

Materials Required Prior to Ethics Program Review

Background

1. Agency organization chart which indicates the placement of the ethics office.

Enforcement

2. Policies and procedures¹ governing the disciplinary actions in cases involving the violation of the Standards of Ethical Conduct for Employees of the Executive Branch and the criminal conflict of interest statutes. (Including the process for referring potential violations of the criminal conflict of interest statutes to the U.S. Attorney's Office and concurrent notification to OGE.)
3. Contact information for agency Inspector General or equivalent office.

Ethics Agreements

4. Policies and procedures governing ethics agreements.
5. Current written ethics agreements for non-Presidentially-appointed, Senate-confirmed (PAS) employees.

Written Advice/Counseling

6. Policies and procedures governing the administration of the ethics-related advice and counseling element of the ethics program.
7. Delegation letters authorizing named ethics officials to provide advice and counseling to employees.

Education and Training

8. Policies and procedures governing the administration of the ethics training and education element of the ethics program.
9. Current written plan for conducting annual ethics training.
10. Training materials (e.g., PowerPoint slides, handouts, video presentations, etc.) used to provide initial ethics orientation.
11. Training materials (e.g., PowerPoint slides, handouts, video presentations, etc.) used to provide annual ethics training.

¹ For all items that request policies and procedures: If policies and procedures have not been developed, please briefly describe the appropriate process.

Materials Required Prior to Ethics Program Review

12. If applicable, training materials (e.g., PowerPoint slides, handouts, video presentations, etc.) used to provide ethics training to employees beyond initial ethics orientation or annual ethics training. This would include, for example, training for new ethics officials or supervisors designed to prepare them to review financial disclosure reports.

Public, Confidential, and Alternative Financial Disclosure

13. Policies and procedures governing the administration of the public, confidential, and (if applicable) alternative financial disclosure systems.
14. Master lists of employees required to file public, confidential, and (if applicable) alternative financial disclosure reports. Lists should be provided by office/component/division.
15. If applicable, contact information for officials within the Human Resources or equivalent office who provide assistance in administering the ethics program. This would include officials who generate master lists of filers, identify new employees for initial ethics orientation, etc.

Agency-Specific Ethics Prohibitions, Restrictions, and Requirements

16. Documentation of authority to promulgate prohibitions or restrictions on financial interests or outside activities not based on a Supplemental Standard of Conduct. This would include separate statutory authority allowing the agency to establish restrictions in addition to what is allowed under the Standards of Ethical Conduct for Employees of the Executive Branch.

Travel Payments under 31 U.S.C. § 1353

17. Policies and procedures governing the acceptance of travel payments, including the process for conducting conflict of interest analysis.

Special Government Employees

18. Policies and procedures for administering ethics services for SGEs. This includes, for example, processes and procedures for issuing 18 USC 208(b)(3) waivers and ensuring that SGE financial disclosure reports are filed prior to the filer participating in a committee meeting.
19. List of all advisory committees, copies of their charters, lists of their members and contact information for each committee manager.

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20. List of any individuals who served for 130 days or less during any 365 days (i.e., temporarily on either a full-time, intermittent, or part-time basis) and are assigned to committees, councils, boards, commissions, etc., that advise or run the agency, identified, if applicable, by SGEs and non-SGEs.
21. List of any other individuals who served for 130 days or less during any period of 365 days (e.g., experts/consultants), identified, if applicable, by SGEs and non-SGEs.

Independent Boards and Commissions

22. Any independent boards, commissions, or other entities, not organizationally a part of the agency, to which the agency provides ethics services.

Ethics Pledge

23. Policies and procedures for meeting requirements related to the Ethics Pledge.