

UNITED STATES OFFICE OF
GOVERNMENT ETHICS



December 18, 2018

Judith S. Kaleta
Designated Agency Ethics Official
Office of General Counsel
U.S. Department of Transportation
1200 New Jersey Ave, S.E.
Washington, DC 20590

Dear Ms. Kaleta:

As a result of its review of the U.S. Department of Transportation Office of the Secretary (OST) ethics program, the Office of Government Ethics (OGE) issued five recommendations in its June 2017 review report. OGE recently conducted a follow-up review to assess whether OST has taken sufficient action to resolve the deficiencies underlying these recommendations. The results of the follow-up review are summarized below.

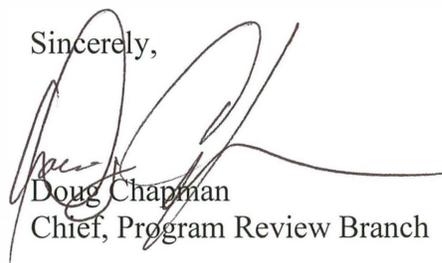
	Recommendation	Agency Action and OGE Finding	Status
1	Ensure that new entrant public reports are filed timely.	OGE reviewed five new entrant public reports. Three of the reports were filed timely. Two of the reports were filed late but only shortly after the respective due date.	Closed
2	Collect the three outstanding termination reports and ensure that future termination reports are filed timely.	OST collected the outstanding termination reports. OGE examined a sample of termination reports filed subsequent to our review and found that all were filed timely.	Closed
3	Ensure that all public reports are certified timely. This may be accomplished by continuing to implement corrective action to improve the review of the reports and expediting follow-ups with filers in order to eliminate unnecessary delays in certification.	OST officials indicated that they had great success with setting definitive deadlines for filers to respond to requests for additional information. OGE examined a sample of 30 public reports and found that 93% were certified timely.	Closed



4	Ensure that confidential financial disclosure reports are filed timely.	OGE examined a sample of confidential reports and found that 90% were filed timely.	Closed
5	Ensure that confidential financial disclosure reports for Group members are filed timely and reviewed and certified before the first committee meeting.	OST officials indicated that the Port Performance Freight Statistics Working Group has completed their task and the committee will sunset. Additionally, the only active FACA in OST is the National Advisory Committee on Travel and Tourism Infrastructure. All members of that committee serve as representatives. OGE reminds OST to ensure that, in the future, the reports of special Government employees serving in FACA Committees are filed, reviewed, and certified before the first committee meeting.	Closed

I appreciate the courtesies extended to the OGE program review staff. If you would like to discuss the report, please contact me at 202-482-9223.

Sincerely,



Doug Chapman
Chief, Program Review Branch