

ETHICS PROGRAM REVIEW FOLLOW-UP REPORT

Agency: U.S. Election Assistance Commission (EAC)

Follow-up to OGE Report Number: 23-51I

Report No.: 25-43IF

Date: March 24, 2025

**UNITED STATES OFFICE OF
GOVERNMENT ETHICS**Preventing Conflicts of Interest
in the Executive Branch

As a result of its review of the U.S. Election Assistance Commission (EAC) ethics program, the Office of Government Ethics (OGE) issued 11 recommendations in its September 2023 review report. OGE conducted a follow-up review to assess whether the EAC 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 public financial disclosure reports are retained in accordance with the retention requirements.	EAC Records Management team has not yet destroyed the applicable public financial disclosure reports. Ethics officials explained that the EAC records management team consists of one individual, who is working as quickly as possible to update EAC records schedules, policies, and ensure all records are properly handled. The records management specialist has not yet been able to destroy the financial disclosure reports at the time of this follow-up review.	Open
2	Ensure that non-PAS new entrant public reports are filed timely.	Ethics officials indicated that EAC maintains an updated SOP for offers of employment, which instructs the Office of Human Resources (HR) to inform ethics officials of new entrants above the threshold. HR provides both entry of duty (EOD) and departure dates notifications to ethics officials on an individual basis. OGE reviewed the three new entrant reports required to be filed in 2024 by EAC employees. Two of the reports were filed late.	Open
3	Ensure that non-PAS public financial disclosure reports are reviewed within 60 days of receipt.	OGE reviewed the 12 public reports filed by EAC employees in 2024. OGE found that 11 (92%) were reviewed and certified within 60 days of receipt.	Closed
4	Ensure that non-PAS public financial disclosure reports are certified within 60 days of receipt.	OGE reviewed the 12 public reports filed by EAC employees in 2024. OGE found that 11 (92%) were reviewed and certified within 60 days of receipt	Closed

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5	Ensure that confidential financial disclosure reports are retained in accordance with the retention requirements.	EAC Records Management team has not yet destroyed the applicable confidential financial disclosure reports. Ethics officials explained that the EAC records management team consists of one individual, who is working as quickly as possible to update EAC records schedules, policies, and ensure all records are properly handled. The records management specialist has not yet been able to destroy the financial disclosure reports at the time of this follow-up review.	Open
6	Ensure that confidential new entrant reports are filed timely.	Ethics officials indicated that EAC maintains an updated SOP for offers of employment, which instructs HR to refer new hires to ethics officials for review and assessment of filing requirements. HR provides both EOD and departure dates notifications to ethics officials on an individual basis. OGE reviewed the three new entrant confidential reports required to be filed in 2024. OGE found that none of the reports were filed timely.	Open
7	Ensure that confidential financial disclosure reports are certified within 60 days of receipt.	OGE reviewed the six confidential reports required to be filed in 2024 and found that all the reports were certified timely.	Closed
8	Ensure that new employees are provided 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.	EAC did not provide new employees with a copy of the Standards of Conduct or a link to them in 2024. However, ethics officials indicated that a copy of the Standards of Conduct has been added to the new employee materials and will be provided going forward.	Closed

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9	Ensure that each calendar year, public filers, confidential filers, and certain other employees complete ethics training which meets specified requirements.	EAC did not provide annual training in 2024. Ethics officials indicated they did not have the staff required to update pre-recorded ethics training. EAC ethics officials provided guidance throughout the year on staff calls and hosted a Hatch Act training, provided by the Office of Special Counsel on the. However, the Agency was not able to meet the requirements associated with tracking training (e.g. attendance, topics or length of training sessions).	Open
10	Ensure that SGE Commission members file financial disclosure reports timely.	EAC does not currently have SGEs.	Closed
11	Ensure that SGE Commission members receive ethics training each year.	EAC does not currently have SGEs.	Closed

Based on the results of OGE's follow-up review, recommendations 3,4,7, 8, 10 and 11 are closed. OGE will conduct an additional follow-up review in approximately 3 months to assess whether the EAC has taken sufficient action to resolve the deficiencies underlying the recommendations which remain open.