

ETHICS PROGRAM INSPECTION REPORT

Agency: Delta Regional Authority (DRA)

Report No.: FY26-24I

Date: April 3, 2026

Period Covered by Review: January 1, 2025 through February 28, 2026

UNITED STATES OFFICE OF GOVERNMENT ETHICS

Preventing Conflicts of Interest
in the Executive Branch

| 1.0 AGENCY DATA | | |
|--|--|--------------------|
| EMPLOYEES | | |
| 1.1 | Number of full-time agency employees. | 2 |
| 1.2 | Number of Presidentially appointed, Senate-confirmed (PAS) public financial disclosure reports required to be filed. | 1 |
| 1.3 | Number of non-PAS public financial disclosure reports required to be filed. | 0 |
| 1.4 | Number of confidential financial disclosure reports required to be filed. | 0 |
| ETHICS PROGRAM | | |
| 1.5 | Title of Designated Agency Ethics Official (DAEO). | Federal Co-Chair |
| 1.6 | Grade level of DAEO. | Executive Schedule |
| 1.7 | Title of Alternate DAEO (ADAEO). | Senior Advisor |
| 1.8 | Grade level of ADAEO. | GS-15 |
| 1.9 | Title of the primary, day-to-day ethics program administrator. | Federal Co-Chair |
| 1.10 | Grade level of the primary, day-to-day ethics program administrator. | Executive Schedule |
| 1.11 | Current number of full-time ethics officials. | 0 |
| 1.12 | Current number of part-time ethics officials. | 2 |
| 1.13 | Number of reporting levels between the DAEO and the agency head. | 0 |
| COMMENTS | | |
| <p>The Delta Regional Authority (DRA) is an independent federal agency established in 2000 as a formal framework for joint federal-state collaboration to promote and encourage the economic development of the lower Mississippi River and Alabama Black Belt regions. To fulfill this purpose, DRA invests in projects supporting transportation infrastructure, basic public infrastructure, workforce training and business development encompassing parts of Alabama, Arkansas, Illinois, Kentucky, Louisiana, Mississippi, Missouri and Tennessee.</p> <p>(1.1) DRA has two federal employees. (1.3) DRA does not have any non-PAS officials. (1.4) DRA does not have any confidential financial disclosure reports.</p> | | |

| 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. <i>See</i> 5 C.F.R. § 2638.107(a). | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 2.2 | OGE has received an up-to-date designation from the agency head naming the ADAEO. <i>See</i> 5 C.F.R. § 2638.107(a). | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| 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: <i>See</i> 5 U.S.C. app. IV, § 402(d)(1). | | | | | |
| 3.1 | <ul style="list-style-type: none"> Collection of public financial disclosure reports. | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |

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|--|--|-------------------------------------|--------------------------|-------------------------------------|
| 3.2 | <ul style="list-style-type: none"> Review/evaluation of public financial disclosure reports. | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 3.3 | <ul style="list-style-type: none"> Public availability of public financial disclosure reports. | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 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. | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 3.5 | Public financial disclosure reports are securely maintained. <i>See OGE/GOVT-1.</i> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 3.6 | Public financial disclosure reports are retained in accordance with the retention requirements. <i>See 5 C.F.R. § 2634.603(g)(1).</i> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 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 5 C.F.R. § 2638.105(a)(1).</i> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 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 5 C.F.R. § 2638.105(a)(2).</i> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| DATA ANALYSIS | | | % | |
| 3.9 | Percentage of sampled non-PAS new entrant reports filed timely. <i>See 5 C.F.R. § 2634.201(b).</i> | N/A | | |
| 3.10 | Percentage of sampled non-PAS annual reports filed timely. <i>See 5 C.F.R. § 2634.201(a).</i> | N/A | | |
| 3.11 | Percentage of sampled non-PAS termination reports filed timely. <i>See 5 C.F.R. § 2634.201(e).</i> | N/A | | |
| 3.12 | Percentage of sampled non-PAS public financial disclosure reports reviewed within 60 days of receipt. <i>See 5 C.F.R. § 2634.605(a).</i> | N/A | | |
| 3.13 | Percentage of sampled non-PAS public financial disclosure reports certified within 60 days of receipt. <i>See 5 C.F.R. § 2634.605(a).</i> | N/A | | |
| 3.14 | Percentage of sampled PAS annual reports filed timely. <i>See 5 C.F.R. § 2634.201(a).</i> | 100% | | |
| 3.15 | Percentage of sampled PAS termination reports filed timely. <i>See 5 C.F.R. § 2634.201(e).</i> | N/A | | |
| 3.16 | Percentage of sampled PAS annual and termination reports reviewed within 60 days of receipt. <i>See 5 C.F.R. § 2634.605(a).</i> | 100% | | |
| 3.17 | Percentage of sampled PAS annual and termination reports certified within 60 days of receipt. <i>See 5 C.F.R. § 2634.605(a).</i> | 100% | | |
| COMMENTS | | | | |
| <p>(3.4) DRA did not have any reports subject to the late filing fee.</p> <p>(3.7 - 3.8) DRA did not have appointments or terminations from a position that required the filing of an incumbent public financial disclosure report. Because of the limited and unchanging number of public filers and small size of the agency, OGE is confident the DAEO would be aware of pending appointments to and terminations from the limited public filer positions.</p> <p>(3.9 – 3.13, 3.15) DRA did not have any officials under these categories during the period covered by the inspection.</p> | | | | |

4.0 CONFIDENTIAL FINANCIAL DISCLOSURE

| COMPLIANCE REQUIREMENTS | | Yes | No | N/A |
|---|---|--------------------------|--------------------------|-------------------------------------|
| The agency has written policies and procedures in place governing: <i>See 5 U.S.C app. IV, § 402(d)(1).</i> | | | | |
| 4.1 | <ul style="list-style-type: none"> Collection of confidential financial disclosure reports. | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 4.2 | <ul style="list-style-type: none"> Review/evaluation of confidential financial disclosure reports. | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 4.3 | Confidential financial disclosure reports are securely maintained. <i>See OGE/GOVT-2.</i> | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |

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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. | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 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). | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 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). | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| DATA ANALYSIS | | % | | |
| 4.7 | Percentage of sampled confidential new entrant reports filed timely. <i>See</i> 5 C.F.R. § 2634.903(b). | N/A | | |
| 4.8 | Percentage of sampled confidential annual reports filed timely. <i>See</i> 5 C.F.R. § 2634.903(a). | N/A | | |
| 4.9 | Percentage of sampled reports reviewed within 60 days of receipt. <i>See</i> 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 | | | | |
| (4.1 – 4.10) DRA does not have any confidential filing positions. | | | | |

| | | | | |
|--|--|-------------------------------------|--------------------------|-------------------------------------|
| 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: <i>See</i> 5 C.F.R. § 2638.303. | | | |
| 5.1 | <ul style="list-style-type: none"> • A statement regarding the agency's commitment to government ethics. | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 5.2 | <ul style="list-style-type: none"> • Notice that the individual will be subject to the Standards of Conduct and the criminal conflict of interest statutes as an employee. | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 5.3 | <ul style="list-style-type: none"> • Contact information for an appropriate agency ethics office or an explanation of how to obtain additional information on applicable ethics requirements. | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 5.4 | <ul style="list-style-type: none"> • Where applicable, notice of the time frame for completing initial ethics training. | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 5.5 | <ul style="list-style-type: none"> • Where applicable, a statement regarding financial disclosure requirements and an explanation that new entrant reports must be filed within 30 days of appointment. | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 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). | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 5.7 | The agency's written procedures are reviewed by the DAEO each year. <i>See</i> 5 C.F.R. § 2638.303(c). | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 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. | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| COMMENTS | | | | |
| (5.1 – 5.8) DRA did not have any new hires during the period covered by the inspection. DRA also did not have procedures established for notices to prospective employees. Based on OGE's review, DRA established the written procedures, and the DAEO agreed to review the procedures annually. This issue is resolved. | | | | |

| | | | | |
|------------|--|------------|-----------|------------|
| 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: <i>See</i> 5 C.F.R. § 2638.306. | | | |

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| 6.1 | <ul style="list-style-type: none"> Contact information for the agency's ethics office. | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 6.2 | <ul style="list-style-type: none"> The text of 5 C.F.R. § 2638.103. | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 6.3 | <ul style="list-style-type: none"> A copy of, a hyperlink to, or the address of a Web site containing the Principles of Ethical Conduct. | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 6.4 | <ul style="list-style-type: none"> Other information the DAEO deems necessary. | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 6.5 | The agency has established written procedures for supervisory ethics notices. <i>See</i> 5 C.F.R. § 2638.306(d). | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 6.6 | The agency's written procedures are reviewed by the DAEO each year. <i>See</i> 5 C.F.R. § 2638.306(d). | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 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). | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| COMMENTS | | | | |
| (6.1 – 6.7) DRA did not have any new supervisors during the period covered by the inspection. DRA also did not have procedures established for notices to new supervisors. Based on OGE's review, DRA established the written procedures, and the DAEO agreed to review the procedures annually. This issue is resolved. | | | | |

| 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). | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | | |
| 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). | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | | |
| 7.3 | The agency has established written procedures for initial ethics training. <i>See</i> 5 C.F.R. § 2638.304(f). | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | |
| 7.4 | The agency's written procedures are reviewed by the DAEO each year. <i>See</i> 5 C.F.R. § 2638.304(f). | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | |
| DATA ANALYSIS | | | | | % | |
| 7.5 | Percentage of new employees who received initial ethics training. <i>See</i> 5 C.F.R. § 2638.304. | N/A | | | | |
| 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). | N/A | | | | |
| COMMENTS | | | | | | |
| (7.1-7.6) DRA did not hire any new employees during the period covered by the inspection. DRA also did not have procedures established for initial ethics training. Based on OGE's review, DRA established the written procedures, and the DAEO agreed to review the procedures annually. This issue is resolved. Additionally, the DAEO two-day OGE DAEO and ADAEO orientation and received training related to requirements for new initial ethics training. | | | | | | |

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| 8.0 ANNUAL ETHICS TRAINING | | | | |
|----------------------------|--|--------------------------|-------------------------------------|--------------------------|
| | 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). | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| 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 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). | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| 8.3 | The agency's annual ethics training complies with the formatting requirements for public filers, confidential filers, and certain other employees. <i>See</i> 5 C.F.R. §§ 2638.307(d) and 2638.308(e). | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| 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). | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| 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). | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| | DATA ANALYSIS | Training Format | | |
| | | Live | Interactive | |
| | 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 | <ul style="list-style-type: none"> • Executive Schedule Level I and Level II. <i>See</i> 5 C.F.R. § 2638.308(e)(1). | N/A | N/A | |
| 8.7 | <ul style="list-style-type: none"> • Other PAS and Equivalent. <i>See</i> 5 C.F.R. § 2638.308(e)(2). | 0% | 0% | |
| 8.8 | <ul style="list-style-type: none"> • SES and Equivalent. <i>See</i> 5 C.F.R. § 2638.308(e)(3). | N/A | N/A | |
| | Percentage of confidential filers and certain other employees who completed annual ethics training before the end of the calendar year. <i>See</i> 5 C.F.R. § 2638.307(a)(d). | | | |
| 8.9 | <ul style="list-style-type: none"> • Employees required to file an annual confidential financial disclosure report. <i>See</i> 5 C.F.R. § 2638.307(a)(1). | N/A | N/A | |
| 8.10 | <ul style="list-style-type: none"> • Employees appointed by the President. <i>See</i> 5 C.F.R. § 2638.307(a)(2). | N/A | N/A | |
| 8.11 | <ul style="list-style-type: none"> • Employees of the Executive Office of the President. <i>See</i> 5 C.F.R. § 2638.307(a)(2). | N/A | N/A | |
| 8.12 | <ul style="list-style-type: none"> • Contracting officers described in 41 U.S.C. § 2101. <i>See</i> 5 C.F.R. § 2638.307(a)(3). | N/A | N/A | |
| 8.13 | <ul style="list-style-type: none"> • Other employees designated by the head of the agency. <i>See</i> 5 C.F.R. § 2638.307(a)(4). | N/A | N/A | |
| | COMMENTS | | | |
| | (8.1-8.13) DRA's Federal Co-chair/DAEO was the only employee required to receive annual ethics training during the period covered by the inspection. During the inspection, DRA did not have training materials established for annual ethics training. However, the Federal Co-Chair/DAEO and ADAEO participated in OGE's Orientation for New DAEOs and ADAEOs. OGE will assist DRA in developing annual ethics training and the DAEO agreed to annually review and revise the training material. | | | |

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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). | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| COMMENTS | | | | |
| (9.1) DRA did not provide any ethics advice and counseling during the period covered by the inspection. | | | | |

| 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. | 0 | | |
| DATA ANALYSIS | | % | | |
| 10.2 | Percentage of sampled confidential new entrant reports filed timely. <i>See</i> 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. <i>See</i> 5 C.F.R. § 2634.605(a). | N/A | | |
| 10.4 | Percentage of sampled reports certified within 60 days of receipt. <i>See</i> 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. <i>See</i> 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). | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| 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). | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> |
| DATA ANALYSIS | | % | | |
| 10.7 | Percentage of SGEs who received initial ethics training. <i>See</i> 5 C.F.R. § 2638.304. | N/A | | |
| 10.8 | Percentage of SGEs who received initial ethics training timely. <i>See</i> 5 C.F.R. § 2638.304(b)(2). | N/A | | |
| 10.9 | Percentage of SGEs who received annual ethics training. <i>See</i> 5 C.F.R. § 2638.307(d)(2). | N/A | | |
| COMMENTS | | | | |
| (10.1-10.9) DRA does not have any SGEs. | | | | |

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ISSUES IDENTIFIED AND RESOLVED DURING THE INSPECTION

| Element | ISSUE |
|-------------------------------------|---|
| (2.1-2.2) | <p>ISSUE: Before the inspection, DRA did not have the designation made of the DAEO and ADAEO, however, DRA provided a copy of the required letters during the inspection.</p> <p>AGENCY RESPONSE: What action the agency took to correct the identified deficiency.</p> |
| (3.1-3.3) | <p>ISSUE: Before the inspection, DRA did not have the required written procedures for public financial disclosure system, however, DRA provided a copy of the required procedures during the inspection.</p> <p>AGENCY RESPONSE: What action the agency took to correct the identified deficiency.</p> |
| (5.6-5.7) (6.5-6.6) (7.3-7.4) | <p>ISSUE: Before the inspection, DRA did not have the required written procedures for notices to new prospective employees, new supervisors, and initial ethics training, however, DRA provided a copy of the required procedures during the inspection. The DAEO agreed to review the procedures annually.</p> <p>AGENCY RESPONSE: What action the agency took to correct the identified deficiency.</p> |

RECOMMENDATIONS

| # | Element | RECOMMENDATION | Compliance Due |
|---|-------------------|---|----------------|
| 1 | (7.1-7.2) | <p>RECOMMENDATION: Provide OGE with the materials used to provide initial ethics training that meet the requirement outlined in 5 C.F.R. § 2638.304(e)(1) and 5 C.F.R. § 2638.304(e)(2).</p> <p>AGENCY RESPONSE: Agency officials will work its OGE desk officer to meet the requirements outlined in 5 C.F.R. § 2638.304(e)(1) and 5 C.F.R. § 2638.304(e)(2).</p> | December 2027 |
| 2 | (8.1-8.5; 8.7) | <p>RECOMMENDATION: Provide OGE with the materials used to provide annual ethics training that meet the requirements outlined in See 5 C.F.R. §§ 2638.307(e)(1) and 2638.308(f)(1) and 5 C.F.R. § 2638.308 (e) (2) and confirm completion.</p> <p>AGENCY RESPONSE: Agency officials will work with its OGE desk officer to develop an annual ethics training program that meet requirements outlined in See 5 C.F.R. §§ 2638.307(e)(1) and 2638.308(f)(1) and 5 C.F.R. § 2638.308 (e) (2).</p> | December 2027 |