comments taken from the individual agency responses to the questionnaire.

Legal Requirement

Pursuant to section 402(e)(1) of the Ethics in Government Act of 1978, as amended, executive branch agencies are required to submit an annual report to OGE. Pursuant to 5 C.F.R. § 2638.602, the report is due to OGE on or before February 1 of each year and covers the previous calendar year. OGE collects this information through its Annual Agency Ethics Program Questionnaire. Ethics officials are asked to provide information on the following topics:

- Organizational Structure
- Ethics Program Administration
- Advice and Counseling
- Education and Training
- Financial Disclosure (Public and Confidential)
- Enforcement
- Advisory Committees/Special Government Employees

Methodology

Each agency received an advance copy of the questionnaire in October 2014 and a hyperlink to the questionnaire in January 2015. Responses were collected through an application developed by OGE. OGE Desk Officers followed-up with individual agencies for additional information or when clarification was needed to explain significant changes in an agency response between calendar year 2013 and calendar year 2014. Agency responses were then compiled into this summary report.

Response Rate: 100% (137 agencies)

Data Limitations¹

When reviewing this report, it is important to keep in mind the limitations of the data on which it is based. While OGE reviews Annual Questionnaire responses for anomalies and conducts follow up as necessary, OGE does not independently verify all of the information submitted by agencies. OGE held focus groups in 2014 to understand how agencies interpreted certain questions and made clarifying revisions to the Annual Questionnaire. However, agencies still may interpret the questions being asked differently, resulting in data variation.

¹ This report does not include classified information. Therefore, the aggregate number for certain questions may be higher than reported.

Section 2 - Key Highlights²

DAEO/ADAEO

- There are very few DAEO/ADAEO vacancies. (Q.3 and 4)
- 59% of DAEOs have less than 4 years of experience in the position. (Q.3)
- 65% of ADAEOs have less than 4 years of experience in the position. (Q.4)
- 91% of DAEOs spend less than 50% of their time on ethics. (Q.3)
- 70% of ADAEOs spend less than 50% of their time on ethics. (Q.4)
- A large majority of DAEOs (85%) and ADAEOs (95%) are career employees. (Q.3 and 4)

Resources

- There are approximately 6,700 individuals that support the ethics program. Of those individuals, approximately 4,500 performed 2 or more hours of ethics duties per week.
- 31% (2,048) of individuals performing ethics program duties are stationed within the D.C. metropolitan area and 69% of individuals performing ethics program duties (4,666) are stationed outside the metro area. (Q.5)
- About one-third of agencies reported needing additional resources. Human Capital was the most requested resource followed by technology and then budgetary resources. (Q.12)
- 20% of ethics programs are supported by contractors. (Q.8) Agencies reported that contractors mostly provide clerical assistance or support the financial disclosure program.

Structure of the Program

- 80% of DAEOs/ADAEOs have supervisory authority over the ethics officials that support their agency's ethics program. (Q.6)
- Financial disclosure, ethics advice and counseling, and ethics education and training are the 3 areas most likely to have been delegated outside the supervisory chain of the DAEO or ADAEO. (Q.7)

Program Administration

- Between 2013 and 2014 there was a small shift in where the most time was spent administering an ethics program. (Q.11)
Top 4 in 2014: (1) Advice and Counseling; (2) Confidential financial disclosure (3) Education and Training; and (4) Public Financial Disclosure
Top 4 in 2013: (1) Written opinions; (2) Confidential Financial Disclosure (3) Public Financial Disclosure; and (4) Education and Training
- A little over half of the agencies reported conducting self-assessments. (Q.17)
- Common challenges identified by ethics officials include preparing for the Presidential transition, managing programs with limited resources, transitioning to *Integrity*, and planning for staff turnover. (Q.22)

² Highlights are drawn from agency responses as reported in calendar year 2014 unless otherwise noted.

Leadership

- 99% of agencies reported that their agency's leadership demonstrates support for their ethics program. (Q.14)
- Two-thirds of agencies reported that ethics staff met with the agency head to discuss the strengths and weaknesses of the ethics program. (Q.15)

Succession Planning

- 95% of agencies engage in some form of succession planning. The top two tools agencies reported using to address succession planning were: (1) structured training; and (2) the availability of a knowledge library (intranet, videos, and shared drives). (Q.16)
- A large majority of agencies had ethics officials participate in professional development to assist them in carrying out their ethics duties. The top 2 sources for professional development were structured courses provided by OGE (96 agencies) and mentoring (85 agencies). (Q.16)
- Most agencies have written procedures for financial disclosure, pursuant to 5 U.S.C. app. § 402(d)(1). (Q.19)
- 38% of "career" DAEOs are eligible to retire. 26% of "career" ADAEOs are eligible to retire. (Q.3 and 4)

Initial Ethics Orientation

- 98% of employees received Initial Ethics Orientation (IEO) within the 90 day requirement. (Q.23)
- An overwhelming majority (97%) of agencies conduct IEO as part of employee in-processing. (Q.24)
- One-on-one briefings and in-person classroom instruction were the 2 most popular methods for delivering IEO. (Q.25)
- Most agencies (119) reported developing their own materials. 57 agencies indicated that they used materials developed by OGE and 20 agencies indicated that they used materials developed by another agency. A small percentage of agencies used MAX to access training materials. (Q.26)

Annual Ethics Training

- 97% of public and confidential financial disclosure filers received Annual Ethics Training (AET). (Q.27)
- In-person classroom instruction and self-paced, web-based instruction were the 2 most popular methods for delivering AET. (Q.36)
- 72% of agencies provided annual training to persons not required by the statute to receive training. (Q.30)
- Most agencies (130) reported developing their own materials. 43 agencies indicated that they used materials developed by OGE and 42 agencies indicated that they used materials developed by another agency. A small percentage of agencies used MAX to access training materials. (Q.29)
- Two-thirds (63%) of agencies provided additional, specialized training. Agencies most often provided additional, specialized training to supervisors and procurement officials. (Q.31)

Advice and Counseling

- The 2 topics that employees most frequently sought guidance on were gift acceptance (50 agencies ranked this #1) and financial disclosure reporting (31 agencies ranked this #1). (Q.32)

Financial Disclosure

Note: #s reflect the number of reports submitted rather than the number of filers.

- 87% of agencies reported receiving timely notification of the appointment of new entrant employees required to file financial disclosure reports. (Q.43)
- 25,610 public financial disclosure reports (new entrant, annual, combination, and termination) were required to be filed in CY 2014. 99% of those required were filed.(25,318). (Q.36)
- Career SES represent the highest proportion (47%) of reports required to be filed.
- Termination reports had the lowest compliance rate (97%). (Q.36)
- 11,917 periodic transaction reports were filed. (Q.38)
- Intermediate review conducted by someone other than an ethics official was not a common practice (public financial disclosure reports). (Q.43)
- The U.S. Treasury collected approximately \$38,600 in late filing fees. (Q.37 and 39)
- When collecting delinquent public financial reports the most common step taken was sending repeated reminders to filers, followed by notifying the filer's supervisor and the agency head or other senior official. (Q.45)
- 99% of confidential financial disclosure reports required to be filed were filed. (Q.50)
- The high number of filing extensions (72,852) granted to 450 filers was due to issues with an e-filing system, FDM. Many agencies noted that they issued a blanket extension to all 450 filers. (Q.51)

Electronic Filing

- 55 agencies (40%) reported using an electronic financial disclosure filing system at a cost of approximately **\$7,850,940**. (Q.46 and 48)

Remedies

- Recusals represented 60% of remedial actions taken in response to information regarding a conflict of interest reported on OGE Form 278. (Q.54)
- 139 § 208(b)(1) and 226 § 208(b)(3) waivers were granted. (Q.57 and 59)

Enforcement

- The number of disciplinary actions and referrals declined between 2013 (2,673) and 2014 (2,440). (Q.61)

Advisory Committees/Special Government Employees

- Agencies reported that there were 40,424 Special Government Employees as of December 31, 2014. (Q.71)
- Agencies reported 767 FACA committees with 28,248 members and 124 non-FACA committees with 2,289 members. (Q.68, 69, 70, and 71)

Section 3 – Compilation of Agency Responses

The information in this section represents a summary of the responses provided by the 137 reporting agencies.

ORGANIZATION/RESOURCES

1. Agency: ____ **137 (100% Compliance)**
2. Number of full-time agency employees as of December 31, 2014: **3,738,636**
Note: This number is higher than the number reported by OPM.
3. Information about the Designated Agency Ethics Official (DAEO):

	DAEO
a. Vacant (as of December 31, 2014)	<input type="checkbox"/> Yes (<i>skip to 3b and then 4</i>) 4 (3%) <input type="checkbox"/> No (<i>go to 3c</i>) 133 (97%)
b. When did the position become vacant?	Month/Year
c. Name	
d. Title	
e. Time in current DAEO position	<input type="checkbox"/> 10 or more years 25 (19%) <input type="checkbox"/> 5 - 9 years 30 (23%) <input type="checkbox"/> 1 - 4 years 46 (35%) <input type="checkbox"/> Less than 1 year 32 (24%)
f. Total years performing ethics duties	
g. Grade level	<input type="checkbox"/> Executive Schedule 16 (12%) <input type="checkbox"/> SES or equivalent 75 (56%) <input type="checkbox"/> GS 15 36 (27%) <input type="checkbox"/> GS 14 and below 5 (4%) <input type="checkbox"/> Other 1 (1%)
h. Percent of time spent on ethics	<input type="checkbox"/> 0-25% 99 (74%) <input type="checkbox"/> 26-50% 22 (17%) <input type="checkbox"/> 51-75% 4 (3%) <input type="checkbox"/> 76-100% 8 (6%)
i. Was the DAEO eligible to retire as of December 31, 2014?	<input type="checkbox"/> Yes 46 (35%) <input type="checkbox"/> No 87 (65%)
j. Is the DAEO a career employee or a political appointee?	<input type="checkbox"/> career employee 113 (85%) <input type="checkbox"/> political appointee 20 (15%)

4. Information about the Alternate Designated Agency Ethics Official (ADAEO)

	ADAEO
a. Position Vacant (as of December 31, 2014)	<input type="checkbox"/> Yes (<i>skip to 4b and then 5</i>) 8 (6%) <input type="checkbox"/> No (<i>go to 4c</i>) 129 (94%)
b. When did the position become vacant?	Month/Year
c. Name	
d. Title	
e. Time in current ADAEO position (years)	<input type="checkbox"/> 10 or more years 24 (19%) <input type="checkbox"/> 5 - 9 years 20 (16%) <input type="checkbox"/> 1 - 4 years 56 (43%) <input type="checkbox"/> Less than 1 year 29 (22%)
f. Total years performing ethics duties	
g. Grade level	<input type="checkbox"/> Executive Schedule 3 (2%) <input type="checkbox"/> SES or equivalent 32 (25%) <input type="checkbox"/> GS 15 58 (45%) <input type="checkbox"/> GS 14 and below 36 (28%)
h. Percent of time spent on ethics	<input type="checkbox"/> 0-25% 71 (55%) <input type="checkbox"/> 26 -50% 19 (15%) <input type="checkbox"/> 51-75% 11 (9%) <input type="checkbox"/> 76-100% 26 (20%)
i. Was the ADAEO eligible to retire as of December 31, 2014?	<input type="checkbox"/> Yes 33 (26%) <input type="checkbox"/> No 96 (74%)
j. Is the ADAEO a career employee or a political appointee?	<input type="checkbox"/> career employee 123 (95%) <input type="checkbox"/> political appointee 6 (5%)

5. Number of employees who performed ethics program duties in 2014; e.g., financial disclosure, education and training, advice and counseling, program administration.

Duty Station	Approximate amount of time spent each week performing ethics duties					TOTAL
	Less than 1 hour per week (up to .025 FTE*)	2-10 hours per week (up to .25 FTE*)	11-20 hours per week (up to .5 FTE*)	21-30 hours per week (up to .75 FTE*)	31-40 hours per week (up to 1 FTE*)	
D.C. Metro area	613	653	250	81	451	2,048 (31%)
Outside the D.C. Metro area	1,654	2,143	588	155	126	4,666 (69%)
TOTAL	2,267 (34%)	2,796 (42%)	838 (12%)	236 (3%)	577 (9%)	6,714

*FTE = Full Time Equivalent

6. Does the DAEO/ADAEO have supervisory authority over the employees identified in question #5?
- Yes (skip to #8) **109 (80%)**
- No (go to #7) **28 (20%)**

Note: In the comments section, numerous agencies noted that a "Not Applicable" response was more appropriate than "No" because the only ethics official at their agency is the DAEO/ADAEO. However, the Questionnaire forced them to respond. This question will be modified next year.

7. Indicate which elements of the ethics program have been delegated outside of the supervisory chain of the DAEO or ADAEO. Check all that apply.
- Assessment of program performance **5**
- Confidential financial disclosure program **11**
- Ethics advice and counseling **13**
- Ethics education and training **10**
- Public financial disclosure program **5**
- Other (specify) _____ **18 Table 1**
8. Do contractors support the ethics program?
- Yes (go to #9) **28 (20%)**
- No (skip to #10) **109 (80%)**
9. Describe the extent of their support. _____ **Table 2**

10. Identify the agency ethics officials who have ethics duties as a distinct element in their **performance standards**. Check all that apply.

- DAEO **98**
- ADAEO **90**
- All ethics officials **47**
- Some ethics officials **28**
- None **18**

ADDITIONAL COMMENTS FOR PART 4. Please indicate the question number to which the comment corresponds. **Table 3**

PROGRAM ADMINISTRATION

11. Use the following scale to rate the amount of time your agency spends to administer each item. The first six categories exclude time devoted to SGE's.

Time Spent Scale: 1= No time 2=Limited amount of time 3=Moderate amount of time
4=Significant amount of time 5=Very significant amount of time

Advice and counseling 508 (1)	1	2	3	4	5
Confidential financial disclosure program 473 (2)	1	2	3	4	5
Disciplinary process for violations 213 (7)	1	2	3	4	5
Education and training 471 (3)	1	2	3	4	5
Outside activity approval 379 (5)	1	2	3	4	5
Public financial disclosure program 470 (4)	1	2	3	4	5
Special Government Employee activities 268 (6)	1	2	3	4	5
Other (specify) _____ 109 (8)	1	2	3	4	5

12. Are additional resources needed for the ethics program? (e.g., budgetary, human capital, technology)

- Yes (go to #13) **42 (31%)**
 No (skip to #14) **95 (69%)**

13. Which additional resources are needed? Check all that apply.

- Budgetary **18**
 Human Capital **33**
 Technology **26**
 Other (specify) _____ **7 Table 4**

14. My agency's leadership (e.g., the agency head, senior executives, and first-line managers) demonstrates support for the ethics program.

- Yes **136 (99%)**
 No **1 (1%)**

15. Did the agency head meet with the ethics staff to discuss the strengths and weaknesses of the ethics program in 2014?

- Yes **91 (66%)**
 No **46 (34%)**

16. Which of the following tools did your agency use to ensure short- and long-term continuity of operations (succession planning) of its ethics program in 2014? Check all that apply.

Professional Development

- Competency/skills gap assessment **39**
- Developmental assignments (e.g., detail assignments, cross training, job rotation, use of agency developmental programs such as interns, fellows, or leadership development) **51**
- Individual development plans **48**
- Mentoring **85**
- Structured courses **105**
 - Provided by OGE **96**
 - Provided by my agency **34**
 - Provided by another agency **26**
- Other (specify) _____ **23 Table 5**
- None **17**

Programmatic tools

- Job Aids **49**
- Knowledge library (intranet, videos, shared drives) **105**
- Resources assessment (personnel and/or financial) **38**
- Written standard operating procedures **103**
- Other (specify) _____ **11 Table 5**
- None **11**

17. Did your agency (e.g., ethics office, Inspector General, General Counsel) conduct a self-assessment to evaluate any aspect of the ethics program in 2014?

- Yes (go to #18) **77 (56%)**
- No (skip to #19) **60 (44%)**

18. What did you assess? Check all that apply.

- Accuracy of advice and counsel **44**
- Compliance with applicable ethics laws and regulations **59**
- Consistency of advice and counsel **47**
- Employee knowledge after training **27**
- Employee knowledge before training **16**
- Employee perceptions about the agency's ethical culture **26**
- Employee perceptions about the ethics program **24**
- Knowledge and skills of ethics officials **43**
- Employee satisfaction with training offered **33**
- Employee knowledge of the ethics rules **42**
- Timeliness of advice and counsel **44**
- Other (specify) _____ **18 Table 6**

19. Do you have written policies or procedures in place for the following? Check all that apply.

- Collection of confidential financial disclosure reports **128**
- Collection of public financial disclosure reports **127**
- Following up with delinquent confidential financial disclosure filers **100**
- Following up with delinquent public financial disclosure filers **101**
- Public availability of public financial financial disclosure reports **83**
- Review/evaluation of confidential financial disclosure reports **106**
- Review/evaluation of public financial disclosure reports **110**

20. Does your agency provide ethics program services for any board, commission, or agency that is independent of your agency?

- Yes (please provide the names of the board, commission, or agency) **15 Table 7**
- No **122**

21. Please list any significant accomplishments your ethics program achieved in 2014. **Table 8**

22. Please list the greatest challenges facing your ethics program in the next 1-3 years. **Table 9**

ADDITIONAL COMMENTS FOR PART 5. Please indicate the question number to which the comment corresponds. **Table 10**

EDUCATION AND TRAINING

23. How many employees (including Special Government Employees) were required to have received Initial Ethics Orientation (IEO) by December 31, 2014 ____ **390,232**
- a. How many of those employees received IEO within the 90 day requirement? **382,582 (98%)**
 - b. How many of those employees received IEO beyond the 90 day requirement? **6,143 (1.6%)**
 - c. How many of those employees have not received IEO as of today? **1,507 (.04%)**
24. Is IEO part of your agency's in-processing process for new employees?
- Yes **133 (97%)**
 - No **4 (3%)**
25. How do you deliver IEO to new employees? Check all that apply.
- Classroom instruction (in-person) **82**
 - Instructor-led web-based **13**
 - One-on-one briefings **90**
 - Satellite broadcast/videoconference **9**
 - Self-paced web-based **50**
 - Video **22**
 - Other (specify) _____ **52 Table 11**

Note: Numerous agencies specified "written materials" in the other box.

26. Who developed the IEO training materials? Check all that apply.
- My agency **119**
 - OGE **57**
 - Another agency **20**
 - How did you access the training materials? Check all that apply.
 - OGE's page on MAX.gov **4**
 - Directly from the agency **12**
 - Other (specify)___**7 Table 12**
 - Other (specify) _____ **8 Table 13**

27. Required Annual Ethics Training* (verbal and written)

Type of covered employees (Include SGE filers)	# Required	# Received (of those required)	Compliance Rate
Public filers (OGE Form 278) – PAS	749	700	93%
Public filers (OGE Form 278) - non-PAS	20,948	20,383	97%
Confidential filers (OGE Form 450, 450A, and OGE-approved alternative confidential financial disclosure forms)	359,989	349,394	97%
Other employees required by 2638.705(a) (employees appointed by the President; employees of the Executive Office of the President; Contracting Officers; other employees designated by the head of the agency or his or her designee based on their official duties.)	80,787	89,677 <i>(Note: OGE believes the number “received” is higher than the number required because some agencies included all employees that receive training but did not mark them as having been required to attend the training)</i>	
TOTAL	462,473	460,154	

* *Note about counting:* Only include those employees that were required by 5 C.F.R. § 2638.705 to receive annual ethics training, either verbal or written, during the calendar year.

28. How do you deliver annual ethics training to employees required to receive training? Check all that apply.

- Classroom instruction (in-person) **104**
- Instructor-led web-based **20**
- One-on-one briefings **70**
- Self-paced web-based **80**
- Video **37**
- Satellite broadcast/videoconference **31**
- Other (specify) _____ **31 Table 14**

29. Who developed the annual training materials? Check all that apply.

- My agency **130**
- OGE **43**
- Another agency **42**
 - How did you access the training materials? Check all that apply.
 - OGE's page on MAX.gov **7**
 - Directly from the agency **29**
 - Other (specify) ____ **9 Table 15**

30. Did you provide annual ethics training to other employees not required to receive training?

- Yes **99 (72%)**
- No **38 (28%)**

31. Did you provide additional, specialized ethics training during 2014?

- Yes **84 (61%)**
- No **53 (39%)**

Which groups did you target? Check all that apply.

- All agency personnel **25**
- HR Officials **9**
- IT personnel **10**
- Procurement Officials **33**
- Supervisors **34**
- Other (specify) _____ **53 Table 16**

ADDITIONAL COMMENTS FOR PART 6. Please indicate the question number to which the comment corresponds. **Table 17**

ADVICE AND COUNSELING

32. From the list below, select the three topics that your employees most frequently sought guidance on in 2014.

Awards	Selection 1: 0	Selection 2: 0	Selection 3: 0
Conflicting financial interests	Selection 1: 16	Selection 2: 11	Selection 3: 0
Gift acceptance (excluding awards and travel, subsistence, and related expenses from non-federal sources)	Selection 1: 50	Selection 2: 16	Selection 3: 19
Financial Disclosure Reporting	Selection 1: 31	Selection 2: 33	Selection 3: 12
Impartiality in performance of official duties	Selection 1: 7	Selection 2: 10	Selection 3: 7
Misuse of position, Government resources and information	Selection 1: 2	Selection 2: 9	Selection 3: 7
Outside employment/activities	Selection 1: 14	Selection 2: 34	Selection 3: 31
Post-employment restrictions	Selection 1: 10	Selection 2: 13	Selection 3: 25
Travel, subsistence, and related expenses from non-federal sources	Selection 1: 6	Selection 2: 8	Selection 3: 25
Other (specify) _____	Selection 1: 1	Selection 2: 2	Selection 3: 3

33. Does your agency conduct any of the following practices? Check all that apply.

- Customer satisfaction survey(s) **22**
- Periodic supervisory review of advice given **59**
- Discussion among staff **120**
- Memorialize advice and counsel **118**
 - All **48**
 - Some **70**
 - None **0**
- Use advice and counsel templates **60**
- Use a database Check all that apply. **66**
 - to track timeliness **44**
 - searchable by category of question (keyword or advice topic) **47**
 - searchable by individual **44**
- Other (specify) _____ **10 Table 18**

34. Number of notification statements of negotiation or recusal under section 17(a) of the STOCK Act submitted to the ethics office in 2014? _____ **1,296**

35. How do you make employees aware of the availability of post-employment counseling? Check all that apply.

- Part of out-processing **122**
- Emails **6**
- Training **96**
- Regulation or policy **27**
- Other (specify) _____ **20 Table 19**

ADDITIONAL COMMENTS FOR PART 7. Please indicate the question number to which the comment corresponds. **Table 20**

PUBLIC FINANCIAL DISCLOSURE

36. Report the number of public financial disclosure reports (OGE Form 278) required to be filed by December 31, 2014, **excluding SGEs**, and the number of reports actually filed (i.e., received in hand) by December 31, 2014.

OGE Form 278 Reports Required to be Filed in CY 2014

OGE Form 278 Reports		PAS ²	Non-Career SES ³	Career SES ³	Schedule C	Other ⁴	Total
Nominee/ New Entrant	Required	200	222	1,297	477	999	3,196
	Filed	199	219	1,272	469	981	3,140 (98%)
Annual	Required	645	695	9,554	1,074	7,753	19,721
	Filed	617	695	9,543	1,064	7,718	19,637 (99%)
Termination	Required	76	118	1,078	193	743	2,208
	Filed	72	116	1,052	185	722	2,147 (97%)
Combination ¹	Required	29	35	209	63	150	486
	Filed	28	35	202	63	149	477 (99%)
Total	Required	950	1,070	12,138	1,807	9,645	25,610
	Filed	916 (96%)	1,065 (99.5%)	12,069 (99%)	1,781 (99%)	9,570 (99%)	25,347 (99%)

¹ Includes reports filed to satisfy both annual and termination requirements, as well as new entrant and termination requirements.

² Presidential appointees confirmed by the Senate.

³ Senior Executive Service, Senior Foreign Service, Senior Cryptologic Service, Defense Intelligence Senior Executive Service, etc.

⁴ Includes members of the Uniformed Services, Administrative Law Judges, Senior Level employees (SES Equivalent), etc.

37. Extension and late fees for new entrant, annual, termination, and combination public financial disclosure reports, **excluding SGEs***:

	Granted filing extension	Granted waiver of late filing fee	Paid late filing fee
Number of OGE Form 278 Reports	3,546	256	137 (\$27,400)

38. Number of periodic transaction reports filed, **excluding SGEs* 11,917**

* Note about counting: Count the total number of periodic transaction reports filed. *Example 1:* If two employees each file 5 periodic transaction reports during the calendar year, report “10” in the table above. *Example 2:* If an employee files one report each month, each report is counted separately. Report “12” in the table.

39. Extensions and late fees for periodic transaction reports, **excluding SGEs:**

	Granted filing extension	Granted waiver of late filing fee	Paid late filing fee
Number of OGE Form 278 T Reports	377	300	56 (\$11,200)

40. Number of public financial disclosure filers reported in calendar year 2014 to the Attorney General for failure to file: **4**

41. Number of individual public financial disclosure reports requested to be released in 2014: **1,160**

42. Does your agency use an automated system (e.g., Excel, Access, custom database) to track the administration of the financial disclosure program?

- Yes **85 (62%)**
- No **52 (38%)**

43. Do you receive timely notification of all new entrant employees required to file financial disclosure reports?

- Yes **119 (87%)**
- No **18 (13%)**

44. Does your agency require an intermediate review by someone other than ethics staff (e.g., supervisors and team leads) for public financial disclosure reports?

- Yes **28 (20%)**
- No **109 (80%)**

45. What steps do you take to collect delinquent public financial disclosure reports? Check all that apply.

- Repeated reminders to the filer **111**
- Notify supervisor **51**
- Certified letter to the filer **16**
- Notify agency head or other senior official **51**
- Referral to Department of Justice **9**
- Other (specify) _____ **9 Table 21**
- None **0**
- Not Applicable **23**

46. Does your agency use an electronic financial disclosure filing system (e-filing system)?
- Yes (go to 47) **55 (40%)**
 - No (skip to Part 9) **82 (60%)**
47. Which system does your agency use? _____
48. Indicate your fiscal year 2014 actual and fiscal year 2015 projected costs for using the e-filing system.
- a) total FY 2014 actual costs **\$7,850,940**
 - b) total FY 2015 projected costs **\$8,023,221**
 - c) amount paid to a non-federal vendor in FY 2014 **\$1,100,070**
 - d) amount projected to be paid to a non-federal vendor in FY 2015 **\$1,103,798**
 - e) amount paid to a federal agency in FY 2014 **\$6,007,700**
 - f) amount projected to be paid to a federal agency in FY 2015 **\$6,285,710**
 - g) amount for all internal costs associated with operating an e-filing system (e.g., FTE, overhead, etc.) in FY 2014 **\$7,198,267**
 - h) amount projected for all internal costs associated with operating an e-filing system (e.g., FTE, overhead, etc.) in FY 2015 **\$7,614,479**
 - i) number of public financial disclosure filers who filed electronically in FY 2014 **14,168**
 - j) number of public financial disclosure filers projected to file electronically in FY 2015 **14,664**
 - k) number of confidential financial disclosure filers who filed electronically in FY 2014 **210,538**
 - l) number of confidential financial disclosure filers projected to file electronically in FY 2015 **234,086**
49. Indicate which forms your agency uses the e-filing system for. Check all that apply.
- Public Financial Disclosure (OGE Form 278) **50**
 - Periodic Transaction (OGE Form 278-T) **32**
 - Confidential Disclosure Forms
(OGE Form 450, 450A, or OGE-approved alternative form) **52**

ADDITIONAL COMMENTS FOR PART 8. Please indicate the question number to which the comment corresponds. **Table 22**

CONFIDENTIAL FINANCIAL DISCLOSURE

50. Report the number of confidential financial disclosure reports required to be filed by December 31, 2014, **excluding SGEs**, and the number of reports actually filed by December 31, 2014.

Confidential financial disclosure reports required to be filed in CY 2014:

Type of Report	# Required to File (by December 31)	# Filed
OGE Form 450	289,097	256,456
OGE Form 450A	37,771	66,088
OGE-approved alternative form	31,494	32,919
Total	358,362	355,463 (99%)

Note: Some agencies included the individuals that filed a 450A in the required to file a Form 450 column.

51. Number of OGE 450, 450A, or OGE-approved alternative forms granted filing extensions in 2014.
72,852
52. What steps do you take to collect delinquent confidential financial disclosure reports?
- Repeated reminders to the filer **114**
 - Notify supervisor **83**
 - Notify agency head or other senior official **54**
 - Other(specify) _____ **13 Table 23**
 - None **19**

ADDITIONAL COMMENTS PART 9. Please indicate the question number to which the comment corresponds. **Table 24**

REMEDIES AND ENFORCEMENT OF STANDARDS OF CONDUCT, CRIMINAL, AND CIVIL STATUTES

53. Number of public financial disclosure filers who took specific remedial actions because of information on a new entrant, annual, or termination report (e.g., divestiture, resignation from outside position, written disqualification, 18 U.S.C. § 208 waiver, reassignment, etc.) in 2014: **597**
- Don't know/don't track **31**
54. Number of individual remedial actions taken because of information on a new entrant, annual, or termination public financial disclosure (OGE Form 278) report in 2014
- Recusals **472**
Divestitures **204**
Resignations from outside positions **104**
Reassignments **1**
Other not listed (specify) **1** (*leave of absence*)
- Don't know/don't track **31**
55. Number of public financial disclosure filers who took specific remedial actions because of information on periodic transaction reports (e.g., divestiture, resignation from outside position, written disqualification, U.S.C. § 208 waiver, reassignment, etc.) in 2014: **22**
- Don't know/don't track **31**
56. Number of remedial actions taken because of information on a periodic transaction report in 2014:
- Recusals **19**
Divestitures **19**
Reassignments **0**
Other not listed (specify) **0**
- Don't know/don't track **31**
57. Number of § 208(b)(1) waivers granted in 2014 **139**
58. Number of § 208(b)(1) waivers provided to OGE in 2014 **76**
59. Number of § 208(b)(3) waivers granted in 2014 **226**
60. Number of § 208(b)(3) waivers provided to OGE 2014 **204**
61. Number of disciplinary actions taken based wholly or in part upon violations of the Standards of Conduct provisions (5 CFR part 2635) in 2014. For purposes of this question, disciplinary actions include removals, demotions, suspensions, and written reprimands or their equivalents. **2,440**

62. Number of disciplinary actions taken based wholly or in part upon violations of the criminal conflict of interest statutes, 18 U.S.C. §§ 203, 205, 207, 208, and 209 in 2014. For purposes of this question, disciplinary actions include removals, demotions, suspensions, and written reprimands or their equivalents. **20**
63. Number of referrals made to the Department of Justice of potential violations of the criminal conflict of interest statutes in 2014: **53**
- a. How many of those referrals were accepted for prosecution **5**
 - b. How many of those referrals were declined for prosecution **36**
 - c. How many of those referrals resulted in disciplinary or corrective action **11**
64. Which individual(s) is responsible for filing the Notification of Conflict of Interest Referral (Form 202)? Check all that apply.
- DAEO/ADAEO **95**
 - General Counsel **47**
 - Agency Head **17**
 - IG **43**
 - Other (specify) **6 Table 25**
65. Did you submit all referral(s) and disposition(s) of the referral(s) to OGE via OGE Form 202 (as required by 5 CFR 2638.603(c))?
- Yes **17**
 - No **6**
 - Not Applicable **114**

ADDITIONAL COMMENTS FOR PART 10. Please indicate the question number to which the comment corresponds. **Table 26**

ADVISORY COMMITTEES & SPECIAL GOVERNMENT EMPLOYEES (SGEs)

66. Does your agency have any FACA or Non-FACA advisory committees, boards, or commissions, or any SGEs (including those not on committees, boards, or commissions)?
- Yes (*go to #67*) **86 (63%)**
 - No (*go to end*) **51 (37%)**
67. Number of FACA advisory committees: **767**
68. Number of FACA advisory committee members: **28,248**
69. Number of non-FACA advisory committees, boards, or commissions: **124**
70. Number of non-FACA advisory committee, board, or commission members: **2,289**
71. Number of special Government employees (SGEs) as of December 31, 2014: **40,424³**
72. Does your agency have written policies or procedures for designating SGE status?
- Yes **40 (47%)**
 - No **30 (35%)**
 - Not applicable **16 (19%)**
73. Which office at your agency makes a determination that an individual is an SGE?
- Ethics Office **47 (55%)**
 - Human Resources **29 (34%)**
 - Appointing Office **21 (24%)**
 - Other (specify) **24 (28%) Table 27**
74. If that office is not the ethics office, what is the role of the ethics office in that determination?
Table 28
75. Does the ethics office provide training to SGEs prior to attendance at their first committee or board meeting?
- Yes (*skip to #77*) **63 (73%)**
 - No (*go to # 76*) **11 (13%)**
 - N/A (Training not provided to SGEs) (*skip to #77*) **12 (14%)**
76. Which office provides the training? **Table 29**

³ Number modified per after publication additional information provided by an agency.

77. Report the number of SGE public and confidential financial disclosure reports required to be filed by December 31, 2014 and the number of reports actually filed by December 31, 2014.

Financial disclosure reports required to be filed by SGEs in CY 2014:

Type of SGE	Confidential Reports (OGE Form 450 or OGE- Approved Alternative Form)		Public Reports (OGE Form 278)	
	Required	Filed	Required	Filed
Advisory Committee Members (FACA)	23,978	22,587 (94%)	19	20
Advisory Committee Members (non-FACA)	322	316 (98%)	0	0
Experts/Consultants	1,101	1,072 (97%)	37	37
Board Members	256	250 (98%)	67	69
Commissioners	70	70 (100%)	23	23
Other	273	265 (97%)	58	58
TOTAL	26,000	24,560 (95%)	204	207

78. Number of SGEs excluded from all or a portion of the confidential filing requirements per 5 C.F.R. 2634.904(b). **28,942⁴**
79. Extensions and late filing fees for SGE financial disclosure reports

	Granted filing extension	Granted waiver of late filing fee	Paid late filing fee
Number of OGE Form 278 Reports	46	2	3 (\$600)

80. Number of OGE Form 450 Report or OGE-Approved Alternative Form filers granted filing exemptions. **253**

ADDITIONAL COMMENTS FOR PART 11. Please indicate the question number to which the comment corresponds. **Table 30**

ADDITIONAL QUESTIONNAIRE COMMENTS. Table 31

⁴ Number modified after publication per additional information provided by an agency.

APPENDIX - Comments

7. Indicate which elements of the ethics program have been delegated outside of the supervisory chain of the DAEO or ADAEO. Check all that apply. **Table 1**

Note that the employees identified in #5 are the DAEO and ADAEO. There are no other ethics officials in the agency. The DAEO has supervisory authority over the ADAEO in all respects.
Don't understand the question.
None. The DAEO is the Commission Chair. The ADAEO a Commission Member. The Chair cannot supervise a Member.
Please see the Commission's responses to ADDITIONAL COMMENTS FOR PART 4 and question #22 about challenges below.
Very small agency with only 25 FTEs. DAEO/ADAEO are only employees that perform ethics duties.
None. The DAEO is the only employee who performs ethics duties.
While the agency's DAEO has authority over all of these elements of the ethics program, not all ethics program duties are performed by employees solely in the DAEO's direct supervisory chain. For more information, see comments to Part 4.
There is no part of ethics program delegated outside the chain of the DAEO or ADAEO.
No elements of the ethics program have been delegated outside of the supervisory chain of the DAEO or ADAEO.
There is no delegation because only DAEO and ADAEO perform ethics duties.
NONE
The Counsel to the Inspector General has been delegated limited ethics responsibility for advice and counsel to OIG employees.
None.
Gifts to the agency under the agency's gift authority
The Deputy Ethics Officers in the agency's regional offices serve as ethics resources.
We have delegated ethics duties to two other OGC staff members to perform ethics duties outside of the DAEO and ADAEO. The title for both of these individuals is Deputy Ethics Official.
Senior management official outside of the Board's Office of General Counsel serves as a deputy ethics official to receive ethics inquiries in the event other ethics officials are unavailable. All ethics advice and determinations are coordinated with the DAEO or ADAEO.
DAEO/Office of the General Counsel provides governance and oversight of the ethics program. Ethics & Employee Concerns is responsible for program administration, including day-to-day activities, advice and counsel, training, and financial disclosure reporting.
The Postmaster General has delegated to OIG responsibilities relating to the confidential financial disclosure program, ethics advice and counseling, ethics education and training, and the public financial disclosure program with respect to OIG employees.

9. Describe the extent of their support. _____ **Table 2**

An Attorney who provides some advice to DAEO/ADAEO
The agency uses FDonline software & support for filing of OGE forms 278 & 450.
Conducting training technical financial disclosure aid & drafting advice
See additional comments.
Assisting the Ethics Program Manager manage our financial disclosure reporting system (FDonline).
Contract attorneys are given assignments on particular duty days in which they provide ethics advice to agency staff.
Assist with annual training
Admin support for: disclosure program, training & database mgmt.
Minor administrative processing functions at field location.
They provide administrative support and do not perform any inherently governmental functions.
Administrative support
IT/technology support, training and program reporting, one contractor paralegal
component uses the contractor for administrative and technical process of the confidential reporting
Administrative Assistant who provides assistance with the Financial Disclosure Management System (FDM).
The bureau uses contractors in ethics program administration, to include administering the financial disclosure program, and to track ethics training.
Clerical and manage financial disclosure e-filing system.
Contractors support the technical review of OGE form 278s
The Department provided annual ethics training for the Commission.
Administrative Support
Personal service contractors participate in ethics training and comply with ethics rules and regulations.
Clerical activities
Some centers use contractors for administrative/clerical support functions. Additionally, at the Research Center a contractor provides substantive support with preliminary review, tracking, the Ethics Program Tracking System (EPTS), and drafting WAGs and post employment opinions. At the \ Shared Services Center (NSSC), contractors provide information technology support to operate, maintain and optimize EPTS.
Financial Disclosure Review
Supports training and publicizes ethics services.
Two contract attorneys worked ethics matters until full staffing levels were restored in April 2014.
contractor supports our online trading clearance system that exists pursuant to our supp regs
Former paralegal was a contractor while serving as paralegal.
Financial Disclosure Database System programming and maintenance.

ADDITIONAL COMMENTS FOR PART 4. Please indicate the question number to which the comment corresponds. **Table 3**

The answer to #6 is yes and no. The employees identified in #5 are the DAEO and ADAEO (a.k.a. general counsel and deputy general counsel). There are no other ethics officials in the agency. The DAEO/general counsel has supervisory authority over the ADAEO/deputy general counsel in all respects.
The DAEO has supervisory authority over ethics employees based in Washington, DC. The ethics program is conducted chiefly within the main ethics office. In cooperation with the main ethics office, the Deputy DAEO's abroad are responsible for conducting ethics training, providing ethics advice, and reviewing OGE-450's at the overseas missions.
Because both DAEO and ADAEO are HR type employees the performance elements overlap.
Question 6 - The ADAEO is under the supervision of the DAEO (General Counsel).
Some questions are inapplicable because the Commission Chair and Members are not compensated and are political employees. The Chair is the DAEO, a Member the ADEAO, and all support is provided by contractors.
Questions # 6 & 7 The DAEO oversees the Commission's ethics program and supervises the ADAEO. However, the DAEO has no supervisory authority over regional offices staff, who serve as Deputy Ethics Counselors (DECs). The DECs are supposed to perform ethics duties for all state advisory committee members (a/k/a Special Government Employees or SGEs). Please see the Commission's responses to question #22 below about the challenges of overseeing the regional offices ethics program.
#4: In 2013, the Chairman appointed, Deputy General Counsel for General Law as a second ADAEO for the agency. The ethics official has served as an ADAEO for CFTC for 1-4 years, has spent 14 total years performing ethics duties, and currently spends approximately 26-50% of her time on ethics. She is a CT-16, which is a SES or equivalent employee at the CFTC. The ethics official was not eligible to retire as of 12/31/2014 and is a career employee. Question 9. Contractors working under contract with the Office of Data and Technology support the Ethics Management and Tracking (EMAT) System for the ethics program. Contractor staff work with the ethics program staff to address technical issues related to the online OGE 450 and OGE 278 filing system. Question 10. The agency has implemented standard performance elements for all staff and managers across the agency. Therefore, ethics duties are not listed as a performance element for any of the agency's staff. However, any ethics work performed by staff is reviewed and assessed in quarterly and annual performance appraisals against the standard performance elements.
Item 6. I am not the supervisor of record for the employees in the ethics team, but I have authority to assign, review, and approve all ethics related duties and work.
Q#4 - The ADAEO is the agency's Deputy Chief of Staff which is an "Administratively Determined" salary. I chose GS-15 because that was the drop down option that fit best. Q#6- The DAEO & ADAEO are the only individuals who perform ethics duties at the agency.
question #7 –The agency provides Ethics oversight for Pretrial Services Agency (PSA) for the District of Columbia. The Deputy Director (DD) for the Pretrial Services Agency collects the 450s for that agency, and the reports are sent to CSOSA for review.
Two of four employees referenced above have left the agency
The agency's Office of Ethics is a small centralized ethics office servicing the Department's 110,000 employees in all 50 States and around the globe. All of the agency's ethics services are provided by the Office of Ethics.
7. The Ethics Program is solely managed by the agency's Office of General Counsel.
For Question #7 the above checked items have been delegated to the Office of Inspector General with regards to their staff.
The majority of the annual ethics training is provided by HQ Ethics. Some field offices provide and develop annual ethics training after receiving clearance from HQ. Field locations provide new entrant training.
Q3/4 - retirement eligibility of DAEO and ADAEO is PII and therefore is not furnished- entered as NO to complete question. Q10 - varies among Department components.
The agency's Office of the Inspector General is also included as a subcomponent and their responses are also reflected within this questionnaire.
6/7: DOJ has 32 Deputy DAEOs serving in its components 31 are attorneys and 1 is an Executive Officer. In

<p>addition to the DDAEOs, the Departmental Ethics Office (DEO) in the Justice Management Division (JMD) oversees the DOJ-wide ethics program and provides direct advice to DOJ's leadership offices, to JMD and to certain smaller offices. DEO's programmatic ethics functions include issuance of DOJ-wide guidance, providing ethics information, advice and counsel to the DDAEOs, preparation of training materials, delivery of training, ethics program reporting and retention of documents including Pledges and certain financial disclosure reports. While many ethics duties are performed by DDAEOs and other components' employees who are not in the DAEO's direct supervisory chain, DOJ's ethics program is coordinated through DEO, in the component of JMD. The Component Head of JMD is DOJ's DAEO. No aspect of DOJ's ethics program is delegated entirely outside DAEO authority.</p>
<p>#7 Would not allow me to select Other. Certain gift acceptances such as: WAGs are delegated to the bureaus for their approval.</p>
<p>Note drop in employees is due to the exclusion of enlisted personnel.</p>
<p>Q6: In DO, direct supervisory chain, but component ethics officials generally report to respective bureau chief counsels, subject to oversight by DAEO. Q8: No, for most bureaus IT support for two.</p>
<p>#6. DOT has a decentralized program. The DAEO has supervisory authority over OST ethics officials and provides general oversight over ethics officials in the operating administrations.</p>
<p>All attorneys on the Ethics Specialty Team hold written delegation as deputy ethics officials. Regional Counsels retain ethics advice part of their performance standards, but they refer anything other than very basic advice to the Ethics Specialty Team.</p>
<p>8. The DAEO supervises three full-time ethics employees.</p>
<p>Q.6&7. Ethics officials not under the direct supervision of the DAEO and ADAEO conduct a preliminary review of 450's for technical deficiencies. They also provide initial ethics advice and counseling, and review outside employment requests and are authorized to approve certain of these requests. Ethics officials under the supervision of the DAEO and ADAEO review 450's for all other issues (e.g., conflicts of interest), and provide more in-depth ethics advice and counseling. The ADAEO approves all requests to engage in paid outside employment, the uncompensated practice of law, and uncompensated outside employment that involves representation or the rendering of advice or analysis regarding any EEO law.</p>
<p>#7 None #10 At FCA, all supervisors (i.e., rating officials) at grade 42 and above have an ethics performance standard as a distinct element in their performance evaluations. Because the DAEO and DEO are not rating officials, ethics is not a distinct element in their performance evaluation. However, their performance in administering the ethics program is evaluated under each performance measure.</p>
<p>#10 All supervisory officials above a certain grade level have a distinct element in their performance evaluation for ethics. The DAEO and DEO do not have a distinct ethics element because they are not supervisors. However, the performance in administering the ethics program is evaluated under each performance standard of their evaluation.</p>
<p>Q. 2. The number of permanent agency employees as of 12/31/2014 are 1426.</p>
<p>#6 The GSA Ethics Officials are located in the Office of General Counsel (OGC), The Civilian Board of Contract Appeals (CBCA), and the Office of Inspector General(OIG). The DAEO, ADAEO and most of the ethics officials are located in OGC and report to supervisors in the Office of General Counsel. The Heads of the CBCA and OIG have supervisory authority over the ethics officials in their organizations.</p>
<p>Q3: Our DAEO is neither a political appointee nor is he a career appointment. OPM designates that position as non-career, non-competitive since the Executive Secretary serves at the pleasure of our Board of Trustees.</p>
<p>N/A</p>
<p>The Foundation has 3 FTE's and 1 PTE with a total staff of 7 so ethics duties are minimal.</p>
<p>Ethics Program Administrator</p>
<p>Question 5: Goddard Space Flight Center in Greenbelt, MD was not counted as being in the D.C. Metro Area because Goddard is administratively separate from NASA's Washington, D.C. Headquarters. Question 6: The DAEO is located at Headquarters and has supervisory authority over all employees at NASA HQ performing ethics duties, who are the personnel indicated as being in the DC Metro area. Question 7: Ethics program management is substantially delegated to local NASA legal offices with some</p>

program management functions retained at HQ.
RE #6, the DAEO/ADAEO have supervisory responsibility for all deputy ethics officials but the Counsel to the Inspector General. (See #7.)
5. I did not include the DAEO in this tally. 6. DAEO has supervisory authority over Central office ethics officials (ADAEO and 2 deputies). The other 5 deputies always present unusual issues to the ADAEO. 10. Ethics is part of the position description for most ethics officials. All of our executives have the same performance standards, that is why ethics was written into position description only.
Q.7: The Office of the General Counsel (OGC) runs the NEH ethics program and no elements of the ethics program have been delegated outside the supervisory chain of the DAEO or ADAEO.
Re: 6. DAEO supervises Alternate and Deputy DAEO. DAEO does not supervise conflicts' officials.
N/A
Question 1: The number of employees is limited to the number of direct hire employees. The NSC staff is also supported by a large number of detailees for whom our ethics program provides advice and counseling on a daily basis. Question 5: The number of employees who performed ethics duties includes two detailees who were with the National Security Council Staff Office of the Legal Adviser in early 2014 but who left during the year and were backfilled by two new detailees.
#4: The Associate General Counsel has served in the ADAEO position for over 10 years with break in service. #6: The DAEO & ADAEO do not have supervisory authority for employees who perform ethics program duties outside the D.C. Metro Area, but provide direction on ethics program issues to these individuals. #7: Program management resides in the Office of General Counsel. However, ethics counseling is also conducted by regional counsels in the four regional offices.
#10. OA requires all employees to have uniform elements in their appraisals, so there is not a specific ethics element in appraisals. However, ethics duties are specifically included under work objectives for the ADAEO and Deputy Ethics Official and performance of those duties is addressed in the narrative in each person's appraisal.
For questions 3, 4 and 5 the amount of time spent on ethics refers to the amount of time spent on OGE's internal ethics program.
Also, one Deputy DAEO also has ethics duties listed in his performance expectations.
Only David Shull does not have ethics as a distinct element in his performance standards, but he handles a very narrow ethics issue that is a small part of his job. Daniel Rader handled ethics duties only for the first 2-3 months of 2014 before the arrival of the current ADAEO Michael Passante.
One ethics official is on detail from another agency. Ethics duties are listed in the detail agreement but are not part of her performance standards at her home agency. The remainder of the ethics team have ethics duties as a distinct element in their performance standards.
Question #2 is classified so we entered 0
The only employees with ethics duties are the DAEO and ADAEO.
#5: OVP has up to two Ethics Counsel positions staffed by detailees. Accordingly, the 31-40 hours per week figure reflects four detailees that rotated sequentially through those positions. Additionally, OVP has three lawyer positions in our Counsel's Office that work on ethics matters, which, due to personnel turnover during the year, were filled by five lawyers during 2014. #10: OVP does not have written performance standards. Full-time ethics counsel detailees are detailed from their home agencies pursuant to Memoranda of Understanding, which identify ethics duties as the primary scope of work for each detailee. In addition, while there are no written performance standards for the lawyers in OVP's Counsel's Office, the Counsel and Deputy Counsel to the Vice President are responsible for providing ethics advice to OVP.
The General Counsel is the DAEO. The two attorneys are the ADAEO and Deputy DAEO respectively.
Note: ADAEO also performs ethics duties for the Department of the Interior Office of Inspector General. Accordingly, the response to Question 4(h) reflects total time spent on ethics duties by ADAEO. Whereas, the response to Question 5 reflects time spent solely on Board ethics duties by ADAEO.
#3 DAEO level is PCES 1 and DAEO yrs. performing ethics duties = 7months #4 ADAEO level is APS 01

#7 The Postmaster General has delegated to the Office of Inspector General(OIG)certain aspects of the ethics program as applied to OIG, including the financial disclosure review and certification process, advice and counseling, and education and training (although DAEO may review training materials).
ADAEO has just been appointed, but after 12/31/14.
VEF is excepted service so no grade is available. I have selected a grade since the form will not otherwise submit.

13. Which additional resources are needed? Check all that apply. **Table 4**

NA
For Commissions, it would be helpful if OGE had an web based training on ethics.
Need time and resources to develop and deliver more engaging ethics training.
Increased availability of OGE courses to train new ethics counselors.
An electronics ethics tracking system.
Only one ethics official said additional resources necessary - that being training aids.
Additional budget for greater in house and in person training.

16. Which of the following tools did your agency use to ensure short- and long-term continuity of operations (succession planning) of its ethics program in 2014? Check all that apply. **Table 5**

Professional Development

ADAEO provides support to DAEO outgoing DAEO preserved critical records for successor
Significant ethics docs are accessible by all staff electronically, to enable staff continuity.
Attended ethics conferences sponsored by associations of ethics professionals
The DAEO and ADAEO attended the 2014 National Government Ethics Summit.
DAEO and ADAEO coordinate issues to ensure continuity of operations.
Staff Training
Other tools include training, IEC meetings, DEC meetings, and OGE and OGC Ethics seminars and webinars.
FD Online
Interagency Ethics Counsel (IEC) sessions/workshops
Vertical discussions between higher and lower headquarters on the job training and discussions between peers.
At one bureau, the former ethics attorney provided two current Chief Counsel staff members with an ethics program briefing the week of her departure.
The Ethics Team discusses items of significance weekly, and VA will pay for outside courses.
Ethics training is also taken from D.C.Bar clases and outside ethics conferences, such as the ECOA conference.
IEC
Interagency Ethics Council, Office of Government Ethics Training
Resources obtained from Small Agency Counsel Group.
Virtual NASA ethics officials' face-to-face meeting held in October 2014 on 2 consecutive afternoons for all centers. Best practices sharing at the NASA annual legal meeting and local practice group meetings.
One ethics deputy who is also an attorney attended ethics courses provided by the DC Bar Association.
On the job training provided by our agency.
Regular monthly status meetings between the DAEO and ADAEO to discuss OGE's internal ethics program
#16: OVP maintains various records to promote continuity of operations and consistency in our program.
Use of a shared OGC database for our ethics advice to capture the key ethics advice topics we advised on during the year.
Knowledge library (intranet, videos, shared drives)
Resources assessment (personnel and financial)

Programmatic Tools

Quarterly meetings between the DAEO, ADAEO, and the head of the agency.
FDM
USDA uses ETHOS, an in-house ethics database system which stores ethics advice to assist Ethics Specialists responding to new questions. Additionally, every e-mail sent by Office of Ethics staff providing advice to USDA employees contains a request for the USDA employee to complete a survey on the quality of the advice rendered. All submitted surveys are reviewed by the DAEO.
Other tools include use of internal websites to dispense up-to-date ethics information, informational brochures, and HHS/OGC and OGE reference materials and training.
5 year plans, COOP Plans, brown bag bi-weekly ethics luncheons and ethics officials meetings
Annual training plan OGE ethics calendar the milSuite online collaborative tool and shared information papers
Former agency DAEO assumed position of ADAEO to ensure continuity in ethics programs.
Sharing of ethics-related developments, advisories, etc.
We copy all ethics opinions to an ethics email box, so that we have a listing of opinions provided. We also have a WAG email box, where all WAG opinions are copied.
Tracking systems for financial disclosure and education and training
Regular coordination and communication between DAEO and ADAEO.

18. What did you assess? Check all that apply. **Table 6**

Did an attendance "audit" to verify which SGEs were required to submit a financial disclosure form.
Other response emailed to OGE.
Assessed training and ethics guidance provided to agency employees.
To identify best practices or deficiencies, opportunities for improvement, and internal training systems and resources.
Financial Disclosure, Ethics Advice & Training
Financial Disclosure processes
Automation of online filing of financial disclosure reports.
Staff assistance visits by Corps of Engineer Division Counsel assess Ethics Program execution.
One component examined quality of training materials another focused on outside activity approval another examined policies on post-employment restrictions and Form 278 termination filings, and notice to current employees when promoted or detailed (60+ days) to a covered position. Changes to processes have been implemented.
Annual Ethics Training.
OMB Cir A-123 Control Audit
Compliance with requirements for collecting public financial disclosure reports.
Timeliness of financial disclosure review.
currently reviewing and updating our regs and supplemental regs.
Oral discussion and analysis of essential aspects of the ethics program.
Self-inspection of all program elements to ensure sufficient management tools and procedures
See additional comments.
An assessment of Peace Corps training provided to overseas staff was done by outside consultants procured by the Office of the Inspector General. Ethics training to overseas staff was one component of that assessment.

20. Does your agency provide ethics program services for any board, commission, or agency that is independent of your agency? **Table 7**

The Pretrial Services Agency for the District of Columbia
Defense Technical Information Center (DTIC).
The Denali Commission includes a commission comprised of 6 SGEs
The Office of Ethics provides ethics program services for the Federal Crop Insurance Corporation and the Delta Regional Authority. The Office of the Inspector General provides services to the Council of Inspectors General for Integrity and Efficiency.
See comments.
National Assessment Governing Board National Council on Disability
United States Interagency Council on Homelessness
OPIC
SGE and FACA training.
1) Office of the Inspector General 2) Advisory Committee 3) Sub-Saharan Africa Advisory Committee
We also administer the ethics program for the Farm Credit System Insurance Corporation (FCSIC) that is housed at FCA headquarters but is independent of FCA. We file a separate program questionnaire for FCSIC
International Boundary Commission
Public Interest Declassification Board
The NEA provides ethics-related training and financial disclosure support to the President's Committee on the Arts and the Humanities (PCAH). PCAH is a FACA Committee established by Executive Order and serves in an advisory role to the President. The NEA as well as the NATIONAL Endowment for the Humanities both provide PCAH with operational services. The NEA's ethics office provides PCAH with ethics assistance, training and counseling.
The Social Security Advisory Board and The Federal Old Age and Survivor's Insurance Trust Funds

21. Please list any significant accomplishments your ethics program achieved in 2014. **Table 8**

Maintaining active awareness of ethics responsibilities across all staff members
Ensuring and validating that all required SGE financial disclosure forms were received and completed.
Staff continues to regularly consult with DAEO/ADAEO before taking any action they believe could potentially raise an ethics issue, and follows the advice given.
Provided ethics training not only to Federal direct-hire employees but also to contractors working for USADF in the U.S. and to contractors and Partner organization staff working with USADF in Africa.
Continued the Integrity Working Group (IWG) consisting of agency leaders from the Office of Security, Human Capital Management Team, Office of Inspector General, and Office of the General Counsel Ethics and Administration. The IWG discusses ethics related issues that effect the agency. Redesigned our ethics curriculum to better illustrate how the relevant restrictions apply to USAID operations. This new curriculum consists of a series of modules on a variety of topics, including Counter-Trafficking in Persons (CTIP) Conflict of Interest Spousal Employment Gifts Post-Employment Social Media and Widely-Attended Gatherings. These modules serve as tools for our ethics officers to construct their own ethics education presentations. Provided live ethics education classes not only to the 3,500+ filers as required by statute, but also to more than 90% of all employees employed by the agency both here in Wahington and at our 90+ overseas missions. Initiated Ethical Leadership Program.
None
ABMC successfully closed out follow-up items from 2013 audit by OGE.
NA
The DAEO and ADAEO provided ethics advice to staff in a timely manner, usually w/in two days.

None
Trained every employee face-to-face to include those out of the area.
100% on-time filing of all financial disclosure reports.
Complied Ethics Handbook for Reference & Training Had successful on-site OGE Audit
- In 2014 the agency's ethics program staff supported the successful confirmation of three PAS nominees to bring the Board of Governors up to one member short of full operating capacity. - The agency's OGE 450 program scored another 100% submission rate for its more than 400 confidential filers. It also ensured that 99.5% of its filers completed their required annual training, with the only two exceptions being employees prematurely lost to the agency through resignation and death, respectively. - The DAEO and the agency's ethics program worked closely with the Board of Governors to draft and implement a new code of conduct for its PAS members to reaffirm their commitment to Federal ethical principles and implement a more robust policy regarding compliance with financial disclosure and annual training requirements.
We deployed a new electronic filing system that will be utilized by senior officers to file their public financial disclosure reports, periodic transaction reports, and STOCK Act recusals.
CSB Ethics staff successfully steered two Board Nominees through the 278 reporting process for Senate confirmation.
Successful Ethics Program Inspection
Achieved compliance with all program requirements according to an OGE review.
All reports were received in a timely manner.
Complies with ethics requirements for staff and SGEs
Accomplishments emailed to OGE.
None
In 2014, the CFTC ethics program provided in-person training to all staff at the agency, expanded the ethics guidance and reference materials made available to staff on the agency intranet, developed video training available online for all staff, and implemented a new post employment guidance process that provides written guidance to all departing employees. These improvements were possible due to increased staffing support made available by the OGC General Law group. Attorneys in the General Law group were cross-trained on financial disclosure review, conflicts, and other ethics areas and were able to provide additional part-time support for the ethics program. As a result, the ethics program significantly expanded the level of service provided to agency staff and leadership. This led to enhanced ethics compliance by staff, more timely response to ethics issues and questions, and a stronger financial disclosure review program.
At OGE's National Government Ethics Summit, CFPB had 6 ethics officials present on various topics, including on how to create an ethics program in a new agency. In 2014, the Ethics Office provided live training for 98% of its new employees during New Employee Orientation and for over 95% of its employees on the Bureau's Supplemental Ethics Regulations. In addition, the Ethics Office provided annual ethics training by individual office, through live and interactive training sessions. For the first time, the Ethics Office solicited feedback on its training and found that 98% thought the training was presented in an engaging and effective manner and 98% believed their level of awareness of ethics issues increased.
-enhanced ethics training by engaging field employees -ethics review and approval for 3 PAS official
The Ethics Program was able to provide and increase targeting ethics training for new employees and their supervisors in our field offices and in our research and evaluation office. The needs of each office had changed because of changes in mission and personnel.
None
Live training provided to all CEQ staff for ethics and for Hatch Act and Anti-Lobbying Act.
-Bridged a gap between CFC Keyworkers and the Office of General Counsel on providing CFC advice -provided staff with electronic Tips of the Day flyers regarding various ethic issues
reviewed and re-evaluated OGE 450 filers to ensure proper individuals were filing. Created Agency focused annual training, reviewed and updated ethics training. Reinitiated ethics newsletters/DAEOGRAMS. Agency

Director provided a personal letter to each GS 15 and SES emphasizing the importance of the 14 ethical principles and the expectation that each senior staff member will embrace those obligations and responsibilities.
brought on new ADEAO and integrated him into the Agency's ethics program.
100% completion of filing and training requirements for all OGE 278 and OGE 450 filers
Accomplished significant employee outreach on a variety of ethics issues produced a Director's Memo on maintaining an ethical culture.
Completed OGE Program Review
1. Implemented an online annual ethics training program for the entire Agency. 2. Implemented a robust, interactive tailored live training program.
All employees, not just required financial disclosure filers, received ethics training. Processed three nominees.
In 2014, we developed written guidance for DSS employees concerning various ethics-related topics, including gifts, use of Government motor vehicles, and conflicts of interest, outside employment, and post-government employment. We updated our agency's ethics webpage to include useful and easy to understand ethics information for our employees. We also provided in-person ethics briefings for all new agency employees.
100% Annual Ethics Training completed on time.
None
Despite its small staffing, under the leadership of USDA's General Counsel and with the strong support of the Secretary of Agriculture and the Deputy Secretary, the Office of Ethics (OE) has had numerous significant accomplishments in 2014. These accomplishments include: (1) Creation of innovative ethics training programs (For example, throughout 2014, under the leadership of USDA's General Counsel, USDA's DAEO and ADAEO presented 14 separate specially tailored live large group ethics trainings, in the Jefferson Auditorium, for USDA's appointees, career-SES, and mid-level managers. Half of these live trainings were broadcast via webinar to USDA employees across the country. The trainings were also recorded and have been viewed by thousands of USDA employees across the nation. This is the largest number of live trainings ever conducted by USDA's Office of Ethics. (2) USDA's DAEO created innovative new ethics training courses for Procurement Officials, Scientists, and Senior Executives. These training sessions featured remarks by USDA's Senior Procurement Officer (at the Ethics and Procurement training) and USDA's Under Secretary for Research, Education, and Economics (at the training for USDA's Scientists). (3) Updated electronic web-based ethics training modules on AgLearn and successfully implemented a new updated version of the "Ethics Sweepstakes" game. "Ethics Sweepstakes" is an innovative electronic ethics training game module which contains generic questions which can be utilized by other agencies across the Executive Branch. (4) Successful continuation of USDA's electronic filing of financial disclosure reports. (5) Assisted OGE by having USDA's DAEO participate in two panel presentations at OGE's executive branch-wide Ethics Summit. (6) USDA's DAEO has continued to raise the visibility of the Ethics Program by delivering "Ethics Moments" and "Ethics One-Pagers" presentations to the Secretary's weekly Sub-Cabinet Meetings, USDA's White House Liaison's weekly Appointees Meetings, USDA's Natural Resources and Environment Mission Area leadership weekly meetings, USDA's Research, Education and Economics Mission Area leadership weekly meetings, USDA's Farm Service Agency State Executive Director's Weekly Meetings, and USDA's bi-weekly Agency Heads Meetings, consisting of the leaders of over 20 component agencies. Additionally, the DAEO instituted monthly ethics training at the Department's Management Council meetings attended by senior representatives of USDA's Mission Areas. All told, the DAEO has presented over 270 "Ethics Moment" ethics mini-trainings in 2014. (7) The Office of Ethics successfully developed and implemented new procedures and a comprehensive new electronic form for reviewing requests for employees to serve on outside non-profits boards in their official capacity. (8) The Alternate DAEO has provided live ethics training to a number of Federal Advisory Committees. These committees provide advice to the USDA Secretary on topics ranging from bio-technology, food safety, to encouraging new farmers and ranchers to sustain the nation's food supply. (9) The DAEO worked to assist the Federal ethics community by delivering a presentation, sharing with the Inter-Agency Ethics Council, USDA's protocols for scientists and other employees to serve on outside non-profit professional associations in their personal capacity. (10) Finally, the Office of Ethics has one of the most successful mentoring programs for its ethics officials. The environment at the Office of Ethics is one where "each one, teaches one" from the DAEO on down, everyone learns from everyone else to become better, more finely honed, ethics experts.

Expanded further training provided to employees in other agencies.
Values-based, leader-led, primarily live ethics training, not only for covered employees but also others, such as entire organizations, immediate senior official front office staff and procurement officials. Final revisions to updated Supplemental regulations in coordination with OGE.
Certified or initially reviewed 98% of 398 OGE Form 450 reports within the OGE 60 day standard. Visited six Audit field offices to provide Office of General Counsel legal updates and ethics refresher presentations.
1)Improved Timeliness of Reviews. 2)Two New Standard Operating Procedures. 3)Training.
In-person annual ethics training for all Headquarters employees and a significant number of field employees required to take such training.
We continued to successfully utilize the HHS Electronic Financial Disclosure System (EFDS), which facilitated the submission, review, and certification of public and confidential financial forms electronically. We provided in-person IEO and AET for non-career personnel. The agency's 2014 AET was developed and launched. Ensured continued compliance with the STOCK Act requirements. Undertook initiative expanding training program beyond the ethics community.
Component accomplishments include a favorable OGE review of a component ethics program and two model practices identified 100% compliance for 278 filing 100% compliance for 450 filing procurement of new electronic 450 program new SOP with written procedures for 278 and 450 systems certification of backlog of FD reports provision of New EThics Official Certificate training by DHS component ethics staff development of videos for ethics training creation of pocket-sized cards with 14 Principles for distribution during ethics training electronic 450 tracking process using internal HR system provision of specialized ethics training to overseas employees 100% compliance with PFDR and CFDR programs and clean OIG audit provision of ethics training to all USCG Flag Officers and spouses inclusion of 3 hours of ethics training as part of basic course curriculum for all new USCG attorneys creation of mandatory requirement for demonstrated proficiency in ethics practice area by USCG Reserve JAGS.
The Ethics Division held a three day Ethic's Practitioner's Training in June 2014 on ethics issues. This training was open to all attorneys across the country who perform ethics duties. / HUD OIG initiated a Got Ethics Campaign to familiarize its staff with the 14 basic principles and their application when faced with challenges. OIG also added Agent Ethics to its training program and invited speakers to talk on ethics at senior employee retreats.
Enhanced ethics training in content, scope and integration with Learning Management Systems increased efficiency in financial disclosure strengthened advice and guidance delivery regarding post-government employment, conflicts, outside employment, and policy on working with non-Federal entities.
-Separate ethics briefings for lawyers in Solicitor's office -Continued ethics presentations at the senior management meetings -Increased ethics support to regional offices -Continued monthly reminder email and guidance to all public filers regarding periodic reporting under the Stock Act
Significant reduction of overdue PAS reports forwarded to OGE. Increased senior level management participation in ethics program.
We were successful in completing our overall mission goals and requirements despite agency-wide fiscal reductions and more general manpower limitations. Additionally, we significantly expanded our ethics training effort within the Air Force (for both filers and non-filers) and for the first time we provided annual ethics training to our entire acquisition work force, an additional 30,000 personnel. We implemented this expansion of training in response to a DoD-wide initiative.

** The FDM application experienced major technical challenges in 2014. However, the Army team worked closely with CECOM, focusing our efforts on diagnosing and correcting the problems as quickly and efficiently as possible. The technical and application upgrades subsequently made in 2014 allowed us to complete the 2014 filing season, with almost 45,000 financial disclosure reports successfully filed in FDM by Army personnel in CY 2014. ** After the conclusion of filing season, additional changes were accomplished to include increasing memory and bandwidth to increase program speed and number of concurrent users. ** The Office of the Army General Counsel created new on-line annual ethics training for 2014, which provided ethics training to 3106 employees, including 1265 Financial Disclosure Filers. ** Army JAG School Ethics Counselor's Course trained 193 DoD ethics counselors, to include 101 Army ethics counselors from across the Department. ** The Office of the Army Inspector General, with assistance from OTJAG, developed an innovative ethics training package for General Officers and their staffs. ** Army MEDCOM developed a new ethics class, "Government Ethics for Medical Professionals." ** The Warrior Transition Command added ethics training to its "Warrior Transition Command Senior Leader and Clinician Course." ** The Army's Army Material Command (AMC) Command Counsel held a week-long CLE for AMC attorneys at which ethics instruction was included in both plenary and elective sessions. ** AMC highlighted ethics issues in several Command Update publications distributed to all AMC attorneys. ** The Army Sustainment Command developed an interactive in-person Annual Ethics Training presentation tailored to their client's needs (e.g. contracting field), and issued various "Ethically Speaking" memorandums and information papers regarding specific ethics topics to the work force. ** The Tank Automotive Command (TACOM) developed a Depot Leadership and Management Program for ethical decision-making and values-based leadership), and a Leader's Tool Kit video and training materials. ** The Army Corps of Engineers (CoE) provided an in-person brief on ethics rules overseas and the applicability of the Ethics rules to its foreign national workforce. ** The CoE established a more formalized check-in/check-out procedure that instituted appropriate Ethics Counseling for incoming and departing employees. ** The CoE made a district-wide distribution of a bi-monthly ethics newsletter.

Congressional document request, ethics website redesign, internal ethics training for Assistant Ethics Counselors, personnel resources (federal & contractor.)

The Secretary issued a message (an ALNAV) to all personnel emphasizing the importance of ethics. Enhanced training for senior offices, staffs, and spouses. Made online training available that links automatically to the training record of the employee.

Treasury generally focused on achieving full compliance with ethics training and filing requirements for covered employees and providing live, in-person ethics training, where possible, to many non-covered employees throughout many of the bureaus. Internal enhancements to program operations were also implemented among bureaus.

Provided innovative live training to employees. Successfully oriented new deputy ethics officials to ethics program. Timely collection and review of financial disclosure reports.

Updated VA's intranet Ethics website for VA employees. EST made permanent as Team in OGC. TMS training, 100's of thousands. Implementation of COS requirement. Increased coordination with VA National Center for Ethics in Healthcare.

Ethics training for all employees.

1. Maintained core competency and high level of customer service even given maternity leave taken by one of our three FTE. We nevertheless completed 278 review, processed potential PAS nominees, delivered well-received online training to more than 12,000 employees (83% of all employees) despite the reduced number of available on boards. 2. EPA Ethics also participated in several presentations at the OGE Ethics Summit and other ethics community events (IG training). 3. EPA Ethics continues to provide its annual ethics training to other agencies for their use as their annual ethics training. 4. EPA Ethics participated in the testing and pilot of OGE's Integrity online public financial disclosure system. 5. With a new DAEO, ethics staff began education for its new DAEO. 6. EPA Ethics facilitated the agency transfers for two IT employees to OGE.

Created annual ethics training for in-person presentation.

- 1) All Agency Annual Ethics Training
- 2) Revised Outside Employment Procedures

<p>1) We increased our ethics outreach by publishing "Ethics in Action" articles in the FCA Newsletter at least twice a month and by attending office staff meetings to discuss ethics topics and address questions.</p> <p>2) We added an ethics performance standard for supervisors and sent them ethics topics to discuss with their staff.</p> <p>3) We posted ethics posters throughout the Agency and field offices each month that covered the 14 General Principles of Ethical Conduct.</p>
<p>1) We increased ethics outreach by publishing "Ethics in Action" articles in the Agency newsletter at least twice a month and attending office staff meetings to discuss ethics topics and address questions.</p> <p>2) We added an ethics performance standard for supervisors and sent them ethics topics to discuss with their staff.</p> <p>3) We posted ethics posters throughout the Agency and field offices each month on the 14 General Principles of Ethical Conduct.</p>
<p>Development of in-house agency e-filing application for OGE 450 and FCC Form A-54A. In-person live training of all GS-13 and above FCC employees incl. OGE 450 and OGE 278 filers.</p>
<p>Launched the FDIC Form 2410.14 - Notification of Post-Employment Negotiation or Agreement and Recusal Statement on-line.</p>
<p>Provided consistent services to employees despite the absence of a DAEO. Deputy Ethics Official completed a six week detail with OGE Financial Disclosure Branch, Compliance Division. Developed written procedures for onboarding PAS employees.</p>
<p>In 2014 we launched a successful well-received ethics training presentation. Provided Ethics training to at least 1300 of 1437 employees in our agency. We also addressed frequently asked questions during our ethics training.</p>
<ol style="list-style-type: none"> 1. Successful OGE Inspection all recommendations closed after followup. 2. Hosted 2 days of OGE Ethics Summit.
<ol style="list-style-type: none"> 1. Continued ethics column in weekly agency newsletter. 2. Integrated new employee ethics training into onboarding process. 3. Worked to expand Solicitor's Office presence throughout the FLRA to encourage employee engagement.
<ul style="list-style-type: none"> - Accomplished 100% annual training participation for both public and confidential filers. - ADAEO provided continuous assistance to the agency's new DAEO to ensure continuity and consistency in the agency's ethics programs.
<p>Although not required to do so, FMCS provided ethics training to all of its employees.</p>
<p>We have included ethics guidance in a monthly agency newsletter.</p>
<ul style="list-style-type: none"> - We prepared for and finished an OGE program inspection. - We trained a large number of new employees, including a new Chair and Vice-Chair. - We made ethics presentations at the IEC, an OGE webinar, and the OGE Summit. - We hired a new ethics attorney and a new ethics coordinator and integrated them into the program. - We upgraded our financial disclosure tracking system, FDDTRACS. - We assisted OGE and the White House in clearing three Presidential nominees. - We created, required, and tracked non-filer training.
<p>Despite the Agency's large increase in new employees in 2014, OGC has continued to successfully administer new employee ethics training within 30 days of an employee's appointment. OGC continues to improve the accessibility of our ethics records and have retooled our annual training to provide a greater focus on the most common ethics questions from Agency employees.</p>
<p>OGE's 2014 inspection determined the FTC is compliant and found "that the FTC's ethics program incorporates model practices which exceed requirements." We revised our handbook for new employees, created a new platform for online training (Fwitter), and revamped prior live training (Ethics Deal or No Deal). We received feedback from staff (e.g.): (1) "This Fwitter is Fwantastic! What a great example of government being creative and forward-thinking" and (2) "I want to commend each of you for the excellent job you did with today's ethics training for senior staff. You have discovered how to make a subject most of us would prefer to avoid both interesting and entertaining (and I'm not just saying that because my team won)...I'm particularly impressed by how you use the questions to stimulate thought and as a jumping off point to provide a lot of</p>

additional relevant information.”
We were able to continue to give timely advice and process all OGE Form 278 and 450s within the timeframes. We were able to train over 10,000 employees (including over 2600 nonfilers).
We completed an OGE Audit.
IMLS director and agency ethics staff received OGE letter for successful completion of the 2014 public financial disclosure filing cycle.
All employees completed their financial disclosures in a timely basis. All but one employee completed their ethics training in a timely basis. The one employee who was late completed training within a week after the deadline.
Ethics training to 100% of assigned personnel. Timely, accurate ethics opinions. Successful ethics inspection by OGE in December 2014.
Updating and Circulating Ethics Program policies to all staff
DAEO & ADAEO worked closely with the IG regarding allegations of misconduct by an SES. We pursued our succession planning by hiring an attorney with ethics experience to work part-time in the ethics program.
Met with OGE to review and improve our ethics program. Annual training set for each spring.
Making sure that each person received ethics training in a timely manner.
Review of New Commissioner nominee
1. Responded to all requests for advice and counsel in a timely manner 2. Prepared for the move to electronic filing system
MCRMC continued to provide in-person initial ethics training to all new employees and detailees within a very short time frame. MCRMC employees and detailees were given annual training, as well.
Consistently ensure 100% of MCC employees are trained by the deadline.
Completed all OGE 450s First comprehensive SGE training for Board of Trustees in Agency history
Published and finalized revision to NASA's supplemental outside activities regulations. Improved timeliness of financial disclosure review. Increased face-to-face training at some locations. The NASA OIG's office employed a new thematic approach to training to increase trainee interest. NASA's Alternate DAEO spoke at OGE's Ethics Summit on outside boards. NASA's new DAEO successfully transitioned into her new role.
We provided onsite training at several of our facilities in California, in Kansas City, Mo., and at the Roosevelt Library in New York.
No comment.
-Ongoing learning curve in our electronic financial disclosure program. -We incorporated "Poll Everywhere" software as part of our large ethics training sessions (2 sessions with over 500 people in each). It was a huge success. -We used software (a card reader where we then created an attendance database) instead of sign-in sheets for these 2 large training sessions totaling over 1000 employees. This saved administrative staff hours of recording names from sign-in sheets.
Our office worked on an extensive financial disclosure review of the Chair of our agency, who was appointed to lead the agency in early 2014. Our office also worked closely in the financial disclosure review of the Senior Deputy Chair in 2014. The Senior Deputy ranks second to the agency's Chair.
During 2014 NEH conducted annual ethics training for all employees (not only financial disclosure filers). NEH also began using an electronic filing system, FDOonline. OGC helped staff make the transition from paper to electronic filing, offering several training sessions on the new system. OGC also revised the internal NEH financial disclosure directive.
Completion of Director's Ethics and Fiscal Tool. Created an ethics handbook for employees to reference.
Created a new training series to address Ethics and the use of Government Email. Each training segment was designed to take no more than ten minutes to complete so that employees could easily fit the training into their busy schedules. In addition, we employed a variety of delivery methods: job aids, videos, articles, and web-based training modules, to encourage our audience to participate in the training program. Developed a Legal Ethics training program that instructs NLRB Board Agents on ethical case handling procedures related to

Skip Counsel and Privilege. Continued to provide timely and interesting topics to Agency employees through the Agency newsletter. Developed one-page job aids, monthly tips, and other outreach materials that were distributed to headquarters and field offices throughout 2014. We have received positive feedback from our leadership and rank-and-file employees regarding all of these products.
None
1. Video of completing 450 2. worked with travel office on implementation of electronic sponsored travel approval system.
N/A
- Secured a detailee to serve as the full time Ethics Counsel to the National Security Council Staff - Formalized processes for financial disclosure form intake and review - Standardized advice, counseling, and ethics training
Live training for all agency employees Revised new hire process Ethics database
- Created administrative logs to track incoming documents for data tracking purposes. - Training of a new Deputy Ethics Counselor. - Successful turnover of technical responsibility of the agency's ethics electronic filing system from the Office of General Counsel to the Office of Information Services, for which that office has the required expertise. - Improved certain facets of the agency's electronic filing system for better user functionality purposes. - Streamlined process for filing designations. - Improved certain facets of program management processes for Special Government Employees.
No significant accomplishments to note.
We were able to offer live or video-conferenced ethics training to all our employees by contracting with (MOU) the Department of Commerce.
2014 was the first year OA used electronic filing for the OGE 450s. OA Contracted with the Department of Commerce to present the Annual Ethics training for our component and other components within the Executive Office of the President for 2014. Revised the Initial Ethics Training orientation and in June 2014 began providing the training to several other components within EOP in addition to OA's new employees.
OGE provided live training to all staff and had 100% compliance. Written procedures were revised and updated.
Hired full-time ethics attorney. Full-spectrum review of Program and installed processes to ensure compliance with rules.
Caught up with previous work resulting from last year's departure of both the long-time DAEO and ADAEO. Continued to provide high-quality ethics guidance to ONDCP staff.
We started a monthly Ethics Training via email to all our employees.
Received unqualified support and assistance from new OPM Director and senior leadership.
The agency's Office of General Counsel launched an intranet site, which contains a significant amount of information regarding the agency's ethics program and ethics standards, rules and regulations. We also launched an Ethics mailbox to enable employees to submit requests through that mailbox and to track and make searchable our responses to those requests.
Agency-wide in-person interactive ethics training. Timely advice provided to questions from staff. Compliance with all OGE deadlines.
Streamlined the 1353 process for travel benefits to be accepted from a non-Federal source and tracking reports of payments. Overhauled the annual ethics training. Reestablished the IC Ethics Roundtable Forum and held quarterly meetings.
none
Successfully transitioned in a new DAEO and two deputy ethics officers while maintaining the continuity of the program and providing timely, accurate ethics guidance. Also drafted detailed, individualized financial disclosure counseling memos for each of the office's 278 and 450 filers.
Provided live ethics training for 90% of agency personnel. Continued improvement in use of online financial

disclosure system.
This year our agency was able to create an online annual ethics training module using Survey Monkey for all overseas staff and regional U.S. office staff. The online training was comprised of multiple choice and yes/no questions for the staff to answer. Once a staff person selected an answer they received a detailed response to the question. Using this tool allowed our agency to easily track those who had completed the annual training and gave us valuable information related to each question which will assist us in targeting remedial topics for future training. We also were able to present "fun" live training to our headquarters staff this year by revamping an available ethics training game, "Who Wants to be a Millionaire." We created new categories and questions and several staff members indicated that it was "fun" and a really helpful training.
Sound ethics advice, timely delivered. Revised/updated New-Employee Orientation training materials - 100% of new employees timely trained. Reviewed the process for reviewing/approving employee speaking engagements. Hosted a session of the 2014 OGE ethics summit. ADAEO co-presented a session at the 2014 OGE ethics summit. 93% completion rate of required annual ethics training as of 12/31/2014 (99% as of 01/28/2015). Attorney completed Intensive Curriculum in Ethics program.
<ul style="list-style-type: none"> • Creation and Implementation of a WAG form, • Mandating annual ethics training for all PRC employees, • Creation of PRC Employee Ethics Guide, • Creation and distribution of a monthly Ethics Dispatch, and • Creation of an ethics briefing packet for PAS and PA employees
A greater observable understanding and fluency among employees on the underlying values of the SOC, particularly in regard to misuse of position and Gifts.
-Undergoing a successful OGE inspection of the establishment of the PCLOB Ethics Program
Despite staff changes in the Office of General Counsel and certain time consuming projects, we completed all required ethics training timely and conducted ethics training for new field office managers.
The Board is currently set to sunset on September 30, 2015. In anticipation of this sunset date, the Board's ethics office retooled its annual training to focus on issues arising from Board employees inevitably seeking post-Board employment. The process of preparing for this training generated a valuable and meaningful dialogue between Board ethics officials and Board managers regarding management's expectations of employee conduct throughout the shutdown process. This led to the inclusion of practical and straightforward information in the training presentations. During the training sessions, particularly during the portions addressing seeking post-Board employment, the employees were highly engaged and eager to understand what was permissible and impermissible conduct in the course of their job search. Ensuring that this issue was front and center in the minds of the Board's employees was a significant accomplishment of the ethics program in 2014.
Review by ethics staff of 100% of 450s for prohibited holdings (that's over 3000 forms)
We gave no extensions for filing 278 and 450 reports and had no delinquencies.
None
Made significant contributions to the agency by working with our Operations component to develop and provide ethics training to all GS-13 and above managers nationwide. Approximately 2,906 managers were trained as part of this training initiative. The training of regional personnel staff, mid-level managers, new supervisors, and ALJs resulted in significant increase in staff seeking ethics advice before taking questionable actions and a marked increase in our review of outside activity requests.
-Successful Annual Ethics Training using multi media -Timely completion of 450 Financial Disclosure Reports - Restructuring training to allow for employees in Crystal City and abroad to access the training online and more easily.
We have moved completely to providing each new employee one-on-one initial ethics training. This is far

superior to other kinds of training because it allows for a back-and-forth conversation as part of the training. It also makes an immediate connection between the new employee and the ADAEO, who does the training, providing for a level of comfort to communicate sometimes delicate issues in the future. We have found this very effective based on the subsequent level of communication from staff.
TVA held its first annual Ethics Week in September 2014.
All Annual FDM filers were able to file electronically. New, streamlined ethics approval forms.
Updates to FDS
In 2014, the Office of the General Counsel continued to provide in-person live annual ethics training to the Agency. The training included interactive ethics exercises and received positive response from the Agency employees.
Donna Brickers, whose term ended in March, established SOPs for Ethics.
Annual ethics training was provided to the entire White House Office. We also created a central system for ethics correspondence.

Please list the greatest challenges facing your ethics program in the next 1-3 years. **Table 9**

Managing conflict of interest issues of our SGE policy officials
ACUS SGEs (with OGE approval) complete a short disclosure form (in place of the Form 450) prior to each of the semi-annual plenary sessions they attend. It is a challenge to ensure that all forms have been received because some never RSVP prior to the meeting, making it important to catch them before the meeting begins. Others RSVP, but don't show up, so it's important not to count them for reporting purposes. Forms are not required if they do not attend these meetings.
There are no critical challenges. The main, recurring challenge is running an ethics program where, due to limited staffing, the DAEO and ADAEO carry out ethics functions as one of many secondary duties.
Keeping abreast of developments and changes in the ethics laws, regulations, and guidelines and communicating them immediately and effectively, as appropriate, to agency employees.
Transitioning to the e-filing system for OGE-278's provided by OGE. Using technology to track our employees' ethics education and financial disclosure filings.
None
continued improvement in training and record keeping.
NA
The DAEO does plan to retire in December 2015. Plan is to hire new General Counsel by Oct. 2015.
None
To provide ethics counseling and briefing to colleagues geographically separated.
None.
Staff and/or Board of Trustees Appointments requiring extensive work w/OGE to facilitate
- Ensuring a strong culture of ethical behavior in a climate of declining budgets and official resources. - Adjusting to agency personnel changes and internal structural reorganization. - Transitioning the Public Financial Disclosure program to OGE's Integrity System.
1. Fundraising issues 2. Transitioning to OGE's new online filing system (Integrity) and its compatibility with our current electronic filing system.
CSB may station employees in remote locations around the country, which may make coordination of ethics training and advice more difficult.
Keep training materials up-to-date
Members of the Commission are not compensated, generally have full-time, non-government jobs, and it is, sometimes, difficult to provide them with training although they are as cooperative as can be expected.
None.
None
Challenges emailed to OGE.

DAEO retiring in 2015 and need to transition to new DAEO.
One of the challenges facing our ethics program in the next couple of years will be revising and finalizing our agency's supplemental ethics regulations. Another challenge will be to maintain a robust and effective training program as we begin to provide in-person training to our four regional offices around the country.
-Possibility of being required to transition to OGE's financial disclosure system
Preparation for retirement of DAEO. Currently as the DAEO, I devote more time to the program than any other team member. In the next year, I will have to do more to cross train and distribute responsibilities and expertise. Improvement of development and delivery of ethics training.
Employee turnover
Providing clear direction for next Presidential transition Providing ethics counseling for new PAS appointees
Given the size of the agency (employees) and the small size of the Office of General Counsel (7) the Confidential Financial Disclosure form review and certification can be very challenging. We do not have the budget to obtain an automated filing system.
Finding a meaningful way to engage our employees who are worldwide, and have them become active participants in the ethics program who regularly ask for ethics advice and bring issues to the forefront.
timing filing for new entrants who are in temporary (NTE 120 days) positions
Identifying new entrant OGE 450 filers
FDM updates and maintenance issues related to an Agency-wide reorganization. We require supervisors to review filers' financial disclosure reports which can make it challenging for timely completion of review and certification. Managing post-employment advice opinion requests through AGEARS, which can be difficult to navigate.
Adequate FTE support to meet increased demands on Ethics program
1. Engaging DLA leadership in taking the lead on ethics issues and setting expectations for employees. 2. Engaging supervisors in a continuous evaluation of job duties to ensure employees covered under 5 CFR 2634.904 fulfill their filing requirement. 3. Personnel turnover due to retirements, reassignments and downsizing of Federal Government continues to challenge the Agency.
Developing procedures and increased workload due to nominee activity and staff departures
DSS expects to grow in size over the next 1-3 years. As a result, we may experience challenges making sure that we have sufficient resources available to effectively manage the agency's ethics program.
Transition from Financial Disclosure Management System to new automated system.
Having the Commission operate as Congress intended within the limitations imposed by the conflicts of interest rules.
Amongst the greatest challenges facing USDA's Ethics Program are the preparations for the 2016 Presidential Election season and the Presidential Transition in 2016-2017. USDA's Ethics Program is very small -- with 21 FTE employees in December 2014 (as compared to the 36 FTE employees USDA's Ethics Program had during the 2009 Presidential Transition). As such, during the 2016-2017 Presidential Transition, USDA's Ethics Program will face three vital challenges simultaneously: (1) Providing extensive ethics advice, training and financial disclosure reviews for all new incoming Administration appointees (2) Providing extensive ethics post-Federal employment advice and to all departing appointees and retiring career employees (3) Responding to the heightened demand for timely and extensive Hatch Act guidance and training for all USDA employees to ensure compliance with the rules limiting political activities for Federal employees during the 2016 Presidential, Congressional, State and local election seasons. These three challenges are discussed below: (1) With regard to providing ethics services for new incoming Administration appointees, OE will need to successfully conduct hundreds of new complex and time-sensitive Public Financial Disclosure Report (OGE-278) reviews. OE will need to prepare necessary Ethics Agreements and -- for Senate-Confirmed Presidential Nominees (PAS) -- OE will need to conduct the necessary coordination with potential nominees, White House Counsel's Office, and the U.S. Office of Government Ethics, as well as ensuring timely 90-day follow up compliance reporting to OGE for all of USDA's incoming Senate-Confirmed Presidential Appointees. At the same time that USDA's Ethics Office will be working diligently on time-sensitive ethics issues related PAS

nominations processing, the Office of Ethics will also be conducting ethics reviews for all incoming senior policy-making officials and other political appointees to USDA, including nearly 100 incoming senior policy-making political appointees serving in senior level positions (as FSA State Executive Directors and RD State Directors) within the 50 States. (2) Simultaneously, the Office of Ethics' workload will increase dramatically with the need to provide ethics training and time-sensitive job search ethics counseling and post-employment ethics counseling to USDA's departing political appointees in Washington, DC and across the country, as well as retiring career SES executives, GS-15 and GS-14 managers, and GS-level USDA procurement officials, IT technology systems experts, loan officers, grant-making officials, risk management insurance reviewers, appraisers, food safety inspectors, nutritionists, forest rangers, conservationists, researchers, scientists, and economists. (3) During the 2016 Presidential and Congressional elections cycle, the Office of Ethics will be heavily tasked to provide timely Hatch Act advice and training for all USDA employees to minimize risks of political activity violations. The Office of Ethics will be taxed to successfully navigate all three of these challenges because of its small staff size and because the Office of Ethics must also allocate resources to continuing to conduct the regular training and advice-giving provided to all USDA career staff and numerous USDA Advisory Committees throughout the Department. Moreover, as a result of the long-term effects of staffing reductions and budget constraints, OE's small but dedicated and innovative staff will need to maintain the high level of quality and excellent customer service provided to all employees at one of the largest Departments in the Executive Branch. Finally, because USDA's Ethics Program is so small, it will need to face the challenge of retaining experienced ethics staff. USDA's Ethics Program is at risk of becoming a top notch "finishing school" successfully mentoring and training its staff to achieve very high levels of proficiency where they can obtain higher paid ethics positions at other Executive Branch agencies.

Implementation of a new electronic filing system.
 Conducting a smooth transition to new leadership in the Ethics Program.

Loss of ethics officials to attrition and PCS moves of military JAGs. Implementation of Integrity.gov e-filing. Change in senior DoD leadership, immediately & 2016 Presidential election. Increased work due to Congressional interest in military professionalism.

N/A

Implementing Integrity Transition

Complexity of financial investments held by senior leadership.

Retaining and recruiting qualified ethics staff continues to represent a major challenge for the HHS ethics community.

Component challenges noted included timely notification of new and departing employees identification of filers and timely filing implementation of new Supplementary Regulation on Outside Activities, including training employees on prior approval process and increased workload from requests for approval shortage of personnel and resources for improved technology for FD electronic filing, and current staffing levels constrain ability to provide proactive and expanded outreach and training to the workforce.

One of the greatest challenges our program faces is limited resources in our budget to travel for training opportunities./ HUD OIG lists implementation of a value based culture within OIG and use of an electronic filing system for 450s as its greatest challenges.

Implementation of Integrity system succession planning allocation of limited resources, change in Administration in 2016.

- Next Presidential transition
- Increased use of DOL electronic publication and social media to disseminate ethics advice and guidance
- Implementation of electronic filing
- Post ethics training for increasing retirement eligible personnel

Rotation of knowledgeable attorney advisers, use of a new online filing program (Integrity), upcoming administration transition, and budgetary constraints.

Some of our greatest challenges in the next 1-3 years include sustaining manpower assets to accomplish an increasing volume of work while budgetary constraints continue to compel the agency to reduce and downsize. We faced on-going technical issues with the DoD Financial Disclosure Management (FDM) system, which frustrated both filers and reviewers. This is an ongoing challenge as we will continue to use FDM as our electronic filing system for financial disclosure until the transition to OGE's financial disclosure system. Such

<p>technical issues with our current electronic filing system create challenging conditions for certifying our large number of public and confidential financial disclosure reports. In addition, force reductions appear to have triggered an increased need for post-government employment advice due to personnel turnover.</p>
<p>** Potentially transitioning from FDM to Integrity.gov, w/r/t Public Financial Disclosure Report (OGE 278) filers. If the decision is made to transition, challenges include: 1) ensuring availability of a data pre-population feature, i.e., ensuring that data can be exported from FDM and imported into Integrity.gov, and 2) properly training OGE 278 filers and support staff on using integrity.gov. ** If the decision is made to remain in FDM, challenges include ensuring system can produce data in the OGE 278e format required by OGE. ** Potentially transitioning from FDM to Integrity.gov, w/r/t Confidential Financial Disclosure Report (OGE 450) filers. If the decision is made to migrate, challenges include obtaining the OGE 450 capability (will OGE run the system, will OGE provide the software to agencies for them to run their own programs), and properly training OGE 450 filers and support staff on the new system. ** Potentially executing interagency agreements with OGE and obtaining funding for financial disclosure requirements. Currently Army funds FDM for the entire DoD. If OGE develops an OGE 450 capability and charges customers a fee, as has been suggested, then Army OGC will need to revisit whether we should continue as the DoD Executive Agent for this new arrangement. ** OGE will need to execute interagency agreements under the Economy Act with Army (and potentially the other military departments, OSD, and DoD agencies) for reimbursable support. ** Army (and potentially the other military departments, OSD, and DoD agencies) must ensure that funding is properly requested and certified by the Defense Business Systems Management Committee (DBSMC) on an annual basis prior to obligating any funds to avoid a statutory Anti-Deficiency Act violation. ** Army will need to continue sustainment of the system, either as is, or in modified form, because the statutorily-required After Government Employment Repository (AGEAR) system is inextricably intertwined with FDM. AGEAR is the OSD database mandated by Section 847 of the NDAA FY2008, PL 110-181. ** Maintaining compliance and level of ethics support within the ethics program in an era of declining DoD resources. ** In the CoE, training a wage grade workforce that spends extensive time on the Mississippi River and includes seasonal and temp employees. Also, the high turnover of the CoE workforce due to the overseas tour rotation rules require continual emphasis on how the ethics rules work in our foreign location Europe District includes 9 Countries and over 40 Offices.</p>
<p>Retirees starting consulting businesses, transitions, change in financial disclosure system, congressional oversight (resource demands), and succession planning.</p>
<p>Review of complex financial instruments on financial disclosure form. Continued training of ethics officials Delivering to employees relevant training, not merely training compliant with the regulations</p>
<p>Treasury projects that adapting to the OGE Integrity e-filing process and system (including supporting filers) managing the Presidential transition process and developing improved databases to track ethics filings, counseling, and training, within budgetary and human resource constraints, will be among the greatest challenges.</p>
<p>Use of technology for financial disclosure and other aspects of the ethics program.</p>
<p>Helping VA regain trust from Veterans and other stakeholders. Increasing involvement with VA Researchers and outside relationships</p>
<p>N/A</p>
<p>1. Need for succession planning given probable retirement of key staff member in two years. 2. Reduced FTE (from 3.0 to 2.5) 3. End of Administration and increase in ethics counseling.</p>
<p>Adapting to the electronic filing of public financial disclosure reports.</p>
<p>1) Adapting to an electronic filing environment 2) Developing an Ethics Policy regarding social media 3) Procedures for gifts received from foreign prohibited sources.</p>
<p>1)Switching over to Integrity, which we will test by having just the DAEO file on the system for 2015. 2)Providing one-on-one ethics training to two new expected Board Members and getting these new members to understand the value and importance of the ethics program. 3)Continuing to report monthly to a new FCA Chair to ensure leadership's commitment to and involvement in the ethics program.</p>
<p>1) Moving to Integrity, although in 2015 we will just be starting with the DAEO. 2) Providing one-on-one ethics training to two new expected Board Members and ensuring that they understand the value and importance of the ethics program.</p>

3) Continuing the monthly ethics reporting to a new FCA Chair to ensure leadership's commitment to and involvement in the ethics program.
Continuation of succession planning.
Downsizing
Assisting employees with the process of converting to a electronic filing system. Developing a succession plan for the Ethics Program.
One of our greatest challenges facing our ethics program is acquiring and implementing the electronic filing system.
1. Volume of 278 filers 2. Integrity deployment and training 3. Enhancing outreach to outstationed examiners
No significant challenges.
Maintaining continuity of the ethics programs in the event of possible departure of DAEO and/or ADAEO, considering that they are the only ethics officials at this small agency.
Our small size/limited number of employees scattered through out the U.S.in over 60 field offices, makes meaningful succession planning virtually impossible.
Tracking outside activities of employees in satellite offices.
-Transitioning from paper to electronic financial disclosure via Integrity.gov
As the Agency continues to grow, the number of ethics opinions issued by OGC will increase. We've anticipated this challenge by adding even more staff members with ethics experience, as well as designating specific ethics responsibilities to other OGC staff members.
Managing competing priorities with a small staff continues to be challenging, despite hiring a new ethics attorney in CY 2014 (no team member is solely dedicated to ethics). We continue to face challenges (monetary and otherwise) to adopt new procedures (such as, creating an electronic system that automatically notifies the Ethics Team of new hires, promotions, and other actions that trigger ethics-related actions). During CY 2015, we aim to have all senior staff use Integrity (the e-filing system). We also hope to develop a more systematic approach of identifying potential conflicts of interest (e.g., developing a searchable, electronic database that allows program staff to identify involved/affected persons and entities).
It continues to be a challenge to develop fresh and engaging ethics training each year. Also, moving to an electronic filing system for the financial disclosure reports will be a challenge for filers and reviewers in the beginning.
Providing appropriate training and guidance given our small staff.
Transitioning financial disclosure filers from the agency's current electronic financial disclosure filing system to the new OGE on-line system. Also, assisting agency staff to transition from receiving periodic in-person/interactive ethics training to embracing the potential benefits (e.g., time, cost and convenience) of using the agency's new on-line AgLearn training system.
Maintaining commitment to ethics.
Funding and staffing, employee turnover, and effect on operations of retiring personnel.
Increasing number of financial disclosure report filers ethics training
Anticipated retirement of the ADAEO.
Due to the size of the Foundation staff, our resources and time are limited for our ethics program.
None at this time.
Developing new training materials
1. Transition to electronic filing system in 2015
MCRMC is scheduled by law to terminate by January 2016. As such, over the next year, we expect to assist employees with seeking/negotiating employment questions and post-employment counseling.
We are in the process of revising the Ethics Training process to enhance administered training and provide more interesting documents/information to keep employees engaged
Possible retirement of DAEO
NASA is transitioning to expand its use of commercial launch vehicles, including stimulating the growth of a commercial space sector. These efforts introduce new ethics challenges, including heightened engagement

with new companies with less developed compliance practices, and new opportunities for agency staff to seek private sector employment. They also include heightened interest in agreements with commercial entities for which exposures to endorsement and related concerns must be addressed.
Our challenges include the adoption of Integrity by 278 filers within the agency, questions regarding the Hatch Act, given the 2016 election, and post-employment questions associated with senior-level employees retiring.
No comment.
Communications and ongoing compliance issues with remote field staff. This is an issue in many different areas at NCUA - certainly not limited to ethics. The vast majority of our staff is remote (examiners who work out of a home office and travel to examine credit unions all year).
One of the greatest challenges facing our ethics program is resources. The ethics practice is rapidly becoming a significant part of our small office's workload and as such, a bigger component of the DAEO and ADAEO's workload. The challenge in the future will be balancing the ethics practice with the other 18 areas of law that our office is tasked to handle.
2015 will be the second year NEH has used an electronic filing system. We hope that the system will become easier for staff to use in the second year. In 2015 two NEH employees will begin filing with Integrity. An ongoing challenge is balancing the ethics program with the other demands of an Office of General Counsel with a small staff.
Lack of human capital resources during period of transition for ethics program.
Retirement eligibility of senior personnel and ensuring knowledge capture and transfer takes place before departure of these individuals. We are currently working to bridge this gap by training staff in the government and legal ethics subject areas. Providing a robust program to employees during a challenging budget era where resources devoted to the program could be limited. Transitioning public financial disclosure filers from a paper-based to OGE's electronic filing system in 2015.
Working with OGE re: implementation of INTEGRITY
Need line budget
Implementing an automated financial disclosure system similar to OGE's Integrity system.
NA
Improve overall program/process Enacting Supplemental Ethics Regulation
- Employees leaving raise issues regarding post-employment conflicts. - Loss of experience and institutional history within the ethics staff.
No challenges identified
Setting up Integrity e-filing system and training public financial disclosure filers to use the system. Obtaining financial resources to continue annual live ethics training to all employees.
Develop in-person training for 2015 annual ethics training. Develop relevant and interesting on-line annual training for 2016 and 2017.
Transitioning to Integrity.gov for all our public filers
Additional human resources will enable OMB to build a model Program which can serve as an example for the entire Executive Branch.
Reporting requirements of the STOCK Act
I don't foresee any great challenges affecting our ethics program in the next 3 years.
Ensuring effective awareness of and timely compliance with the STOCK Act reporting requirements.
With the addition of the Office of the Chief Technology Officer, the ethics work has greatly expanded and continues to expand exponentially. In line with that expansion, individuals who are brought on board through detail assignments, through Interpersonnel Agreements, and through other mechanisms cause additional ethics work. This creates a challenge for the the agency's ethics program in managing the increased number of financial disclosure reports, potential conflicts of interest, and other advice and counsel that accompany the growing numbers of staff. In addition, as the current Administration comes to a close, we anticipate a growing number of staff departures from the agency. Moreover, we will face a transition from one Administration to the next, adding additional responsibilities to the legal team's workload.
Transition in agency leadership anticipated in 2016 or 2017.

Limited ability to perform proactive ethics efforts because ethics staff have diverse portfolios.
Obtaining training for new ethics officials.
none
Because our Ethics Counsel are six-month detailees, we face continuous turnover in those positions. Locating qualified detailees for those positions remains a challenge. Additionally, the detailees lack of historical knowledge can pose some challenges.
Staying informed about changes and developments in federal ethics laws and regulations.
Staff changes for half of our ethics officials (thus, training/incorporating new members of our ethics team during 2015). Locating resources to develop more comprehensive and engaging online training modules. Developing a tracking system for overseas Personal Services Contractors (both long-term and short-term).
Training new ethics attorneys. Succession planning. Nomination and orientation of new agency head. Learning new financial reporting system. Transition to new Presidential administration.
We are currently evaluating and assessing, what if any issues/challenges need to be addressed by our ethics program.
Succession planning with the retirement of the ADAEO, as well as continued education on Gifts.
-Maturation of the program as our agency becomes more established.
The possible retirement of our current Ethics Officials and training new Ethics Officials.
As addressed in response to question 21, the Board is currently set to sunset on September 30, 2015. As this date grows closer, it is anticipated that more Board employees will seek post-Board employment. The Board's ethics office is prepared to continue to address the issues that will accompany this challenge.
amount of work vs. number of employees
Electronic filing
Succession Planning Computerized Ethics Training
1.Ensuring that all agency employees are aware of the ethics rules and resources available to assist them in interpreting those rules. 2. Ensuring filers comply with their financial disclosure requirements. 3. Receiving prompt notification from HR regarding new employees and/or employees who have entered new positions that require financial reporting.
The possibility of switching from FDM to Integrity. We are a temporary agency and that could take significant time and resources.
The ADAEO is working on a written procedure manual of the practicalities of running the Board's ethics program. This is an original piece of work that is rising from the day-to-day interactions and actions of the primary ethics official. The challenge is to get these actions down and edit them, while attending to many other duties. The idea is to prepare something so that anyone taking over the ethics program could use it as a practical guide and training.
Implementation and transition to the new Integrity e-filing system for the Public Financial Disclosure Reports.
Stock Act requirements currently not recorded in FDM Over 100 278 filers with no control over assets
Incoming Postmaster General Staffing changes
Keep up with the new electronic filing technologies from a small agency's perspective.
Dealing with SGEs, who have no government background and do not understand the complexities of government regulations.
There will be significant staff turnover.

ADDITIONAL COMMENTS FOR PART 5. Please indicate the question number to which the comment corresponds. **Table 10**

22. BGSF is 2-person EOP micro agcy. Changes involve extensive collaboration w/OGE
Q5 - One ethics official left the agency in December 2014, thus there are currently 6 remaining.
Another issue that I will be focusing on in 2015 is compliance with STOCK Act requirements.
Question #20: Caribbean Fishery Management Council Gulf of Mexico Fishery Management Council Mid Atlantic Fishery Management Council New England Fishery Management Council Pacific Fishery Management Council South Atlantic Fishery Management Council Western Pacific Management Council Gulf Coast Ecosystem Restoration Council
17. We conduct ongoing assessment of the Ethics Program in biweekly DAEO meetings. The meeting is attended by the DAEO, ADAEO, Ethics Program Manager, Ethics Program Administrator, and Senior Associate General Counsel of the Employment Law Division. 19. Our written policies are in DoD 5500.7R, Joint Ethics Regulation.
Q12: Generally, no, but two bureaus need more human capital and other more technology resources. Q15: Generally, no, but two bureau heads met with ethics staff. Q16: Responses vary these are the most common Q17: Responses vary where DO or bureaus did a self-assessment, the responses provided for Q18 reflect at least one bureau assessing that individual selection/choice. Q19: Responses vary by bureau items checked reflect at least one bureau indicating written policies or procedures for each choice.
#16 We also attend D.C. Bar classes and outside ethics conferences, such as the ECOA conference for ethics training.
@ 19. WE HAVE NO SUCH POLICIES BUT SYSTEM WILL NOT ACCEPT WITHOUT CHECKING A BOX FOR THIS!!
question 21 did not provide enough space for us to provide you with the most complete answer to include examples of the materials that were distributed. OGE should consider increasing the size of the comments field or let agencies know that the field is limited.
#13: The agency needs the Office of Government Ethics Integrity system. In addition, the system should include filing capabilities for Confidential Filers. #19: The Nuclear Regulatory Commission utilizes the written guidance on financial disclosure reviews provided by the Office of Government Ethics.
No additional comments to note.
#15: We did not have formal meetings to discuss our ethics program, but as we are a small agency the Chairman is always in touch with us regarding ethics matters.
Please note that OGE has instructed the agency that we should provide only the number of full-time employees directly employed by the agency in 2014.
Question #13: We currently have an open vacancy to hire a GS-12/13 attorney to support the ethics program and are actively working to fill this position.
I became DAEO in June 2014. The ethics records were in disarray and I am working on developing policies and procedures.
#15: For purposes of Ethics Program administration, the Agency Head is OVP's Chief of Staff. #18: Because OVP's small size as an agency and turnover of our ethics details, we continuously review and assess our ethics program, and gain first-hand feedback from employees on their views of our ethics program and their specific needs and questions. As a result, during 2014, OVP revised and finalized several key policies, improved our continuity of operations materials, improved coordination with the our operations staff to improve the employee onboarding process, updated our ethics training materials, and worked to improve our detailee staffing process.

In response to Question 12, we are currently assessing what, if any resources are needed for the ethics program.

#15 The DAEO, Michael Elston meets with the Postmaster General.

25. How do you deliver IEO to new employees? Check all that apply. **Table 11**

supplement one on one briefings with written materials

Training manual for new FTEs and email attachments for new SGEs.

Consistent with our training plan, the DAEO: (1) personally introduces himself to the new employee and informs him/her about the identity of the ADAEO (2) informs the new employee that he, or the ADAEO, is the person to contact regarding any ethics issues and (3) provides the new employee a copy of "Do It Right," and explains that the new employee can use an hour of official time to read through the booklet. The "Do It Right" booklet provided to SGEs has notations, added by the DAEO, that explain how the ethics rules differ for SGEs.

Power point presentation and handouts.

Also discuss handouts during briefing.

E-mail communications

All new employees are given the Standards of Conduct and DAEO welcome letter during inprocessing.

Written materials

Written materials are provided to new employees with their original offer package. Information related to ethics is also incorporated into the offer letter.

Ethics documentation and written training provided to employees by email for those employees who are located at sites with no onsite ethics officials.

Distribution of written materials.

Written ethics training is provided via email at entry on duty.

Written briefing

USDA's Onboarding Portal which is mandatory for all new employees contains an Ethics Orientation Training module which employees are expected to view prior to their arrival at USDA. This onboarding requirement is mandated by a USDA Departmental Regulation.

Distribution of written materials by the Office of Human Resources.

Teleconference

written amaterials

We provide a summary of ethics rules to all new employees.

Video on demand review of materials:only in field or if unable to attend in 90 days + follow up.

The annual DOL guide - "How To Keep Out of Trouble"

Review of written materials. For example, in the CoE these materials include summaries of the standards of conduct, a link to the complete ethics regulations, names and contact information for ethics questions, and one-hour of official time to review the materials.

Self paced written materials. Telephone conference PowerPoint presentations.

Distribution of written materials, such as Stand. of Ethical Conduct for Employees of Exec. Branch.

Provide copies of the Standards of Conduct for Executive Branch Employees and "Do It Right."

- One-on-one briefings by Office of HR as part of in-processing process for new employees.

Written Materials--Standards of Ethical Conduct

Written materials

Teleconference once a week to all new regional office staff.

Self-paced written ethics materials.

Self-Study of ethics materials

Power point slides for presentation.

Through contract with IBC.

At the Commissions annual grant making meeting.

Handouts/brochures of ethics brief and Office of Government Ethics standards.

Written materials
Self Reading of Standards of Ethical Conduct for Employees of the Executive Branch
Reading material and links to ethics training websites.
PAS receive in-person briefing.
Written materials mailed to SGE's home.
Talent Management System (online training and tracking system)
Printed materials (i.e. pamphlets and brochures)
Welcome e-mail with ethics materials attached.
written materials
Issuance of memo from Executive Director introducing the SOC, the SOC, and extensive illustrative examples, plus references/contact information to DAEO/ADAEO.
They are given written ethics materials and time to review.
and/or ethics materials review.
A packet containing OGE training material is provided to all new employees.
Written material reviewed with management.
We also provide them with a colorful electronic summary of the main ethics rules for reference.
Handout and counseling
USTDA provides hardcopies of ethics training materials to new employee to study at his/her own pace.
Written materials

26. Who developed the IEO training materials? Check all that apply. **Table 12**

We developed it based on materials provide by OGE and GSA legal counsel.
Standards of Conduct provided during orientation.
The agency purchases web based training from SkillPort, a private company that produces training modules for government agencies. All OIG employees were required to take the SkillPort e-learning module entitled "Government Ethics" for the 2014 annual ethics training. The content of the training comports with the requirements of 5 CFR 2638.704(b).
Ethics Officials
Foreign Service Institute assisted with developing all web-based ethics training modules.
Employee certifies that he/she read the DOI Ethics Guide.
IEO web-based training developed by SkillSoft.
We used a contractor several years ago to help us develop a web-based training module using specific NCUA situations and examples.

Who developed the IEO training materials? Check all that apply. **Table 13**

Other agency's website
We send our employees to White House Counsel orientation
Written briefing
DoD Standards of Conduct web page.
other federal agencies
DOJ printed material.
See comments below.

28. How do you deliver annual ethics training to employees required to receive training? Check all that apply. **Table 14**

Written ethics "quizzes"
SGEs receive emails with written training materials.
The SGEs received a memo detailing the laws regarding conflicts of interest and how those laws specifically relate to their work in our agency. The memo also included the Federal Principles of Ethics.
email and Power Point Presentation
Review of powerpoint slides provided by DoD SOCO.
Email-communications
Written material
Ethics issues briefed at routine staff meetings.
Provide written materials on share drive.
USDA developed and implemented a new Ethics training modules entitled: "Ethics Sweepstakes" which is an interactive ethics game (a competitive horse race).
Distribution of written materials.
Live meeting
Providing employees written materials, to include summaries of the rules, references, ethics counselor contact information, and duty time to review the materials.
audio conference
PowerPoint written materials. eLMS electronic learning system. Ethics popular trivia games.
teleconference for regional staff
- For confidential filers, online training module "Ethics Sweepstakes," provided by USDA. - For public filers, online training module provided by USDA at specified designated times, during which DAEO was available to answer any questions with respect to the training and any other ethics questions.
Written ethics materials.
USDA modules and three one pagers on statutes, rules, & principles. OR One hour video of in-person training with the three one-pagers.
At the Commissions annual grant meeting.
Written materials were also provided.
Provide ethics websites and reading material.
Online trainings/quizzes
In some years we do in person or one-on-one briefings. This year we provided self-paced written training materials provided by email.
All ethics training materials that had been distributed throughout the year were posted to the Annual Ethics Training for Public and Confidential Files page of the NLRB Intranet. Annual filers were required to review these materials as well as the 14 Principles of Ethical Conduct, the Standards of Conduct, NLRB Supplemental Regulations and the Federal Conflict of Interests Statutes by 12/31/14.
written materials sent to filers before classroom instruction
Go to Webinar
In some cases, we have asked employees to review the written materials during business hours.
Monthly required Ethics Training delivered via email.
2 confidential filers who were unavailable to attend the in-person classroom training were provided with the Board's Ethics Guide and an opportunity to review the same. As always, ethics officials at the Board were available to answer questions.
An email is sent containing training material which covers all required training.

29. Who developed the annual training materials? Check all that apply. **Table 15**

Agency web sites
Powerpoint slides on PC developed by DoD SOCO.
White House Counsel
web site
Training Games Inc.(Six-pack of game-based educational training games). Outside Vendor
Online at USDA website.
internet based web training
Department of Commerce employees provided live training that we videotaped.
We were able to revise a training which we retrieved from available online resources.

30. Did you provide additional, specialized ethics training during 2014? **Table 16**

Contractors and Partner organization staff working with USADF in Africa.
USAID partner training in Uganda
Government Purchase Card holders.
Contractors
Director's Financial Analysts, Office of Regulations, and Office of Enforcement
We provided Hatch Act training to all Commissioners and their staffs.
Provided specific training to employees who were new in our Corporation State offices because many were new to federal service and a number of them had worked for our grantees so there were "cooling off period" issues that merited additional attention.
Staff in our research and evaluation office who were accustomed to working in academic, contractor or consultant type organizations had specific issues about writing and speaking and working with our contractors who conduct research on our behalf.
The senior management team is targeted for special ethics training regarding Hatch Act.
Category Managers and Buyers.
We are an accounting agency and will provide additional ethics training to finance specialists. In addition, we will provide specialised ethics training to any agency organization that has a need.
Entire DLA Acquisition Workforce trained regardless of financial disclosure filing status.
USDA Scientists, USDA Senior Executives and aspiring Senior Executives.
Foreign Commercial Service and locally engaged staff.
1. Auditors
2. Special Agents
3. SES Employees
Specialized training per principal office component requests.
Other groups include contractors, grant specialists, grant officers, senior staff, administrative law judges, IPAs, fellows, and interns.
Flag Officers and spouses SES Immigration Services Officers CFC Keyworkers Op-Divs Leadership Development Course attendees new attorneys 450 reviewers.
Non-filers encouraged to attend annual training and webcast is available for all employees to view.
Some components provide training to all employees every year See additional comments.
Lawyers, Grant Managers, and Senior Department Leadership
Senior Official Aides, Executive Officers, and Front Office Support Staff
Army OGC provided focused ethics training to Office of Congressional Legislative Liaison Fellows to Training with Industry fellows to senior leader support staff to Civilian Advisors to the Secretary of the Army SGEs and to Army Science Board SGEs. The CoE provided focused ethics training to IPA personnel, purchase card holders, and billing officials. The JAG Corps provided focused training to Commanding Generals and their spouses and new commanders. MEDCOM provided focused ethics training to its medical personnel. Finally, per DoD

directive, all Army Acquisition personnel received focused training for Acquisition-Ethics issues. This training was not administered by ethics counsel, however, and was not tracked by ethics counselors if the Acquisition person was not a Financial Disclosure Report filer.
Spouses of flag officers
sessions for specific offices on financial conflicts, gifts, outside activities Hatch Act new managers.
Departmental Office of Civil Rights.
VHA Research Staff Contracting staff-Contractors in the Workplace SES-Creating an Ethical Workplace
New SESers interaction with contractors collaboration with outside entities new attorneys, law cl
Commissioner's staff
Ethics training and advice was provided to our new PAS employee.
- Verbal in-person training to the agency's area representatives during their annual meeting.
Form 278 Non-PAS Filers
Division-specific training regarding teaching/speaking/writing, seeking employment, and other topics of special relevance to the divisions.
Admin. Assistance to Senior Staff and all staff located in the regional offices visited in 2014.
We provided specialized ethics training to various GSA program offices on various ethics topics.
Senior Grant Officers/Program Managers received financial disclosure/conflict of interest training.
All public filers received training on Integrity and the STOCK Act.
Provided group targetted training to various Headquarters offices including the Human Exploration Operations Mission Directorate, the Science Mission Directorate, the Space Technology Mission Directorate, the Mission Support Directorate, the Chief Technologist's and Scientist's offices, Human Resources, OGC, the Office of Safety and Mission Assurance, and the Office of the Chief Information Officer. Targetted training at field centers included: the Chief Financial Office, Logistics and Technical Information Division, Director's Support Staff, Center Support Personnel, student programs, scientists, Launch Services Program, attendees of the New Supervisor Training Course, and criminal investigators.
New members of the National Council on the Arts and members of the President's Committee on the Arts and the Humanities.
Please see answer below under Additional Comments (because of space limitations).
PCSers, Post Government Employees, Contracting Officer Representatives.
1. All IG employees 2. New program officials 3. Senior management 4. Departing employees
Commissioners, Administrative Law Judges, Advisory Committee Members
Certain very senior and senior officials received in-person ethics training from the ADAEO.
278 filers, especially on STOCK Act reporting requirements.
All new 278 filers received more extensive training than the regular IEO.
Provide training to any OVP employee granted access to official social media accounts.
In person ethics training was provided to new overseas Medical Officers who attended a conference in DC, Personal Service Contractors who attended Overseas Staff training during 2014, and Regional Volunteer Recruitment and Selection managers and supervisors who attended training in DC.
Hatch Act training (voluntary), offered agency-wide over several dates. Instructor-led classroom.
Written guidance to Board members
A class of new field office managers.
Political Appointees
ALJ, Attorney Advisors, and Public Affairs Specialists.
TVA Board of Directors

ADDITIONAL COMMENTS FOR PART 6. Please indicate the question number to which the comment corresponds. **Table 17**

For question #27, 75 of the 77 are SGEs who complete an OGE-approved alternate form.
#27 - 450 Filer training: One employee resigned and one employee died before completing annual training requirements.
Part 6 questions 23-31 The Commission's response to Part 6 includes data from headquarters and three of the five regional offices. Two regional offices did not respond to Ethics Staff's requests for 2014 ethics information regarding FACA advisory committees and members. Therefore, ethics data from those two regional offices is not included in this report.
For additional information, please refer to the Commission's response to question #22 below about the challenges of overseeing the regional offices ethics program.
Question 25. In addition to requested one-on-one briefings and an introductory ethics video, the agency provides all new employees with the Standards of Ethical Conduct for Executive Branch Employees, the agency's supplemental regulations, and a list of ethics officials. Employees are directed to spend one hour of official time reviewing the regulations and must certify that they have been provided the materials and completed the appropriate review.
Question 27. The former Chairman of the agency and two former Commissioners, all PAS officials, left the agency prior to annual ethics training. Additionally, one OGE-278 filer was on long-term medical leave and subsequently retired from the agency, while the remaining twenty-five OGE 278 filers either departed the agency prior to the start of ethics training or joined the agency, after the completion of ethics training. Lastly, twenty-six OGE-450 filers either departed the agency prior to the start of annual ethics training or joined the agency after the completion of training. Question 31. The Office of the Special Counsel provided in-person mandatory Hatch Act training to all Commission employees and the training included a briefing on misuse of position, time and official resources.
Question 28: we provided annual ethics training this year to filers grouped by the office in which they work, and tailored the training to ethics issues that might arise specifically for those groups (based on job duties, interactions with the public, etc.).
Item 27. Seven public filers left before the ethics training was conducted. Twelve of 15 SGEs 450 filers received ethics training, 3 resigned. Of the regular employees, 433 required training, 397 received it. There are 2 on extended leave, 1 on administrative leave who did not complete training. The remaining employees retired, resigned, or transferred prior to the time that training was presented.
Item 30. When live training is presented in person or by webinar, training is not limited to filers.
Q#27 - As per CEQ policy, all staff is required to take annual training if they are at CEQ for more than one year (this includes interns, detailees and IPAs).
issues addressed in the annual training incorporate ethical issues they arose during the prior year or are "hot button" issues that we focused on.
23. The DISA Standard is that all new employees are to be on-boarded within 5 business days of EOD. It is likely these filers were trained but that the training was not recorded in CMIS.
#23. Ethics Training is a part of DIA's mandatory orientation for all personnel (civilian and military) prior to gaining security access and work. Therefore, all required filers are captured and trained.
All employees, not only required filers, receive annual ethics training.
27. All other employees have been designated by the head of the agency to take annual ethics training because of the agency's oversight responsibilities.
31. New Wardens/Associate Wardens, Legal Attaches, Resident Legal Advisors w/overseas duty stations, hiring managers, senior management, retirement seminars.
Additional Comments, Part 6: Most of DOJ uses a LMS. In 2014, several components with large #'s of employees required to receive annual ethics training (notably ATF,DEA,OJP)underwent changes to their LMS delaying delivery and year end confirmation of training completion. All outstanding ethics training is being completed and confirmed. Some components provide annual ethics training to all of their employees. Also,

almost all attorneys at DOJ are required to receive one hour of annual ethics training as part of Professionalism training, regardless of their financial disclosure status.
#30 Some employees are required to take ethics training as part of their certification for purchase cards. #31 Training was developed for Initial Reviewers and POCs when using FDM.
25. Air force new employee training is administered at the assignment location. All new HQ employees are briefed at the time of initial orientation to the agency to ensure all are properly trained. Discretion is left to the field Ethics Counselors to conduct training as they determine what is best for their circumstances in order to ensure all new employees receive training.
Sr. level management, retiring employees, political appointees, science committee, employees not required to take training.
Q25 & 26: Responses vary by bureau, but the choices above were indicated if any bureau selected the method. Q30 & 31: Responses vary by bureau, but most for Q30, most did.
The PAS who has not received ethics training was sworn in on December 18, and was not trained by the end of the calendar year
Chairman required all Ex-Im Bank staff to receive Annual Ethics Training in 2014
We provided all Agency employees with Hatch Act training as well.
#27 One OGE Form 278 filer was on extended sick leave. She will be trained in February 2015. Please note that three of the annual filers did not take annual training because: (2) left agency before being trained and (1) moved to a GS-15 position
#30 We also trained over 2600 employees that were not required to take the training. #31 We also provided written guidance on various topics to all employees.
In question number 27 above, regarding required annual ethics training, the number of confidential financial disclosure report filers who required and received training includes "other employees" of the agency required by 2638.705(a), including Contracting Officers and other employees designated by the head of the agency or his designee based on their official duties. These "other employees" are also confidential filers.
#23 > than 90 days: 1. confusion over transfer contractor to employee. 2. HR did not inform us of a promotion in a timely manner. 3. Employee reminded three times before she came to our monthly NE training. No training: student left within a few months and did not attend training. #27: 1. Agreement reached on alternative training for a detailee to another agency. 2. Employee reminded 4 times and we have informed supervisor.
Question 27. Pursuant to OGE's request in NASA's 2012 program review, NASA instituted an abbreviated ethics training procedure for peer reviewers using the OGE-approved alternative OGE 450 form. This process was instituted so that all peer reviewers filing the alternative form could receive ethics training as part of the peer review process.
RE #23, the 33 reported as not trained we believe did receive the necessary information but we cannot verify this because the proper forms were not completed. We have worked with our onboarding staff to address this issue and ensure it doesn't happen again.
30. We provide ethics training to all employees at our National Conferences in the even-numbered years. In 2014, in addition to filers who require training, over 125 non-filers attended ethics training. So we trained all but about 30 of our employees in 2014.
Question 30 - The NEA's goal is to provide ethics training at different points during the year to all employees (including those for which ethics training is not required).
Q.27: The discrepancy between the number of employees required to receive training and those who did is because one member of NEH's National Council on the Humanities, an advisory committee, was inactive in 2014. Members of the National Council serve as SGEs and come to NEH three times per year to attend meetings and advise the Chairman of NEH. The Council member who did not receive training has not attended meetings or done any work for NEH in 2014. He is aware that were he to reactivate and do federal work he will need to complete his ethics requirements.
Q.30: NEH provided training to employees not required to receive training. NEH requires all staff, not just financial disclosure filers, to take annual ethics training. An additional 78 people to the 100 people reported

above received ethics training.

Q.31: NEH ethics officials frequently answer ethics questions from staff and take these opportunities to provide on the spot training on specific issues.

#23 114 individuals were assigned New Hire Ethics Orientation. Included in that 114 employees were a number of transfers from other executive branch agencies and student volunteers. The NLRB requires all employees/volunteers new to the agency to complete the ethics orientation to ensure that all employees are aware of the NLRB screening wall that is used to shield the adjudicatory and prosecutorial sides of the agency and prevent confidential information from being disclosed. Additionally, while student volunteers are not legally bound by the Standards of Conduct, we expect these employees to operate in the spirit of the regulation. #31 We created a training series to remind employees of the proper use of government email accounts. We also highlighted how email plays a role in the inadvertent violation of government and legal ethics rules. We also provided timely and interesting topics to Agency employees through the Agency newsletter.

Question 23: The NSC staff is also staffed by a significant number of detailees from other government agencies. We provide IEO to all new direct hires and all new detailees. Question 27: The NSC staff is also staffed by a significant number of detailees from other government agencies. We require annual ethics training for all NSC staff direct hires, all NSC staff detailees and we encourage all contractor personnel to attend. Additionally, while we collected 21 public financial disclosure reports for our direct hires in 2014, some filers departed prior to the end of the year and therefore did not receive annual ethics training.

Question 30. Our office provides annual ethics training for all OA employees, not just the OGE 450 filers, pursuant to 5 CFR 2638.705(a)(2). Our office contracted with the Department of Commerce to provide our annual ethics training. They also provided training for employees from other components within OA.

#31 All non-supervisory staff attended a 2 hour Thinkshop on Public Service. All supervisors received a separate training addressing their roles in modeling conduct and supervising the conduct of their staff. Division heads attended a similar session targeting their unique leadership roles.

24 employees, in addition to the 11, get the same ethics training. All 35 employees basically get the same training.

We provided specialized ethics training on ethical restrictions on public-private relationships.

#23: Includes both EOP and Senate payroll employees.

#26: OVP has both EOP and Senate payroll employees. All executive branch employees received executive branch training. Senate employees, in addition to usually receiving the executive branch training, all view training provided by the Senate Ethics Committee.

#27: The number of 450 and 278 filers encompasses all filers on OVP rolls as of December 31, 2014 and includes three Senate filers and one DOD filer. One 450 filer became a 278 filer at the very end of 2014, but was not required to submit a 278 until 2015, and therefore is counted as a 450 filer for the purposes of answering this survey. One 278 filer received his annual training in early January 2015 because he was on official travel at the end of 2014. This same filer had joined OVP in October 2014 and had received an initial ethics orientation at that time. The total number includes two part-time employees and the DOD filer. #29: Some OVP employees took annual ethics training from White House Counsel's Office. #30: It is OVP policy to provide annual training to all OVP staff, as well as ensure that all detailees receive annual training either from OVP or from their home agency.

For annual training (under question 27) we counted non-PAS employees and confidential financial disclosure filers who received either new employee initial ethics orientation (IEO) training or annual ethics training.

The Office of Special Counsel gave the PRC Hatch Act training.

The response to Question 27 reflects the number of public and confidential filers (both appointees and detailees) who filed directly with the Board in CY 2014 and remained in that status through the end of the calendar year. Accordingly, the response does not reflect those detailees who filed with their home agencies and /or those who were no longer Board filers at the end of the calendar year. However, all federal employees working at the Board are encouraged to attend the Board's annual ethics training.

We require all of our employees to attend annual ethics training whether or not they are required by regulation.

We provide alerts and short ethics training emails to all employees. For example, in November, we send out a big gift rule email.
Question 30: All TVA employees are required to take annual ethics training. Contractors are strongly encouraged, but not required, to take the training. In addition, supervisors attended Supervisor Academy at which time additional ethics training was provided in a classroom setting. TVA Officer/Executives are required to take an additional module as part of the annual online ethics training.
#31. We also provided specialized training to Corporate Treasury, Vehicle Maintenance employees, and Facility Services employees.
DAEO from Apr. to Sept. 2014 did not provide entrance or final forms. We are pursuing this case.

33. Does your agency conduct any of the following practices? Check all that apply. **Table 18**

We maintain our advice on a shared drive that is searchable by advice topic and to a limited extent by individual or organization.
CEQ uses a share drive to distribute ethics training and provide forms and answers to frequently asked questions.
Other practices include conferring with the designated Attorney Advisor, OGC, and HHS.
historical filers/archives/review email archives.
Continuing education requirement for ethics counselors
Shared electronic folder containing written and oral ethics advice.
We use an electronic chron file that is searchable by subject matter and individual.
List of activities and advice by month.
We have an Inbox devoted exclusively to Ethics reviews. The emails in this Inbox are searchable by individual and category. We also have a common ethics folder available to all of the ethics officials, which contains ethics opinions, templates, training, and guidance.
Peer review.

35. How do you make employees aware of the availability of post-employment counseling? Check all that apply. **Table 19**

All OGE 278 filers annually receive DoD SOCO's Summary of Seeking & Post-Government Employment Laws & Regulations.
Check with ADAEO
We did not do this in 2014. We will provide information in 2015 via email.
Due to small size of agency, routine informal discussions with all staff.
Oral and written communications
Agency notifications via web and TV.
DSS Office of General Counsel's Ethics/Standards of Conduct intranet webpage.
Ethics Newsletter and Agency Ethics Website.
Public filers in DoD IG receive annual post-employment counseling through the FDM electronic filing system. They certify acknowledgement of the counseling through FDM.
The Ethics Division held post-employment brownbag sessions that were available for interested HHS employees in 2014. Employees are also made aware of post-employment counseling through post-employment information letters, certified mail, blogs, newsletters, consultation, and phone calls.
When negotiating forms filed during initial ethics training via informational handouts.
Direct contact with senior officials information on Intranet ethics exit debriefings
newsletter and other outreach endeavors
Ad hoc contact by telephone, email or in person.
Place reminders in agency-wide electronic newsletter. Provide group (PE)counseling sessions.
The Commission has not had to provide post-employment counseling.

Post employment restrictions and contact points for requesting advice are available on the NASA ethics website.
internal agency web-site
in person post-employment briefings with departing political appointees (Senior staff)
Ethics Resources page on agency intranet.
Question 35: The written and oral guidance delivered to departing employees as part of out-processing informs them that the ethics office continues to be available to them for ethics advice post-employment, and we regularly receive questions from former employees.
Item 34, one employee provided notice but did not submit a signed form. The employee did not take the position involved.
35. Agency is integrating post-government employment training into out-processing requirements.
For number 34, we did not keep track of this information but will keep track in the future.
Q 32 & 33: Responses vary by bureau. Advice was also frequently provided on gifts and outside activities.
Q35: Responses vary by bureau, but nearly all selected all 3 or 2/3.
33. We have an intra-net subject matter database available only to ethics officials where we post advice memos, e-mails and opinions. We also maintain our outside employment/activities database and forms pursuant to our supplementary ethics reg on the same site which is only available to ethics officials.
35. As part of their out-processing, 278 filers must get a sign-off from an ethics official before they leave the agency. We also provide individual briefings for PASers (and their Schedule C policy advisors) when they get close to the end of their terms and also upon request. Ethics officials brief other departing employees who plan to do some kind of industry work upon retirement or otherwise leaving the agency.
All NGA employees are required to take Standards of Conduct Training.
#33: We use an Excel spreadsheet to keep track of timeliness of filing financial reports.
We are in the process of compiling this data. There are at least three instances that we are currently aware of.
Two things: 1. Please note that, with the government shutdown, many staff members asked whether they could hold temporary, part-time jobs. That was unusual for the agency. 2. An additional NOTE from the ethics official, the agency's DAEO: It would have been helpful for OGE to alert agencies in advance that you wanted us to track the number of STOCK Act transaction reports and the number of notification statements of negotiation or recusal under section 17(a) of the STOCK Act. The agency keeps this information in each person's individual ethics folders, so we were required to hand-search through our folders to try to answer your question.
Additionally, I am unclear why this information is necessary to report - how are these numbers helpful? One person might be actively looking for a job and so have filed many, many times, while another might only want to work one place and so files only once. How is the combined number a helpful statistic to give on an agency-wide basis? And, how is the number of transaction reports helpful on an agency-wide basis? An individual can list many transactions or just one on a single report - and he or she may have absolutely no conflicts with those transactions. I'm unclear what is the utility of this statistical exercise, even if the agency had unlimited resources to conduct searches or maintain databases, which we do not. Bottom line: What are you trying to achieve with your STOCK Act statistics? Your questions should be targeted at those ends. If the purpose is to determine whether those who are subject to the Act filed transaction reports or looked for a job, I can answer those questions without jumping through unnecessary hoops: Yes, the agency staff filed transaction reports and notification statements. Please accept my sincere gratitude in advance for reconsidering your approach to STOCK Act statistics.
I became DAEO in 6/14-the ethics records were in disarray. #s generally reflect only the time since I arrived.
#33: Ethics advice given to the agency's staff is logged in a dedicated email box and archived by topic.
In response to Question 35, we generally use annual ethics training to make employees aware of post government employment issues. We also use the Ethics Dispatch to inform and educate PRC employees about various issues in ethics, including post government employment.

ADDITIONAL COMMENTS FOR PART 7. Please indicate the question number to which the comment corresponds. **Table 20**

Question 35: The written and oral guidance delivered to departing employees as part of out-processing informs them that the ethics office continues to be available to them for ethics advice post-employment, and we regularly receive questions from former employees.
Item 34, one employee provided notice but did not submit a signed form. The employee did not take the position involved.
35. Agency is integrating post-government employment training into out-processing requirements.
For number 34, we did not keep track of this information but will keep track in the future.
Q 32 & 33: Responses vary by bureau. Advice was also frequently provided on gifts and outside activities. Q35: Responses vary by bureau, but nearly all selected all 3 or 2/3.
33. We have an intra-net subject matter database available only to ethics officials where we post advice memos, e-mails and opinions. We also maintain our outside employment/activities database and forms pursuant to our supplementary ethics reg on the same site which is only available to ethics officials. 35. As part of their out-processing, 278 filers must get a sign-off from an ethics official before they leave the agency. We also provide individual briefings for PASers (and their Schedule C policy advisors) when they get close to the end of their terms and also upon request. Ethics officials brief other departing employees who plan to do some kind of industry work upon retirement or otherwise leaving the agency.
All NGA employees are required to take Standards of Conduct Training.
N/A
#33: We use an Excel spreadsheet to keep track of timeliness of filing financial reports.
We are in the process of compiling this data. There are at least three instances that we are currently aware of.
Two things: 1. Please note that, with the government shutdown, many staff members asked whether they could hold temporary, part-time jobs. That was an unusual for the agen. 2. An additional NOTE from an ethics official, the agency's DAEO: It would have been helpful for OGE to alert agencies in advance that you wanted us to track the number of STOCK Act transaction reports and the number of notification statements of negotiation or recusal under section 17(a) of the STOCK Act. The agency keeps this information in each person's individual ethics folders, so we were required to hand-search through our folders to try to answer your question. Additionally, I am unclear why this information is necessary to report - how are these numbers helpful? One person might be actively looking for a job and so have filed many, many times, while another might only want to work one place and so files only once. How is the combined number a helpful statistic to give on an agency-wide basis? And, how is the number of transaction reports helpful on an agency-wide basis? An individual can list many transactions or just one on a single report - and he or she may have absolutely no conflicts with those transactions. I'm unclear what is the utility of this statistical exercise, even if the agency had unlimited resources to conduct searches or maintain databases, which we do not. Bottom line: What are you trying to achieve with your STOCK Act statistics? Your questions should be targeted at those ends. If the purpose is to determine whether those who are subject to the Act filed transaction reports or looked for a job, I can answer those questions without jumping through unnecessary hoops: Yes, the agency's staff filed transaction reports and notification statements. Please accept my sincere gratitude in advance for reconsidering your approach to STOCK Act statistics.
I became DAEO in 6/14-the ethics records were in disarray. #s generally reflect only the time since I arrived.
#33: Ethics advice given to OVP staff is logged in a dedicated email box and archived by topic.
In response to Question 35, we generally use annual ethics training to make employees aware of post government employment issues. We also use the Ethics Dispatch to inform and educate PRC employees about various issues in ethics, including post government employment.

45. What steps do you take to collect delinquent public financial disclosure reports? Check all that apply.

Table 21

Reminders to filer's financial advisor.
NA
Would notify ASC Chair if needed as well as the DAEO.
Notify component legal
Referral to OIG
Other steps include restricting official travel, meeting face-to-face, revoking computer access, and asking OGC for guidance.
copy Division Ethics Counselors
In-person contact/reminders
No delinquent reports in 2014. However, all appropriate steps would be taken.

ADDITIONAL COMMENTS FOR PART 8. Please indicate the question number to which the comment corresponds. **Table 22**

General comment: A number of members of our agency's board are the heads of other federal agencies and their designees. They file their financial disclosures at their home agencies. Since their home agencies handle the collection and review of their filings (as well as their training), their numbers are not reflected in the responses to our agency's annual ethics program questionnaires. Regarding question 42: The "automated" system is simply a set of reminders programmed into the DAEO's Microsoft Outlook (our e-mail/calendar software).
None
#48 Indicate your fiscal year 2014 actual and fiscal year 2015 projected costs for using the e-filing system. g) amount for all internal costs associated with operating an e-filing system (e.g., FTE, overhead, etc.) in FY 2014 - not available h) amount projected for all internal costs associated with operating an e-filing system (e.g., FTE, overhead, etc.) in FY 2015 - not available
Question 47: All CFTC employees file electronic financial disclosure report forms on the Ethics Management and Tracking (EMAT) System that was developed by the CFTC and is maintained and supported by in-house staff and contractors. Question 49: In addition to the OGE 278, the OGE 278-T, and the OGE 450, CFTC's electronic filing system includes the CFTC Form 185. CFTC employees, who do not file either an OGE 278 or an OGE 450, file a CFTC 185 to ensure compliance with our supplemental regulations.
Question 48k - the number 392 includes annual and new entrant filers
48 i: Agency completed an in-depth review of current OGE 450 filers. Reviewed the standard for filing with supervisors and significantly decreased the number of filers for the coming year.
48. The FDM system is centrally funded by the DoD and administered by the Department of the Army so while there are real costs associated the system DFAS does not bear them and we do not know what they are.
43. A number of components do not regularly receive timely notification of new employees. They are continuing to work with their HR staffs to improve notification processes. 48j: This response only reflects the EOUSA e-filing system, and does not include DOJ's projected use of Integrity in 2015.
#39 We don't track 278-T extensions, waivers, or late filing fee paid. #48 The remainder of #48 (the number of filers may be lower if the employees file the correct form or not required to submit reports).
36. The reported numbers for public financial disclosure filers do not reflect the Air Force employees assigned to Joint assignments. In accordance with Department of Defense protocol, Air Force employees file their financial disclosure reports through the chain of command for their particular Joint assignment.
Q 48. FDM is provided the Army. I have no cost information.

<p>Q42 & 44: For the majority of bureaus, the responses are as selected, but two require supervisory review. Two also do not use an automated system to track 278s.</p> <p>Q45: Varies by bureau, but most indicated the top 2 choices</p>
<p>VA will transition new 278 filers to OGE Integrity this year. If successful, VA plans to use OGE Integrity for all 278 filers the following year.</p>
<p>Costs associated with FCA's own e-filing system are negligible.</p>
<p>The costs of FCA's own e-filing system is negligible.</p>
<p>Data not available for question 48. We will be kicking off Integrity for FCC filers of OGE Form 278 in the coming weeks.</p>
<p>RE: Question 41, we do not track the number of PAS financial disclosure reports requested electronically through OGE's website.</p>
<p>Question 44: Intermediate review is required for PAS, heads of Headquarters offices, Center Directors, Deputy Center Directors, and Center Chief Counsel. Question 48: Responses to questions J and L are approximations because the agency cannot accurately project changes in the number of filers.</p>
<p>41. We had one request for a 278 from another federal agency (the Federal Financail Institutions Examination Council). We did provide the 278 but did not really consider this a public request.</p> <p>42. We are referring to FDM here as well.</p> <p>48a) we had no actual cost in 2014 because we paid for two years of FDM (2013 and 2014) in late 2012.</p> <p>48i) - Our new PASer filed paper form since it was filed before he became an employee and could access the FDM system.</p>
<p>Q.48(i): Only 13 278 filers used our online system, even though 14 filed reports last year, because one person left the agency before the system was in place and so filed a termination report in hard copy.</p> <p>Q.48(k): This number includes both full-time NEH staff and the 23 members of NEH's advisory committee, the National Council on the Humanities, who filed electronically in FY 2014. Please note that we answered this question, as asked, for the fiscal year. The other numbers in this report reflect the calendar year.</p>
<p>38 and 39</p> <p>During the review of the annual financial disclosure reports in 2014, it was discovered that 3 filers had reportable transactions in 2013 which were not reported on Periodic Transaction Reports (PTR). Given the number of transactions that went unreported, the DAEO required that they file PTR's reporting the 2013 transactions as well as any PTR's covering unreported transactions which may have occurred in 2014. All were assessed late filing fees and 2 of the 3 requested and got a waiver. The 3rd waiver request is still under consideration.</p>
<p>i.e., amount of internal costs - the eFile system is one of several applications managed through SharePoint- and requires an inconsequential amount of resource allocation compared with other applications. Really no way to provide an estimate of cost.</p>
<p>N/A</p>
<p>Part 8: The National Security Council Staff is supported by a large number of detailees. Those detailees who file a public financial disclosure report are asked to share a copy with ethics program officials upon their arrival at the NSC staff and ethics program officials perform an interim conflicts review on annual and periodic transaction reports. The numbers above only reflect direct hires to the National Security Council staff.</p>
<p>#46: We are working with OGE's Integrity e-filing office and anticipate having an electronic public disclosure filing system for 2015.</p>
<p>#48. Costs of the electronic filing system cannot be quantified as it is an integrated system that is used for many different types of projects, not just the OGE 450 electronic filing program.</p>
<p>#42 OGE will use Excel to track financial disclosure in 2015.</p>
<p>OMB records are incomplete and we do not have that information for CY2014. (Number of Notifications)</p> <p>OMB records are incomplete and we do not have that information for CY2014. (278-T)</p>
<p>Question 48: entered 0 for costs that we are unable to determine</p>
<p>I became DAEO in 6/14-the ethics records were in disarray. # of 278T's generally reflect only the time since I arrived.</p>

#45. Not applicable because we didn't have any delinquent public financial disclosure reports.
Items j and k are approximates.

52. What steps do you take to collect delinquent confidential financial disclosure reports? **Table 23**

We notify Administrative Management Staff or, if the filer is abroad, we notify the Regional Legal Officer.
NA
N/A. No CFDRs required
There were no delinquent OGE 450 forms in 2014.
Other steps include restricting official travel, using the DEC POCs to email and contact supervisors and EOs, obtaining guidance from HHS and referring to the OGC Ethics Division.
notify Program Chief of Staff
Because of technical issues with FDM, the Army DAEO granted all Army OGE 450 filers a 30 day extension from February 15, 2014 to file their OGE 450 reports.
One bureau has a policy that if a filer is late for 3 consecutive years, he is subject to disciplinary action.
We also notify the Assistant Bureau Chiefs for Management in each Bureau and Office of delinquencies
Notify the Administrative Officer.
Does not apply for non-SGE employees, because there are no OGE 450 (non-SGE)filers.
In-person contact reminders.
No delinquent reports in 2014. However, all appropriate steps would be taken.

ADDITIONAL COMMENTS PART 9. Please indicate the question number to which the comment corresponds. **Table 24**

Re Question #52, the answer is N/A since there were no delinquent confidential reports for agency FTEs. There have never been any delinquent 450/450A reports since inception of our program in 2010.
No. 52: None, because we have no delinquent filers.
#50: Five OGE Form 450 filers left the agency, prior to the 2/17/14 due date. Additionally, a filer was required to submit a new entrant OGE Form 450, and failed to do so, and subsequently left the agency.
Question 50 - OGE 450 filer numbers include 142 Annual and 27 New Entrant
CEQ's only 450 filer filed his report in a timely way, so did not need to take any steps identified in Q#52.
52. Army Financial Disclosure Management System experienced significant technical issues in 2014 resulting in the agency granting an extension for all filers.
due to FDM's poor system performance in early 2014, a blanket extension was provided to all filers until April 5, 2014.
51. Due to problems with our electronic filing system being inaccessible to many of our users we provided a more liberal extension policy to ensure that all filers completed on time.
51. Blanket extension was granted to all filers due to FDM technical issues.
#51 - Due to functionality issues with FDM, all new entrant and annual reports assigned January - March 2014 were granted a filing extension.
DSS OGE-450 filers use the U.S. Army's Financial Disclosure Management System (FDM) to file their financial disclosure reports. In September/October 2013, FDM began experiencing severe system performance issues that resulted in connectivity and other technical problems. The problems were so severe that, in February 2014, the DoD Standards of Conduct Office recommended that all DoD components grant blanket extensions to filers who filed their reports using FDM. Due to the impact of the ongoing FDM issues on DSS' filers, the DSS DAEO granted a blanket 45-day extension to all of the agency's 2014 Annual OGE-450 filers on February 5, 2014. (See DSS' response to question number 29 of 2013 ethics program questionnaire).
Blanket extension was granted on 2/19/2014 to 2/28/2014 for remaining Annual OGE 450 filers, due to problems with Financial Disclosure Management (FDM) system.
50. The agency uses the alternative format contained in the OGE approved Financial Disclosure Management

(FDM) E-Filing System. 51. The DAEO found that ongoing FDM technical problems were good cause for granting a one-time extension of the filing deadline for DoD IG filers. Accordingly, by letter dated February 7, 2014, the DAEO extended the deadline from February 18, 2014 to March 14, 2014.
50. The reported numbers for confidential financial disclosure filers do not reflect the Air Force employees assigned to Joint assignments. In accordance with Department of Defense protocol, Air Force employees file their financial disclosure reports through the chain of command for their particular Joint assignment.
Because of technical issues with FDM, the Army DAEO granted all Army OGE 450 filers a 30 day extension from February 15, 2014 to file their OGE 450 reports
Because of problems with FDM we issued a blanket 450 extension.
Q51: Two bureaus do not track filing extensions.
Q52: Most bureaus chose at least the top two responses.
Of the 38 filers who did not file, 27 were due on November 30, 2014, or after. For all 38 filers, we are working with management to ensure the filers submit.
We only had 14 new entrants file our OGE-approved alternative form because this form is filed every third year unless circumstances require a revised filing before that timeframe.
#50 No covered employee is required to file an OGE Form 450-A. In 2014, GSA employees who were required to file an OGE Form 450 had the option to file either an OGE Form 450 or an OGE Form 450-A.
Question 50. The alternative form is required for each panel that a peer reviewer serves on, so that individuals may file the alternative form more than once per year.
#52: None of the reports were delinquent.
51. We granted a blanket extension to all 450 filers until Feb. 28th because of issues with the FDM system last year. We then granted an addition 12 filers extensions beyond the Feb. 28th date.
Part 9: The National Security Council staff is supported by a large number of detailees. A large number of detailees encumber positions designated as confidential disclosure filing positions. The numbers above only reflect those confidential financial disclosure filers who are direct hires to the National Security Council staff.
#39 A public filer had two managed accounts and was having trouble getting monthly statements from one of the fund managers. She divested the account as they were not able to provide her with monthly statements.
I became DAEO in 6/14-the ethics records were in disarray. I do not know the # of filing extensions.
#50: Three of the six 450 filers were Senate payroll employees.
The response to Question 50 reflects the number of employees who filed directly with the Board in CY 2014, both appointees and detailees. The response does not reflect those detailees who filed with their home agencies. However, it is the Board's practice to obtain, review, and retain a copy of such detailees' confidential financial disclosure reports.
50. The difference between the filing number and the training number is because the training number does not include the New Entrant/Hires. The New Entrant/Hires received the initial Ethics Orientation training included in Part 6.
#52 Not applicable because we did not have any delinquent confidential financial disclosure reports
52. We had no delinquent 450 or 278 filers.
Question 50: The number reported includes former employees who filed annual or new entrant reports while at TVA.

64. Which individual(s) is responsible for filing the Notification of Conflict of Interest Referral (Form 202)? Check all that apply. **Table 25**

Commission
The agency Inspector General may also refer matters to the Department of Justice.
Per DoD 5500.7-R, Joint Ethics Regulation, the DoD Component's criminal investigative organization is responsible for filing the Form 202. For DoD IG, the responsible organization is the Defense Criminal Investigative Service (DCIS).
IG coordinates within the OGC Ethics Division when filing Form 202.
Director, Departmental Ethics Office

ADDITIONAL COMMENTS FOR PART 10. Please indicate the question number to which the comment corresponds. **Table 26**

Answers in this section only relate to actions taken in 2014. Waivers executed prior to 2014 but remaining in effect are not captured.

For question #64, the DAEO and General Counsel are the same person.

53,54,55,56 - In 2014 there were 24 Public filers that executed 50 recusals, 1 Public filer executed a divestiture, 3 Public filers were granted four 208(b)(1) waivers. While we do track these actions for filers (OGE-278 and OGE-450 filers) and non-filers, we do not track whether the action was a result of a financial disclosure or 278-T review. We have worked hard to create an ethical culture at USAID (live training to over 8,000 employees including over 4,000 non-filers). We train our employees to recognize potential conflicts of interest so that we can address these issues at inception. Although some of our remedial actions may have been the result of financial disclosure or periodic transaction reviews, the majority of these actions were executed as a result of issues brought to our attention following ethics education.

64 The Commission does not have an Inspector General, or a written policy or procedure about who should refer possible criminal matters to DOJ. Therefore, in accordance with 28 U.S.C. 535 and 5 CFR §2635.107, the General Counsel/DAEO and ADAEO are responsible for referring possible criminal matters to DOJ. Likewise, the General Counsel/DAEO and ADAEO are responsible for filing the Notification of Conflict of Interest Referral (Form 202) with OGE.

Questions 53, 54, 55 and 56. CFTC currently tracks remedial actions for its PAS Chairman and Commissioners. For all other staff, information about remedial actions is maintained in individual files for each employee along with financial disclosure reports and is not currently centralized.

Question 57: CFTC did not issue any 208(b)(1) waivers in 2014. However, the Counsel to the White House issued a 208(b)(1) waiver to the Chairman of the CFTC which allows the Chairman to participate in particular matters of general applicability affecting his financial interests in ExxonMobil Corporation.

The Bureau's OIG evaluates potential criminal matters for referral to DOJ. Two matters the ethics office referred to OIG are still pending with OIG.

Q63 - The employee left the agency on 10/18/13. We referred the potential violation on 11/4/14.

64 and 65. We have never had a criminal conflict of interest problem at DFAS so our information is based on what our procedures would require should such a conflict arise.

63. Referral was made in December 2014 and disciplinary action is pending.

65. There were no referrals in 2014

Referral involved a former employee and allegations that the individual violated the post-employment statute. That former employee received further guidance.

Question 60: HHS provides waivers to OGE on a quarterly basis, so the waivers provided to OGE in CY 2014 include those granted in the 4th quarter of FY 2013 and quarters 1-3 of FY 2014. The waivers granted in the 4th quarter of FY 2014 were provided in January 2015.

53. through 57.: Most of DOJ's components do not track this information.

Q53: For most bureaus, it was 0 some do not track.

Q54: For most bureaus, it was 0 for one bureau, it was 2 some do not track.

Q55: For most bureaus, it was 0 some do not track.

Q56: For most bureaus, it was 0 some do not track.

Q63: Case accepted for prosecution is in adjudication four employees resigned (declined cases).

Q64: The IG for the IRS is the Inspector General for Tax Administration (TIGTA).

Q65: TIGTA submitted these in 2/2015.

Waivers were for MARAD employees receiving royalties for textbooks written by them and used in Merchant Marine Academy classes. Waivers followed standard form developed with OGE in 2009.

For Question 63, note that the DOJ disposition has been reported to OGE for both cases an update regarding the Agency's decision regarding corrective action for the case still being adjudicated by the Agency will be provided to OGE after the EPA OIG Office of Investigations receives notification from the Agency.
FCSIC does not have an IG.
#65 Not at the time of referral, however, the required forms have since been submitted to OGE.
63. Justice Department has not made a decision.
65. We were not informed of the referrals until completing the annual questionnaire.
Questions 53-56: NASA did not have a vehicle to track specific corrective or remedial actions described in these items on an agencywide basis for the 2014 reporting cycle.
Re #57: The situation arose quickly, the waiver was for only 30 days, and the situation involved only a potential conflict rather than an actual conflict.
64. General Counsel is also the DAEO.
Question 63 - The NEA does not have disciplinary actions or criminal prosecutions to track as referrals to the DOJ.
Q.64: At NEH the DAEO is the General Counsel.
Agency aware of this requirement and working with IG to fix reporting process.
#54. One filer signed a Notice of Recusal that was put in place while OVP sought a Certificate of Divestiture (CD) on the filer's behalf. The filer received a CD, and divested in early January 2015.
63C - matter is still pending and has not been finalized
We believe that the underlying ethical culture at the Board, the diligence and availability of our ethics officials, and the individual one-on-one initial ethics orientation makes violations unusual.

73. Which office at your agency makes a determination that an individual is an SGE? **Table 27**

Access Board SGEs are presidential appointees SGE determination is made by agency based on duties.
Non-gov't members appointed by Chair & Council are SGEs per agency bylaws, plus 5 by the President.
SGEs are statutorily designated under ADF Act, 22 USC 290h, et seq.
ASC staff would work with GSA HR as they handle our HR duties.
Agency DAEO.
Not applicable
Presidential Appointees
OGE has determined that all Members are SGEs.
This is done by Presidential Appointment
Office of the General Counsel
Office of the General Counsel
Each component makes a determination in legal consultation with the Office of General Counsel.
varies among components
Ethics office in consultation with HR.
N/A
The Legal Division determines whether an individual is an SGE, after consulting with HR and the Ethics Office.
General Counsel
The General Counsel's office.
The White House determined that our Commissioners would be SGEs.
Office of Panel Operations, the Office of the Chairman, the Office of General Counsel.
Chief Management Officer (CMO)
Public members of our Board of Directors are SGEs.
General Counsel and Human Resources, which constitutes the ethics office

74. If that office is not the ethics office, what is the role of the ethics office in that determination? **Table 28**

Consultative.
SGE status is automatically conveyed based on membership. No one determines if someone is an SGE.
See response to Question 73, above.
HR consults with us when necessary.
DAEO would work with GSA HR to describe work that person would be doing.
The SGEs are the Board of Trustees of BGSF. Presidential Appointees.
That office is the ethics office.
N/A
NA
Not applicable.
Not applicable
Consultation with OGE. GSA provides determination.
Not applicable.
Ethics Office has issued guidance to the Office of Human Capital and consults when OHC requests it.
The Office of Ethics provides advice upon request.
The Ethics office provides advice to the appointing office.
Ethics officials educate HR on SGE & provide advice as necessary to determine SGE status.
Ethics Office
Consultative.
Advisory Role
The ethics office reviews whether there are any conflicts of interest with the SGEs duties at HUD.
Ethics Office makes the determination.
There is coordination and consultation with the Ethics office
The Ethics office in consultation with the appointing office will review the official duties and outside affiliations to determine if the SGE is the correct designation.
We provide advice as requested.
The ethics office confers with the Human Resources and Appointing office to ensure all parties agree on the SGE status of an employee.
Provide advice and counsel.
N/A
We collect input from the appointing office in HR to make the ultimate decision.
The Ethics Specialty Team (O23C) provides input when requested by HR and/or the appointing office.
N/A
The EPA Ethics Office oversees the appointment of SGEs and has final authority over determinations of whether an individual is an SGE.
Concurrence
Advisory
As noted above, the ethics office is consulted.
The Ethics office consults with the Legal Division and HR.
N/A
N/A
We do not have an Ethics Office. The General Counsel's office overseas the ethics operations of our agency.
None
The White House was involved in 2013 in vetting our Chairman and in assisting with start-up matters.
MCC Statute Section 604. They are appointed by the President and approved by the Senate.
No role. The status as SGE's is set by statute (Udall Foundation enabling legislation, 20 USC C. 20
Under established internal controls, the HR office monitors compliance with the 130 day service limit, and the ethics office is consulted on SGE status in individual cases.

Please see answer provided for question 73.
OGC makes the determination in consultation with Human Resources.
Provide opinion if necessary
available for consultation
Ethics Office coordinates with and advises on SGE status
USTR relied on SGE standards in Federal Register notices soliciting candidates.
Not needed. Our only SGE's are PAS (members of our corporate board.)
The Human Resources Office handles administrative matters including SGE compensation.
The GC and HR offices constitute the "ethics office."
N/A
N/A
If asked, we provide legal advice.
None
The ethics office provides ethics training and identifies any ethics issues.
Final determination
NA

76. Which office provides the training? **Table 29**

Response emailed to OGE.
OGC Ethics Division, agency components' ethics offices, and committee management staff with material that the OGC Ethics Division provided.
The Foreign Service Institute provides an online training module for SGEs.
See additional comments.
NA
The two SGEs are part-time advisors who are not members of any committee or board. They are public filers, and take public filer training.
The Japan US Friendship Commission
new SGE's are required to take OGE Ethics training for SGE/s
appointing office plus written materials
These SGEs are not on a committee or board. They all receive ethics training within 2 weeks of appointment and annually thereafter, if they work for the agency for more than one year.
Ethics training/guidance is provided during the onboarding process.

ADDITIONAL COMMENTS FOR PART 11. Please indicate the question number to which the comment corresponds. **Table 30**

#68 counts only statutory voting members (including vacancies). An add'l 29 non-voting members are SGEs per agency bylaws. #69 counts ACUS's 6 subcommittees as non-FACA committees. #70 includes all SGEs (voting and non-voting) who serve on a subcommittee. Financial disclosure requirements apply only when these same individuals participate in semi-annual meetings of the full FACA committee. For #77, we counted only forms required for one of the two semi-annual meetings to avoid the double counting that would result if we included the second meeting. Members who attend two meetings have to submit a form for each meeting.
Regarding questions 70 and 71: While we reported 10 SGEs on the previous questionnaire, we are reporting 8 SGEs for this questionnaire. One of our SGEs passed away and has not been replaced the other SGE's term ended and was not replaced until January 22, 2015.
75. Our SGE's do not sit on FACA committees. They do attend initial ethics orientation or one of our regular live ethics education sessions.

No New Filers in 2014
The agency head is the Broadcasting Board of Governors, which consists mostly of part-time PAS SGEs (the Secretary of State is an ex officio member). There are currently 7 SGE Board Members.
The late filings were not more than three days.
None
Part 11, questions 66-80 The Commission's response to Part 11 includes data from headquarters and three of the five regional offices. Two regional offices did not respond to Ethics Staff's requests for 2014 ethics information regarding FACA advisory committees and members. Therefore, ethics data from those two regional offices is not included in this report. For additional information, please refer to Commission's response to question #22 about challenges regarding the regional offices ethics program.
Question 75: When a SGE is appointed to any CFTC board or committee, the ethics program ensures the filing and review of the appropriate financial disclosure pursuant to the requirements of 41 C.F.R. §102-3.105 and the Standards of Conduct. The ethics program provides ethics training with instruction on the Standards of Conduct, and the CFTC's Code of Conduct and Supplemental Regulations. Additionally, the ethics program is a part of the CFTC's Federal Advisory Committee Act process and engages in a review of members before they are appointed by the Commission.
Questions 67-70: The CFPB is not subject to FACA, but as a best practice it has adopted a policy to comply with the transparency and reporting provisions in most situations.
IAW organic statute & past practice we determined that the Chronic Hazard Advisory Panel members are not SGEs.
The terms of most of our PAS board members expired, including their holdover periods, in 2014. A number of nominations were made but none were confirmed. The holdover term of our last board member expires in February 2015.
The Farm Service Agency has Non-FACA State Committee Members in every State, including the Virgin Islands, Puerto Rico, and Guam. These members serve as SGEs. The three Commissioners serve on the Federal Crop Insurance Corporation.
#71 includes 1267 USCG Reserve Officers designated as SGEs but not subject to filing requirements and not reflected in answers to Q77. They are included in answer to excluded from filing in Q78.
#68 Number of committee members comes from the GSA.
For Q:77, "Other" represents Army Reserve Ambassadors.
SGE's include Officer Reservists. All reservists are exempted from the 450 unless the job requires they file.
Q75: At one bureau, training is provided at or after first meeting. Q77: These numbers do not include the Art Advisory Panel (IRS).
76. SGEs required to file a 450 are trained at their first meeting. SGEs not required to file a 450 receive written training prior to their first meeting. The training at the first meeting is provided by the OGC Ethics Specialty Team (023C)
#71 The 16 SGEs listed are on various FACAs.
#69-78 - Prior to assuming a position on the National Museum and Library Services Board (NMLSB), each nominee completes and OGE Form 450 and enters into an ethics agreement. The IMLS's board members are classified as special government employees (SGEs) and they file the OGE Form 450 annually. In consultation with the OGE, IMLS determined that the completion of Part III adequately serves the agency's needs for monitoring conflicts of interest.
Question 71: Statistics for SGE's who are not advisory committee members are not separately tracked by NASA's EPTS system. Question 75: We seek to provide ethics training to advisory committee SGE's prior to or not later than the day of their first meeting.
Q.68: This number comes from the members of NEH's two advisory committees chartered under FACA. The Humanities Panel, which reviews grant applications, had 665 members in 2014. These individuals are not SGEs and typically serve only one day during the year for NEH. NEH's other advisory committee is the National Council on the Humanities which has 25 SGEs and one full time employee. Q.77: The discrepancy between the number of SGEs required to file reports and those who did is because one

member of NEH's National Council on the Humanities was inactive in 2014. Members of the National Council serve as SGEs and come to NEH three times per year to attend meetings and advise the Chairman of NEH. The Council member who did not file a confidential financial disclosure report has not attended meetings or done any work for NEH in 2014. He is aware that were he to reactivate and do federal work he will need to complete his ethics requirements.
Re: 80 - extension library does not distinguish between regular and sGe employees. All extensions reported under 450 sections
No. 78 - Some of the 17 SGEs may be excluded from the 450 filing requirement, to be determined.
Question # 77: N/A - we did not have any SGEs in CY2014
I became DAEO in 6/14-the ethics records were in disarray. I do not know the # of filing extensions.
#77. Members whose terms on the Board of Directors were expiring were asked to file OGE 278's in order to facilitate the process in case they were nominated for another term on the Board. All nominees file OGE 278's per requirements of the Senate Foreign Relations Committee. However, once a board member is seated, he or she files OGE 450's for the remainder of their term on the board. In this case, two sitting members filed OGE 278's (although not required to do so) but were not renominated. Three sitting members filed the required OGE 450's, and 2 members did not file a disclosure in CY 14. All members (including those who did not file for CY 14) were provided a list of matters to be voted on by the board prior to every board meeting. They are required to declare any conflicts to the DAEO before the matter is taken up by the board, and recuse themselves from consideration of the matter. The ADAEO also reviews all disclosures to check for potential conflicts before each meeting.
Question 80 - there were a total of 17 extensions granted to 450 filers (as indicated in Question 51), none of whom were SGEs.
TVA's SGEs file OGE Form 450. No extensions were requested by the SGEs filing in 2014. All were filed on or before the due date.
All 6 SGEs provided 450 forms. Terms ended for 3 SGEs before the end of the year.

ADDITIONAL QUESTIONNAIRE COMMENTS Table 31

The agency's FACA Committee structure is unique, which makes it difficult to answer some of the questions from #70-#77. FACA and non-FACA may be construed differently at other agencies. At ACUS, our 101 statutory voting members [government and non-government(SGE) employees] constitute our one FACA committee when they meet as a group semi-annually to vote on ACUS recommendations. However, we have other types of members who are non-government employees who are also considered SGEs (who must file financial disclosure forms if they attend one or both of the semi-annual meetings). Since these people are not statutory members, they are not counted for FACA purposes. ACUS's non-FACA committees are our 6 subcommittees. The same SGEs (all membership classes) participate in the non-FACA committees, but the forms are required only for the semi-annual FACA meetings.
Some questions are difficult to answer because the only employees are Commission Members and they are uncompensated, very part-time, SGEs. (Other assistance is provided by a contractor.)
18. Other Ethics Staff conducted a periodic review of the regional offices' ethics training and financial disclosure programs. 21. Please list any significant accomplishments your ethics program achieved in 2014. The Commission's significant accomplishment for 2014 is that all political employees (excluding five Commissioners) and all headquarters career staff (including non-filers) attended live, comprehensive ethics training, for the first time in years. In 2014, Ethics Staff prepared and presented live comprehensive ethics training. The basic training was the same for all political and career staff, with modifications for Commissioners, other political employees, and OGE 278 filers. The comprehensive training was about an hour and a half long and included the following: <ul style="list-style-type: none"> • Criminal laws • 14 Ethical Principles • Standards of Conduct regulations

- Commission's Supplemental Outside Employment regulations - 5 CFR Part 7801 (not applicable to Commissioners)
- STOCK Act (only for OGE 278 filers)
- Ethics Pledge (for political employees excluding the Commissioners)
- Safe Harbor provisions
- DAEO/ADAEO responsibilities
- OGE YouTube video on "Integrity in Public Service"

Audience participation was required during the presentation. In addition, there were exercises to assess each attendee's knowledge of the ethics rules after the training. Based on attendees' answers to the exercises, almost all understood basic ethics authorities after the training.

(Five Commissioners, as well as regional staff did not attend the live comprehensive ethics training in 2014. For additional information, please refer to the Commission's response to question #22 below about ethics challenges.)

22. Please list the greatest challenges facing your ethics program in the next 1-3 years.

The ethics program faces challenges related to Leadership Changes, Regional Office Ethics Programs, and Commissioners. OGE's Ethics Program Review Report #15-05, dated November 2014 (hereinafter referred to as the "Report") mentions all of these challenges, which are discussed in more detail below.

Leadership Changes

According to the Report:

In 2011, OGE examined the Commission's ethics program. Because the Commission was undergoing major transitions in leadership and staff, OGE decided that a consultation review would be more appropriate than a compliance-based plenary review. (page 6)

At the time of OGE's on-site examination in June 2013, the Commission was again under the direction of new leadership, and was again working to overcome profound management challenges, which have developed over a period of many years, to address longstanding concerns voiced by Congress, the Government Accountability Office (GAO), and others about the agency's management. (page 6)

OGE offered the following recommendation in the Report:

Recommendation 1

OGE recommends that the Commission ensure that specific ethics leadership strategies are developed and incorporated into the day-to-day management of the Commission's ethics program.

Recently, the current Staff Director informed staff that she will be leaving in February 2015, so the Commission will be without an agency head in the very near future. It is unknown as to when another Staff Director will be appointed by the President, so the Commission could be without an agency head for months or even years. (Most recently, from January 2011 to June 2013, the Commission was without a permanent Staff Director.) It will be a challenge for Ethics Staff to maintain a viable ethics program without a permanent Staff Director to provide leadership support.

Regional Office Ethics Programs

The DAEO and ADAEO oversee the Commission's ethics program. However, neither the DAEO nor ADAEO have supervisory authority over regional offices staff, who serve as Deputy Ethics Counselors (DECs). The DECs are supposed to perform ethics duties for all SAC members (a/k/a Special Government Employees or SGEs). Specifically, DECs are responsible for collecting and reviewing SAC members financial disclosure forms, ensuring that SAC member complete ethics training, and providing ethics guidance and advice to SAC members.

According to the Report:

OGE's examination found deficiencies in the provision of ethics-related services provided to the Commission's State Advisory Committee (SAC) members. OGE did not find consistency in the filing of financial disclosure reports or the completion of annual ethics training among the SACs examined. Lack of adequate staffing within some of the regions was also cited as a contributing factor. OGE found this to be the weakest element of the Commission's ethics program.

OGE offered the following recommendations:

Recommendation 3

Ensure that the OGE-approved alternative financial disclosure form used to help screen SAC Board members for potential conflicts is filed in a timely manner.

Recommendation 4

Ensure that all SAC Board members receive annual ethics training in accordance with the exception at 5 CFR § 2638.705(d)(2).

Recommendation 5

Provide stronger oversight and compliance monitoring of the ethics program services provided to all SACs.

It is a challenge for Ethics Staff to oversee the regional office ethics program, because they do not have supervisory authority over regional offices and management support, so they cannot require regional staff to comply with ethics requirements. Below are some specific examples, which demonstrate this challenge.

Oversight & Compliance Monitoring

In order to prepare this 2014 Agency Ethic Program Questionnaire for OGE, Ethics Staff requested ethics information from all five of the regional office regarding SAC members filing of financial disclosure form in a timely manner and ethics training. According to Commission procedures, the regional offices are required to provide ethics information for the annual questionnaire. However, as noted in the "Additional Comments" section for Parts 6 and 11, Ethics Staff only received a response from three regional offices.

Ethics Staff notified both the supervisor of all the regional offices and the Staff Director, and asked for their assistance obtaining the information from the other two regions.

It is a challenge for Ethics Staff to provide stronger oversight and compliance monitoring of the ethics program services provided to all SAC members, when they cannot obtain ethics information from all of the regional offices and have management support.

Ethics Education and Training

Ethics Staff prepared the Commission's annual ethics training plan for 2014 that set forth the initial and annual ethics training requirements for headquarters and regional offices. All regions were informed in writing about the 2014 training requirements. According to Commission procedures, the regional offices are required to follow the ethics training plan. However, based upon information provided by the three regional offices that submitted ethics information, two of the three offices did not follow the plan's requirements for new SAC members' initial ethics orientation.

It is a challenge for Ethics Staff to ensure that all SAC Board members receive ethics training when regional offices do not follow the annual ethics training plan.

The Commission's significant accomplishment in #21 above was that all political staff (except for five Commissioners) and all headquarters career staff attended live comprehensive annual ethics training in 2014. Regional offices staff did not attend the 2014 training, but were supposed to receive the same ethics presentation in January 2015, with supplemental ethics guidance about regional offices ethics responsibilities, along with other training at headquarters in Washington, DC. The training has been postponed.

Commissioners Enforcement of Ethics Authorities The Commission has eight part-time Commissioners. The President, with the concurrence of a majority of the Commission's members, appoints a Chairperson and Vice Chairperson. Neither the Chairperson nor Vice Chairperson has any statutory duties or authorities under the Commission's legislation, the "Civil Rights Commission Amendments Act of 1994" (42 USC 1975).

The President with the concurrence of a majority of the Commission appoints a full-time Staff Director who serves as the "administrative head" of the Commission. The Staff Director has supervisory control over career staff and can enforce ethics authorities among those employees. (Recently, the current Staff Director announced that she will leave the Commission in February 2015.) The Chairperson, Vice Chairperson, and Staff Director do not have any supervisory authority over other Commissioners. Likewise, the DAEO and ADAEO do not have supervisory authority over Commissioners. Therefore, no one at the Commission has authority to enforce or ensure Commissioners compliance with ethics authorities. (Pursuant to 28 U.S.C. 535 and 5 CFR §2635.107, the DAEO and ADAEO are required by to report information relating to a Commissioner's criminal ethics violation to the U.S. Department of Justice.)

Overall, the Commissioners do not appear to support the agency's ethics program, which staff have noticed. (Examples are Commissioners using agency letterhead for personal matters, untimely filing of financial disclosure reports, and not attending ethics training.) In fact, at 2014 ethics training sessions, career staff often asked why they have to follow ethics rules when the Commissioners are not required to follow them. It is difficult for Ethics Staff to answer this question and only makes enforcement and compliance more challenging. Ethics Staff tried to address ethics issues with Commissioners. Instead of supporting the ethics program, some

Commissioners require written legal authorities for ethics requirements such as financial disclosure reporting and training.

It is a challenge for Ethics Staff to ensure Commissioners compliance with ethics authorities, when Commissioners do not appear to support the agency's ethics program.

Ethics Training

As stated in #21 above, the Commission's significant accomplishment in 2014 was that all political staff (except for five Commissioners) and all headquarters career staff attended live comprehensive annual ethics training in 2014. Originally, the comprehensive ethics training was targeted for Commissioners, so they were aware of applicable ethics authorities. Alarmingly, only three out of eight attended the live training.

Ethics Staff emailed the Commissioners advance notice of the live ethics training sessions, which were scheduled after two different monthly business meetings. They were asked to select which month they planned to attend the ethics training. Unfortunately, although some did choose a training session, they did not attend the training. Others did not reply to attend at all.

As a last minute option, Ethics Staff sent emails to the five Commissioners asking them to satisfy annual ethics training requirements by taking OGE's Ethics Training for Special Government Employees course at:

<http://www.oge.gov/Education/Education-Resources-for-Federal-Employees/Ethics-Training-for-Special-Government-Employees-WBT>. The emails stated Commissioners were supposed to complete the online course by 12/31/2014 and email Ethics Staff a copy of the completion certificate or a freeze shot of the last page as proof of completion. One Commissioner did not timely complete the online course. Another Commissioner did not provide proof of completion stating the completion certificate was optional (not according to Ethics Staff's email), his printer was low on ink, so he did not print it, and he did not know how do a freeze shot.

It is a challenge for Ethics Staff to ensure Commissioners compliance with ethics training requirements when Commissioners do not appear to support the agency's ethics program.

Commissioners Use of Their Government Titles/Position/Authority

According to the Report: ...certain Commissioners have used their government titles/position/authority and Commission resources to promote their personal views both on matters before the Commission and on matters not before the Commission. (page 3)

OGE offered the following recommendation:

Recommendation 6

Develop a formal policy that documents when a Commissioner may speak or write in his/her official capacity.

This policy should also make clear that when a Commissioner is speaking or writing in his/her personal capacity, the Commissioner may not use his/her official title, the agency seal, agency letterhead or otherwise leave a third party to think that the speaking or writing has the sanction of the Commission. When expressing a personal view in an official capacity, Commissioners should make clear that he/she is not speaking for the Commission.

Several Commissioners have used his/her official government title/position/authority, the agency seal, agency letterhead, or government resources for his/her personal capacity. For example, a couple of Commissioners are members of New American Civil Right Project, a group of present and former members and staff of the Commission and its state advisory committees. The group's website is:

<http://www.newamericancivilrightsproject.org>

On the website, these Commissioners posted letters using agency letterhead, which express personal views on matters that are not within the agency's business, such as a letter to "DC City Council Regarding Religious Liberty (November 2014)." (<http://www.newamericancivilrightsproject.org/letters/#sthash.xohzTd3O.pdf>)

The letter is in regards to D.C. City Council's Proposed Bill 20-790, known as the "Reproductive Health Non-Discrimination Amendment Act of 2014," and states:

Based on the statements of Rep. Grosso, one of the co-sponsors of the bill, it appears that this bill will be interpreted to require religiously-objecting employers to provide contraceptives, and perhaps elective abortions, as part of their health insurance plans.

Currently, the Commission does not have any projects regarding reproductive health. Furthermore, the Commission's statute specifies that the Commission, its advisory committees, or any other person under its supervision or control, is NOT authorized to study and collect, make appraisals of, or serve as a clearinghouse for any information about laws and policies of the Federal Government or any other governmental authority in

the United States, with respect to abortion. (42 USC 1975a (f)) Clearly, the Commissioner's letter is personal and not related to his government position, so it should not be on agency letterhead. The website contains more letters on agency letterhead that are of a similar personal nature. In fact, some letters state that if the addressee has any questions or concerns, he/she may contact the Commissioner's special assistant at an official government email address." This demonstrates a misuse of official government title/position/authority, government time, and resources (special assistant, government email and IT equipment) for personal matters. Ethics Staff tried to educate the Commissioners about these issues through formal ethics training. The 2014 live comprehensive ethics training covered misuse of title/position/authority, time, and government resources, as well as the differences between official duty and personal activities. However, only three of eight Commissioners attended the live training (see Ethics Training above). For the most part, the Commissioners who did not attend the live training are the ones who misuse position, time, and government resources. It will be a challenge for the Commission to follow OGE's recommendation that the Commission implement a formal policy that cover the areas listed in the recommendation, as well as enforce the policy. First, some of the Commissioners take the position that they are not subject to policies developed by the Staff Director or career staff. Secondly, if the Commissioners implement a policy, it may allow them to use letterhead and resources for their personal matters. In fact, Ethics Staff have been informed that prior to their arrival at the Commission, the Commissioners tried to establish a policy allowing them to use agency letterhead in their personal capacities. Third, even if the Commission implements a formal policy, then the challenge will be who can enforce the policy (see Enforcement of Ethics Authorities above). Fourth, the Staff Director will leave the Commission in February 2015.

23. If applicable, please explain why some employees received IEO beyond the 90 day requirement or have yet to receive IEO.

Regional offices reported the following reason why some employees received IEO beyond the 90 day requirement or have yet to receive IEO: State Advisory Committee (SAC) members/ SGEs missed orientation meeting. 27. If applicable, please explain discrepancies between the number of employees who were required to receive training and the number of employees who received training.

At headquarters, an OGE 278 filer did not complete online ethics training by 12/31/2014, even though he had been notified of the due date. Instead, he completed the training in January 2015. Regional offices reported the following reasons why some employees did not receive annual ethics training in 2014: Did not respond to multiple requests from regional office

Reasons unknown to regional office 76. Which office provides the training?

Each regional office is supposed to ensure that SGEs completes online training before attending a meeting. 77. If applicable, please explain discrepancies between the number of reports required to be filed and the actual number of reports filed.

Regional offices reported the following reasons to explain discrepancies between the number of reports required to be filed and the actual number of reports filed: Filing extensions granted until 2015

Reasons unknown to regional office

It would be nice if you can save after each section.

Your spaces for comments and address are entirely too short.

It would have been nice of OGE to let us know the character limit for the comment sections. We spent a lot of effort drafting complete responses and I ended up having to shorten and condense responses on the fly. Please consider including this in the instructions for next year.

RE: 78. This is an estimate due to no field in the tracking system to search. We will add field for 2015 annual report.

N/A

Please note that excepted service employees do not have grades. The form will not allow me to submit, so I selected GS14 or less.