#### Agency: United States Access Board Report No.: 20-37I Date: July 14, 2020

Period Covered by Review: January 1, 2019 – December 31, 2019



1.0	AGENCY DATA	
	EMPLOYEES	
1.1	Number of full-time agency employees.	28
1.2	Number of Presidentially appointed, Senate-confirmed (PAS) public financial disclosure reports required to be filed.	0
1.3	Number of non-PAS public financial disclosure reports required to be filed.	2
1.4	Number of confidential financial disclosure reports required to be filed.	8
	ETHICS PROGRAM	
1.5	Title of Designated Agency Ethics Official (DAEO).	General Counsel
1.6	Grade level of DAEO.	SL/ST
1.7	Title of Alternate DAEO (ADAEO).	Deputy General Counsel and Attorney Advisor
1.8	Grade level of ADAEO.	GS-15 GS-14
1.9	Title of the primary, day-to-day ethics program administrator.	Attorney Advisor
1.10	Grade level of the primary, day-to-day ethics program administrator.	GS-14
1.11	Current number of full-time ethics officials.	0
1.12	Current number of part-time ethics officials.	4
1.13	Number of reporting levels between the DAEO and the agency head.	1
	COMMENTS	
	<ul><li>1.2: The United States Access Board (Access Board) does not employ any PAS officials.</li><li>1.7-1.8: The Access Board has designated three employees as ADAEOs.</li></ul>	

2.0	LEADERSHIP			
	COMPLIANCE REQUIREMENTS	Yes	No	N/A
2.1	OGE has received an up-to-date designation from the agency head naming the DAEO. See 5 C.F.R. § 2638.107(a).	$\boxtimes$		
2.2	OGE has received an up-to-date designation from the agency head naming the ADAEO. See 5 C.F.R. § 2638.107(a).	$\boxtimes$		
	COMMENTS			
	None.			

3.0	PUBLIC FINANCIAL DISCLOSURE (OGE Form 278e, OGE Form 278-T)			
	COMPLIANCE REQUIREMENTS	Yes	No	N/A
	The agency has written policies and procedures in place governing: See 5 U.S.C. app. IV, § 402(d)(1).			
3.1	Collection of public financial disclosure reports.	$\boxtimes$		
3.2	Review/evaluation of public financial disclosure reports.	$\boxtimes$		
3.3	Public availability of public financial disclosure reports.			

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3.4	The agency can demonstrate that late filing fees are collected or, where appropriate, waivers are issued when public filers do not timely file financial disclosure reports.			$\boxtimes$
3.5	Public financial disclosure reports are securely maintained. See OGE/GOVT-1.	$\boxtimes$		
3.6	Public financial disclosure reports are retained in accordance with the retention requirements. <i>See</i> 5 C.F.R. § 2634.603(g)(1).	$\boxtimes$		
3.7	There is reasonable assurance 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. <i>See</i> 5 C.F.R. § 2638.105(a)(1).		$\boxtimes$	
3.8	There is reasonable assurance that the lead human resources official or designee promptly (no later than 15 days after termination) notified the DAEO of terminations of employees in positions that require incumbents to file public financial disclosure reports. <i>See</i> 5 C.F.R. § 2638.105(a)(2).		$\boxtimes$	
	DATA ANALYSIS		%	
3.9	Percentage of sampled non-PAS new entrant reports filed timely. See 5 C.F.R. § 2634.201(b).		N/A	
3.10	Percentage of sampled non-PAS annual reports filed timely. See 5 C.F.R. § 2634.201(a).		100%	
3.11	Percentage of sampled non-PAS termination reports filed timely. See 5 C.F.R. § 2634.201(e).		N/A	
3.12	Percentage of sampled non-PAS public financial disclosure reports reviewed within 60 days of receipt. <i>See</i> 5 C.F.R. § 2634.605(a).		100%	
3.13	Percentage of sampled non-PAS public financial disclosure reports certified within 60 days of receipt. <i>See</i> 5 C.F.R. § 2634.605(a).		100%	
3.14	Percentage of sampled PAS annual reports filed timely. See 5 C.F.R. § 2634.201(a).		N/A	
3.15	Percentage of sampled PAS termination reports filed timely. See 5 C.F.R. § 2634.201(e).		N/A	
3.16	Percentage of sampled PAS annual and termination reports reviewed within 60 days of receipt. <i>See</i> 5 C.F.R. § 2634.605(a).		N/A	
3.17	Percentage of sampled PAS annual and termination reports certified within 60 days of receipt. <i>See</i> 5 C.F.R. § 2634.605(a).		N/A	
	COMMENTS			
	3.4: All public reports were filed timely in 2019.  3.7 – 3.8: The requirement for human resources officials to notify the DAEO of appointments to or terminations from poincumbents to file public financial disclosure reports is intended to ensure the DAEO can timely advise employees of relevant requirements. The Access Board only has two positions whose incumbents are required to file public financial disclosure were no appointments to, or terminations from, these positions during the period covered by the inspection. The DAEO (agency's two public filers) would be aware of pending appointments and terminations. Therefore, formal notification from officials is not necessary to ensure public filers receive timely notification of filing requirements.  3.9: No new entrant reports were required to be filed during the period covered by the inspection.	evant fi report who is	lling s and the one of t	ere he

4.0	CONFIDENTIAL FINANCIAL DISCLOSURE			
	COMPLIANCE REQUIREMENTS	Yes	No	N/A
	The agency has written policies and procedures in place governing: See 5 U.S.C app. IV, § 402(d)(1).			
4.1	Collection of confidential financial disclosure reports.	$\boxtimes$		
4.2	Review/evaluation of confidential financial disclosure reports.	$\boxtimes$		
4.3	Confidential financial disclosure reports are securely maintained. See OGE/GOVT-2.			

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4.4	Confidential financial disclosure reports are retained in accordance with the retention requirements. <i>See</i> 5 C.F.R. § 2634.604.				
4.5	The agency's OGE-approved alternative confidential financial disclosure system complies with plans approved by OGE. <i>See</i> 5 C.F.R. § 2634.905(a).				
4.6	There is reasonable assurance 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 confidential financial disclosure reports. <i>See</i> 5 C.F.R. § 2638.105(a)(1).		$\boxtimes$		
	DATA ANALYSIS		%		
4.7	Percentage of sampled confidential new entrant reports filed timely. See 5 C.F.R. § 2634.903(b).	N/A			
4.8	Percentage of sampled confidential annual reports filed timely. See 5 C.F.R. § 2634.903(a).		N/A		
4.9	Percentage of sampled reports reviewed within 60 days of receipt. See 5 C.F.R. § 2634.605(a).		N/A		
4.10	Percentage of sampled confidential financial disclosure reports certified within 60 days of receipt. <i>See</i> 5 C.F.R. §§ 2634.605(a) and 2634.909(a).		N/A		
	COMMENTS				
	4.3, 4.4, 4.7 – 4.10: OGE was unable to assess whether the Access Board was in compliance with these requirements. T ethics officials advised OGE that, consistent with guidance from the Office of Management and Budget, all staff are wor the COVID-19 pandemic. The materials OGE requires in order to make its assessment are inaccessible from remote loca Board staff would be required to physically enter their offices to retrieve and transmit the materials to OGE. OGE's polic COVID-19 pandemic strictly prohibits asking agencies to send staff to their offices or otherwise violate social-distancing policies to retrieve requested materials. OGE will assess the Access Board's compliance with these requirements when c 4.5: The Access Board does not have an OGE-approved alternative confidential financial disclosure system.  4.6: The Access Board has eight positions whose incumbents are required to file confidential financial disclosure reports aware of appointments to positions whose incumbents are required to file confidential financial disclosure reports. Notific resources are not necessary to ensure confidential filers are timely notified of filing requirements.	king re tions. ' cy during or oth ircumstands. The I	motely of The According the er mitigatances po	during ess ation ermit.	

5.0	Notices to Prospective Employees			
	COMPLIANCE REQUIREMENTS	Yes	No	N/A
	Written offers of employment for positions covered by the Standards of Conduct provide: See 5 C.F.R. § 2638.303.			
5.1	A statement regarding the agency's commitment to government ethics.		$\boxtimes$	
5.2	<ul> <li>Notice that the individual will be subject to the Standards of Conduct and the criminal conflict of interest statutes as an employee.</li> </ul>		$\boxtimes$	
5.3	<ul> <li>Contact information for an appropriate agency ethics office or an explanation of how to obtain additional information on applicable ethics requirements.</li> </ul>		$\boxtimes$	
5.4	Where applicable, notice of the time frame for completing initial ethics training.		$\boxtimes$	
5.5	<ul> <li>Where applicable, a statement regarding financial disclosure requirements and an explanation that new entrant reports must be filed within 30 days of appointment.</li> </ul>			
5.6	The agency has established written procedures for issuing the notice to prospective employees. <i>See</i> 5 C.F.R. § 2638.303(c).	$\boxtimes$		
5.7	The agency's written procedures are reviewed by the DAEO each year. See 5 C.F.R. § 2638.303(c).	$\boxtimes$		
5.8	The agency can demonstrate that there is an effective process for ensuring all covered employees receive the required information with their written offer of employment. <i>See</i> 5 C.F.R. § 2638.303.		$\boxtimes$	
	COMMENTS			
	5-1 – 5.8: The Access Board contracts with the Department of the Treasury's Bureau of Fiscal Services (BFS) for persor provided services include preparing vacancy announcements, responding to applicant inquiries, preparing hiring certifications.			

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written offer letters to selected candidates. In 2017, the Access Board worked with BFS to include requisite ethics notices in offer letters sent by BFS to prospective Access Board employees. While the Access Board did no outside hiring in calendar years 2017 or 2018, there were five new hires in 2019. However, the offer letters sent by BFS did not contain the required ethics notices. Access Board ethics officials stated that they coordinated with BFS and identified the reasons why the offer letters failed to include the ethics notice and implemented corrections to ensure that the notices are included in future offer letters. OGE intends to follow-up and verify at a future date whether the notices are included in offer letters.

6.0	Notices to New Supervisors							
	COMPLIANCE REQUIREMENTS	Yes	No	N/A				
	The agency must provide each employee upon initial appointment to a supervisory position with: See 5 C.F.R. § 2638.30	06.						
6.1	Contact information for the agency's ethics office.	$\boxtimes$						
6.2	• The text of 5 C.F.R. § 2638.103.	$\boxtimes$						
6.3	A copy of, a hyperlink to, or the address of a Web site containing the Principles of Ethical Conduct.	$\boxtimes$						
6.4	Other information the DAEO deems necessary.	$\boxtimes$						
6.5	The agency has established written procedures for supervisory ethics notices. See 5 C.F.R. § 2638.306(d).	$\boxtimes$						
6.6	The agency's written procedures are reviewed by the DAEO each year. See 5 C.F.R. § 2638.306(d).	$\boxtimes$						
6.7	The agency can demonstrate that there is an effective process for ensuring that new supervisors receive the required information within one year of appointment. <i>See</i> 5 C.F.R. § 2638.306(b).	$\boxtimes$						
	COMMENTS							
	6.1-6.4: The Access Board did not hire or promote anyone into a supervisory position during the period covered by the inspection. Therefore, the Access Board was not required to send any notices to new supervisors. OGE's assessment is based on a review of the procedures and written materials that the ethics office developed to provide new supervisors. 6.7: OGE determined that the Access Board has an effective process for providing the notices to new supervisors within one year of employment because the ethics office provides the notices and is aware of all personnel appointments within the agency due to the small size of the agency.							

7.0	Initial Ethics Training			
	COMPLIANCE REQUIREMENTS	Yes	No	N/A
	Each new employee of the agency subject to the Standards of Conduct must complete initial ethics training. <i>See</i> 5 C.F.R. § 2638.304.			
7.1	The training presentation(s) addressed concepts related to conflicts of interest, impartiality, misuse of position and gifts. <i>See</i> 5 C.F.R. § 2638.304(e)(1).	$\boxtimes$		
7.2	The agency provided new employees with either the following written materials or written instruction for accessing them: The summary of the Standards of Conduct distributed by the Office of Government Ethics or an equivalent summary prepared by the agency; provisions of any supplemental agency regulation that the DAEO determines to be relevant or a summary of those provisions; such other written materials as the DAEO determines should be included; instructions for contacting the agency's ethics officials. <i>See</i> 5 C.F.R. § 2638.304(e)(2).	$\boxtimes$		
7.3	The agency has established written procedures for initial ethics training. See 5 C.F.R. § 2638.304(f).	$\boxtimes$		
7.4	The agency's written procedures are reviewed by the DAEO each year. See 5 C.F.R. § 2638.304(f).	$\boxtimes$		
	DATA ANALYSIS	%		
7.5	Percentage of new employees who received initial ethics training. See 5 C.F.R. § 2638.304.		100%	

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7.6	Percentage of new employees who received initial ethics training within three months of appointment. <i>See</i> 5 C.F.R. § 2638.304(b).	100%
	COMMENTS	
	None.	

0.0	Annual Editor Turining			
8.0	Annual Ethics Training			27/4
	COMPLIANCE REQUIREMENTS	Yes	No	N/A
	Each calendar year, public filers, confidential filers, and certain other employees must complete ethics training which meets specified requirements. <i>See</i> 5 C.F.R. §§ 2638.307 and 2638.308.			
8.1	The training presentation(s) addressed concepts related to financial conflicts of interest, impartiality, misuse of position and gifts. <i>See</i> 5 C.F.R. §§ 2638.307(e)(1) and 2638.308(f)(1).			
8.2	The agency provided employees with either the following written materials or written instruction for accessing them: The summary of the Standards of Conduct distributed by the Office of Government Ethics or an equivalent summary prepared by the agency; provisions of any supplemental agency regulation that the DAEO determines to be relevant of a summary of those provisions; such other written materials as the DAEO determines should be included; instructions for contacting the agency's ethics officials. See 5 C.F.R. § 2638.304(e)(2).			
8.3	The agency's annual ethics training complies with the formatting requirements for public filers, confidential filers, an certain other employees. <i>See</i> 5 C.F.R. §§ 2638.307(d) and 2638.308(e).	d 🛛		
8.4	The agency's program for annual ethics training complies with the tracking requirements for public filers, confidential filers, and certain other employees. <i>See</i> 5 C.F.R. §§ 2638.307(f) and 2638.308(g).	l 🖂		
8.5	The agency can demonstrate it has an effective process for ensuring covered public filers, other than those whose pay is set at Level I or Level II of the Executive Schedule, complete live annual ethics training at least once every two years. <i>See</i> 5 C.F.R. § 2638.308(e)(2).			$\boxtimes$
	DATA ANALYSIS	Train	Training Form	
	DATA ANALISIS	Live	Inte	ractive
	Percentage of public filers who completed annual ethics training before the end of the calendar year. <i>See</i> 5 C.F.R. § 2638.308(a).			
8.6	• Executive Schedule Level I and Level II. See 5 C.F.R. § 2638.308(e)(1).	N/A	N/A	L
8.7	• Other PAS and Equivalent. See 5 C.F.R. § 2638.308(e)(2).	N/A N/A		L
	* ****	1 1/1 1		
8.8		100%	N/A	ı
8.8			-	
8.8	SES and Equivalent. See 5 C.F.R. § 2638.308(e)(3).  Percentage of confidential filers and certain other employees who completed annual ethics training before the end of the calendar year. See 5 C.F.R. § 2638.307(a)(d).  The proposes required to file an annual confidential financial disclosure report. See 5 C.F.R.		-	
	<ul> <li>SES and Equivalent. See 5 C.F.R. § 2638.308(e)(3).</li> <li>Percentage of confidential filers and certain other employees who completed annual ethics training before the end of the calendar year. See 5 C.F.R. § 2638.307(a)(d).</li> <li>Employees required to file an annual confidential financial disclosure report. See 5 C.F.R.</li> </ul>	100%	N/A	<b>L</b>
8.9	<ul> <li>SES and Equivalent. See 5 C.F.R. § 2638.308(e)(3).</li> <li>Percentage of confidential filers and certain other employees who completed annual ethics training before the end of the calendar year. See 5 C.F.R. § 2638.307(a)(d).</li> <li>Employees required to file an annual confidential financial disclosure report. See 5 C.F.R. § 2638.307(a)(1).</li> <li>Employees appointed by the President. See 5 C.F.R. § 2638.307(a)(2).</li> </ul>	100% 100%	N/A	<b>.</b>
8.9 8.10	<ul> <li>SES and Equivalent. See 5 C.F.R. § 2638.308(e)(3).</li> <li>Percentage of confidential filers and certain other employees who completed annual ethics training before the end of the calendar year. See 5 C.F.R. § 2638.307(a)(d).</li> <li>Employees required to file an annual confidential financial disclosure report. See 5 C.F.R. § 2638.307(a)(1).</li> <li>Employees appointed by the President. See 5 C.F.R. § 2638.307(a)(2).</li> <li>Employees of the Executive Office of the President. See 5 C.F.R. § 2638.307(a)(2).</li> </ul>	100% 100% N/A	N/A N/A	\ \
8.9 8.10 8.11	<ul> <li>SES and Equivalent. See 5 C.F.R. § 2638.308(e)(3).</li> <li>Percentage of confidential filers and certain other employees who completed annual ethics training before the end of the calendar year. See 5 C.F.R. § 2638.307(a)(d).</li> <li>Employees required to file an annual confidential financial disclosure report. See 5 C.F.R. § 2638.307(a)(1).</li> <li>Employees appointed by the President. See 5 C.F.R. § 2638.307(a)(2).</li> <li>Employees of the Executive Office of the President. See 5 C.F.R. § 2638.307(a)(2).</li> <li>Contracting officers described in 41 U.S.C. § 2101. See 5 C.F.R. § 2638.307(a)(3).</li> </ul>	100% 100% N/A N/A	N/A N/A N/A	\ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \
8.9 8.10 8.11 8.12	<ul> <li>SES and Equivalent. See 5 C.F.R. § 2638.308(e)(3).</li> <li>Percentage of confidential filers and certain other employees who completed annual ethics training before the end of the calendar year. See 5 C.F.R. § 2638.307(a)(d).</li> <li>Employees required to file an annual confidential financial disclosure report. See 5 C.F.R. § 2638.307(a)(1).</li> <li>Employees appointed by the President. See 5 C.F.R. § 2638.307(a)(2).</li> <li>Employees of the Executive Office of the President. See 5 C.F.R. § 2638.307(a)(2).</li> <li>Contracting officers described in 41 U.S.C. § 2101. See 5 C.F.R. § 2638.307(a)(3).</li> </ul>	100% 100% N/A N/A N/A	N/A N/A N/A N/A	\ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \

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9.0	ETHICS ADVICE AND COUNSELING			
	COMPLIANCE REQUIREMENT	Yes	No	N/A
9.1	Based on a sample collected by OGE, guidance provided by agency ethics officials to employees appears to be consistent with applicable laws and regulations. <i>See</i> 5 C.F.R. § 2638.104(c)(4).			
	COMMENTS			
	None.			
10.0	Special Government Employees (SGE) Serving on Advisory Committees and Boards			
	Confidential Financial Disclosure			
10.1	Number of SGEs serving on Advisory Committees and Boards.		12	
ı	DATA ANALYSIS		%	
10.2	Percentage of sampled confidential new entrant reports filed timely. See 5 C.F.R. § 2634.903(b).		N/A	
10.3	Percentage of sampled reports reviewed within 60 days of receipt but not later than the SGE's first meeting. See 5 C.F.R. § 2634.605(a).		N/A	
10.4	Percentage of sampled reports certified within 60 days of receipt. See 5 C.F.R. § 2634.605(a).		N/A	
	Ethics Training			
	COMPLIANCE REQUIREMENTS	Yes	No	N/A
	Required ethics training must be provided to each SGE. See 5 C.F.R. §§ 2638.304 and 2638.307.			
10.5	The training presentation(s) addressed concepts related to conflicts of interest, impartiality, misuse of position and gifts. <i>See</i> 5 C.F.R. § 2638.304(e)(1).			
10.6	The agency provided employees with either the following written materials or written instruction for accessing them: The summary of the Standards of Conduct distributed by the Office of Government Ethics or an equivalent summary prepared by the agency; provisions of any supplemental agency regulation that the DAEO determines to be relevant or a summary of those provisions; such other written materials as the DAEO determines should be included; instructions for contacting the agency's ethics officials. <i>See</i> 5 C.F.R. § 2638.304(e)(2).	$\boxtimes$		
	DATA ANALYSIS		%	
10.7	Percentage of SGEs who received initial ethics training. See 5 C.F.R. § 2638.304.		N/A	
10.8	Percentage of SGEs who received initial ethics training timely. See 5 C.F.R. § 2638.304(b)(2).		N/A	
10.9	Percentage of SGEs who received annual ethics training. See 5 C.F.R. § 2638.307(d)(2).		100%	
	COMMENTS			
	10.2 – 10.4: See note for sections 4.3, 4.4, 4.7 – 4.10 above.			

10.7 – 10.8: The Access Board did not hire any new SGEs during the period covered by the inspection.

#### ETHICS PROGRAM INSPECTION REPORT

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	RECOMMENDATIONS		
#	Element	RECOMMENDATION	Compliance Due
1	5.1 – 5.5	RECOMMENDATION: Ensure that notices to prospective employees include the language required by 5 C.F.R. § 2638.303.  AGENCY RESPONSE: In early 2020, the Access Board worked with its human resources service provider (BFS) to ensure that, on a going-forward basis, offer letters sent by BFS to prospective employees on behalf of the Access Board include an ethics notice, as required. Additionally, the agency has established procedures whereby the Access Board DAEO (or other ethics official) receives courtesy copies of each BFS offer letter as a means of cross-checking inclusion of the requisite ethics notice.	