

*United States
Office of Government Ethics*

2015 AGENCY ETHICS PROGRAM QUESTIONNAIRE

PART 1. INTRODUCTION

Executive branch agencies are required to submit an annual report to the United States Office of Government Ethics (OGE) concerning certain aspects of their ethics programs (Section 402(e)(1) of the Ethics in Government Act of 1978, as amended). Your response(s) to this Questionnaire serves as your annual report.

OGE uses the data collected by the Annual **Agency Ethics Program Questionnaire (Questionnaire)** to compile information about the entire executive branch ethics program in order to share information about the program with the public, Congress, and the ethics community. OGE also uses the information to carry out its oversight role, to gain knowledge about individual programs as well the overall program, and to make informed decisions about resource allocations and priorities. Lastly, OGE will post responses, unedited, on OGE's website.

OGE encourages each agency to use the annual completion of the Questionnaire as an opportunity to evaluate your ethics program.

Therefore, please ensure your responses are suitable for publication.

DUE DATE: By regulation, the Questionnaire is due to OGE by **February 1, 2016**. (5 CFR § 2638.602(a)).

PART 2. INSTRUCTIONS

Your response to this Questionnaire should reflect the 2015 calendar year (i.e., 1/1/2015 through 12/31/2015), except where specified. The answers provided should reflect **your agency in total**. OGE will only accept one submission per agency.

Throughout the Questionnaire you will be offered an opportunity to provide comments. Please also use these sections to explain discrepancies between levels of required activity and actual activity or significant changes since last year. After OGE has reviewed your Questionnaire submission, you may be contacted for follow-up.

If you have any questions, contact Nicole Stein, Program Analyst, at (202) 482-9255 or at nstein@oge.gov.

PART 3. DEFINITIONS

Agency Head: For purposes of this Questionnaire, in the case of an agency headed by more than one person, the chair or comparable member of such agency.

D.C Metro Area: For purposes of this Questionnaire, D.C. Metro Area means the District of Columbia, DC; Calvert County, MD; Charles County, MD; Prince George's County, MD; Arlington County, VA; Clarke County, VA; Culpeper County, VA; Fairfax County, VA; Fauquier County, VA; Loudoun County, VA; Prince William County, VA; Rappahannock County, VA; Spotsylvania County, VA; Stafford County, VA; Warren County, VA; Alexandria city, VA; Fairfax city, VA; Falls Church city, VA; Fredericksburg city, VA; Manassas city, VA; Manassas Park city, VA; Jefferson County, WV; and, Silver Spring-Frederick-Rockville, MD Metropolitan Division Frederick County, and Montgomery County.

Full-time Agency Employees: For purposes of this Questionnaire, the term “full-time agency employees” includes employees detailed to another agency. It also includes officers, but does not include enlisted members of the uniformed services.

Special Government Employee (SGE): For purposes of this Questionnaire, the term “special Government employee” (SGE) means an officer or employee who is retained, designated, appointed, or employed, to perform temporary duties either on a full-time or intermittent basis, with or without compensation, for not more than 130 days during any period of 365 consecutive days. The term “SGE” does not include enlisted members of the Armed Forces. It does, however, include these categories of officers or employees:

- Part-time United States commissioners;
- Reserve officers of the Armed Forces and officers of the National Guard of the United States (unless otherwise officers or employees of the United States) while on active duty solely for training or serving involuntarily.

PART 4. ORGANIZATION/RESOURCES

1. Agency: _____

2. Number of full-time agency employees as of December 31, 2015: _____

3. Information about the Designated Agency Ethics Official (DAEO):

	DAEO
a. Vacant (as of December 31, 2015)	<input type="checkbox"/> Yes (<i>skip to #3b and then #4</i>) <input type="checkbox"/> No (<i>go to #3c</i>)
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 <input type="checkbox"/> 5 - 9 years <input type="checkbox"/> 1 - 4 years <input type="checkbox"/> Less than 1 year
f. Total years performing ethics duties	
g. Grade level	<input type="checkbox"/> Executive Schedule <input type="checkbox"/> SES or equivalent <input type="checkbox"/> GS 15 <input type="checkbox"/> GS 14 and below
h. Percent of time spent on ethics	<input type="checkbox"/> 0-25% <input type="checkbox"/> 26-50% <input type="checkbox"/> 51-75% <input type="checkbox"/> 76-100%
i. Was the DAEO eligible to retire as of December 31, 2015?	<input type="checkbox"/> Yes <input type="checkbox"/> No
j. Is the DAEO a career employee or a political appointee?	<input type="checkbox"/> career employee <input type="checkbox"/> political appointee

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

	ADAEO
a. Position Vacant (as of December 31, 2015)	<input type="checkbox"/> Yes (<i>skip to #4b and then #5</i>) <input type="checkbox"/> No (<i>go to #4c</i>)
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 <input type="checkbox"/> 5 - 9 years <input type="checkbox"/> 1 - 4 years <input type="checkbox"/> Less than 1 year
f. Total years performing ethics duties	
g. Grade level	<input type="checkbox"/> Executive Schedule <input type="checkbox"/> SES or equivalent <input type="checkbox"/> GS 15 <input type="checkbox"/> GS 14 and below
h. Percent of time spent on ethics	<input type="checkbox"/> 0-25% <input type="checkbox"/> 26 -50% <input type="checkbox"/> 51-75% <input type="checkbox"/> 76-100%
i. Was the ADAEO eligible to retire as of December 31, 2015?	<input type="checkbox"/> Yes <input type="checkbox"/> No
j. Is the ADAEO a career employee or a political appointee?	<input type="checkbox"/> career employee <input type="checkbox"/> political appointee

5. Number of employees who performed ethics program duties in 2015; 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*)	1-10 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						
Outside the D.C. Metro area						
TOTAL						

*FTE = Full Time Equivalent

Example: The table below provides an example of an agency with 13 employees that performed ethics program duties in 2015.

Duty Station	Approximate amount of time spent each week performing ethics duties					TOTAL
	Less than 1 hour per week (up to .025 FTE*)	1-10 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	1	0	2	2	1	6
Outside the D.C. Metro area	1	3	3	0	0	7
TOTAL	2	3	5	2	1	13

6. Does the DAEO/ADAEO have supervisory authority over the employees identified in question #5?

- Yes (*skip to #8*)
- No (*go to #7*)
- Not Applicable** (*skip to #8*)

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
- Confidential financial disclosure program
- Ethics advice and counseling
- Ethics education and training
- Public financial disclosure program
- Other (specify) _____

8. Do contractors support the ethics program?

- Yes (*go to #9*)
- No (*skip to #10*)

9. Describe the extent of their support. _____

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

- DAEO
- ADAEO
- All ethics officials (*excluding DAEO/ADAEO*)
- Some ethics officials (*excluding DAEO/ADAEO*)
- None

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

PART 5. 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 SGEs.

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	1	2	3	4	5
Confidential financial disclosure program	1	2	3	4	5
Disciplinary process for violations	1	2	3	4	5
Education and training	1	2	3	4	5
Outside activity approval	1	2	3	4	5
Public financial disclosure program	1	2	3	4	5
Special Government Employee activities	1	2	3	4	5
Other (specify)_____	1	2	3	4	5

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

- Yes (*go to #13*)
- No (*skip to #14*)

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

- Budgetary
- Human Capital
- Technology
- Other (specify)_____

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

- Yes
- No

15. Did the agency head meet with the ethics staff to discuss the strengths and weaknesses of the ethics program in 2015?

- Yes
- No

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 2015? Check all that apply.

Professional Development

- Competency/skills gap assessment
- Developmental assignments (e.g., detail assignments, cross training, job rotation, use of agency developmental programs such as interns, fellows, or leadership development)
- Individual development plans
- Mentoring
- Structured courses (e.g., classroom training, webinars, online modules, etc.)
 - Provided by OGE
 - Provided by my agency
 - Provided by another agency
- Other (specify) _____
- None

Programmatic tools

- Job Aids
- Knowledge library (intranet, videos, shared drives, etc.)
- Resources assessment (personnel and/or financial)
- Written standard operating procedures
- Other (specify) _____
- None

17. Did your agency (e.g., ethics office, Inspector General, General Counsel, etc.) conduct a self-assessment to evaluate any aspect of the ethics program in 2015?

- Yes (go to #18)
- No (skip to #19)

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

- Accuracy of advice and counsel
- Administration of confidential financial disclosure program
- Administration of public financial disclosure program
- Compliance with applicable ethics laws and regulations
- Consistency of advice and counsel
- Employee knowledge after training
- Employee knowledge before training
- Employee perceptions about the agency's ethical culture
- Employee perceptions about the ethics program
- Knowledge and skills of ethics officials
- Employee satisfaction with training offered
- Employee knowledge of the ethics rules
- Timeliness of advice and counsel
- Other (specify) _____

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

- Collection of confidential financial disclosure reports
- Collection of public financial disclosure reports
- Following up with delinquent confidential financial disclosure filers
- Following up with delinquent public financial disclosure filers
- Public availability of public financial disclosure reports
- Review/evaluation of confidential financial disclosure reports
- Review/evaluation of public financial disclosure reports

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) _____
- No

21. Please list any significant accomplishments your ethics program achieved in 2015.

22. Please list the greatest challenges facing your ethics program in the **short term (next 1-3 years)**.

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

PART 6. EDUCATION AND TRAINING

23. How many employees (including special Government employees) were required to receive Initial Ethics Orientation (IEO) by December 31, 2015? _____
- a. How many of those employees received IEO within the 90 day requirement? _____
 - b. How many of those employees received IEO beyond the 90 day requirement? _____
 - c. How many of those employee have not received IEO as of today? _____

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

Example: An employee came on board December 15, 2015. You do not need to count the employee toward the number of employees who were required to have received IEO in calendar year 2015 because you have until March 2016 to provide the employee IEO.

24. Is IEO part of your agency's **on-boarding process** for new employees?

- Yes
- No

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

- Classroom instruction (in-person)
- Instructor-led web-based
- One-on-one briefings
- Satellite broadcast/videoconference
- Self-paced web-based
- Video
- Written materials**
- Other (specify) _____

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

- My agency
- OGE
- Another agency

How did you access the training materials? Check all that apply.

- OGE (e.g, OGE's page on MAX.gov, Desk Officer, etc.)**
- Directly from the agency
- Other (specify) _____
- Other (specify) _____

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

Type of covered employees (Include SGE filers)	# Required	# Received (of those required)
Public filers (OGE Form 278) - PAS		
Public filers (OGE Form 278) - non-PAS		
Confidential filers (OGE Form 450, 450A, and OGE-approved alternative confidential financial disclosure forms)		
Other employees required by 2638.705(a) (employees appointed by the President; employees of the Executive Office of the President; Contracting Officers; or, other employees designated by the head of the agency or his or her designee based on their official duties.)		
TOTAL		

* *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.

If applicable, please explain discrepancies between the number of employees who were required to receive training and the number of employees who received training: _____

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

- Classroom instruction (in-person)
- Instructor-led web-based
- One-on-one briefings
- Self-paced web-based
- Video
- Satellite broadcast/videoconference
- Written materials**
- Other (specify) _____

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

- My agency
- OGE
- Another agency
 - How did you access the training materials? Check all that apply.
 - OGE (e.g, OGE's page on MAX.gov, Desk Officer, etc.)
 - Directly from the agency
 - Other (specify) _____

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

- Yes
- No

31. Did you provide additional, specialized ethics training during 2015?

- Yes (go to #32)
- No (go to #33)

32. Which groups did you target? Check all that apply.

- All agency personnel
- HR personnel
- IT personnel
- Procurement personnel
- Supervisors
- Other (specify) _____

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

PART 7. ADVICE AND COUNSELING

33. From the list below, select the three topics that your employees most **frequently** sought guidance on in 2015.

Awards
Conflicting financial interests
Gift acceptance (excluding awards and travel, subsistence, and related expenses from non-federal sources)
Financial Disclosure Reporting
Impartiality in performance of official duties
Misuse of position, Government resources and information
Outside employment/activities
Post-employment restrictions
Travel, subsistence, and related expenses from non-federal sources
Other (specify)_____

34. **Has** your agency **ethics program** implemented any of the following practices? Check all that apply.

- Conduct** customer satisfaction survey(s)
- Periodic supervisory review of advice given
- Guided** discussion among staff
- Memorialize advice and counsel
 - All
 - Some
- Use advice and counsel templates
- Use a database Check all that apply:
 - to track timeliness
 - to conduct research**
 - to identify topics for training**
- Other (specify)_____
- None**

35. Number of notification statements of negotiation or recusal under section 17(a) of the STOCK Act submitted to the ethics office in 2015:_____

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

- Part of out-processing
- Emails
- Training
- Regulation or policy
- Other (specify) _____
- None
- Not Applicable

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

PART 8. PUBLIC FINANCIAL DISCLOSURE

37. Report the number of public financial disclosure reports (OGE Form 278) required to be filed by December 31, 2015, *excluding SGEs*, and the number of reports actually filed (i.e., received in hand) by December 31, 2015.

OGE Form 278 Reports Required to be Filed in CY 2015

OGE Form 278 Reports		PAS ²	Non-Career SES ³	Career SES ³	Schedule C	Other ⁴
Nominee/ New Entrant	Required					
	Filed					
Annual	Required					
	Filed					
Termination	Required					
	Filed					
Combination ¹	Required					
	Filed					
Total	Required					
	Filed					

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.

Example: For new entrant and termination reports: If an employee starts/ leaves the agency on December 15, 2015, and s/he files a new entrant/termination report prior to the end of the calendar year, then you can include the report in your required and filed numbers. If, on January 1, the employee has not filed a new entrant/termination report, then you do not have to count that report in your required numbers, because it was not required to be filed until January 15. You instead would include the employee in your 2016 Questionnaire’s new entrant numbers in 2017.

If applicable, please explain discrepancies between the number of reports required to be filed and the actual number of reports filed. _____

38. 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			

39. Number of periodic transaction reports filed, *excluding SGEs*: _____

* 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.

40. 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			

41. Number of public financial disclosure filers reported in calendar year 2015 to the Attorney General for failure to file: _____

42. How many requests for public financial disclosure reports did you receive in 2015: _____

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

- Yes
 No

44. Did you receive timely notification of all employees required to file a new entrant financial disclosure report?

- Yes
 No

45. 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
 No

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

- Repeated reminders to the filer
- Notify supervisor
- Certified letter to the filer
- Notify agency head or other senior official
- Referral to Department of Justice
- Other (specify) _____
- None
- Not Applicable

47. Does your agency use an electronic financial disclosure filing system (e-filing system)? **Note: This includes *Integrity*.**

- Yes (*go to #47*)
- No (*skip to Part 9*)

48. Which system does your agency use? **Check all that apply.**

- Integrity (if only Integrity is selected, go to Part 9)*
- Other (specify)_____ (if Integrity and Other or just Other are selected go to #48)*

49. Indicate your fiscal year 2015 actual and fiscal year 2016 projected costs for using the e-filing system. **Note: Do not include costs to operate *Integrity*.**

a) total FY 2015 actual costs: _____

b) total FY 2016 projected costs: _____

c) amount paid to a non-federal vendor in FY 2015: _____

d) amount projected to be paid to a non-federal vendor in FY 2016: _____

e) amount paid to a federal agency in FY 2015: _____

f) amount projected to be paid to a federal agency in FY 2016: _____

g) amount for all internal costs associated with operating an e-filing system (e.g., FTE, overhead, etc.) in FY 2015: _____

h) amount projected for all internal costs associated with operating an e-filing system (e.g., FTE, overhead, etc.) in FY 2016: _____

i) number of public financial disclosure filers who filed electronically in FY 2015: _____

j) number of public financial disclosure filers projected to file electronically in FY 2016: _____

k) number of confidential financial disclosure filers who filed electronically in
FY 2015:_____

l) number of confidential financial disclosure filers projected to file electronically in
FY 2016:_____

50. Indicate which forms your agency uses the e-filing system for. Check all that apply.

- Public Financial Disclosure (OGE Form 278)
- Periodic Transaction (OGE Form 278-T)
- Confidential Disclosure Forms (OGE Form 450, 450A, or OGE-approved alternative form)

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

PART 9. CONFIDENTIAL FINANCIAL DISCLOSURE

51. Report the number of confidential financial disclosure reports required to be filed by December 31, 2015, *excluding SGEs*, and the number of reports actually filed by December 31, 2015.

Confidential financial disclosure reports required to be filed in CY 2015:

Type of Report	# Required to File (by December 31)	# Filed	
		450	450A
OGE Form 450/450A			
OGE-approved alternative form			
Total			

Example: For new entrant reports: If an employee starts the agency on December 15, 2015, and files a new entrant report prior to the end of the calendar year, then you can include the report in your required and filed numbers. If, on January 1, the employee has not filed a new entrant report, then you do not have to count that report in your required numbers, because it was not required to be filed until January 15. You instead would include the employee in your 2016 Questionnaire’s new entrant numbers in 2017.

If applicable, please explain discrepancies between the number of reports required to be filed and the actual number of reports filed. _____

52. Number of OGE 450, 450A, or OGE-approved alternative forms granted filing extensions in 2015:

53. What steps do you take to collect delinquent confidential financial disclosure reports?

- Repeated reminders to the filer
- Notify supervisor
- Notify agency head or other senior official
- Other (specify) _____
- None
- Not Applicable**

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

PART 10. REMEDIES AND ENFORCEMENT OF STANDARDS OF CONDUCT, CRIMINAL, AND CIVIL STATUTES

54. 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 2015: ____

Don't know/don't track

55. Number of individual remedial actions taken because of information on a new entrant, annual, or termination public financial disclosure (OGE Form 278) report in 2015:

Recusals _____

Divestitures _____

Resignations from outside positions _____

Reassignments _____

Other not listed (specify)_____

Don't know/don't track

56. 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 2015: _____

Don't know/don't track

57. Number of remedial actions taken because of information on a periodic transaction report in 2015:

Recusals _____

Divestitures _____

Reassignments _____

Other not listed (specify)_____

Don't know/don't track

58. Number of § 208(b)(1) waivers granted in 2015 _____

59. Number of § 208(b)(1) waivers provided to OGE in 2015_____

60. Number of § 208(b)(3) waivers granted in 2015 _____

61. Number of § 208(b)(3) waivers provided to OGE 2015 _____

62. Number of disciplinary actions taken based wholly or in part upon violations of the Standards of Conduct provisions (5 CFR part 2635) in 2015. For purposes of this question, disciplinary actions include removals, demotions, suspensions, and written reprimands or their equivalents: _____
- a. Of those, how many were disciplinary actions were taken wholly or in part upon violations of:
- Subpart A _____
 - Subpart B _____
 - Subpart C _____
 - Subpart D _____
 - Subpart E _____
 - Subpart F _____
 - Subpart G _____
 - Subpart H _____
63. 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 2015. For purposes of this question, disciplinary actions include removals, demotions, suspensions, and written reprimands or their equivalents: _____
- a. Of those, how many were disciplinary actions taken based wholly or in part upon violations of:
- 18 U.S.C. §203 _____
 - 18 U.S.C. §205 _____
 - 18 U.S.C. §207 _____
 - 18 U.S.C. §208 _____
 - 18 U.S.C. §209 _____
64. Number of referrals made to the Department of Justice of potential violations of the criminal conflict of interest statutes in 2015: _____
- a. How many of those referrals were accepted for prosecution _____
 - b. How many of those referrals were declined for prosecution _____
 - c. How many of those referrals resulted in disciplinary or corrective action _____
65. Which individual(s) is responsible for filing the Notification of Conflict of Interest Referral (Form 202)? Check all that apply.
- DAEO/ADAEO
 - General Counsel
 - Agency Head
 - IG
 - Other (specify) _____

66. 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
- No
- Not Applicable

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

PART 11. ADVISORY COMMITTEES/ SPECIAL GOVERNMENT EMPLOYEES (SGEs)

67. Does your agency have any FACA or Non-FACA advisory committees, boards, or commissions?

- Yes (go to #67)
- No (go to #71)

68. Number of FACA advisory committees: _____

69. Number of FACA advisory committee members: _____

70. Number of non-FACA advisory committees, boards, or commissions: _____

71. Number of non-FACA advisory committee, board, or commission members: _____

72. Does your agency have any SGEs (as of December 31, 2015)?

- Yes (go to 72)
- No (go to end)

73. Number of special Government employees (SGEs) as of December 31, 2015: _____

74. Does your agency have written policies or procedures for designating SGE status?

- Yes
- No
- Not applicable (specify why)_____

75. Does the written policy or procedure include consultation with the ethics office?

- Yes
- No
- Not applicable (specify why)_____

76. Does the ethics office provide training to SGEs, **who serve on committees or participate in board meetings**, prior to attendance at their first committee or board meeting?

- Yes (go to #76)
- No (skip to # 77)
- Not Applicable (skip to #77)

77. If yes, which office provides the training? _____

78. Report the number of SGE public and confidential financial disclosure reports required to be filed by December 31, 2015 and the number of reports actually filed by December 31, 2015.

Financial disclosure reports required to be filed by SGEs in CY 2015:

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)				
Advisory Committee Members (non-FACA)				
Experts/Consultants				
Board Members				
Commissioners				
Other				
TOTAL				

Example: For new entrant reports: If an employee starts with the agency on December 15, 2015, and files a new entrant report prior to the end of the calendar year, then you can include the report in your required and filed numbers. If, on January 1, the employee has not filed a new entrant report, then you do not have to count that report in your required numbers, because it was not required to be filed until January 15. You instead would include the employee in your 2016 Questionnaire's new entrant numbers in 2017.

If applicable, please explain discrepancies between the number of reports required to be filed and the actual number of reports filed. _____

79. Number of SGEs excluded from all or a portion of the confidential filing requirements per 5 C.F.R. 2634.904(b): _____
80. 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			

81. Number of **SGE** OGE Form 450 Reports or OGE-Approved Alternative Forms granted filing extensions: _____

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

Point of contact to answer OGE follow up questions regarding this Questionnaire:

Name: _____

Title/Position: _____

Email Address: _____

Phone Number: _____

What is the preferred mailing address for the Agency Head, Designated Agency Ethics Official, **Chief Human Capital Officer**, and Inspector General:

Agency Head

DAEO

Chief Human Capital Officer

Inspector General

ADDITIONAL QUESTIONNAIRE COMMENTS:

