

ETHICS PROGRAM REVIEW FOLLOW-UP REPORT

Agency: Commodity Futures Trading Commission (CFTC)

Follow-up to OGE Report Number: 23-47I

Report No.: 24-50IF

Date: August 12, 2024

UNITED STATES OFFICE OF
GOVERNMENT ETHICSPreventing Conflicts of Interest
in the Executive Branch

As a result of its review of the Commodity Futures Trading Commission (CFTC) ethics program, the Office of Government Ethics (OGE) issued four recommendations in its June 2023 review report. OGE conducted a follow-up review to assess whether the CFTC 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 the lead human resources official or designee promptly (no later than 15 days after appointment) notifies the DAEO of all appointments to positions that require incumbents to file public financial disclosure reports.	The CFTC Office of Human Resources (OHR) has ensured that CFTC Ethics has real-time access to all employee appointments, including appointments to positions that require incumbents to file public financial disclosure reports.	Closed
2	Ensure that new entrant public financial disclosure reports are filed timely.	OGE reviewed 15 new entrant public financial disclosure reports and found that all reports were filed timely.	Closed
3	Ensure that all notices to prospective employees include a timeframe for completing initial ethics training.	OGE reviewed a sample of notices to prospective employees and determined that CFTC has updated their notices to include all applicable information.	Closed
4	Ensure that new employees receive initial ethics training within three months of appointment.	OGE found that CFTC had provided initial ethics training to all new employees within three months of appointment.	Closed

Based on the results of OGE's follow-up review, all recommendations are closed.