

# **CY16 Annual Agency Ethics Program Questionnaire Results**



**A Summary of the Executive Branch  
Ethics Program**

## **Table of Contents**

<b><u>SECTION 1 -INTRODUCTION</u></b>	<b><u>1</u></b>
<b><u>SECTION 2 - KEY HIGHLIGHTS</u></b>	<b><u>2</u></b>
<b><u>SECTION 3 – COMPILATION OF AGENCY RESPONSES</u></b>	<b><u>6</u></b>
<b><u>APPENDIX – AGENCY COMMENTS</u></b>	<b><u>27</u></b>

## Section 1 -Introduction

This report summarizes data compiled from responses to the Annual Agency Ethics Program Questionnaire (Annual Questionnaire or questionnaire) for calendar year 2016. Responses were submitted by each executive branch agency to the U.S. Office of Government Ethics (OGE) in early 2017. This report provides a snapshot of the executive branch ethics program.

The first section gives a brief overview of OGE's legal authority to require agencies to report, OGE's survey methodology, and the limitations of the data collected. The second section provides highlights from the summary data. The third section contains the aggregate responses to each question as submitted by agencies. Finally, the Appendix contains 33 tables of additional comments individual agencies submitted in response to the questionnaire.

### Legal Requirement

Pursuant to section 402(e)(1) of the Ethics in Government Act of 1978, as amended, executive branch agencies are required to submit an annual report to OGE. Pursuant to 5 C.F.R. § 2638.602, the report is due to OGE on or before February 1 of each year and covers the previous calendar year. OGE collects the required information through its Annual Agency Ethics Program Questionnaire. Ethics officials are asked to provide information on the following topics:

- Organizational Structure
- Ethics Program Administration
- Advice and Counseling
- Education and Training
- Financial Disclosure (Public and Confidential)
- Enforcement
- Advisory Committees/Special Government Employees

### Methodology

To facilitate timely responses, each agency received an advance copy of the questionnaire for review in November 2016, and a hyperlink to the questionnaire in early January, 2017. OGE used a proprietary application to collect each agency response. OGE Desk Officers followed up with individual agencies for additional information or clarification based on a select set of criteria. This summary report reflects the compilation of agency responses.

**Response Rate:** 100% (136 agencies)

### Data Limitations<sup>1</sup>

When reviewing this report, it is important to keep the limitations of the data in mind. While OGE reviews certain agency responses for anomalies and follows up as necessary, OGE does not independently verify the submitted information. And, questions are open to differing interpretations by agencies, which may result in data variation.

---

<sup>1</sup> This report does not include classified information. Therefore, the aggregate number for certain questions may be higher than reported.

## Section 2 - Key Highlights<sup>2</sup>

### Ethics Program Leadership

- There are very few DAEO/ADAEO vacancies. (Q.3-4)
- 57% of DAEOs have less than four years of experience in the position. (Q.3)
- 53% of ADAEOs have less than four years of experience in the position. (Q.4)
- 85% of DAEOs spend less than 50% of their time on ethics. (Q.3)
- 65% of ADAEOs spend less than 50% of their time on ethics. (Q.4)
- A large majority of DAEOs (83%) and ADAEOs (91%) are career employees. (Q.3-4)

### Program Resources

- There are approximately 6,895 individuals that support the ethics program. Of these, approximately 90% performed less than 30 hours of ethics duties per week, and approximately 10% performed 31 or more hours of ethics duties per week. (Q.5)
- 32% (2,216) of individuals performing ethics program duties are stationed within the D.C. metropolitan area, while 68% (4,677) of individuals performing ethics program duties are stationed outside the metro area. (Q.5)
- 36% of agencies reported needing additional resources. Similar to 2015, human capital was the most requested resource, closely followed by technology and then budgetary resources. (Q.12-13)
- 22% of ethics programs are supported by contractors. (Q.8) Agencies reported that contractors mostly provide clerical assistance or support the financial disclosure system. (Q.9)

### Program Structure

- 72% of DAEOs/ADAEOs had supervisory authority over the ethics officials that support their agency's ethics program. (Q.6)
- Ethics education and training, ethics advice and counseling, and the confidential financial disclosure program, are most likely delegated outside the DAEO/ADAEO supervisory chain. (Q.7)

### Program Administration

- 2016 saw no shift in where the most time was spent administering an ethics program. (Q.11)  
*Top 4 in 2015 and 2016: (1) Advice and Counseling; (2) Confidential Financial Disclosure (3) Education and Training; and (4) Public Financial Disclosure*
- 60% of agencies reported conducting self-assessments. (Q.17)

### Agency Leadership

- Every agency reported that their leadership demonstrates support for their ethics program. (Q.14)
- 65% of agencies reported that ethics staff met with the agency head to discuss the strengths and weaknesses of the ethics program. (Q.15)

---

<sup>2</sup> Highlights are drawn from agency responses as reported in calendar year 2016, unless otherwise noted.

## Succession Planning

- The majority of agencies conduct succession planning for their ethics program. The top two tools used to prepare for succession in the program were: (1) knowledge library (104 agencies) and (2) written standard operating procedures (101 agencies). (Q.16)
- The majority of agencies have professional development for their ethics officials. The top two sources for professional development were: (1) structured courses (112 agencies) and (2) mentoring (88 agencies). (Q.16)
- All but five agencies have written procedures for financial disclosure, as required by 5 U.S.C. app. § 402(d)(1). (Q.19)

## Initial Ethics Orientation

- 97% of employees received Initial Ethics Orientation (IEO) within the 90 day requirement. (Q.23)
- An overwhelming majority of agencies (98%) conduct IEO as part of employee in-processing. (Q.24)
- One-on-one briefings and written materials were the two most popular methods for delivering IEO. (Q.25)
- Most agencies (123) reported developing their own materials. In addition, 54 agencies indicated that they used materials developed by OGE, and 20 indicated that they used materials developed by another agency. (Q.26)

## Annual Ethics Training

- 98% of public and confidential financial disclosure filers received required Annual Ethics Training (AET). (Q.27)
- In-person classroom instruction and one-on-one briefings were the two most popular methods for delivering AET. (Q.28)
- 79% of agencies provided annual training to persons not required by the regulation to receive training. (Q.30)
- Most agencies (123) reported developing their own AET materials. In addition, 49 agencies indicated using materials developed by OGE, and 23 agencies indicated using materials developed by another agency. (Q.29)
- 66% of agencies provided additional, specialized training. Of those, 41% provided specialized training to supervisors, and 34% did so for procurement officials. (Q.31-32)

## Advice and Counseling

- The two topics that employees most frequently sought guidance on were: (1) gift acceptance (47 agencies ranked this #1) and (2) financial disclosure reporting (33 agencies ranked this #1). (Q.33)

## Financial Disclosure

*Note: #s reflect the number of reports submitted rather than the number of filers.*

- 78% of agencies reported receiving timely notification of the appointment of new entrant employees required to file financial disclosure reports. (Q.44)
- 25,680 public financial disclosure reports (new entrant, annual, combination, and termination) were required to be filed in CY 2016; and agencies reported that 25,874 reports were filed. (Q.37)<sup>3</sup>
- Career SES represented the highest proportion (44%) of reports required to be filed. Of these, agencies reported that 11,286 reports were required to be filed and that 11,609 reports were actually filed. (Q.37)<sup>4</sup>
- 12,205 periodic transaction reports were filed. (Q.39)
- Intermediate review of public financial disclosure reports conducted by someone other than an ethics official was utilized by 20% of agencies. (Q.45)
- Agencies reported that the most common step takes to collect delinquent public financial reports was sending repeated reminders to filers, followed by notifying the filer's supervisor. (Q.46)

## Electronic Filing

- 127 (93%) agencies reported using some form of electronic financial disclosure system. (Q.47)
- 68 (53%) agencies reported using only OGE's *Integrity* electronic financial disclosure system. (Q.48)
- 59 agencies (47%) reported using an electronic financial disclosure filing system other than OGE's *Integrity* system, at a cost of approximately \$9,110,728. (Q.47 - 49).

## Remedies

- Recusals represented 56% of remedial actions taken in response to information regarding a conflict of interest reported on OGE Form 278. (Q.55)
- Agencies granted 119 § 208(b)(1) and 224 § 208(b)(3) waivers. (Q.58 and 60)

## Enforcement

- The number of disciplinary actions and referrals made by agencies declined slightly between 2015 (1,584) and 2016 (1,421). (Q.62-64)

## Advisory Committees/Special Government Employees

- Agencies reported that there were 37,450 special government employees as of December 31, 2016. (Q.73)
- Agencies reported 854 FACA committees with 31,453 members and 133 non-FACA committees with 1,357 members. (Q.68-71)

<sup>3</sup> This excludes numbers partially submitted for national security reasons.

<sup>4</sup> This excludes numbers partially submitted for national security reasons.

## Section 3 – Compilation of Agency Responses

The information in this section represents a summary of the responses provided by the 138 reporting agencies.

### ORGANIZATION/RESOURCES

1. Agency: **136 (100% Response Rate)**
2. Number of full-time agency employees as of December 31, 2016: **3,858,491**
3. Information about the Designated Agency Ethics Official (DAEO):<sup>5</sup>

	DAEO
a. Vacant (as of December 31, 2016)	<input type="checkbox"/> Yes ( <i>skip to 3b and then 4</i> ) <b>5 (4%)</b> <input type="checkbox"/> No ( <i>go to 3c</i> ) <b>131 (96%)</b>
<del>b. When did the position become vacant?</del>	<del>Month/Year</del>
<del>c. Name</del>	
<del>d. Title</del>	
e. Time in current DAEO position	<input type="checkbox"/> 10 or more years <b>27 (21%)</b> <input type="checkbox"/> 5 - 9 years <b>25 (19%)</b> <input type="checkbox"/> 1 - 4 years <b>57 (43%)</b> <input type="checkbox"/> Less than 1 year <b>22 (17%)</b>
<del>f. Total years performing ethics duties</del>	
g. Grade level	<input type="checkbox"/> Executive Schedule <b>14 (10%)</b> <input type="checkbox"/> SES or equivalent <b>75 (57%)</b> <input type="checkbox"/> GS 15 <b>34 (26%)</b> <input type="checkbox"/> GS 14 and below <b>8 (6%)</b>
h. Percent of time spent on ethics	<input type="checkbox"/> 0-25% <b>102 (77%)</b> <input type="checkbox"/> 26-50% <b>15 (11%)</b> <input type="checkbox"/> 51-75% <b>4 (3%)</b> <input type="checkbox"/> 76-100% <b>10 (8%)</b>
i. Was the DAEO eligible to retire as of December 31, 2016?	<input type="checkbox"/> Yes <b>89 (68%)</b> <input type="checkbox"/> No <b>42 (32%)</b>
j. Is the DAEO a career employee or a political appointee?	<input type="checkbox"/> career employee <b>114 (87%)</b> <input type="checkbox"/> political appointee <b>17 (13%)</b>

<sup>5</sup> For the purposes of this aggregate summary, questions asking for responses that cannot be aggregated were omitted, as indicated by the strikethrough of the question text.

4. Information about the Alternate Designated Agency Ethics Official (ADAEO)

	ADAEO
a. Position Vacant (as of December 31, 2016)	<input type="checkbox"/> Yes ( <i>skip to 4b and then 5</i> ) <b>5 (4%)</b> <input type="checkbox"/> No ( <i>go to 4c</i> ) <b>131 (96%)</b>
<del>b. When did the position become vacant?</del>	<del>Month/Year</del>
<del>c. Name</del>	
<del>d. Title</del>	
e. Time in current ADAEO position (years)	<input type="checkbox"/> 10 or more years <b>29 (23%)</b> <input type="checkbox"/> 5 - 9 years <b>28 (21%)</b> <input type="checkbox"/> 1 - 4 years <b>57 (43%)</b> <input type="checkbox"/> Less than 1 year <b>17 (13%)</b>
<del>f. Total years performing ethics duties</del>	
g. Grade level	<input type="checkbox"/> Executive Schedule <b>2 (1%)</b> <input type="checkbox"/> SES or equivalent <b>34 (26%)</b> <input type="checkbox"/> GS 15 <b>60 (46%)</b> <input type="checkbox"/> GS 14 and below <b>35 (27%)</b>
h. Percent of time spent on ethics	<input type="checkbox"/> 0-25% <b>69 (52%)</b> <input type="checkbox"/> 26 -50% <b>21 (16%)</b> <input type="checkbox"/> 51-75% <b>14 (11%)</b> <input type="checkbox"/> 76-100% <b>27 (21%)</b>
i. Was the ADAEO eligible to retire as of December 31, 2016?	<input type="checkbox"/> Yes <b>96 (73%)</b> <input type="checkbox"/> No <b>35 (27%)</b>
j. Is the ADAEO a career employee or a political appointee?	<input type="checkbox"/> career employee <b>124 (95%)</b> <input type="checkbox"/> political appointee <b>7 (5%)</b>



5. Number of employees who performed ethics program duties in 2016; e.g., financial disclosure, education and training, advice and counseling, program administration.

Duty Station	Approximate amount of time spent each week performing ethics duties					TOTAL
	Less than 1 hour per week	2-10 hours per week	11-20 hours per week	21-30 hours per week	31-40 hours per week	
	(up to .025 FTE*)	(up to .25 FTE*)	(up to .5 FTE*)	(up to .75 FTE*)	(up to 1 FTE*)	
D.C. Metro area	555	783	262	117	499	2,216 (32%)
Outside the D.C. Metro area	1,408	2,296	608	189	178	4,679 (68%)
TOTAL	1,963 (28%)	3,079 (45%)	870 (13%)	306 (4%)	677 (10%)	6,895

\*FTE = Full Time Equivalent

6. Does the DAEO/ADAEO have supervisory authority over the employees identified in question #5?

- ☐ Yes (skip to #8) **98 (72%)**  
☐ No (go to #7) **24 (18%)**  
☐ Not Applicable (skip to #8) **14 (10%)**

7. Indicate which elements of the ethics program have been delegated outside of the supervisory chain of the DAEO or ADAEO. Check all that apply.

- ☐ Assessment of program performance **7**  
☐ Confidential financial disclosure program **14**  
☐ Ethics advice and counseling **14**  
☐ Ethics education and training **12**  
☐ Public financial disclosure program **6**  
☐ Other (specify) **12 Table 1**  
☐ Not Categorized **110**

8. Do contractors support the ethics program?

- ☐ Yes (go to #9) **30 (22%)**  
☐ No (skip to #10) **106 (78%)**

9. Describe the extent of their support. **Table 2**

10. Identify the agency ethics officials who have ethics duties as a distinct element in their **performance standards**. Check all that apply.

- ☐ DAEO **100**
- ☐ ADAEO **97**
- ☐ All ethics officials (excluding DAEO/ADAEO) **39**
- ☐ Some ethics officials (excluding DAEO/ADAEO) **35**
- ☐ None **14**

**ADDITIONAL COMMENTS FOR PART 4.** Please indicate the question number to which the comment corresponds. **Table 3**

## PROGRAM ADMINISTRATION

11. Use the following scale to rate the amount of time your agency spends to administer each item. The first six categories exclude time devoted to SGE's.

**Time Spent Scale:** 1= No time 2=Limited amount of time 3=Moderate amount of time  
4=Significant amount of time 5=Very significant amount of time

Advice and counseling <b>53 ranked this a 5 (1st)</b>	1	2	3	4	5
Confidential financial disclosure program <b>27 ranked this a 5 (3rd)</b>	1	2	3	4	5
Disciplinary process for violations <b>0 ranked this a 5 (8th)</b>	1	2	3	4	5
Education and training <b>21 ranked this a 5 (4th)</b>	1	2	3	4	5
Outside activity approval <b>4 ranked this a 5 (5th)</b>	1	2	3	4	5
Public financial disclosure program <b>28 ranked this a 5 (2nd)</b>	1	2	3	4	5
Special Government Employee activities <b>4 ranked this a 5 (5th)</b>	1	2	3	4	5
Other (specify) <b>6 ranked this a 5 (5th)</b>	1	2	3	4	5

12. Are additional resources needed for the ethics program? (e.g., budgetary, human capital, technology, etc.)

- ☐ Yes (go to #13) **49 (36%)**  
☐ No (skip to #14) **87 (64%)**

13. Which additional resources are needed? Check all that apply.

- ☐ Budgetary **26**  
☐ Human Capital **45**  
☐ Technology **35**  
☐ Other (specify) **3 Table 4**

14. My agency's leadership (e.g., the agency head, senior executives, and first-line managers) demonstrates support for the ethics program.

- ☐ Yes **136 (100%)**  
☐ No **0 (0%)**

15. Did the agency head meet with the ethics staff to discuss the strengths and weaknesses of the ethics program in 2016?

- ☐ Yes **89 (65%)**  
☐ No **47 (35%)**

16. Which of the following tools did your agency use to ensure short- and long-term continuity of operations (succession planning) of its ethics program in 2016? Check all that apply.

**Professional Development**

- ☐ Competency/skills gap assessment **41**
- ☐ Developmental assignments (e.g., detail assignments, cross training, job rotation, use of agency developmental programs such as interns, fellows, or leadership development) **56**
- ☐ Individual development plans **43**
- ☐ Mentoring **88**
- ☐ Structured courses (e.g., classroom training, webinars, online modules, etc.) **113**
  - ☐ Provided by OGE **102**
  - ☐ Provided by my agency **42**
  - ☐ Provided by another agency **24**
  - ☐ Not categorized **4**
- ☐ Other (specify) **18 Table 5**
- ☐ None **13**

**Programmatic tools**

- ☐ Job Aids **52**
- ☐ Knowledge library (intranet, videos, shared drives, etc.) **104**
- ☐ Resources assessment (personnel and/or financial) **37**
- ☐ Written standard operating procedures **101**
- ☐ Other (specify) **15 Table 5**
- ☐ None **11**

17. Did your agency (e.g., ethics office, Inspector General, General Counsel, etc.) conduct a self-assessment to evaluate any aspect of the ethics program in 2016?

- ☐ Yes (*go to #18*) **82 (60%)**
- ☐ No (*skip to #19*) **54 (40%)**

18. What did you assess? Check all that apply.

- ☐ Accuracy of advice and counsel **46**
- ☐ Administration of confidential financial disclosure program **54**
- ☐ Administration of public financial disclosure program **53**
- ☐ Compliance with applicable ethics laws and regulations **54**
- ☐ Consistency of advice and counsel **50**
- ☐ Employee knowledge after training **25**
- ☐ Employee knowledge before training **12**
- ☐ Employee perceptions about the agency's ethical culture **29**
- ☐ Employee perceptions about the ethics program **19**
- ☐ Knowledge and skills of ethics officials **21**
- ☐ Employee satisfaction with training offered **36**
- ☐ Employee knowledge of the ethics rules **36**
- ☐ Timeliness of advice and counsel **39**
- ☐ Other (specify) **16 Table 6**

19. Do you have written policies or procedures in place for the following? Check all that apply.

- ☐ Collection of confidential financial disclosure reports **132**
- ☐ Collection of public financial disclosure reports **131**
- ☐ Following up with delinquent confidential financial disclosure filers **112**
- ☐ Following up with delinquent public financial disclosure filers **113**
- ☐ Public availability of public financial disclosure reports **98**
- ☐ Review/evaluation of confidential financial disclosure reports **111**
- ☐ Review/evaluation of public financial disclosure reports **112**

20. Does your agency provide ethics program services for any board, commission, or agency that is independent of your agency?

- ☐ Yes (please provide the names of the board, commission, or agency) **19 Table 7**
- ☐ No **117**

21. Please list any significant accomplishments your ethics program achieved in 2016. **Table 8**

22. Please list the greatest challenges facing your ethics program in the short term (next 1-3 years). **Table 9**

**ADDITIONAL COMMENTS FOR PART 5.** Please indicate the question number to which the comment corresponds. **Table 10**

## EDUCATION AND TRAINING

23. How many employees (including Special Government Employees) were required to have received Initial Ethics Orientation (IEO) by December 31, 2016 **355,846**
- a. How many of those employees received IEO within the 90 day requirement? **346,980 (97%)**
  - b. How many of those employees received IEO beyond the 90 day requirement? **5,785 (2%)**
  - c. How many of those employees have not received IEO as of today? **3,081 (1%)**
24. Is IEO part of your agency's on-boarding process for new employees?
- ☐ Yes **134 (98%)**
  - ☐ No **2 (2%)**
25. How do you deliver IEO to new employees? Check all that apply.
- ☐ Classroom instruction (in-person) **88**
  - ☐ Instructor-led web-based **13**
  - ☐ One-on-one briefings **90**
  - ☐ Satellite broadcast/videoconference **20**
  - ☐ Self-paced web-based **50**
  - ☐ Video **19**
  - ☐ Written materials **97**
  - ☐ Other (specify) **16 Table 11**
26. Who developed the IEO training materials? Check all that apply.
- ☐ My agency **123**
  - ☐ OGE **54**
  - ☐ Another agency **20**
    - ☐ How did you access the training materials? Check all that apply.
      - ☐ OGE (e.g., OGE's page on MAX.gov, Desk Officer, etc.) **10**
      - ☐ Directly from the agency **14**
      - ☐ Other (specify) **4 Table 12**
  - ☐ Other (specify) **9 Table 13**

27. Required Annual Ethics Training\* (verbal and written)

Type of covered employees (Include SGE filers)	# Required	# Received (of those required)	Compliance Rate
Public filers (OGE Form 278) – PAS	712	689	97%
Public filers (OGE Form 278) - non-PAS	21,961	21,567	98%
Confidential filers (OGE Form 450, 450A, and OGE-approved alternative confidential financial disclosure forms)	360,179	352,277	98%
Other employees required by 2638.705(a) (employees appointed by the President; employees of the Executive Office of the President; Contracting Officers; other employees designated by the head of the agency or his or her designee based on their official duties.)	92,165	91,923	
TOTAL	475,017	466,456 (98%)	

\* *Note about counting:* Only include those employees that were required by 5 C.F.R. § 2638.705 to receive annual ethics training, either verbal or written, during the calendar year.

If applicable, please explain discrepancies between the number of employees who were required to receive training and the number of employees who received training: **Table 14**

28. How do you deliver annual ethics training to employees required to receive training? Check all that apply.

- ☐ Classroom instruction (in-person) 106
- ☐ Instructor-led web-based 19
- ☐ One-on-one briefings 80
- ☐ Self-paced web-based 71
- ☐ Video 37
- ☐ Satellite broadcast/videoconference 34
- ☐ Written materials 80
- ☐ Other (specify) 10 **Table 15**

29. Who developed the annual training materials? Check all that apply.

- ☐ My agency 123

- ☐ OGE **49**
- ☐ Another agency **23**
  - ☐ How did you access the training materials? Check all that apply.
    - ☐ OGE (e.g., OGE's page on MAX.gov, Desk Officer, etc.) **12**
    - ☐ Directly from the agency **17**
    - ☐ Other (specify) **7 Table 16**

30. Did you provide annual ethics training to other employees not otherwise required by regulation to receive training?

- ☐ Yes **107 (79%)**
- ☐ No **29 (21%)**

31. Did you provide additional, specialized ethics training during 2016?

- ☐ Yes (*go to #32*) **90 (66%)**
- ☐ No (*go to #33*) **46 (34%)**

32. Which groups did you target? Check all that apply.

- ☐ All agency personnel **44**
- ☐ HR Officials **17**
- ☐ IT personnel **11**
- ☐ Procurement Officials **31**
- ☐ Supervisors **38**
- ☐ Other (specify) **48 Table 17**

**ADDITIONAL COMMENTS FOR PART 6.** Please indicate the question number to which the comment corresponds. **Table 18**



## ADVICE AND COUNSELING

33. From the list below, select the three topics that your employees most **frequently** sought guidance on in 2016.

Awards	Selection 1: 0	Selection 2: 0	Selection 3: 0
Conflicting financial interests	Selection 1: 21	Selection 2: 8	Selection 3: 7
Gift acceptance (excluding awards and travel, subsistence, and related expenses from non-federal sources)	Selection 1: 46	Selection 2: 21	Selection 3: 16
Financial Disclosure Reporting	Selection 1: 33	Selection 2: 27	Selection 3: 20
Impartiality in performance of official duties	Selection 1: 3	Selection 2: 11	Selection 3: 5
Misuse of position, Government resources and information	Selection 1: 1	Selection 2: 6	Selection 3: 6
Outside employment/activities	Selection 1: 15	Selection 2: 37	Selection 3: 31
Post-employment restrictions	Selection 1: 10	Selection 2: 12	Selection 3: 30
Travel, subsistence, and related expenses from non-federal sources	Selection 1: 6	Selection 2: 12	Selection 3: 18
Other (specify)	Selection 1: 1	Selection 2: 2	Selection 3: 5

34. Has your agency ethics program implemented any of the following practices? Check all that apply.

- ☐ Conduct customer satisfaction survey(s) 20
- ☐ Periodic supervisory review of advice given 69
- ☐ Guided discussion among staff 84
- ☐ Memorialize advice and counsel 120
- ☐ Use advice and counsel templates 67
- ☐ Use a database Check all that apply. 73
  - ☐ to track timeliness 63
  - ☐ to conduct research 38
  - ☐ to identify topics for training 26
- ☐ Other (specify) 12 Table 19
- ☐ None 7

35. Number of notification statements of negotiation or recusal under section 17(a) of the STOCK Act submitted to the ethics office in 2016? 3,561

36. How do you make employees aware of the availability of post-employment counseling? Check all that apply.

- ☐ Part of out-processing 120
- ☐ Emails 82
- ☐ Training 100
- ☐ Regulation or policy 29
- ☐ Other (specify) 22 Table 20
- ☐ None 0
- ☐ Not Applicable 4

**ADDITIONAL COMMENTS FOR PART 7.** Please indicate the question number to which the comment corresponds. **Table 21**

## PUBLIC FINANCIAL DISCLOSURE

37. Report the number of public financial disclosure reports (OGE Form 278) required to be filed by December 31, 2016, **excluding SGEs**, and the number of reports actually filed (i.e., received in hand) by December 31, 2016.

OGE Form 278 Reports Required to be Filed in CY 2016<sup>6</sup>

OGE Form 278 Reports		PAS <sup>2</sup>	Non-Career SES <sup>3</sup>	Career SES <sup>3</sup>	Schedule C	Other <sup>4</sup>	Total
Nominee/ New Entrant	Required	52	150	1,288	295	1,394	3,179
	Filed	51	150	1,371	291	1,361	3,224 (101%)
Annual	Required	669	1,007	9,101	1,208	8,191	20,144
	Filed	668	1,005	9,176	1,202	8,159	20,210 (100%)
Termination	Required	65	163	768	270	681	1,947
	Filed	65	158	835	238	672	1,968 (102%)
Combination <sup>1</sup>	Required	15	38	129	49	147	378
	Filed	15	37	227	47	146	472 (125%)
Total	Required	801	1,358	11,286	1,822	10,413	25,680
	Filed	799	1,350	11,609	1,178	10,338	25,874 (101%)

<sup>1</sup> Includes reports filed to satisfy both annual and termination requirements, as well as new entrant and termination requirements.

<sup>2</sup> Presidential appointees confirmed by the Senate.

<sup>3</sup> Senior Executive Service, Senior Foreign Service, Senior Cryptologic Service, Defense Intelligence Senior Executive Service, etc.

<sup>4</sup> Includes members of the Uniformed Services, Administrative Law Judges, Senior Level employees (SES Equivalent), etc.

<sup>6</sup> In certain cases these numbers are over 100% because of over-reporting or misreporting by some agencies.

38. Extension and late fees for new entrant, annual, termination, and combination public financial disclosure reports, **excluding SGEs\***:

	Granted filing extension	Granted waiver of late filing fee	Paid late filing fee
Number of OGE Form 278 Reports	<b>4,660</b>	<b>258</b>	<b>87</b>

39. Number of periodic transaction reports filed, **excluding SGEs\*** **12,205**

\* Note about counting: Count the total number of periodic transaction reports filed. *Example 1:* If two employees each file 5 periodic transaction reports during the calendar year, report “10” in the table above. *Example 2:* If an employee files one report each month, each report is counted separately. Report “12” in the table.

40. Extensions and late fees for periodic transaction reports, **excluding SGEs**:

	Granted filing extension	Granted waiver of late filing fee	Paid late filing fee
Number of OGE Form 278 T Reports	<b>213</b>	<b>350</b>	<b>90</b>

41. Number of public financial disclosure filers reported in calendar year 2016 to the Attorney General for failure to file: **10**

42. How many requests for public financial disclosure reports did you receive in 2016: **694**

43. Does your agency use an automated system (e.g., Excel, Access, custom database) to track the administration of the financial disclosure program?

- ☐ Yes **102 (75%)**  
☐ No **34 (25%)**

44. Did you receive timely notification of all new entrant employees required to file a new entrant financial disclosure report?

- ☐ Yes **106 (78%)**  
☐ No **30 (22%)**

45. Does your agency require an intermediate review by someone other than ethics staff (e.g., supervisors and team leads) for public financial disclosure reports?

- ☐ Yes **27 (20%)**  
☐ No **109 (80%)**

46. What steps do you take to collect delinquent public financial disclosure reports? Check all that apply.
- ☐ Repeated reminders to the filer **108**
  - ☐ Notify supervisor **75**
  - ☐ Certified letter to the filer **17**
  - ☐ Notify agency head or other senior official **56**
  - ☐ Referral to Department of Justice **9**
  - ☐ Other (specify) **10 Table 22**
  - ☐ None **1**
  - ☐ Not Applicable **27**
47. Does your agency use an electronic financial disclosure filing system (e-filing system)? Note: This includes *Integrity*.
- ☐ Yes (go to #48) **127 (93%)**
  - ☐ No (skip to Part 9) **9 (7%)**
48. Which system does your agency use? Check all that apply.
- ☐ *Integrity* (if only *Integrity* is selected, go to Part 9) **68 (53%)**
  - ☐ Other (specify) **59 (47%)** (if *Integrity* and *Other* or just *Other* are selected go to #49)
49. Indicate your fiscal year 2016 actual and fiscal year 2017 projected costs for using the e-filing system. Note: Do not include costs to operate *Integrity*.
- a) total FY 2016 actual costs **\$9,110,728**
  - b) total FY 2017 projected costs **\$9,008,577**
  - c) amount paid to a non-federal vendor in FY 2016 **\$929,738**
  - d) amount projected to be paid to a non-federal vendor in FY 2017 **\$1,218,876**
  - e) amount paid to a federal agency in FY 2016 **\$6,291,888**
  - f) amount projected to be paid to a federal agency in FY 2017 **\$6,039,564**
  - g) amount for all internal costs associated with operating an e-filing system (e.g., FTE, overhead, etc.) in FY 2016 **\$4,250,486**
  - h) amount projected for all internal costs associated with operating an e-filing system (e.g., FTE, overhead, etc.) in FY 2017 **\$4,195,405**
  - i) number of public financial disclosure filers who filed electronically in FY 2016 **18,408**
  - j) number of public financial disclosure filers projected to file electronically in FY 2017 **18,504**
  - k) number of confidential financial disclosure filers who filed electronically in

FY 2016 **242,630**

l) number of confidential financial disclosure filers projected to file electronically in  
FY 2016 **263,687**

50. Indicate which forms your agency uses the e-filing system for. Check all that apply.

- ☐ Public Financial Disclosure (OGE Form 278) **52**
- ☐ Periodic Transaction (OGE Form 278-T) **43**
- ☐ Confidential Disclosure Forms (OGE Form 450, 450A, or OGE-approved alternative) **55**
- ☐ Not Categorized **72**

**ADDITIONAL COMMENTS FOR PART 8.** Please indicate the question number to which the comment corresponds. **Table 23**

## CONFIDENTIAL FINANCIAL DISCLOSURE

51. Report the number of confidential financial disclosure reports required to be filed by December 31, 2016, **excluding SGEs**, and the number of reports actually filed by December 31, 2016.

Confidential financial disclosure reports required to be filed in CY 2016:

Type of Report	# Required to File (by December 31)	# Filed	
OGE Form 450/450A	<b>352,216<sup>7</sup></b>	450	450A
		<b>307,317</b>	<b>21,127</b>
OGE-approved alternative form		<b>41,102</b>	
Total	<b>352,216</b>	<b>369,546 (105%)</b>	

52. Number of OGE 450, 450A, or OGE-approved alternative forms granted filing extensions in 2016.  
**6,801**

53. What steps do you take to collect delinquent confidential financial disclosure reports?

- ☐ Repeated reminders to the filer **101**
- ☐ Notify supervisor **86**
- ☐ Notify agency head or other senior official **56**
- ☐ Other(specify) **8 Table 24**
- ☐ None **1**
- ☐ Not Applicable **33**

**ADDITIONAL COMMENTS PART 9.** Please indicate the question number to which the comment corresponds. **Table 25**

<sup>7</sup> Agencies may have included individuals in the “required to file a 450 field” who actually filed alternative forms.

## REMEDIES AND ENFORCEMENT OF STANDARDS OF CONDUCT, CRIMINAL, AND CIVIL STATUTES

54. Number of public financial disclosure filers who took specific remedial actions because of information on a new entrant, annual, or termination report (e.g., divestiture, resignation from outside position, written disqualification, 18 U.S.C. § 208 waiver, reassignment, etc.) in 2016: **282**
55. Number of individual remedial actions taken because of information on a new entrant, annual, or termination public financial disclosure (OGE Form 278) report in 2016:
- Recusals **182**
  - Divestitures **43**
  - Resignations from outside positions **73**
  - Reassignments **4**
  - Other not listed (specify) **23**
  - Don't know/don't track **0**
56. Number of public financial disclosure filers who took specific remedial actions because of information on periodic transaction reports (e.g., divestiture, resignation from outside position, written disqualification, U.S.C. § 208 waiver, reassignment, etc.) in 2016: **20**
57. Number of remedial actions taken because of information on a periodic transaction report in 2016:
- Recusals **11**
  - Divestitures **8**
  - Reassignments **0**
  - Other not listed (specify) **5 Table 26**
58. Number of § 208(b)(1) waivers granted in 2016 **119**
59. Number of § 208(b)(1) waivers provided to OGE in 2016 **90<sup>8</sup>**
60. Number of § 208(b)(3) waivers granted in 2016 **220**
61. Number of § 208(b)(3) waivers provided to OGE 2016 **224<sup>9</sup>**
62. Number of disciplinary actions taken based wholly or in part upon violations of the Standards of Conduct provisions (5 CFR part 2635) in 2016. For purposes of this question, disciplinary actions include removals, demotions, suspensions, and written reprimands or their equivalents. **1,421**

---

<sup>8</sup> The National Science Foundation indicated that they granted 24 waivers in 2016, but would provide these to OGE with its annual report. The Department of Transportation indicated that it granted five waivers in 2016, but did not provide an explanation for why these were not submitted to OGE.

<sup>9</sup> The Department of Health and Human Services provides waivers to OGE on a quarterly basis, so the waivers provided to OGE in CY 2016 include those granted in the 4th quarter of FY 2015 and quarters 1-3 of FY 2016.



- a. Of those, how many were disciplinary actions were taken wholly or in part upon violations of:

Subpart A **571 (40%)**

Subpart B **31 (2%)**

Subpart C **13 (1%)**

Subpart D **6 (.4%)**

Subpart E **22 (1%)**

Subpart F **5 (.03%)**

Subpart G **665 (47%)**

Subpart H **60 (4%)**

63. Number of disciplinary actions taken based wholly or in part upon violations of the criminal conflict of interest statutes, 18 U.S.C. §§ 203, 205, 207, 208, and 209 in 2016. For purposes of this question, disciplinary actions include removals, demotions, suspensions, and written reprimands or their equivalents. **16**

- a. Of those, how many were disciplinary actions taken based wholly or in part upon violations of:

18 U.S.C. §203 **1 (6%)**

18 U.S.C. §205 **2 (12%)**

18 U.S.C. §207 **0 (0%)**

18 U.S.C. §208 **9 (56%)**

18 U.S.C. §209 **0 (0%)**

64. Number of referrals made to the Department of Justice of potential violations of the criminal conflict of interest statutes in 2016: **55**

- a. How many of those referrals were accepted for prosecution **10 (18%)**  
b. How many of those referrals were declined for prosecution **33 (60%)**  
c. How many of those referrals resulted in disciplinary or corrective action **8 (14%)**

65. Which individual(s) is responsible for filing the Notification of Conflict of Interest Referral (Form 202)? Check all that apply.

☐ DAEO/ADAE **92**

☐ General Counsel **45**

☐ Agency Head **12**

☐ IG **46**

☐ Other (specify) **9 Table 27**

66. Did you submit all referral(s) and disposition(s) of the referral(s) to OGE via OGE Form 202 (as required by 5 CFR 2638.603(c))?

- ☐ Yes **20**
- ☐ No **6**
- ☐ Not Applicable **110**

**\*ADDITIONAL COMMENTS FOR PART 10.** Please indicate the question number to which the comment corresponds. **Table 28**

## ADVISORY COMMITTEES & SPECIAL GOVERNMENT EMPLOYEES (SGEs)

67. Does your agency have any FACA or Non-FACA advisory committees, boards, or commissions, or any SGEs (including those not on committees, boards, or commissions)?
- ☐ Yes (*go to #67*) **65 (48%)**
  - ☐ No (*go to end*) **71 (52%)**
68. Number of FACA advisory committees: **854**
69. Number of FACA advisory committee members: **31,453**
70. Number of non-FACA advisory committees, boards, or commissions: **133**
71. Number of non-FACA advisory committee, board, or commission members: **1,357**
72. Does your agency have any SGEs (as of December 31, 2016)?
- ☐ Yes (*go to #73*) **73 (54%)**
  - ☐ No (*go to end*) **63 (46%)**
73. Number of special Government employees (SGEs) as of December 31, 2016: **37,450**
74. Does your agency have written policies or procedures for designating SGE status?
- ☐ Yes **41 (55%)**
  - ☐ No **23 (32%)**
  - ☐ Not applicable **9 (12%)** (specify why) **Table 29**
75. Does the written policy or procedure include consultation with the ethics office?
- ☐ Yes **38 (51%)**
  - ☐ No **10 (13%)**
  - ☐ Not applicable **25 (35%)** (specify why) **Table 30**
76. Does the ethics office provide training to SGEs, who serve on committees or participate in board meetings, prior to attendance at their first committee or board meeting?
- ☐ Yes (*skip to #77*) **60 (82%)**
  - ☐ No (*go to # 78*) **3 (4%)**
  - ☐ Not Applicable (*skip to #78*) **10 (13%)**
77. Which office provides the training? **Table 31**

78. Report the number of SGE public and confidential financial disclosure reports required to be filed by December 31, 2016 and the number of reports actually filed by December 31, 2016.

Financial disclosure reports required to be filed by SGEs in CY 2016:

Type of SGE	Confidential Reports (OGE Form 450 or OGE- Approved Alternative Form)		Public Reports (OGE Form 278)	
	Required	Filed	Required	Filed
Advisory Committee Members (FACA)	26,244	24,508 (93%)	23	19 (83%)
Advisory Committee Members (non-FACA)	359	446 (124%)	0	18 (N/A%)
Experts/Consultants	2,123	2,089 (98%)	32	35 (109%)
Board Members	224	220 (98%)	20	19 (95%)
Commissioners	76	76 (100%)	30	30 (100%)
Other	95	95 (100%)	16	16 (100%)
TOTAL	29,121	27,434 (94%)	121	137 (113%)

79. Number of SGEs excluded from all or a portion of the confidential filing requirements per 5 C.F.R. 2634.904(b). **25,738**
80. Extensions and late filing fees for SGE financial disclosure reports

	Granted filing extension	Granted waiver of late filing fee	Paid late filing fee
Number of OGE Form 278 Reports	37	2	0

81. Number of OGE Form 450 Reports or OGE-Approved Alternative Forms filers granted filing exemptions. **108**

**ADDITIONAL COMMENTS FOR PART 11.** Please indicate the question number to which the comment corresponds. **Table 32**

**ADDITIONAL QUESTIONNAIRE COMMENTS. Table 33**

## APPENDIX - Comments<sup>10</sup>

7. Indicate which elements of the ethics program have been delegated outside of the supervisory chain of the DAEO or ADAEO. Check all that apply. **Table 1**

Tracking time & number of days worked by private citizen Commissioners (SGEs) NOTE: 11 of 15 Commissioners are FTEs at other federal agencies and are not SGEs at the Commission
Senior management official over whom the DAEO and ADAEO do not have supervisory authority serves as a deputy ethics official to correspond with OGE on program administration matters and to receive ethics inquiries in the event other ethics officials are unavailable. All ethics advice and determinations are coordinated with the DAEO or ADAEO.
Of the 9 people identified in #5 the DAEO has supervisory authority over 7. The other two are Pretrial Service Agency (PSA) employees that (1) provide preliminary review of Outside employment request from that agency, and (2) the PSA Deputy Director that does a preliminary review of OGE 450 forms for final review and certification by CSOSA.
While DOJ's DAEO has authority over all of these elements of the ethics program (and more), ethics program duties are not performed by employees solely in the DAEO's direct supervisory chain.
Approving employee requests to engage in unpaid, non-legal, and non-EEO outside employment.
We have delegated ethics duties to three other OGC staff members to perform ethics duties outside of the DAEO and ADAEO. The title for two of these individuals are Deputy Ethics Official and Deputy Ethics Officer. The other individual is our Administrative Specialist.
Gift Travel from a Non-Federal Source.
The DAEO has supervisory authority over the Ethics staff at U.S. Postal Service Headquarters. The Postmaster General has delegated to the Office of Inspector General (OIG) responsibilities relating to financial disclosure program, ethics advice and counseling, education and training, and the public financial disclosure program with respect to OIG employees.

9. Describe the extent of their support. **Table 2**

Only to a minor extent. The CSB employs software by FDonline to collect and review 450 filing information. The contractor provides required technical support.
Assist he DAEO and ADAEO, with final actions performed by the DAEO or ADAEO in all respects as per agreement with OGE.
Contractors working under contract with the Office of Data and Technology support the Ethics Management and Tracking (EMAT) System for the ethics program, and work with CFTC Ethics personnel to address all technical issues that arise throughout the year. The CFTC uses EMAT to facilitate its employees' filing of OGE 450 reports and CFTC Forms 185 Certification of Compliance with the Commission's Conduct Regulation. ¶ Additionally, the CFTC issued a contract for administrative support to the Office of General Counsel. An administrative support contractor employee assisted CFTC Ethics in making logistical arrangements for conducting 2016 Annual Ethics Training.
Assisting the Ethics Program Manager with our financial disclosure reporting system (FDonline).
Confidential financial disclosure.
Contract attorneys assist in answering ethics question from the office helpdesk system. Contract support staff assist in the program administration of the confidential disclosure process.
An administrative assistant working under contract for the Office of General Counsel performs administrative functions such as gathering data regarding ethics training completions, and notifying the DAEO of new hires

<sup>10</sup> Comments are unedited except for punctuation and capitalization (when indicated). Comments of "none" or "N/A" have been removed.

who need to be notified of requirement to file financial disclosure reports.
A few DDAEO organizations use contractors for administrative & database input/management.
Minor administrative processing functions at field locations.
They provide administrative support and do not perform any inherently governmental functions.
Financial disclosure support and other administrative support.
OIG: Contractors are providing training and support for the Integrity & Compliance Program.
Many DOJ components utilize contractors to support the ethics program. The extent of the support includes IT needs such as utilizing databases and spreadsheets to track financial disclosure and training, developing and maintaining websites, tracking financial disclosure and ethics training, and other reporting and administrative duties. Some components utilize contractor attorneys and paralegals for additional program support including assistance with ethics opinions such as reviewing requests for ethics approval of outside employment and other paralegal duties.
Administrative Assistant and Computer Programmer
The National Guard Bureau uses contractors at its headquarters to provide ethics program support, FDM administration services, and training coordination.
Update website, track training and input data into our electronic financial disclosure database.
Contractors support the technical review of the OGE form 278e.
Filing, record keeping, administrative tasks, A/V support for training.
IT Contractors provide support for e-filing system for OGE Form 450's.
Contractors in the Office of the Executive Director provide personnel information to ethics officials, and provide IT support for ethics training. The Office of the Special Counsel provided annual ethics training to the Commission.
Administrative Support
Department of Commerce (pursuant to an interagency agreement with GCERC) renders ethics office support
Personal services contractors participate in ethics training and comply with ethics rules, regulations, and policies.
Support for the Ethics Program Tracking System is provided by contractors in the areas of Information Technology, Operations and Maintenance. Additionally, some centers utilize contractors for administrative support and clerical functions as well as preliminary review and tracking of financial disclosure reports.
eFile programming support
Supports training and publicizes ethics services.
In 2016, the OGC General Law & Ethics Group (GLE) had 3 full-time employees out of the office on various temporary, long-term absences. From September 2015 - 2016, we employed a contractor employee to assist in supporting the ethics program. In addition to other GLE matters, the contractor employee assisted in providing ethics advice and reviewing speaking engagement forms. All advice/guidance was reviewed by the DAEO, ADAEO, or the GLE Assistant General Counsel. As of September 2016, PBGC has had no contractor employee supporting the ethics program.
We have a contractor company that assists with our personal trading compliance system, which we use for our sup regs.
Admin and FDM System duties to include OGE 450 and OGE 278 report notification/review/tracking and annual ethics training notification/tracking for all report filers
Financial Disclosure Systems Database (FDS) programming and maintenance.

**ADDITIONAL COMMENTS FOR PART 4.** Please indicate the question number to which the comment corresponds. **Table 3**

The DAEO has supervisory authority over ethics employees based in Washington, DC. The DAEO provides technical supervision over the designated ethics officials abroad. The ethics program is conducted chiefly within the main ethics office. In cooperation with the main ethics office, the designated ethics officials abroad

are responsible for conducting ethics training, providing ethics advice, and reviewing OGE-450's at the overseas missions.
Question 6-The ADAEO is under the supervision of the DAEO.
See classified response.
10. We have answered this question based on the assumption that OGE is asking which employees had a separate critical element which concerns ethics. However, three employees have sub-elements that relate to ethics duties.
Some questions are not applicable to the Commission.
The DAEO oversees the Commission's ethics program and supervises the ADAEO. However, the DAEO has no supervisory authority over regional staff, who serve as Deputy Ethics Counselors (DECs). The DECs perform ethics duties for the Commission's Federal Advisory Committee (FACA) members.
One part-time employee who reports to the DAEO as the General Counsel assists with ethics on an as needed basis.
#3-4: The CFTC is not part of the General Schedule (GS) pay system, but rather has its own pay system referred to as "CT." #4: In 2013, the CFTC Chairman appointed Heather Gottry, Deputy General Counsel for General Law, as a second ADAEO for the CFTC. Ms. Gottry has served as an ADAEO for CFTC for 5-9 years, has spent 16 total years performing ethics duties, and currently spends approximately 26-50% of her time on ethics. She is a CT-16, which is a SES or equivalent employee at the CFTC. Ms. Gottry was not eligible to retire as of 12/31/2016 and is a career employee. On January 6, 2017, the CFTC Chairman reduced the number of ADAEOs at the CFTC. Ms. Gottry, as Deputy General Counsel for General Law, is currently the CFTC's only ADAEO.
#5 - Previous DAEO was retiring at end of 2016. Agency brought on new employee to serve as DAEO on 10/31/2016 to provide two months of transition.
We do not have formal performance standards. As DAEO, the ethics duties are part of my position description. The are also part of the position description for the attorney-advisor who began January 3.
10. The Office of Ethics is USDA's centralized and consolidated Ethics Office servicing employees across the entire Department of Agriculture in Washington, DC, all 50 States and those USDA employees stationed around the globe. All 20 employees in the Office of Ethics have ethics duties as a distinct element in their performance standards.
Q. 5 - Did not include indirect support, such as IT, HR, etc.
Question 7. The Ethics Program is solely managed from the Agency's Office of General Counsel.
For question 4 #5, the FTE at up to 0.25 and up to 0.75 are employees serving in the office of the Inspector General. The office of the Inspector General has been delegated the duties identified in question #7. For part 4 question #6, the DAEO/ADAEO does not have supervisory authority over the employees of the Office of the Inspector General (see response above) Additionally, the employees staffing the agency's ethics program began at 10 FTE and ended at 8 FTE as of 12/31/2016. For part 7 the above checked items have been delegated to the office of the Inspector General with regards to their staff.
Question 6. DAEO and ADAEO have direct supervisory authority over 6 employees in the D.C. Metro area.
With regard to Question #6, the DAEO/ADAEO have supervisory authority over 25 OGC Ethics Division employees in Question #5.
DOJ has 32 attorneys serving as Deputy DAEOs in its Components, Bureaus and Divisions, and in most of its Offices. In addition to the DDAEOs, the Departmental Ethics Office (DEO) in the Justice Management Division (JMD) oversees the Department-wide ethics program and provides direct advice to DOJ's senior leadership offices, to JMD, and to certain of the Department's smaller offices. DEO's programmatic functions include issuance of Department-wide guidance, providing ethics information, advice and counsel to DDAEOs, preparation of training materials for use or adaptation by DDAEOs, delivery of ethics training, ethics program reporting, overall management of online public financial disclosure in Integrity, and retention of ethics documents.
Question 6 - The DAEO/ADAEO has supervisory authority over some of the employees that perform ethics program duties. Question 7 - The confidential program is decentralized to component agencies. The IG was

delegated authority to conduct its agency training.
10. All ethics officials have ethic duties as a distinct element in their performance standards.
6. The DAEO and ADAEO exercise technical supervision over all Army attorneys regarding ethics program issues even though they are not in the rating chain of most Army attorneys.
This is for the Bureau of Ocean Energy Management
As of October 2016, the ethics duties are temporarily being handled by three employees. Two are located in Albuquerque and one is in Washington, D.C. The agency is in the process of obtaining a replacement.
In DO, direct supervisory chain, but components generally report to bureau chief counsel, subject to oversight by DAEO.
The employees in the ethics office within the Office of General Counsel have ethics duties in their performance standards. In addition, some assistant deputy ethics officials have ethics elements.
Q6. DAEO and ADAEO have supervisory authority over 7 HQ employees identified in Q5. Q10. The 7 HQ employees noted in above comment have ethics duties as a distinct element in their performance standards.
#10 All SES-equivalent supervisors have an ethics element in their performance plan. Because the DAEO and one DEO are not supervisors, they do not. However, their performance in administering the ethics program is evaluated under each element in their plans.
#10 All SES-Equivalent supervisors have a distinct element in their performance plans for ethics. Since the DAEO and one DEO are not supervisors, they do not. However, they are rated on their administration of the ethics program under each element in their plan.
#6The Ethics Program Manager oversees the work of Deputy Ethics Counselors but does not directly supervise them. #10 - competency based system.
#6 The DAEO has supervisory authority over the employees above except the Civilian Board of Contract Appeals and the Office of Inspector General. All other ethics official are in the Office of General Counsel. #1 The DAEO position became vacant on 1/20/17.
#7 - No portion of the IMLS ethics program has been delegated outside of the DAEO/ADAEO supervisory chain.
Questions 4(g) - The ADAEO is Career Senior Level (SL) Employee. Question 5 - NASA has included ethics officials at Goddard Space Flight Center and the NASA Office of Inspector General as within Metro DC per OGC instructions. Accordingly, these numbers do not reflect NASA Headquarters ethics staffing levels. Question 6 - The DAEO is located at Headquarters and has supervisory authority over all employees at NASA HQ in Washington who perform ethics duties. This does not include 2 NASA OIG employees who do 1-10 hours per week and 10 NASA Goddard Space Flight Center employees with a breakdown of 7 in the 1-10 hour range, 1 each in the 11-20 hour range, 21-30 hour range, & 31-40 range. Question 7 - Ethics program management is substantially delegated to local NASA legal offices. Question 10 - For some NASA centers, ethics duties are included in the ethics officials Performance Plans, but are not a distinct stand alone element.
#6 - The Counsel to the IG serves as a DEO for IG's office. The DAEO does not supervise this one employee.
5- We have 1 ethics official in each of 5 regions and 2 in central office. We had 2 turnovers in regions this year - but always one serving in each region throughout the year. 6- The DAEO has supervisory authority of 2 central office officials (one is the ADAEO). The ADAEO does not have formal authority over the regional ethics officials but she manages and coordinates the ethics program and the regional officials report to and consult with her on their ethics duties. 10 - Ethics duties appear in position description rather than standards for regional ethics officials. These officials are part of our senior staff, all of whom have the same standards, but most do not have ethics duties.
Question #2 This number is classified
#2 - Number includes IPAs. Total without IPAs is 1389.
Question 1: The number of employees reported is limited to direct-hire employees. The NSC staff is also supported by a large number of detailees for whom our ethics program provides advice and counseling on a daily basis. Question 5: The number of employees who performed ethics duties in 2016 includes 3 detailees who successively filled the role of ethics counselor during the year. Two subsequently returned to their home agencies and one remained through the end of the year.



#6 & 7: The DAEO/ADAEO do have direct supervisory authority over employees in the DC Metro Area. The DAEO/ADAEO do not have supervisory authority for employees who provide ethics advice and counseling outside the DC Metro area, but these employees are required to consult with the DAEO/ADAEO before providing advice (with limited exceptions for routine advice).
Question #10--All 3 employees with ethics duties, which includes the DAEO and ADAEO have ethics duties as part of their performance standards.
In reference to questions 3 and 4, the former DAEO left the agency in 9/2016, the ADAEO became Acting DAEO in mid-November, and the Acting General Counsel became Acting ADAEO. The new DAEO/General Counsel joined OSC in 1/2017. In reference to question 6, a permanent DAEO would have supervisory authority over the ADAEO, but not over the deputy ethics officials who serve in OSC's regional offices. The Acting DAEO did not have supervisory authority over the ADAEO or the deputy ethics officials.
Question #2 is classified so we entered 0.
OVERALL: this report uses data that was current as of 12/20/2016. Q2: This number only reflects the number of Executive Branch employees at OVP. There are additional employees of other status, including Senate employees as well as detailees and assignees from various Executive Branch departments and agencies. Q3: The DAEO is a career GS-15 employee of the Department of Treasury, but is on detail to the OVP. In the detailed role, he occupies an SES position which is filled by direct appointment of the Vice President. Q10: OVP does not have written performance standards. Full-time ethics counsel detailees are detailed from their home agencies pursuant to Memoranda of Understanding, which identify ethics duties as the primary scope of work for each detailee. In addition, while there are no written performance standards for the lawyers in OVP's Counsel's Office, the Counsel and Deputy Counsel to the Vice President are responsible for providing ethics advice to OVP.
The total number included (3), includes the DAEO, ADEAO and one ethics official. The DAEO has supervisory authority over the ADEAO and ethics official.
The DAEO has supervisory authority of all but one of the employees listed in Question No. 5. TVA's OIG has a Deputy Ethics Official in their office who is not under the direction and supervision of the DAEO.
#3 DAEO Level is PCES 1 #4 ADAEO Level is ADS 01

### 13. Which additional resources are needed? Check all that apply. **Table 4**

Additional and continued training opportunities for ethics officials, including Transition training
An e-tracking & filing system for new hires/promotions/separations/training/450s (like Integrity).
Resources for in-house and in-person training

### 16. Which of the following tools did your agency use to ensure short- and long-term continuity of operations (succession planning) of its ethics program in 2016? Check all that apply. **Table 5**

#### *Professional Development*

Important ethics opinions & training documents are available to all staff on a shared computer drive
Teleconferences w/OGE on agency-specific issues and questions
External training/conferences
Hiring of paralegal to support ethics program - ensuring paralegal received training
Staff Training Program Management Assignments
Other tools include training, IEC meetings, DEC meetings and OGE and OGC Ethics seminars and webinar
FDOonline
Meetings with DEO and other DOJ ethics officials to cross-train, FAR training.
Department of Defense Standards of Conduct Ethics training at The Judge Advocate General's School.
Periodic calls & group discussions at 1 bureau

Interagency Ethics Council
Interagency Ethics Council (IEC)
Interagency Ethics Council.
Intra-agency meetings
Ethics Breakout session during the Annual NASA OGC conference where OGE officials provided training.
OGE provided on-site training in Aug.to the OA ethics team on a new process to do annual training
- Attended monthly ethics sessions conducted by the Interagency Ethics Council.
FDOnline

### *Programmatic Tools*

Use of other federal agencies' online ethics materials/templates
Three meetings annually between the DAEO, ADAEO and the head of the agency
Message Calendar
We created six innovative Strategic Action Teams enhancing staff cross-training.
Internal websites to dispense up-to-date ethics information, brochures, and HHS/OGC and OGE material
Shared email accounts for ethics staff to promote shared awareness of issues.
State Magazine has monthly section for Ethics. TIPs of the day seen frequently upon starting CPU.
Quick reference guides, information papers, on-line training modules.
Printed-out file for each subject matter.
Interagency Ethics Council (IEC)
Drafted template language to be used for common ethics questions, and checklists to increase efficie
Utilize sharepoint site for event clearance submission and processing. Standing up same for 450s.
Written Notices
VEF works closely with its OGE Desk Officer who will provide added training to a new DAEO/ADAEO.

### 18. What did you assess? Check all that apply. **Table 6**

Assessment of potential conflicts for SGEs found this to be extremely unlikely. See comments below.
Best practices, opportunities for improvement, and internal training systems and resources.
278 and 450 Processes.
OIG: Ethical environment of the organization and employee knowledge of available resources.
Resource allocation.
Regular staff meetings provide ongoing assessment of ethics programs
US Army Corps of Engineers Division Counsel assistance visits to assess ethics programs.
quality of training materials
Annual Ethics Training
Began overall 'health' assessment of current IT applications and electronic filing/tracking system.
OMB Cir A-123 Control Audit
Customer Satisfaction Survey
Looked for methods to improve accuracy of advice and methods for providing advice. See comments
IG reviewed IPA compliance with financial disclosure, training, and COI requirements.
Preparation for new 5 CFR 2638 requirements.
Audit of position descriptions to determine if met criteria for OGE Form 450 filers.

20. Does your agency provide ethics program services for any board, commission, or agency that is independent of your agency? **Table 7**

OPIC Board - COI Check ACFVA BIFAD Global Development Council
CSOSA provides Ethics program services for the Pretrial Services Agency for the District of Columbia
Department of Defense Threat Reduction Advisory Committee (TRAC)
Commissioners for the Denali Commission
The Federal Crop Insurance Corporation, the Delta Regional Authority.
There are 7 management councils listed in the additional comments section.
Electro-Magnetic Pulse (EMP) Commission - a Congressionally appointed body.
National Assessment Governing Board and National Council on Disabilities
United States Interagency Council on Homelessness
FirstNet Board (COPS). CIGE - Council of the Inspectors General (OIG)
OPIC
SGE and FACA training. Indian Arts and Crafts and Federal Subsistence Board.
1) Office of the Inspector General 2) Advisory Committee 3) Sub-Saharan Africa Advisory Committee
We administer the ethics program for the Farm Credit System Insurance Corp.
International Boundary Commission
Public Interest Declassification Board
President's Committee on the Arts and the Humanities (PCAH)
OA provides Initial Ethics Training for: OMB, ONDCP, USTR, and OSTP
Social Security Advisory Board

21. Please list any significant accomplishments your ethics program achieved in 2016. **Table 8**

Voluntary use of Integrity agency-wide ethics training for all staff, including staff for whom annual training is not required by OGE regulations. On-time filing of all public and confidential annual financial disclosure reports for CY2015.
Filed all annual and semiannual OGE reports timely (ethics questionnaire, 278s, travel report). In consultation with OGE, eliminated the need for semiannual filings by SGEs.
The staff-wide ethics training in 2016 was very well received and, for the first time in our history, included a discussion of ethics issues surrounding the use of social media. As in previous years, the staff and members of the agency consistently consult with the DAEO/ADAEO before taking any action they believe could potentially raise an ethics issue, and then follow the advice given.
Provided ethics training not only to Federal direct-hire employees, but also to contractors working for USADF in Washington and to personal services contractors working at USADF Field Offices in Africa. Instituted use of Integrity system for processing 278s. Provided Hatch Act training to all employees.
Continued our transition from paper filing to e-filing via Integrity.gov. In addition to providing live ethics training to our financial disclosure filers, we provided live ethics training to thousands of our non-filing employees. We produced a webinar for USAID staff on the Hatch Act. We hosted an approximately 30 member contingent from the Mexican Government Secretariat of Public Service on a wide range of topics related to ethics, unjust enrichment, and financial disclosures. We met with the Kenya School of Government, Center for Public Service, Values, Ethics, and Integrity to develop and review the syllabus for their new Public Service Integrity and Ethics course for government supervisors and technical staff. We gave an Ethics Award (including monetary prize) to one employee that made exceptional contributions to the promotion of ethical standards and conduct in the agency.
- 100% compliance with financial disclosure reports - On-boarding of new ADAEO - Inclusion of ethics module in on-line training required of all agency employees
We used Integrity for the 2016 Public Disclosures. Users were very pleased with the electronic program.

Thorough SF278 review. Due diligence for DAEO serving on outside board.
Through multiple conferences w/OGE, clarified Agency's role in serving on Agency-centric non-profit corp and other fund-raising activities
- Transitioned all agency public financial disclosure filers from paper forms to Integrity - Achieved 100% training rate for public financial disclosure filers in CY16 - Achieved 98.7% training rate for confidential financial disclosure filers in CY16
1. CSB completed conversion to electronic systems for review and filing confidential and public reports. 2. CSB reviewed and revised its records system in accordance with new GRS. 3. CSB disposed of backlog of records ripe for destruction under new GRS. 4. Teaching our Members and staff to issue-spot proactively. Through a series of in-person, CSB-specific training courses that we created last year, we taught our Members and staff what to look out for in terms of avoiding conflicts, the appearance of conflicts, and inappropriate gifts. Employees have told us that they appreciate these conversations and ask a lot of follow up questions. We see a lot more proactive issue-spotting (more employees stopping to ask us whether acceptance of food or something else is permissible in a particular situation, or whether working with a particular group poses a conflict, or whether they should accept a speaking engagement). We now have a speaking engagement vetting form and process.
All reports were received in a timely manner.
Training. All full-time employees (both financial disclosure report filers and non-filers) completed online ethics training in 2016. This included all career headquarters and regional staff, as well as Schedule C employees.
Successfully completed OGE Inspection Successfully implemented use of Integrity for filing 278 Reports
In January 2016, the CFTC successfully on-boarded a new full time Ethics Counselor, bringing the number of ethics counselors from one in 2014 to four in 2016. To introduce the new ethics counselors, CFTC ethics provided in-person annual ethics training to all agency employees. To accomplish this goal, ethics personnel traveled to CFTC regional offices in Chicago, Kansas City, and New York City to provide live ethics training and to hold office hours for individuals desiring face-to-face counseling. Additionally, CFTC ethics issued guidance memorandums to filers following a review of his/her financial disclosure report, explaining how the ethics rules specifically applied to the individual. To further support CFTC employees, CFTC Ethics re-organized, updated, and added guidance documents to its intranet site, which now provides a more robust resource regarding ethics issues for all employees.
In 2016, we submitted to the Office of the Federal Register a Notice of Proposed Rulemaking to revise our agency's supplemental ethics regulations. We provided live training to 95% of new employees and to 80% of the confidential financial disclosure filers. We enhanced our live trainings through the use of polling technology which allowed the audience to provide immediate feedback throughout the training as well as allowed the ethics office to assess audience comprehension by topic area for future training content. We also implemented a new ethics enhancement communications plan, under which we utilized existing agency mechanisms for communications to employees, to disseminate ethics messages to all employees throughout the year on timely topics such as gifts during the holiday season.
Successfully implemented Integrity.
Planned for retirement of DAEO. Recruited successor and brought on board for two-month transition.
On-time submission and timely of all required financial disclosures. 100% participation of staff in ethics training.
The most significant accomplishment in 2016 was the successful roll out of an expanded confidential financial disclosure program to include numerous filers who not previously been required to file a financial disclosure report. The expanded program prompted many quality interactions between ethics officials and employees which led to a better understanding of the sources of potential conflicts of interest by both filers and ethics officials. Additionally, scenario based training was successfully incorporated into the annual training curriculum. The resultant training program was far more interactive and engaging.
Successfully operated program with limited resources!
Established an online training tool for staff required to take annual Ethics training.
Updated the SOP, converted all 278 filers to Integrity, and passed our OGE inspection.

Hiring of paralegal to support program Enhanced training program by introducing different tools and revised training format
100% completion of filing and training for all OGE 450 and OGE 278 filers.
Successful OGE Program Review Director's Letter to the Workforce RE values based ethics and monthly ethics publications to the workforce.
Ensured Annual Ethics Training for all Confidential and Public Financial Disclosure filers. Provide Ethics Training to all new hires and have implemented training requirements for new supervisors.
1. Addition of live Initial Employee Ethics Training to complement DLA's online Initial Employee Ethics Training. 2. Provided specialized ethics training to supervisors, IT personnel, and acquisition personnel throughout the Agency. 3. Improved the timeliness of financial disclosure filing and review. Improved completion rate of OGE 450 filers Agency wide to 99.8%.
Brought Integrity filing system on board for public filers All employees received ethics training Processed two nominees
We provided 2-hour in-person ethics briefings for all new agency employees.
We transitioned all of our public financial disclosure filers from FDM to Integrity. All of our financial disclosure filers received annual ethics training. Successful merger of the Joint Improvised-Threat Defeat Office's ethics program with DTRA's ethics program.
100% compliance on annual ethics training and OGE 450 filers
The Office of Ethics: 1) provided over 125 hours of live training, including training 1,000 employees in one single day via four live, in-person, trainings, 2)Created a new Ethics Fellows Program, 3)Created 10 Ethics Videos on USDA's YouTube Page, 4) Developed and published new Ethics Guide Booklets, 5) Created new long-distance ethics training module fully compliant with Section 2638, 6)Organized no-cost Ethics for USDA Scientists Summit, 7) DAEO personally presented "Ethics Moments" and "Ethics One-Pagers" at all Sub-Cabinet meetings and Agency Heads meetings, 8)Reorganized and consolidated 4 branches into one branch, 9)Created new Senior Advisor position for Financial Disclosures and Presidential Nominations to proactively strengthen these programs, 10) Created 6 Strategic Action Teams, 11) Created new laminated Ethics Business cards containing a summary of the post-employment rules, 12)Created new Ethics Bulletin Board to display Ethics materials.
Completed administrative process to full Department use of INTEGRITY electronic filing system, collecting and reviewing 9,648 confidential financial disclosure forms successfully did provided transition related ethics services, including on political activities for the presidential election and guidance to departing political appointees
-Implemented mandatory electronic filing for OGE 450 and 278 Reports -Maintained DDAEO Program Assist Visit Schedule with significant positive findings & numerous best practices identified. -Increased Live and Leader Led training in the field. Conducted two training courses (one 3-day & one 4-day) for ethics counselors throughout the Department
Certified or initially reviewed 99% of 416 OGE Form 450 reports within OGE 60 day standard.
Our program successfully accomplished full compliance of year end annual financial disclosures subject to OGE's certification
Successful off-boarding of Obama Administration political appointees.
Continued successful utilization of HHS EFEDS which facilitated submission, review, and certification of 278 and 450 forms electronically. Provided live IEO, AET and Post-employment training for non-career personnel.
Continuous process improvement, launch both integrity and human business resource engine 450 electronic filing system, launched a comprehensive DHS HQ Ethics website for employee information and use, launched share point suite of dbase systems for ethics program tracking and project collaboration between DHS attorneys, CBP developed multi-media interactive electronic ethics training module to be implemented for all new employees, developed new policy governing outside employment, ICE implemented first ethics awareness week, which involved wide-ranging events to provide ethics training nationwide, developed complete PGE transition training pack for transition, developed presidential transition team ethics in-brief training, etc.

The Ethics Division provided two mandatory ethics trainings for all HUD employees presents a tip of the month and displays it on the agency's intranet./ HUD OIG successfully implemented electronic Confidential Financial Disclosure Report filing system active Integrity & Compliance Program published periodic OLC Informer Newsletter publish resources, training, advice, publications, and informational topic papers on SharePoint for easy on-demand Agency use.
Continuity of ethics advice and programs as ethics officials departed from DOJ and new officials joined DOJ ethics teams - there were smooth transitions of ethics duties. Enhanced ethics training programs, including both substance and scope of training. DOJ trained many more employees in addition to those mandated by regulation through maximizing Learning Management Systems and other online training tools, and expanding the ethics training opportunities offered and the subject matter included. Developed/enhanced e-filing systems and practices regarding confidential financial disclosure (ATF/USMS). Maximized use of Integrity for all public financial disclosure, including successful transfer by EOUSA from its legacy e-filing system (1200 filers)to Integrity. Enhanced conflicts of interest identification and awareness through development of new program processes.
Expansion of newsletter to get out guidance and answer questions. Out boarding of everyone from last administration (trainings, 278s, etc) Addressing Hatch Act issues, especially with an active former Secretary Addressing career staff concerns about non-partisan political activities
Certified PAS reports forwarded to OGE prior to end of CY 2016. Increased ethics training. Increased Senior Level Management participation.
On short notice, and over a relatively short period, we completed face to face training with all General Officers and senior civilian personnel combining Annual Ethics Training and Hatch Act training across the Air Force.
Provided Hatch Act and Political Activities training to all senior officials and many non-senior officials combined this training with Annual Ethics Training in many cases.
Transition, program reviews, SGE review, IG relations, PGE counseling, training (webinars & in-person)and the Ethics Summit.
Mandatory live annual ethics training for all employees without regard to filing status mandatory Hatch Act training instituted DEC notified of all departing employees in order to provide post-employment information.
100% compliance on timely financial disclosure filing.
We transitioned 278s to an all electronic system. Continuing to evidence values as well as compliance. Senior military leaders continue to emphasize the importance of value.
Deployment of Integrity for all public filers (278s and 278Ts). E-filing of approximately 80% of OGE 450s in 2016 at HQ and other technological OGE 450 filing enhancements, such as digital signatures, in bureaus. Live in-person training, where possible, not only to all filers but to many non-covered employees and in-person post-employment briefings for most employees. Improvements in programmatic procedures in variety of ethics areas (e.g., training, advice, filing, conflicts review, outside activities, seeking and post-employment).
Improved tracking of annual training. Conducted assessments in anticipation of the program review of Operating Administrations. Procured new ethics tracker tool.
Enterprise Risk Management review of the CFD program, including review of CFD reports and advice/counseling provided. Updated SOP for financial disclosure. Provided supplemental ethics training for all OGC attorneys in conjunction with trainers from OGE, Patrick Shepherd and Cheryl Kane-Piasecki. Completed review of all FACA SGE filing exemptions.
* For the first time since its inception, the position of ADAEO/Senior Counsel for Ethics became supervisory. Now the ADAEO is the Director of the Ethics Office and part of the EPA OGC management team. * The DAEO created the opportunity to hire an "ethics fellow" on a 2-year term appointment to augment the ethics team and to provide a career path for a new law school graduate. * EPA Ethics provided ethics counseling to dozens of departing political and retiring career employees. * For the first time in over 10 years, OGE conducted an onsite review of EPA's ethics program. To minimize the amount of paper produced in responding to OGE's requests, EPA Ethics initiated working with OGE staff (who had formerly worked at EPA)to accept responsive information electronically. * Without using contract dollars, EPA Ethics created online training courses,



notably the 2016 annual training, that was well-regarded and taken by nearly 12,000 of EPA's 15,000 employees.
Ensuring that employees appointed to covered positions timely file new entrant confidential financial disclosure reports.
1) Combined Exit Briefing/Annual Ethics Training for all political staff. 2) Nearly 100% participation in Annual Ethics Training.
A public files completed annual reports in INTEGRITY. A new DEO was trained.
All public filers filed in INTEGRITY. A new DEO was trained.
In-person live training of all 278 filers. Converting all 278 filers to using the Integrity e-filing application.
Fully implemented Integrity for public filers. Worked with and funded OGE to develop a bulk report download function for 278s filed in Integrity.
Successfully assisted all public filers with the process of converting to Integrity.
In 2016 we launched a successful well-received ethics training presentation. Provided Ethics training to 1298 of 1450 employees in our agency. We also addressed on a daily basis and documented our advise.
Incorporated individual voting clickers in annual ethics training to test employees' knowledge of ethics rules and provide real-time feedback. After completion of the training season, data was downloaded and analyzed to determine agency strengths and weaknesses.
Transitioned to Integrity for all filers, including PAS successfully continued program of live in-person annual training.
- Successful implementation of Integrity for filing of all Public Financial Disclosure Report. - Accomplished 100% annual training participation for both public and confidential filers (other than one trainee who left the agency and joined another federal agency).
Completed all responsibilities
The Commission doubled the number of Integrity users.
We reviewed over 1100 financial disclosure forms, provided ethics training to over 1400 non-filers, provided in-person ethics training to 289 new employees, gave in-person post-employment briefings to 35 departing senior employees, and managed the successful agency-wide rollout of the Integrity.gov online financial disclosure system.
In 2016, OGC successfully rolled out Integrity to all 278 filers and provided individual assistance to filers as they learned the system. OGC also successfully administered annual ethics training to all but one Agency employees and new employee ethics training within 90 days of each new employee's arrival (in most cases within 30 days).
We launched a new live training program for senior staff "Stop, Learn, Go!" a modification of the "Red Light/Green Light" game from childhood. The new training was well received, emphasizing that speed counts at work but you must know how to steer clear of ethics violations. We provided live annual training for GS 14s and GS 15s throughout the year. We launched "Ethics Fwitter Revisited," an optional refresher online course targeting GS 13s and below. We created "UsFTCers: Ethics Special Edition," a mandatory online course for GS 14s and GS 15s that was based on a spoof of a celebrity magazine. We launched "Ethics K-9 Korner" as a regular feature in our quarterly "FTC Ethicist" newsletter. The column features a dog of an FTCer "barking" an ethics tip. The winning pooch is also featured on blow-up posters throughout the agency. We had so many submissions that we launched a calendar for CY 2017 featuring the dogs of the FTC (loaded with federal ethics information).
All OGE Form 278e filers used Integrity.gov for all reports in 2016. Specialized ethics training for various offices. In-person assistance and post employment guidance to departing political appointees.
Continued to provide prompt ethics training to all new and current employees.
This year the Ethics Office conducted a complete and thorough review of the IMLS financial disclosure directive. This resulted in several administrative process revisions as well as ensured that all IMLS financial disclosure filers and/or positions were re-reviewed and properly identified within the directive.
All IAF FTEs and SGEs required to file financial disclosure reports did so in a timely manner. All but one IAF SGE completed annual ethics training in a timely manner. The IAF also completed a review of its confidential

financial disclosure requirement for its Advisory Council (AC) members, which extensively analyzed the applicable standards for whether these SGEs should be required to file annual financial disclosure reports and determined they should not be. This will allow ethics officials at the IAF to be more efficient in the future as it alleviates the need to manage the collection and review of these documents. Additionally, at the end of 2016, the IAF also decided to use the IAF confidential disclosure form exclusively. This simplified (OGE approved) form will facilitate an more efficient and consistent ethics disclosure process for all filers.
Ethics training of 100% of personnel. Ethics training of 100% of financial disclosure filers within the first 6 months of the calendar year. Improved training response for new hires and new entrants.
Training accomplished by using Department of State Foreign Service Institute annual ethics training. Filers were pleased with the training mechanism.
Provided additional training to public filers. Also, see comments for Part 5.
We had increased communication with and a productive meeting with our OGE Desk Officer.
OGE seven-week training for ADEAO.
Concluded first waiver for a Committee member
1) Transitioned all 278 filers to Integrity system 2) Set up external speaking request mailbox for outside speaking requests and outreach
99% of staff completed Ethics Training. Drafted policy on Gift Acceptance.
Successfully transitioned PAS filers to the OGE Integrity filing system, provided specialized training to NASA's astronaut corps in conjunction with the corps "Standdown Safety Day," ADAEO presented on "Ethics and Public Integrity in Space Exploration" at the 67th International Astronautical Congress held in Mexico, one center provided ethics training to all of their civil servants, one center published ethics information in their daily notice, NASA included two supplemental ethics questions in the Federal Employee Viewpoint Survey to assess ethics awareness. The latter indicated that 97.6% of respondents believe they are familiar with the government ethics rules, and 89.1% know how to contact an agency ethics official for assistance.
Full implementation of Integrity for OGE 278 filers. In-person ethics training given to all employees at almost 25% of agency facilities nationwide.
Completion of OGE Program Audit First ever ethics training Webinar First round of Integrity (55+ filers) Completed nominee report in Integrity
In 2016, our agency switched to using Integrity for all of our 278 public financial disclosure report filers (prior to this year, only our PAS and DAEO had been migrated to Integrity).
During 2016, NEH completed annual in-person ethics training for all NEH employees (not only those required to file financial disclosure reports). In 2016, NEH also continued sending monthly e-mails on various ethics topics to all staff.
1. Increasing aspects of program efficiency. 2. Providing additional Hatch Act training. 3. Building process within the agency
The NLRB Ethics Office continued to provide timely guidance on interesting topics to Agency employees through the Agency newsletter, Job Aids, and Ethics Advisory memos. These topics included the Hatch Act and 2016 Elections, Speaking Engagements, Gifts, Lawyer Rules of Professional Conduct, Seeking Employment, Post Employment Restrictions, Participation on a Non-Federal Board of Directors, and Fundraising Activities. All documents were distributed to headquarters and field offices via email and posted to our Ethics webpage. These documents were developed to educate Agency employees about potential ethical pitfalls that they may face as an employee of the NLRB. Our efforts in this area have been well received by NLRB leadership and by the rank-and-file employees. Moreover, employees have expressed their appreciation for how we have provided ethics information in a way that is quick to read and easy to understand. We also expanded annual training to include all managers and supervisors.
Implementation of Integrity filing system
NSF eFile programming and employee training to transition to Form 278e Implementation of Integrity for DAEO and PAS Closed OGE audit findings Highly praised computer-based annual ethics training
Implementation of new major 5 CFR 2638 requirements by January 1 deadline
Provided live training sessions to assist Public Financial Disclosure filers in properly completing their OGE278e



forms.
We were able to reach 100% compliance with annual ethics training requirements.
Revised written procedures for collection of confidential and public financial disclosure reports. Identified additional positions required to file a confidential financial disclosure report.
DAEO appointed Sep 2016
Maintained administrative logs to track data. Continue to make improvements to the Ethics Management filing system. Continue to improve processes for Special Government Employees. Prior to the 2016 Presidential election we performed a comprehensive update to our internal management directive providing guidance on prohibited political activities under the Hatch Act, and we also provided a one-hour presentation on these restrictions that was recorded and preserved for future use. We also updated our internal management directive that outlines the process for employees to submit requests for approval of certain types of outside employment, as required by NRC supplemental ethics regulation 5 CFR 5801.103. The management directive now provides better guidance on the standards that are used when determining whether such requests are granted and which officials must be included in that determination.
No significant accomplishments to note.
We expanded the use of Integrity by our 278 filers. We offered two live sessions of annual training -- one for ALJs and one for the rest of the staff. The staff session was recorded and accompanying written materials were made available.
We used the OGE model for annual ethics training, to elicit more employee participation.
Updated the public financial disclosure review processes to address the use of Integrity. Developed and began using new written materials for initial ethics orientation.
All but five OMB employees received interactive and in-person annual ethics training. we are setting up an electronic 450 filing system.
Successfully kept the agency out of trouble. Conducted annual ethics training for all employees early (in the summer rather than fall to avoid the busy period at the end of the Administration).
We now use an annual Ethics Webinar, purchase from an outside contractor, that is required to be taken by all personnel.
Successfully preparing for and implementing procedures to ensure a smooth Presidential transition for OPM and its political appointees.
1) Provided timely and accurate advice to management and staff. (2) Implemented Integrity system for the filing of public financial disclosure reports. (3) Presented ethics training available to all employees at agency all-hands meeting in September.(4) Presented various ethics topics to staff during monthly Ethics Brown Bag Lunch series. (5) Public financial disclosure filers complied with all OGE deadlines for submission of reports.
Successfully transitioned all 278 filers to new electric filing system for financial disclosure report of senior employees. Successfully moved all PAS & DAEO filers onto integrity system. Successfully transitioned new DAEO. In light of transition, trained three Post-Government Employment brown bag sessions.
We successfully provided 100% ethics training to all OVP employees. We also successfully transitioned to two new ethics personnel in OVP both a new ADAEO and a new ethics counsel detailee.
Provided post-employment counseling and outprocessing for 20 political appointees. Conducted five live ethics training sessions for entire agency.
-Provided 6-month Hatch Act quiz training to all staff weekly via email. -Tracked all 278, 450, & New Entrant ethics training. -Tracked all 278 & 450 Reports data in tracking spreadsheet. -Live political appointee training covering all ethics issues and Stock Act, Hatch Act, Post Employment -Live ethics training to all new supervisors. -Live ethics training to all Volunteer Recruitment Staff at Headquarters and Regional Recruitment Offices (in-person, via Skype & conference call). - In person specialized ethics training provided to new overseas Country Directors, Directors of Management and Operations and Directors of Programming and Training, Personal Service Contractors (Host Country Nationals) at Overseas Staff training in DC, in winter, spring and fall 2016. - Live ethics training provided to staff at 3 overseas Peace Corps posts and at overseas conferences. - Provided individual exit briefings covering post-employment in person or via email.
1. 99% of annual ethics in-person training completed (356 of 359 employees) 2. 95% of new employees timely

trained 3. Created/conducted Hatch Act training 4. Specialized ethics training for Senior Level staff
In-person ethics training for all PRC employees (new hired, annual, and departing) Distribution of quarterly ethics dispatch for continuing education active ethics oversight for CFC-related events incorporation of post-governmental employment ethics briefing into formal HR exit interview process
Increased Trust employees' awareness of ethical obligations through more instructive memos to staff. In addition to the CEO's annual memo on ethical standards for federal employees, memos were forwarded to all staff and posted in a new location on the Trust internal website on taxes, Hatch Act, endorsements for contractors and employment references, seeking employment, and gifts from outside sources.
The PCLOB developed new agency specific training materials to reflect agency experience and updates to the ethics regulations.
Completed in depth audit of all 278s using the brokerage statements and PTCS data available to the SEC ethics officials. Reached 99.9% completion on supplemental regulation training agency-wide. Launched a fun new "eskitâ€ for in person ethics training that was very well received. Offered Hatch Act training to all offices and instituted a new Outside Employment Approval System.
Successfully completed an OGE inspection of its ethics program after taking sufficient action to implement two recommendations needed to resolve deficiencies.
Nothing out of the ordinary.
Regularly briefed senior management at executive staff meetings and created a new video on demand for new employees.
Timely completion of confidential and public financial disclosure reports. Timely completion of Annual and New Hire ethics training. Updated written procedures in anticipation of changes to 2017 OGE regulations.
The Board transitioned to using Integrity.gov for the filing of its public financial disclosure reports. The Board had no ethics violations in 2016.
TVA's Office of the Inspector General audit resulted in no significant findings. Implemented Desktop Reference Guides for a number of business processes in the Ethics Program area. Implemented Quarterly Ethics Report. Reinstated the TVA Ethics Council. Developed and implemented a protocol for reporting potential ethics violations
100% annual ethics training for all 278/450 filers plus additional 85 admin staff trained.
Updates to FDS. Continued implementation of "Your Smart Business Moments" initiatives.
USTDA hired an administrative law attorney whose additional duties include government ethics. The Director also appointed a new DAEO and ADAEO to provide continuity of an effective ethics program upon the departure of the previous DAEO.
Submitted all training requirements and filings on time.
The White House instituted case-based, interactive annual ethics training for the first time. Conception of this well-received course was supported by OGE, and prepared in coordination with an OGE detailee. The White House provided annual and post-employment briefings to the entire White House.

22 Please list the greatest challenges facing your ethics program in the short term (next 1-3 years). **Table 9**

Remaining vigilant for potential ethics/conflicts issues posed by outside activities of public board members (SGEs). Staying on top of USAB staff ethics matters due to combined impact of Deputy General Counsel (ADAEO)'s retirement (ADAEO) and government-wide hiring freeze.
The anticipated nomination and on-boarding of a new Chairman. The complexity of the nominee form. The likely selection of a Chairman unfamiliar with these procedures.
As in years past, the continuing challenge relates to the difficulty of running an ethics program where, due to limited staffing and budget of the agency, only two persons carry out all ethics functions (and do so as one of many secondary duties of their jobs). For instance, the DAEO and ADAEO are the sole legal counsel for the entire agency, handling a myriad of issues such as environmental law, appropriation law, human resources law, contracts, FOIA program, ethics program, and other issues.

Keeping up-to-date on changes in ethics laws, regulations and guidelines and communicating them, as appropriate, to management and staff.
Rolling out our new Service Now program to help track inquiries and resolutions. Continuing to improve our systems for tracking our employees ethics training and financial disclosure filings. Working to ensure a smooth transition for our future incoming employees as a result of the last election.
The DAEO is eligible for retirement and may do so in the next 2-3 years. The challenge would be hiring a new attorney with government ethics knowledge. Providing in-person training is difficult as several staff do not work in the office. Would like to be able to use another agency's online system for annual training if we could find one to partner with that would not be prohibitively expensive.
AFRH has a facility in Gulfport, MS agency training monitor retired in 2016 agency day to day ethics separated in 2016 --- replacements have been found, it will take time to bring both up to speed
Staying current with changing OGE directives, assuring compliance and meeting deadlines in our 2-person agency.
- Ensuring a strong culture of ethical behavior in a climate of declining budgets and official resources. - Assuring adequate ethics program support in light of pressure to reduce government spending and personnel. - Adjusting to agency personnel changes and internal structural reorganization.
See classified response.
1. We have just learned that the system we used for electronic processing of confidential reports may not be available next year. 2. We are also concerned about an increase in the number of requests to accept payment from non-federal sources for travel as the agency seeks to maintain a level of activity with a static budget.
The ethics program faces major short term challenges related to the Regional Office Ethics Program. The issues are: 1) consistency in the delivery of regional ethics advice, training and reporting, and 2) a lack of resources to carry out the regional ethics program.
-Tracking employees detailed to the Commission -Providing timely ethics advice and review with limited resources and heavy workloads for legal staff
In the next 2 years, the CFTC will need to update its supplemental ethics regulations to address ethical issues associated with the CFTC's expanding mission. As a part of that effort, we will need to re-define the types of interests that should be prohibited for CFTC employees to hold, and explore ways to better identify potential conflicts in real time. CFTC Ethics will need to implement improved on boarding training and annual training to ensure that employees fully understand CFTC supplemental ethics regulations, as well as recently implemented changes to the Standards of Conduct. With the growth of the CFTC ethics program, our program success is dependent upon continuing to improve infrastructure for tracking filers and records, establishing more written policies, and increasing communication and outreach to our filers. As part of this effort, the CFTC aspires to implement a robust electronic records keeping system.
One challenge is completing the rulemaking process for the agency's revised ethics regulations. A similar challenge will be training all agency staff on the revised ethics regulations.
The ethics matters that will arise as a result of the Presidential transition.
Transition of new administration. Nomination process for new members of board of directors.
Transition between DAEOs and ethics program continuity during the Presidential transition.
We have a high proportion of detailees, relative to permanent employees, and two geographic locations that are separated by a significant distance. Particularly as we are a micro-agency, in light of these conditions, the ethics staff will continue to be challenged with ensuring that ethics awareness remains at the forefront of all staff members' minds.
Onboarding new appointees.
Not enough staff assigned to provide primary ethics program services.
Ensuring all new employees receive initial ethics orientation within the required timeframe given our employees are spread out in 246 stores worldwide. While we continue to attempt to implement an effective tracking system through the computerized training systems available, we are still hampered by the IT requirements. Despite current modifications, imperfections continue to arise.
Lack of full-time ethics program personnel coupled with USG hiring freeze

Identifying new entrant OGE 450 filers.
Modernize and updating our system of records (conversion to completely electronic based and hiring and training on administrative oversight of the Financial Disclosure Management system).
Adequate manpower to meet requirements
1. Implementation and education of employees on the revisions to the ethics regulations. 2. Ability to meet overseas leadership to ensure confidence in ethics training and advice at remote sites with insufficient technological capabilities.
Staff departures
DSS has gained new missions, and there is a moderate likelihood that the agency will grow further in coming years. As a result, we may experience challenges making sure that we have sufficient resources to effectively manage the agency's ethics program.
Implementing changes to comply with revised CFR provisions and ensuring new entrant filers file their report within 30 days.
Continuing to achieve 100% compliance with training and OGE 450 filers
USDA's Ethics Program is very small -- with 20 FTE employees in December 2016 (as compared to the 36 FTE employees USDA's Ethics Program had during in 2008). During the 2017 Presidential Transition, USDA's Ethics Program will face the vital challenge of providing extensive ethics advice, training and financial disclosure reviews for all new incoming Trump Administration appointees. The Office of Ethics will be heavily tasked to provide timely Hatch Act advice and training for all USDA employees to minimize risks of political activity violations. Due to its small staff size the Office of Ethics must also allocate resources to continue to conduct the regular training and advice-giving provided to all USDA career staff and numerous USDA Advisory Committees throughout the Department. Moreover, as a result of the long-term effects of staffing reductions and budget constraints, OE's small but dedicated staff will need to maintain its high level of quality and excellent customer service.
Providing guidance and assistance to new senior employees entering government service, instituting new ethics training programs and processes, and maintaining Integrity and establishing an online confidential financial disclosure program for 11,000 filers.
-Maintaining institutional knowledge and processes with HR and Action Officers to ensure timely notice of new and departing filers. -DDAEOs reported significant challenges with maintaining continuity as ethics counselors transition in and out of field offices, particularly for military commands. -DDAEOs reported difficulty obtaining and keeping paralegal and support staff positions as leadership looks to cut staff.
In the very short term, the challenges facing our ethics program is a decrease in staff size and the uncertainty of being able to back fill all vacant positions.
In 2017, greatest challenge will be transition. We are also ensuring that written procedures are updated and in place as DAEO nears eligibility for retirement.
Retaining and recruiting qualified ethics staff continues to represent a major challenge for the HHS ethics community.
Transitioning to website for use by employees for information and forms, transitioning 450 and 278 filers to electronic dbase systems, implementing the DHS supplemental regulation on ethics review of outside employment activities, tracking orientation and training to ensure compliance with updated OGE regulations.
One of the greatest challenges our program faces is the upcoming transition due to the Presidential changes.
Leadership transition, succession planning with departure/retirement of senior ethics officials, maximizing ethics program effectiveness with limited resources and increasing requirements, obtaining and maximizing secure technology support, SGE/FACA identification and corresponding ethics training and financial disclosure, managing increasing workload associated with Transition with limited resources, managing a projected substantial increase in number of financial disclosure filers, ethics official retention and training, DOJ/Criminal Division: The ethics programmatic requirements are increasing, including statistical reporting to OGE. The increasing amount and complexity of ethics issues and questions that arise stress already limited ethics program resources. In order for agencies to continue with effective ethics programs, OGE needs to reinforce to agencies the need for more dedicated resources in order to meet these increasing requirements.

Implementing the new training requirement from 5 CFR 2638.300 Onboarding the new schedule Cs and political staff Educating and preparing new agency ethics contacts due to high turnover in the last six months.
Rotation of ethics attorneys to other L offices. Presidential Administration Transition. Managing FDM and Integrity online filing programs
Short-term/Long-term budget and manpower challenges.
Providing high quality and timely ethics support and training in light of the transition, rule changes, high DoD turnover rate of both ethics counselors and filers, and possible transfer of all OGE 278 filers to Integrity.
Capital resources to provide ethics instructor led training, filling vacant full-time ethics counselor positions due to the hiring freeze, keeping training current, relevant, fun & memorable, meeting the new OGE training requirements, shortage of resources (personnel & financial), transition and retirements.
This is not a huge challenge in that it is not destructive to the program. However, BOEM would like to see all ethics forms used on one system and be able to store electronically other ethics records for succession planning.
Succession planning and possibly staffing levels at critical times of the year, such as during the financial disclosure filing period.
1. Ethics staff turnover at all levels requires constant training. 2. Part time ethics officials require support and training. 3. The transition has left a gap in the civilian leadership.
Presidential transition period at HQ, given Treasury's large number of political appointees. Resources to implement and enhance technology to administer ethics program requirements. At one bureau, finding effective ways to reach out to employees at facilities outside of the DC Metro area. At one small bureau, managing the increased number of requests for advice on seeking and post-employment.
Presidential transition, increase use of technology to support aspects of ethics program.
Increase in number of researchers and establishment of research conflict of interest policy consistent with requirements of EIGA and OGE regulations.
* EPA is expected to absorb significant budget cuts that will undoubtedly affect employees, leading to an increase in seeking, negotiating and post-employment counseling. We also anticipate continuing to emphasize counseling on misuse of position, the Hatch Act, and gifts. * EPA Ethics will need to educate employees on OGE's recently issued ethics regulations, i.e., the new seeking employment and gift rules, and coordinating with HR on effectuating the new Part 2638. * In July 2017, a stalwart and vital employee will retire. He currently is our expert in financial instruments, INTEGRITY, Special Government Employees, science issues and the creator of our ethics training courses. Given the anticipated EPA budget situation, we may not be able to backfill this position or expertise.
Ensuring that 278 filers know how to properly complete their annual reports using Integrity.
1)Vetting New Chairman and Board Members 2)Incoming/Separating Political Appointees 3) Adapting to Integrity Financial Reporting system 4) Staffing. Jan 20th hiring freeze prevents office from hiring critical positions.
Refreshing filers on the use of INTEGRITY. On-Boarding a new expected Board Member Providing one-on-one training to a new expected Board Member.
Refreshing filers on the use of INTEGRITY. On-Boarding a new expected Board Member. Providing one-on-one training to a new expected Board Member.
Continuation of success planning.
Human resources - hiring freeze and loss of staff through retirement. Modernizing existing technology.
Implementing changes to executive branch ethics program at 5 CFR Part 2638.
One of the greatest challenges facing our ethics program is acquiring and implementing an electronic Financial Disclosure Form 450 filing system.
Increasing usage of Integrity online filing system. High volume of public financial disclosure filers.
Handling transition related-matters and implementing new ethics education requirements.
- No significant challenges.
Transition demands--new financial disclosure evaluations and education of new employees



Getting the remaining public filers who do not use Integrity to do so.
-Converting all public financial disclosure report filers from paper filing to the new online filing system - Continuing to provide quality advice and counseling in a shifting regulatory environment
OGC's greatest challenge in the coming year will be to revamp our ethics training program to satisfy new regulatory requirements and move toward scenario-based training.
Managing competing priorities with a small staff continues to be challenging. We continue to face challenges (monetary and otherwise) to adopt new procedures. We are still attempting to launch an electronic tracking system (to ensure timely notification of new hires, promotions, and other actions that trigger ethics-related requirements). We would like to acquire a free or low cost option for e-filing for 450 reports (we wish Integrity could be used for this purpose). We would like to have a more systematic approach of identifying potential conflicts of interest (e.g., develop a searchable, electronic database that allows program staff to efficiently identify involved/affected persons and entities). We also strive to ensure that all future employees have a full understanding of potential conflicts concerns (preferably before an offer is made and definitely before an offer is accepted).
The lack of a confidential financial disclosure electronic system.
No significant challenges since our staff is small (less than 30 total) and all staff are career employees
Maintaining training and an ethical office culture with limited resources.
The greatest challenge for the Ethics Office in the upcoming years is ensuring that all supervisors and employees continue to be trained and understand their roles, and are actively carrying out their ethics responsibilities on an ongoing and consistent basis.
This was a transition year in which the former DAEO worked remotely for several months before resigning and a new ADAEO came on board and assumed day-to-day took over much the ethics program administration duties. It took the ADAEO sometime to get fully aware of IAF ethics program practices, and procedures. The greatest general challenge is balancing the demands of the ethics program including ensuring timely ethics trainings and filings of financial disclosures for affected employees, compliance with administrative requirements including filing reports to OGE, understanding and timely implementation of new legal and regulatory requirements as they come on line, providing timely accurate ethics advice to employees, working with nominees to our Board of Directors, OGE, and White House counsel to pre-clear such nominees, etc. -- resourcing.
Employee turnover due to separations, retirements and movement to other federal agencies. The hiring freeze may also affect the Agency as employees are asked to do more with less.
Keeping up to date with changes in regulations and methods of filing/training.
Retirement of Alternate DAEO Paralegal vacancies
As always, our micro agency staff status - 3 FTE's and 1 PTE - with our regular workload and extra requirements of the Foundation's mission, limits the time for our ethics program.
Getting 278 filers familiar with Integrity.
1) Continued education on use of Integrity and 2) Transition in ethics staff
Vetting, training and supporting incoming leadership in 2017. Complete transition to Integrity and improve timeliness of collecting reports, esp NE and termination.
1. Social Media issues 2. Updating policies following a prolonged period of statutory and regulatory changes 3. Ensuring adequate ethics staff during workforce attrition 4. managing conflicts of interests in locations with specialized technical workforces.
1. Implementing new OGE regulations. 2. Integrating Human Capital in operations as required by new regulations. 3. Developing alternative to 450 form in event 450 regulations change/Increasing number of 450 filers. 4. Hatch Act/employee advocacy questions in new administration.
Communication with remote field staff Dedicated assistance from NCUA's technology team
One of the biggest challenges is resources. The Ethics practice is a significant part of our small office's workload and a larger component of work for the DAEO and ADAEO. The challenge in the future is balancing the ethics practice with the 18-20 areas of law our office handles on a regular basis. However, ethics is always a priority and Integrity has streamlined some of the work related to financial disclosures in a very meaningful

and helpful way.
An ongoing challenge is balancing the ethics program with other demands of an OGC. NEH's OGC has a small staff of three attorneys and one paralegal and it is unlikely we will be able to fill the vacant position attorney position in the next year.
Reviewing well over 1,000 OGE Form 450s within the 60 Day time limit.
Due to the directive from Agency Leadership to require all staff to receive approval from the Ethics Office for outside employment activities, we have experienced a very significant increase in our workload. We hope to have a budget that will allow us to hire and train additional ethics staff in 2017. As is the case across the federal government, we will be addressing the challenges associated with a change in the Presidential Administration. Without additional staff it will be very difficult to keep up with our high standards of providing customized, timely, and comprehensive ethics guidance to all Agency employees.
Succession planning
American Innovation and Competitiveness Act ethics requirements implementation - e.g., staffing, budget.
Implementing an automated financial disclosure system.
We have a new DAEO and ADAEO with the change in administration 1/20/17. Turnover of detailees assigned to ethics counsel position creates minor challenges regarding program continuity, but these are alleviated by written guidance and job aids.
Promulgating Supplemental Ethics Regulation
Only 3 person Agency
Increasing number of employees requiring post-employment advice. Increased workload due to use of two electronic filing systems (Integrity plus NRC's Ethics Management system for OGE-450 filers.)
No significant challenges to note.
Preparing for the transition in administration, including potential new political appointees and a change in agency leadership.
Creating a new sharepoint electronic filing system for the OGE 450s and getting the new politicals set-up on Integrity.
End of term for Director.
Setting up 450 filing system and meeting 450 filing requirements.
Transition to a new Administration
Maintaining OPM's ethics program's historic high standards.
With the transition from one Presidential Administration to the next, the ethics program's duties continue to expand. To address increasing ethics needs within the agency, the agency has sought additional support from fellows and detailees. The influx of new staff will increase the financial disclosure burden on the ethics team as reviewers of these reports, and increased the number of conflicts of interest held.
(1) Competing OGC demands on the DAEO and ADAEO's time (2) Transition to electronic records management system.
With the presidential transition, ODNI is experiencing and expects to experience turnover of senior employees requiring substantial resources to be devoted to post-government employment counseling, nominee financial disclosure, and basic ethics training for new senior government employees. ODNI continues to move financial disclosure filers to an electronic system. This year we will transition 450 filers to a new electronic filing system for financial disclosure reports.
None, the Administration is ending and a new Office of the Vice President will be in place to support and provide services to the new Vice President.
Understanding and adapting to latest changes in ethics regulations.
- Developing more innovative training resources to address the unique nature of work performed by staff at the Peace Corps. - Developing a streamlined tracking system process for 450s, 278s, and all ethics trainings conducted to create a live Ethics Program dashboard. This would allow an overview of the Peace Corps Ethics Programs effectiveness at any time. - Drain of ethics agency knowledge due to staff turnover based on 5-year appointments. - Numerous staff at Regional Recruiting Offices are disconnected from Peace Corps

Headquarters. - Staff at country posts around the globe face unique cultural challenges with regards to ethics.
1. Training 3 new attorneys 2. Presidential transition 3. Succession planning 4. Continually finding new and innovative ways to train employees and provide information
Updating supplemental ethics regulations
The time commitment involved to properly manage the program. The ethics program is an additional responsibility for the DAEO and the ADAEO and with the increased program requirements due to the updated regulations (training in particular), the time commitments have grown.
We will need to process incoming appointees to ensure there are no ethical conflicts
The retirement of our current DAEO.
Increasing workload and need for additional staff. Also need to modernize by creating electronic 450 filing system.
Transition of all 278 filers using Integrity. And, implement regulations that establish new requirements for agency ethics programs, effective Jan. 1, 2017
Obtaining Agency funding/resources required to effectively launch and administer computerized Agency-wide initial ethics training and annual ethics training with an automatic tracking system.
Notification and training of new employees and filers.
Determining if current electronic filing disclosure system meets agency needs, in considering adoption of a more user friendly system.
Given our agency size, integrating major changes to executive branch-wide ethics rules is challenging. For example, moving our 32 confidential filers to Integrity.gov will require a significant increase in ethics work for ethics staff.
Continuing to identify new and innovative ways to foster an ethical work culture.
Integrity roll-out for all public financial disclosure filers coupled with switching 278 filers to Integrity system and training them all in use.
There will be changes to the USTDA leadership personnel with the change in administration.
Ensuring the ethics training VEF staff receive is timely and is relevant to their needs.
Presidential Transition.

**ADDITIONAL COMMENTS FOR PART 5.** Please indicate the question number to which the comment corresponds. **Table 10**

#18. An assessment was performed by the DAEO, and following consultation with OGE, she determined that semi-annual disclosure forms were not warranted due to the unlikelihood of conflicts with respect to the relevant subject matter and the role of ACUS SGEs.
Question 16: I assume the question relates to training/mentoring/etc of persons without official ethics duties (in our case, employees other than the DAEO and ADAEO).
See classified response.
19 - written policies include identifying filers, deadlines and extensions processes, late fees assessment and public availability of public financial disclosure reports
#13. The CFTC Ethics program requires additional human capital to assist with administrative aspects of the ethics program, including implementation of an electronic records keeping system and tracking filer requirements. Additionally, the CFTC's current electronic filing system, the Electronic Management and Tracking System (EMAT), is limited in functionality and reliability as it is an aging system.
22. Another of the greatest challenges facing the Office of Ethics is a lethargic Human Resources Servicing Office. On average, it takes approximately 5 to 10 hours every week for the DAEO and ADAEO to work with Human Resources to provide its required HR duties for OE's small staff. For example, the ADAEO had to spend countless hours to get HR to issue staff performance awards, despite OE providing all relevant information timely to the HR servicing office. Finally, because USDA's Ethics Program is so small, it will need to face the challenge of retaining experienced ethics staff. Due to a lack of responsiveness by Human Resources, USDA's



DAEO created a temporary Ethics Fellowship Program. Despite the DAEO's efforts to retain staff, USDA's Ethics Program is at risk of becoming a top notch "finishing school" successfully mentoring and training its staff to achieve very high levels of proficiency so they can obtain higher paid ethics positions at other Executive Branch agencies.
20. Caribbean fishery Management Council, Gulf of Mexico Fishery Mgmt Council, Mid Atlantic Fishery Mgmt Council, New England Fishery Mgmt Council, South Atlantic Fishery Mgmt Council, the Western Pacific Mgmt Council and the Gulf Coast Ecosystem Restoration Council.
15. The General Counsel (DAEO) meets with the agency head weekly. Ethics issues are sometimes discussed during these meetings. 17. OGC conducts ongoing assessment of the Ethics Program in weekly DAEO meetings. The meetings are attended by the DAEO, ADAEO, Ethics Program Manager, Ethics Program Administrator, and Senior Associate General Counsel of the Employment Law Division. 19. DoD IG written policies are contained in DoD 5500.7R, Joint Ethics Regulation.
11. (cont'd) e.g. Bar rules, contractor issues, joint collaboration with nonfederal entities, speaking requests. 22. Challenges(cont'd): significant increase in financial disclosure with candidates/nominees and ethics agreements for 93 PAS officials (EOUSA) and potentially 200 additional filers (EOIR), addressing new ethics requirements for OJP grantees in revised OMB grant rules, updating, memorializing and implementing procedures to implement OGE's changes to the ethics rules and program requirements.
This questionnaire was completed for the Bureau of Ocean Energy Management under the Department of Interior.
Q12: Generally no, but 1 bureau indicated the need for more technology resources.
#17 - began working with Legal IT staff to develop a plan for assessing current IT applications.
#13 - In 2016, IMLS experienced a temporary reduction of human resources (Attorney hired in 2017).
Q22- Continuation With all of the ethics responsibilities being shouldered by the General Counsel and Associate General Counsel, who have other responsibilities, it is a challenge at times to not only understand and apply nuanced ethics rules but to organize all of the administrative aspects of managing the ethics program, from tracking financial disclosure reports, and ethics training completion of both FTEs and SGES, to the variety of other responsibilities affiliated with managing the ethics program. The IAF has benefited, in addressing this challenge, works to alleviate this issue of resourcing, by working closely with the OGE designated desk officer, to ensure accuracy and compliance on various issues.
For # 18 and #21. Updated our exiting packet given to all departing employees. Increased the type of investigations screened in our monthly screening program. Published Newsletters on recurring ethics topics. Provided Advice on the Hatch Act throughout the campaign season. Obtained a list of the Commission's contracts for financial disclosure review.
Fully implement new OGE regulations in advice and training and deliver advice in writing.
Question 16 (Continued) Regularly scheduled practice group/team meetings, agency-wide ethics official meetings, and Ethics Program Tracking System meetings.
#15. Agency head meets monthly with GC and DAEO ethics program is almost monthly topic.
15- ADAEO met with agency head informally.
Q.20. Through an interagency agreement with the National Endowment for the Arts, NEH provides administrative support, including ethics program services, for three employees of the President's Committee on the Arts and Humanities (PCAH). Please note that NEH does not provide ethics program services directly to the PCAH as an organization, but only individual ethics advice and training to the three PCAH staff members who are NEH employees.
Re: Question 14 - leadership support for the ethics program: We receive support from certain offices, but not all.
#15: As a small agency, we do not formally meet with the Chairman to discuss our ethics program. However, our Chairman is in frequent contact with us regarding ethics matters.
Please note that OGE directed agency to provide only the number of full-time employees directly employed by the agency in 2016.
#19 - While we have informal written procedures, we are in the process of finalizing formal SOPs for the

collection/review of financial disclosure reports.
The DAEO meets regularly with the Postmaster General.
The U.S. Dept of Housing and Urban Development runs our ethics program. The answers provided in this part reflect their ethics program. "Agency" in this part refers to HUD, not USICH.
Question 15: The DAEO and ADAEO regularly coordinate with the Chief of Staff on matters of importance to the ethics program

25. How do you deliver IEO to new employees? Check all that apply. **Table 11**

Max.gov
HUD OIG New Employee orientation home page.
Web-based supplemental training at 1 bureau developed by outside company.
-OGE resource (e.g., OGE's page on MAX.gov, Desk Officer, etc.) -Directly from the agency
Web-based training is provided by SkillPort and administered by EEOC's Employee Development Center.
Political Activity Booklet from the Office of Special Counsel
Webinar purchased yearly from outside contractor.
updated version of Fed. Personnel Guide. RRB is revising its initial ethics orientation materials.
"Another agency" is HUD.

26. Who developed the IEO training materials? Check all that apply. **Table 12**

Other agency's public website.
Office of Special Counsel (Hatch Act website)
Handouts.
Department of Justice printed material

Who developed the IEO training materials? Check all that apply. **Table 13**

Web-based training.
Department of Justice printed material.
Senate-produced video for Senate employees.

27. If applicable, explain **Table 14**

ABMC has 11 commissioners who meet in person twice a year. Training will be provided in Jan. 2017.
In-person training scheduled for Feb. 2017 when all local/remote staff is in office together.
Employees failed to complete assigned training.
The difference is FACA SGE members. Some members did not respond to requests to complete the form.
6 filers were on extended leave/detail 1 filer did not attend training and left the agency in 01/17
One employee (450 filer) has been out on military deployment and has not received annual training.
I had a 450 filer out sick for the group trainings and left shortly after. She got an exit briefing.
There is one employee that is on extended sick leave and not available to complete the form filing
3 Filers were on long-term leave from the Agency. The remainder left the Agency in 2016.
See comments at end of section for explanation
Employees on extended leave.
Some left or retired before completing training.
Most due to extended leave, deployments or similar unavailability issues.
1 278 filer deployed and 2 450 filers on extended sick leave

Extenuating circumstances including employees on active duty military service and long term illness.
Components reported some employees unable to take AET due to medical leave, admin leave, details etc
Sent discrepancies to office Chief of Staff. Sick, military leave and retirement between filing[...]
Training in mid-October, still recording electronic certification for 2016 annual ethics training.
One public filer in OJP was detailed to another office and missed annual training, but (cont'd)
Employees on leave or scheduling conflicts on training dates
We will forward updated information on training numbers.
Data based on inputs from field offices from around the world. Reasons vary location to location.
Q 27 Employees retiring, departing federal service, or moving to another agency before the end of
Extended sick leave, retired/left the agency, maternity leave, military orders or extended TDY.
Some filers leave before being trained, a small number simply ignore required training.
Several employees on extended leave, including one on military leave one employee departed January
Public filers include termination reports. CFD filers include some who are no longer VA employees.
Primarily due to departures, retirements, extended leave. Recalcitrant employees trained remedially.
1 PAS left agency. 2 278 filers retired. 18 450 filers retired and 2 are on extended sick leave.
450 Filers: 1 staff on rotation to another agency & 1 staff excused Other: 1 staff on medical leave
Employees did not complete training during the calendar year.
Some employees were on military or maternity leave, detailed, LWOP, retired or terminated.
6 SGEs perform little work, are rarely on the premises, and are difficult to contact.
One Confidential Filer left the agency and joined another federal agency.
Two employees have not been able to take the training based on their workload.
One employee was notified several times to take training.He received training the first day of 2017
Due to separations extended medical leave retirements and details to other agencies.
Employees on extended/military leave others trained 1/17. Approx. 10,000 employees were trained.
One (1) IMLS 278 filer terminated employment prior to the Annual Training date.
One confidential filer did not provide certificate of completion of annual ethics training.
The one employee who has not completed the training did start it and we are helping him to complete
One Committee member missed training session, but has received an hour of training each of two years
6 regular New Entrant filers who arrived after annual training had begun were not initially (cont'd)
Left NARA before receiving (3 278, 13 450) on leave during training (1 278, 1 450) retiring (1 450
1-maternity leave 1-deployed 2- extended sick/disability leave.
Six employees left the agency before completing annual training.
The numbers received above are percentages rather than numeric counts of filers.
#27: See additional comments for Part 6 for complete response.
Two 450 filers took AET 1/4/17. Two non4-50 filers took AET 1/4/17 1-450 filer & 1 non450 filer on AdmLv
Employees on extended leave or detailed to another agency during training sessions.
Makeup annual trainings are scheduled for those who were on extended leave during the initial traini
Employees were out of office due to illness, transfers, etc.
One 278e filer retired as of 12/31/16. Eleven 450 filers were on extended leave or non-work status.
Some employees didn't, some were on admin leave, and some were no longer employed.

28. How do you deliver annual ethics training to employees required to receive training? Check all that apply. **Table 15**

Power Point slides.
Written materials only is an exception to the standard DOJ practice of interactive and/or live training.
Audio conference call
Staff meetings - DAEO

This year, we did in-person training for all NEH staff. In addition, the DAEO conducted in-person, subject-specific briefings with senior staff.
Go to Webinar
Audio recording
Teleconference
The video contains questions that the employee is required to submit answers to the ethics official.
Ethics Website and electronic employee newsletter

29. Who developed the annual training materials? Check all that apply. **Table 16**

Other agency's public website.
We used a training package developed by another agency that the DAEO got from prior job
DoD Standards of Conduct Webpage.
We have used other agencies ethics training programs that are publicly available on-line (USDA).
Other agency website
Consulted other agencies' annual training programs online in designing our program.
Another office provided a web-based ethics training module for some staff.

32. Did you provide additional, specialized ethics training during 2016? **Table 17**

Public board members (SGEs)
Presidential and Congressional appointees, as well as Schedule C employees.
-Delivered Hatch Act training during Commission meetings which all employees may attend Also on use of information received in official capacity to all Commissioners/other agency employees As part of CNA employee orientation training regarding gifts and prohibited sources
Category Managers and Buyers.
Integrity training conducted onsite by OGE Integrity support staff.
All employees in the Office of the Inspector General. And all employees in USDA's National Finance Center (approximately 1,000 employees).
First Responder Network Authority Evaluation Team,, Patent Public Advisory Committee, Trademark Public Advisory Committee, Patent and Trademark externs, departing SES employees, Minority Business Development Agency employees at their annual meeting, National Technical Information Service employees and all political appointees
Senior Leader staff & spouses
Specialized training per principal office component request.
Political appointees, new supervisors, and mid-career and retirement eligible employees.
Contract specialists and SGEs.
PAs, Office of Public Affairs, program offices, FACA members, special programs, transition briefings for departing appointees, political activity briefings, Hatch Act briefings, post government employment briefings, Flag Officers and Spouses, SES Immigration Service Officers, CFC Keyworkers, Op-Divs Leadership Develop Course attendees, new attorneys, 450 reviewers.
Attorneys, Finance Staff, contracting staff, Advisory Committees, Legal Attaches, Lab Div Employees, retirement seminars, Transition for appointees, interns, PAS, wardens, chaplains, prisoner re-entry staff, overseas employees.
Attorney, managers, investigators, grant managers, and senior department officers
Senior Leaders (SES/General Officers)
Department of Defense-wide Hatch Act and political activities training to all senior officials, and training for congressional liaison fellows, Army Science Board members, Civilian Aides to the Secretary of the Army, General Officer aides, senior official executive officers assistants, Inspector General employees, contracting

personnel, and Training with Industry personnel. Some supervisors also required ethics training for 100% of their personnel, filers and nonfilers alike.
Law enforcement/investigations staff, Land and Realty Specialist, members of Advisory Committees and the IT community.
All employees got Hatch Act training. Supervisors in some reasons got specialized ethics training.
We ensured that Flag staffs received training
Sessions for specific offices at HQ on financial conflicts, gifts, outside activities PAS briefings Hatch Act ethics training provided for an Association of Government Accountants event.
All attorneys in the Office of General Counsel. Multiple groups of contracting/procurement staff.
Political appointees received seeking/negotiating/post employment briefings, as well as Hatch Act briefings. Also, some deputy ethics officials provided supervisors and HR officials with training.
Combined Exit Briefing/Annual Ethics Training for all political staff
Inspector General staff and Examiners
New members of Commissioners' staff
Out-stationed bank examiners
New PAS employee.
Public filers
We provided an optional ethics refresher web-based program tailored to employees at the GS 13 level and below. When we provide live training to regional offices all staff are encouraged to attend regardless of GS level (training is mandatory for GS 14s and above).
#32 - Our Technology Transformation Service, departing political appointees, GSA employees providing support to the Presidential Transition Team
All public filers.
FACA Committee Members receive specialized training, auditors, West Coast OIG Agents, Procurement staff, SEB members, Scientists, Interns, astronauts, Administrative Officers. One center trained all civil servants at the center.
We have a live 450 training session for just employees who were new entrants during the year.
Gave ethics briefings to interns and employees who participated in the Agency's professional exchange and honors attorney programs. Provided Hatch Act briefing to employees of the FOIA Branch.
Senior Leadership OIG New Program Officials Departing Officials
Professional Development Program Participants.
Office(s) that requested specialized ethics training, as appropriate.
departing employees regarding post employment restrictions.
Seeking employment and post-employment training for departing political appointees.
Post-Government Employment
We provided training for all assignees and detailees to OVP.
Senior agency management officials, including political appointees, received extra training on post-employment ethics requirements.
Senior Level staff ethics role-playing training session
Hospitality staff
Regional Administrators, Political Employees, Office of Advocacy Employees, Interns, Program Personnel
All TVA employees are required to take annual ethics training. Contractors are strongly encouraged, but not required, to take the training. TVA Officer/Executive-level employees are required to take an additional module as part of the annual online ethics training.
Admin who assist faculty in completing ethics requests.
Administrative Assistants.

**ADDITIONAL COMMENTS FOR PART 6.** Please indicate the question number to which the comment corresponds. **Table 18**

We held the triennial, staff-wide ethics training. This training included all our non-SGE filers. SGE's received their annual training via a memorandum on impartiality specifically tailored to our agency.
30,31,32. Provided ethics training to contractors working at USADF in Washington and to personal services contractors working in African Field Offices, and provided live Hatch Act training by OSC to all DC employees.
27. There were 10 OGE-450 filers that were unable to attend ethics training due to extended periods of medical/maternity leave. The designated ethics officials abroad have plans to train those that return to post upon their return. There were 105 OGE-450 filers, 36 non-PAS OGE-278 filers, and 1 PAS filer that separated prior to attending their 2016 annual ethics training. In addition to providing live ethics training to our 4,400+ financial disclosure filers, we also provided live ethics training to thousands of non-financial disclosure filers. Together with OGE's General Counsel, we briefed approximately 30 members of the Mexican Government's Secretariat of the Public Service on a wide range of topics related to ethics, unjust enrichment, and financial disclosure.
Question 27-5 staff telework/work remotely full time. Had originally planned to have training in December 2016 when all staff were at office for 2-day meeting. Due to scheduling conflicts, staff meeting was moved to February 2017 when an 60-90 minutes of time will be devoted to annual ethics training.
See classified response.
27. At the start of CY 2016, CSB had 10 confidential filers. Two departed CSB prior to completion of training. Thus, we used the figure 8 to reflect filers as of the end of CY16 who received training.
One of the regions was unable to provide information for this report due to a lack of resources. Thus, numbers for that region are not included.
30 - Because all employees have limited access to prohibited sources, included all employees in annual training (even though not required)
Question 28: We provided live annual ethics training to filers grouped by the office in which they work, and tailored the training to ethics issues that might arise specifically for those groups (based on job duties, interactions with the public, etc.). We also enhanced our live trainings through the use of response clickers which allowed the attendees to provide immediate feedback throughout the training. Question 32: We provided training focusing on the Hatch Act during a "Lunch and Learn" session that was offered to all employees as well as provided training on the Hatch Act and Social Media issues to field managers, and to various offices within the agency.
23 - The number of employees listed for the IEO response includes both CIGIE employees and all detailees assigned to CIGIE. 27 - The number of employees listed requiring training includes both CIGIE employees and detailees assigned to CIGIE who filed financial disclosure reports with CIGIE. The number of employees does not include detailees assigned to CIGIE who filed financial disclosure reports with their detailing agency.
23. Our office underwent an OGE Inspection this past Fall. One of the recommendations involved the need to ensure accurate tracking of ethics training for new employees. DeCA instituted a tracking system immediately upon notification during the inspection that better tracking was needed. This tracking procedure will be followed when the new ethics training is completed and entered onto the on-line training system as well. Compliance due date 1 June 17.
27. Public Filers - 5 filers retired before the end of 2016 2 filers departed for other federal agencies. Confidential filers - 5 filers did not complete the training. Other employees - 3 employees are at outside locations and did not complete the training 3 employees completed the training in January 2017.
#23c - Employee left the Agency before receiving IEO.
Question 23. The Office of Ethics has worked with USDA's OCIO AgLearn staff to institute monthly IEO tracking to improve for IEO training compliance and providing reminders as necessary to enhance compliance within the employee's first 90 days. Additionally, prior to new employees' arrival date, USDA provides electronic IEO training for new employees that occurs before their first day at USDA. Prior to arrival, new employees are required to take IEO initial ethics training, on the USDA Onboarding Portal, pursuant to USDA's mandatory



Departmental Regulation 4720-001, entitled "USDA Onboarding Requirements" (issued in 2011). The Initial Ethics Training on USDA's Onboarding Portal is accessible to the public on the web at <https://www.dm.usda.gov/obp/training.htm>. The USDA Onboarding Portal is a central Web page, required to be used by all USDA agencies. The Portal's Training Page contains a link to the initial ethics training as well as a link to the Office of Ethics webpage.

Q.32 - Some DDAEO organizations require AET for all agency personnel.

29. The agency purchases web based training from SkillSoft, a private company that produces training modules for government agencies. All DoD IG employees were required to take the SkillSoft e-learning module entitled "Government Ethics" for the 2016 annual ethics training. The content of the training comports with the requirements of 5 CFR 2638.705(b). 30. All other employees have been designated by the head of the agency to take annual ethics training because of the agency's oversight responsibilities. 32. OGC provided an ethics briefing during the DoD IG New Supervisor's Course.

Q#23: HHS components reported more than 500 new hires between November and December 2016 while other employees HHS-wide are on extended absence and have yet to complete training. Additionally, a component with numerous remote field offices reported difficulty in notifying employees of IEO requirement. Earlier in the year some employees had issues accessing HHS' LMS either because of technical issues or lack of computer access, so an updated version of the IEO was issued in June 2016 to reduce the technical issues. Furthermore, non-digital IEO training materials were created and circulated in June 2016 to reduce the electronic access-related issues. One component also reported ethics staffing shortages until October 31, 2016, making follow-up and IEO oversight difficult. Q#27: Some employees were unable to take the AET because they were on extended leave, etc. Some employees are inactive SGEs that do not have committee assignments and are not performing services for the US.

23. DOJ tracks outstanding training employees will be trained at earliest opportunity. Written materials alone for IEO are utilized only when employees can not attend live training e.g. field personnel or those with remote duty stations. 27. All attorneys at DOJ must receive 1 hour of ethics training every year as a component of Professionalism Training. The # of attorneys who received ethics training under this requirement was approximately 9800. Most attorneys at DOJ are financial disclosure filers, but not all are. Additionally, many DOJ components require all of their employees to receive annual ethics training independent of their financial disclosure filing status or whether they are an attorney. More components at DOJ are beginning to require this for all employees, which accounts for the large number of "other employees" noted above. The # of such employees trained in 2016 was more than 55,000. Many were financial disclosure filers, but not all are.

#23 This would include within the final 90 days, but it may not capture all employees required to receive IEO. Data also does not capture employees who received IEO through Civil Service Orientation Course. #27. Not all offices have submitted information regarding the ethics training numbers. We should be able to supplement this report with updated information next week. #30 Some employees take Annual Ethics Training even though they are not filers. #32 Initial Reviewers Training is for Supervisors required to review financial disclosure reports.

Q 23 Untrained employee on maternity leave until March 2017. Q 27, con't - the year, failure to remove retired or departed employees from the FDM training database, late-year new entrant filers, long-term deployment maternity leave. No Army agency heads directed that non-filers receive training under 5 CFR 2638.705(a).

Q32: Many bureaus require ethics training for all employees others make training available to all employees, although it is not mandatory for non-filers.

27. CFD new entrants at the end of the year are counted in the following year, since they are within 30 days of coming on board. 30. VA Chief of Staff mandates annual ethics training for all VA employees.

Public filers using the Integrity system were provided training materials on its use.

We provided ethics training to 1,436 non-filers and provided tailored training to COTRs (contracting staff) and HR recruiters.

The IAF provides ethics training to all personnel. This is based on a desire to ensure awareness of ethical rules and responsibilities among the IAF team, and to encourage a spirit of openness wherein all staff know that

they can and should speak with the DAEO or ADAEO on any question related to ethics.
In addition to computer based annual training, we held in person training for Commissioners and ALJs focusing on rules that pertain to their positions and their financial disclosure status. We also provided written materials on the same topics and we gave written materials to the SES and the Schedule Cs focusing on rules applicable to their positions and financial disclosure status.
Because of the presidential election, we provided Hatch Act to all employees in addition to Ethics Training.
Question 23 (continued) more than 90 days after appointment. 13 employees at one of the NASA centers were trained after their 90th day due to IT difficulties with the training modules or gaps in notification of the training requirement that are being addressed. Additionally 6 civil servants arrived late in the year and did not complete new orientation training before the end of the year. Question 27 (continued) notified to do incumbent annual training though they completed new employee training. 4 incumbent SGE's did not complete annual training before the end of the year but will complete it at their next committee meeting.
32. In Fall 2016, we started giving ethics briefing to new supervisors.
45 non-filers attended our first annual ethics training webinar
Q.27. The six employees who left NEH before completing annual training did receive monthly ethics briefings and a post-employment ethics briefing. Q.30. NEH requires all staff, not only financial disclosure filers, to take annual ethics training. Approximately 175 employees received ethics training. Q.31. NEH ethics officials frequently answer ethics questions from individual staff members and take these opportunities to provide on the spot training on specific issues. NEH also sends out to all staff subject-specific monthly ethics e-mails.
Question #23 This information is classified Question #27 NGA trains all employees. The total number of employees in our agency is classified as in the number of our filers. Question #31. We provided additional Hatch Act training to any interested employees
#32 - In addition to providing training for financial disclosure filers and other supervisors and managers, the Ethics office developed various training products such as Job Aids, Designated Agency Ethics Official guidance memos, and monthly newsletter articles that have been distributed Agency-wide. These training products covered a variety of topics to include outside employment, the Hatch Act, speaking engagements, guidelines for CFC participation, seeking employment, reminders to ensure that a third party does not misuse an employee's position to promote their products or events, and reminders regarding gift regulations during the holidays. Additionally, the Ethics Office provided Ethics briefings to various groups of employees to include Honors Attorneys, members of our Professional Exchange Program, and summer interns.
#27-Employees still in covered positions continue to complete training after 31 December. There are a variety of operational & administrative reasons filers did not complete training on time.
Question 23: The NSC staff includes a significant number of detailees from other government agencies. We provide IEO to all new direct hires and all new detailees, typically on their first day at the NSC. Questions 27 and 30: The NSC staff includes a significant number of detailees from other government agencies. We require annual ethics training for all NSC staff direct hires, all NSC staff detailees and we encourage all contractor personnel to attend. The numbers reported in Question 27, however, reflect only NSC direct hires.
#23 The remaining employee's did not have access the iLearn system, and an alternate method of training was provided. #23: NRC is considering process improvements and actively followed up with the individual employees to obtain compliance. #27 The NRC is downsizing and many employees retired during the 2016 reporting period without being replaced this explains the rate of attrition in compliance with ethics training. We are still following up with other employees.
23. cont'd - One new employees did not take initial ethics training within 90 days, but did take annual ethics training in the Fall. The one employees who did not take IET, will attend IET on 2/1/17. 24, All new EOP employees receive OGE's Ethical Service Handbook for Executive Branch Employees, eff. 1/1/17, prior to that they received the Standards of Conduct. 32. Provided mandatory in-person Hatch Act refresher for all OA employees in Fall 2016.
We provided specialized ethics training on seeking post-government employment.
For number 32, we provided ethics training to those seeking Post-Government Employment.
#23. This included 57 student interns who work on a temporary unpaid basis.



- Two session of live in-person annual ethics training provided to all filers in December -June-December, 6-month intensive Hatch Act quizzes circulated to all agency staff bweekly. -Live specialized political appointee training provided covering all ethics issues and Stock Act, Hatch Act, Post Employment -Live specialized ethics training provided to all new supervisors. -Live specialized ethics training provided to all Volunteer Recruitment Staff at Headquarters and live training via Skype and conference call provided to all regional recruitment staff. - In person specialized ethics training provided to new overseas Country Directors, Directors of Management and Operations and Directors of Programming and Training, Personal Service Contractors (Host Country Nationals) who attended Overseas Staff training in DC, in winter, spring and fall 2016 - Live ethics training provided to staff at three overseas Peace Corps posts and at overseas conferences.
#27 Office of Special Counsel provided in-person Hatch Act training to all employees as well. It was recorded and all employees hired subsequent to the training were required to view and review the powerpoint.
All staff members receive annual ethics training.
We provided in-person ethics training for new supervisors.
#31 we provided training on SEC's sup ethics reg to all SEC employees. We also did Hatch Act training for any office that wanted it. #27 Also, our CORs are required to file 450s, so the COR 450 filers are contained in the Confidential Filer number above rather than listed under "other." Lastly, The number be 278 filer trained is lower than the number of reports filed because certain 278 filers left the agency before they were required to be receive ethics training in 2016
31. We provided quarterly training to our Operations managers nationwide, and to managers in our OIG, our Public Affairs Specialist and all members of our OGC.
We added additional information about the Hatch Act because of the upcoming election. Last year we added an extensive portion about the Hatch Act. This year we added a section to clarify what employees can do and not do.
Question 23: White House Counsel's Office provides monthly in-person initial ethics briefings for all new officials, including detailees. These employees missed the in-person ethics briefings, but were provided briefing materials after the 90 day time period lapsed. Question 27: This number reflects the employees who received training as of November 15, 2016. All employees received training after November 15, 2016 and prior to December 31, 2016, except for one who had terminated Federal service.

34. Has you agency ethics program implemented any of the following practices? **Table 19**

Developed and published an Ethics Guide Booklet for all USDA appointees and career supervisors.
Conferring with the designated Attorney Advisor, OGC and HHS.
Use of ethics newsletter to address commonly asked questions and to distribute guidance.
Sharing ethics advice between command legal offices to ensure consistency.
We maintain an electronic chron archive which can be searched by subject matter and individual.
Began development of a SharePoint site for more broadly sharing advice and counsel.
We include an ethics article in a quarterly agency newsletter.
Knowledge management portal for historical data
Use of OGE website and ethics materials on Max.gov.
Checklists to guide employees on what information to provide when requesting guidance.
Agency specific ethics questions were included in the 2016 federal employees viewpoint survey.
Provide template questions for answering advice on WAGs, Travel/Gifts, and Outside Activities.

36. How do you make employees aware of the availability of post-employment counseling? Check all that apply. **Table 20**

All OGE 278 filers annually receive DoD SOCO's Summary of Seeking & Post-Government Employment Laws.
Publications on Agency TV and website.

DSS OGC Ethics/Standards of Conduct webpage on the agency intranet verbal notice by DAEO or ADAEO.
Staff Meetings
Website
The Ethics Division held post-employment brownbag sessions that were available for employees.
PGE handout (notice of job negotiations, website, DAEO advisories), specialized Presidential Transit
One-on-one contact with senior departees. Post-government info is always available on DOJ websites.
DOL ethics newsletter
Periodically send out Department Notice advising of scheduled briefings on Post-Employment.
Website, individual training, periodic notifications, electronic bulletin boards, supervisors are reminded of this every year during self-assessments on internal controls.
Supervisors are reminded of this every year during annual self assessments on internal controls.
Ethics Newsletter & other outreach endeavors letter website.
Personal contact
FDIC has a Seeking Employment/Post Employment pamphlet that incorporates FDIC specific restrictions.
Internal ethics website
Webpage/website, mailings to employees who are getting ready to depart NASA
We have a page dedicated to this topic on our Ethics webpage.
#36: See Additional Comments for Part 7
Provided post-employment ethics guidance in memo circulated to PAS and 278 filers in December 2016.
Internal agency website and announcements at component staff meetings.
PBGC intranet
Exit ethics opinion

**ADDITIONAL COMMENTS FOR PART 7.** Please indicate the question number to which the comment corresponds. **Table 21**

See classified response.
The written and oral guidance delivered to departing employees as part of offboarding process informs them that the ethics office continues to be available to them for ethics advice post-employment, and we regularly receive questions from former employees.
Q#36, Employees are also made aware of post-employment counseling through information letters, certified mail, blogs, newsletters, consultation, and phone calls.
#36. The Ethics Office has created a Termination Certificate which provides information regarding post-employment for those employees who sign and submit the form.
Q 35 some individuals submitted large numbers of STOCK Act notifications
Q34. Some ethics advice is provided orally and not memorialized.
#34 - The SharePoint site will be available to all deputy ethics counselors across the Corporation.
#34 Almost all advice is memorialized in emails.
#36: NRC plans to include post-employment counseling language in the emails that are sent to the employees who are required to file a termination report.
#34: We track financial disclosure reporting in an Excel spreadsheet.

46. What steps do you take to collect delinquent public financial disclosure reports? Check all that apply.

**Table 22**

Would notify ASC Chairman if needed.
Former COO was emailed and requested to file termination OGE 278 by executive officer.
Consult with OGE before referring to the Department of Justice.

Refer to IG.
Referral to OIG.
Other steps include restricting official travel, meeting face to face, revoking computer access.
Notify program office Chiefs of Staff.
Referral to HR for disciplinary action. Removal from performance pay and/or promotion lists
Notify DAEO.
Notify Administrative Officer.

**ADDITIONAL COMMENTS FOR PART 8.** Please indicate the question number to which the comment corresponds. **Table 23**

#37. Two reports were filed by an employee who was a career SES, and he was required to file both a PAS nominee report and an annual report.
General comments: A number of member of our agency's board are the heads of other federal agencies (who also send designees). They file their financial disclosures at their home agencies. Since their home agencies handle the collection and review of their filings (as well as their training), their numbers are not reflected here.
Question #37: "Other" includes two career GS employees detailed to serve as DAEO.
See classified response.
49.a. To be determined. 49.d. To be determined. Status of current vendor unclear. 49.g. CSB is unclear how to calculate this figure with any precision. A very rough estimate of out of pocket and staff time for implementation of two efile systems is approximately \$5000.
46 -reminded filers close to last day and last day of deadline or extension, none were delinquent 50 -we use Integrity only for public financial disclosures. We do not use any filing system for 450 filers although some filers use electronic 450 form.
Please see attached Word document for additional comments. #44: The CFTC Human Resources Office routinely provides the CFTC ethics program with notice of new entrants and departures for each pay period. In 2016, HR and CFTC Ethics collaborated and HR started sharing a new report listing employees who had been promoted from the CT-14 level to the CT-15 level. This has enabled CFTC Ethics to provide more timely notification for the 278e filing requirement to newly promoted public filers. However, we did not receive notification when a filer was promoted into an OGE 450 filing position, and we did not receive notice when an employee changed from a position requiring a filing of the OGE 278e to the OGE 450. Due to improved collaboration between CFTC Ethics and CFTC Human Resources and the regulations changes in 5 C.F.R. Part 2638, we anticipate receiving notifications of promotions and other personnel actions in a more regular and timely fashion.
Question 37: A) Please note that 1 termination report in the "other" category was filed in our FDOonline filing system. The report was assigned in late 2015, prior to implementation of Integrity. B) The report in the Annual "other" category was from a filer detailed to a Schedule C position.
#37 : We gained 3 transfers from other Federal agencies that were not counted because they filed timely incumbent reports with their previous agency.
Q.44 - Some agencies/organizations reported better success than others. Very dependent on knowledgeable and cooperative HR and action officers (e.g., staff within local organizations/divisions). Q. 46- We have not had to refer anyone to DOJ for non-filing. Further, we do not consider that a means to collect, but rather an action taken when collection efforts have failed. Q. 50 - Only Integrity filers file 278-Ts electronically.
49. The Executive Agent for FDM is the Department of the Army. Costs for administering FDM are borne by the Department of the Army. The Department of the Army does not charge DoD IG for use of FDM.
For part 8, question #38, ethics office will submit request to OCFO for issuance of bill for late fee. OCFO will track whether bill is or is not paid by the filer.
Question 37. With the exception of PAS, Integrity does not provide a search function on filer category.

Combined number represents reports required and filed by non-career SES, Career SES, Schedule C, and other appointment types (e.g. SES equivalent)
Q# 37, Components also had new entrant and termination filers with recent start and exit dates that are still within the window to submit reports on time.
Costs of e-filing are included in the overall IT and case management budget which includes various systems, IT servers, and staffing. USMS and ATF use new e-filing systems for Confidential Financial Disclosure. No independent cost analysis is available because costs generally are included in overall IT and other budgets. USMS reports associated costs of 1.5 FTEs for its e-filing system. Response to 49 (i) and (j) is approximate and is based on # of overall DOJ public filers in Integrity.
Question 48 - Only used for PAS filers
#37 - One Schedule C employee passed away during 2016. Two Schedule C employees moved to other agencies. Several Schedule C employees separated at the end of the year and had not submitted their final OGE-278.
Note on response to Question 44: We are able to confirm that Ethics personnel received timely notification of arrival of the vast majority of new entrants who need to file financial disclosure reports.
BOEM uses FD Online
Q49: represents HQ only Q50: OGE 450 represents HQ only
For question 49(l), we are unable to determine exactly how many CFD used FDM in FY 2016, but because all VA CFD files must use FDM, we have entered the number of CFD reports submitted in CY 2016, which should approximate the number of CFD filers who used FDM in the FY.
#49. Costs associated with FCA's own e-filing system are negligible.
#49. The cost of FCSIC's e-filing is negligible.
FDIC paid OGE approximately \$21000 to develop a bulk report download capability in Integrity in 2016.
Question #45: Office of the Inspector General conducts intermediate review of OIG employees' public financial disclosure reports.
##38-40 - During this reporting period, the agency moved its offices and separately transitioned its information technology systems. In addition, the ADAEO who led the agency's transition to the Integrity System and was most familiar with its functions left the agency due to a family move. Although all 278 reports were submitted and reviewed on a timely basis, not all information was input into the system due to technical issues. IMLS has worked with the Office of Government Ethics to address issues and, in December, trained all of its Ethics Team and 278 filers on the Integrity System. #48 - IMLS will use the FDonline system for confidential disclosure filers only.
#37 For the Schedule C employee, we have been in touch with her and are trying to get her combination report.
278 and 278T
#50. Public Financial Disclosure and Periodic Transaction Reports.
Question 37 (Continued) January 2017. An "other" New Entrant filer did not submit the Report due in 2016 until January 2017. Question 44 - Some centers have indicated a delay in New Entrant notification that NASA is working to address.
#45 - Some 278s underwent intermediate review in 2016, but not all.
37- We identified non-PAS, non-schedule C filers as Other filers this year. They are senior staff positions that are the equivalent of SES. In the past, we identified these filers as SES equivalents. 37-We had one PAS, 1 Schedule C and one Other who were assigned Termination or Annual in Integrity but they completed the forms as Combination filers as they all left the first part of 2016. We report them here as combination filers. 38- We granted 5 extensions, but all reports were filed within the extension dates so none were late - therefore no late fees due or paid.
Q. 37. In mid-January, one Schedule C employee left the NEH for another federal agency, she did not file an annual report with the NEH nor did she file a termination report as she left NEH to take up a Schedule C appointment. Q.49(k) This number includes both full-time NEH staff and the 22 members of NEH's advisory committee, the National Council on the Humanities (all of whom are SGEs), who filed electronically in FY 2016.

One National Council member filed on paper. Please note that we answered this question, as asked, for the fiscal year. The other numbers in this report reflect the calendar year unless otherwise specified in the question.
Question #37 This information is classified. Question #49 all of our filers file electronically
#44 WRT timely notification of employees required to file new-entrant reports, detailees to 278 positions has sometimes been an issue. Corrected in 2017.
Where percentages have been provided, specific numbers will be made available to OGE as required. The Agency continues to pursue outstanding TERM/COMBO OGE278e reports.
49. OA is a Presidential Records Act component and the SharePoint system for filing the OGE 450s was part of the prior administration's technical support. The costs of the electronic filing system on SharePoint cannot be quantified as it was an integrated system used for many different types of projects, not just OGE450s.
#37 The combined report was an annual/termination.
Our agency plans to start using Integrity in the future for OGE Form 278 and the 278-T.
Our SES equivalent positions are not in the SES - we call them Senior Officers or SOs. Hence we used the "other" category. SEC is not on the GS/SES pay scale.
49(k) - filers who are no longer required to file filers that have left TVA employment current TVA filers
Question 37: One filer was not alerted to his filing obligation upon becoming a commissioned officer in 2016. He filed his report subsequent to November 15. Question 40: White House Office public financial disclosure filers were provided an extension on November 15, 2016, for transactions occurring in November and December, as such information is required to be reported on those individuals' January termination reports. Termination reports for White House Office filers were pre-reviewed by the Office of the White House Counsel during November and December prior to certification in January. Transaction information was disclosed and vetted for potential conflicts of interest during pre-review.

53. What steps do you take to collect delinquent confidential financial disclosure reports? **Table 24**

Filer was granted extension since he was going to be out of office from mid-Jan. thru mid-February.
Notify appropriate component attorney.
Restricting official travel, using the DEC POCs to email and contact supervisors and EOs.
In 1 bureau, if filer is late for 3 consecutive yrs, filer subject to possible disciplinary action
Notify DAEO
We also notify Assistant Bureau Chiefs for Management in each Bureau/Office of delinquencies.
Notify Administrative Officer, official correspondence to filer.
Partnership with HR to emphasize importance of submitting reports

**ADDITIONAL COMMENTS PART 9.** Please indicate the question number to which the comment corresponds. **Table 25**

Question 53-Filer notified ADAEO and DAEO in early January that he would be out of the office from mid-January through end of February and would not be able to complete 450 before due date. He was granted extension through March and completed it before extension due date.
Question #51: Four (4) employees did not submit a report. One filer was on FMLA leave and then retired without returning to work. Second filer is on indefinite admin leave. Third filer (Senior Advisor) did not submit a report. Fourth filer submitted report in January 2017.
See classified response.
53 - we had no delinquent filers, but used reminders for anyone on last date to file or last extension date.
51 - The number of filers includes both CIGIE employees and detailees assigned to CIGIE who filed financial disclosure reports with CIGIE. The number of employees does not include detailees assigned to CIGIE who filed financial disclosure reports with their detailing agency.

50. The agency uses the alternative format contained in the OGE approved Financial Disclosure Management (FDM) E-Filing System.
All filers have been identified and have since filed or are in process of bringing filing status current.
The number of filers will never be constant since there are no termination reports. In addition, some 450 filers are promoted into the Senior Foreign Service and will not file the 450 any longer.
Q 51, con't - their forms, deployed filers.
Q-51 Continuation filers. Because the OGE 278s required more extensive financial disclosures than the confidential reports, it was decided to accept the 278s in lieu of asking these employees to submit additional confidential reports.
Question #51 Providing numbers of filers would create a classified document.
#51- Numbers provided are percentages rather than numeric counts of filers. Specific numbers available to OGE as required.
51. There were more 450 filers in Q51 than in Q27, because 12 filers left during 2016 and before AET was offered in the fall.
#51-We had a new entrant filer come on board mid-December and he filed his report before the end of the calendar year.
Complete explanation for #51: The current DAEO and ADAEO were not at OSC during the 2016 450 filing season. When we discovered that one of the required 450 reports had not been received, we requested that it be filed.
Q 51: 2 employees reported on the chart began 2016 as confidential filers and received promotions after filing 450 forms. These 2 employees were required to file new entrant 278e forms. Therefore as of December 31, 2016, PRC had 17 confidential filers
#51 The reason for the 315 more filers than trainees is accounted for by New Entrants who filed in 2016 but were not required to take annual training
Question 51: White House Office updated its confidential disclosure policy at the end of 2015, resulting in an increase in covered officials.

57. Number of remedial actions taken because of information on a periodic transaction report in 2016.  
**Table 26**

Ethics counselor-issued cautionary notices.
---------------------------------------------

65. Which individual(s) is responsible for filing the Notification of Conflict of Interest Referral (Form 202)?  
Check all that apply. **Table 27**

The CFTC Chairman and Commissioners.
For DoD IG, the responsible organization is the Defense Criminal Investigative Service(DCIS).
IG coordinates with the OGC Ethics Division when filing Form 202.
SAC SID filed the OGE form 202 pertaining to all SID conflict of interest cases.
Director, Departmental Ethics Office, the IG, the DAEO, and General Counsels all may notify OGE
Naval Criminal Investigative Service does referrals.
For IRS, Assistant Special Agent in Charge, Policy Team, Treasury Inspector General for Tax Administ.
Dept. of Commerce would consult/and or file the appropriate form.

**ADDITIONAL COMMENTS FOR PART 10.** Please indicate the question number to which the comment corresponds. **Table 28**

#54. A career SES who was also a nominee had to sign an ethics agreement saying he would resign his trustee
-------------------------------------------------------------------------------------------------------------



position with 3 family trusts and his bar association positions if confirmed, but confirmation never occurred. #65. The General Counsel is the DAEO.
54-57 In 2016, there were 27 public filers that executed 81 recusals (including 2 PAS employees that each had a recusal). While we do track the actions for filers (OGE 278 and OGE 450 Filers), and non filers, we do not track whether the action was a result of a financial disclosure or 278-T review. We have worked hard to create an ethical culture at USAID (live training to thousands of our employees stationed around the world, filers and non filers). We train our employees to recognize potential conflicts of interest so that we can address these issues at inception. Although some of our remedial actions may have been the result of financial disclosure, or periodic transaction reviews, the majority of these actions were executed as a result of issues brought to our attention following ethics training.
See classified response.
#65 - The General Counsel is also the DAEO.
65 - General Counsel and DAEO are the same person. IG was newly implemented in 2016 and this referral process may change in the future.
#54-57: CFTC currently monitors remedial actions for its PAS Chairman and Commissioners through screening arrangements. One other senior official within the CFTC also has a screening arrangement. For all other staff, information about remedial actions is maintained in individual files for each employee along with financial disclosure reports and tracking of this information is not currently centralized. However, CFTC Ethics tracks employees who have entered into Ethics Agreements to divest prohibited holdings. In 2016, one public filer entered into such an agreement.
Questions 54 - 57: We work closely with public filers concerning their financial disclosure reports, and public filers have taken remedial actions based on our ethics advice due to information contained in a new entrant, termination, transaction, or annual report. We do not track specific numbers.
#54-56 We keep a database of all recusals but we do not break it out by year or by filing status.
Q #61: HHS provides waivers to OGE on a quarterly basis, so the waivers provided to OGE in CY 2016 include those granted in the 4th quarter of FY 2015 and quarters 1-3 of FY 2016. The waivers granted in the 4th quarter of FY 2016 were provided in January 2017. Q #62: A component reported 34 disciplinary actions taken based wholly or in part upon violations of the Standards. However, the specific subparts for those 34 violations was not reported.
Reported violations may have overlapped or involved more than one of the Subparts of the Standards of Conduct. 54 - 57: Specific/individual remedial actions are not programmatically or universally counted/tracked at DOJ based on information disclosed on financial disclosure reports.
#64 - The remaining cases are open and pending DOJ determination. #66. The OIG office indicated that any cases that occurred prior to November 2016 was not reported to OGE. The OIG office is working on a process to report the 202s. Once the process is in place, all applicable cases from November 2016 going forward will be sent to OGE.
Note on response for Question 62a & 63a: The survey we sent to our field offices only asked for a total number of disciplinary actions taken at each location and did not ask for the specific Ethics provisions cited as the basis for the disciplinary actions. We will revise our survey for next year.
Q 64 One referral is still pending
66. EPA Ethics does not complete OGE form 202 so does not know the answer to this question. 62. Requires follow up with offices to learn of specificity question is seeking.
#65. FCSIC does not have an IG.
Data provided directly from the OIG.
#64 - IMLS made one (1) referral to DOJ in 2016. There has been no final decision/resolution of the matter.
65- The DAEO is the General Counsel.
Q.65. At NEH, the DAEO is the General Counsel.
#59 208(b)(1) waivers will be sent to OGE with annual report.
Re Number 57, the recusal and reassignment are on the same case. Employee recused and it was reassigned to another employee.

#62 - Proposed disciplinary action issued to senior level manager in October 2016, in part due to ethics violations. Final decision remains pending since that time. DAEO and ethics officials are concerned about the delay but continue to monitor the situation for final resolution.
Question 62: The Ethics Program is continuing to partner with HR and the OIG to ensure timely notification of ethics violations.
64(c) still pending. OIG will inform us once known.
Questions 54-57: The Office of the White House Counsel provides individual guidance to every person entering a public filing position, including guidance on 18 U.S.C. 208 and directions on what steps the employee must take to comply with the ethics laws, such as recusal, divestiture, resignation, etc., which is based on the assets and relationships disclosed on the employee's new entrant form. Pursuant to longstanding White House policy, full-time employees in the White House Office are generally barred from holding outside positions.

74. Does your agency have written policies or procedures for designating SGE status? **Table 29**

SGEs are statutorily designated.
Our only SGEs are members of the Commission, who are deemed SGEs upon their appointment.
OGE classified Commission Members as SGEs.
SGE status granted by Presidential appointment.
SGE status is by statute
Our SGEs are designated by statute.
The Udall Foundation's enabling legislation designates all members of the Board of Trustees as SGEs.
Designation of SGEs determined by using guidance provided by OGE and pursuant to 18 U.S.C. §202
By statute.

75. Does the written policy or procedure include consultation with the ethics office? **Table 30**

By statute, public board members are SGEs.
All ACUS non-government members automatically become SGEs per agency bylaws.
We do not have a written procedures. We have not needed to designate SGE status for decades.
SGEs are statutorily designated.
No policy.
Not applicable - defined by statute
There is no written policy.
The Department of Commerce does not have written policy or procedures.
There is not a written agency policy.
No current written policy or procedure
The vast majority are military reservists, the rest are committee members plus 3 experts.
See additional comments for part 11.
Our SGEs are designated by statute.
There are no written policies or procedures.
The SGEs are appointed.
The enabling legislation identifies the SGEs.
NCPC has five SGEs. They meet the definition set forth in 18 U.S.C. sec. 202.
No written policies/procedure for designating SGE status, but HR may consult with ethics office.
No policy
By statute.



77. If yes, Which office provides the training? **Table 31**

Office of General Counsel
General Counsel/DAEO/ADAEO
Office of General Counsel/DAEO. All new SGEs get an annotated ethics booklet (annotations by OGC).
DAEO
The ADAEO is responsible for disseminating/training of new SGEs. We had no new SGEs in 2016
Ethics Office
Consultant
Regional Offices
the DAEO
Office of General Counsel, Ethics Office
Office of the General Counsel
The Office of General Counsel
The USDA Office of Ethics
The Ethics Law and Programs Division, Office of General Counsel
Legal/Ethics Office
Ethics Staff
Ethics office.
OGC Ethics Division and agency components' ethics offices.
Ethics Office.
Ethics and Appeals Division
Ethics officials and appointing offices.
Ethics office
Yes, the Office of Ethics and Financial Disclosure.
The assigned legal advisor/Ethics Counsel for each Board.
The legal office for the command or agency that oversees the committee or board.
Departmental Ethics Office or Bureau Ethics Counselors.
My agency
Ethics office responsible
Ethics (Counsel's Office)
Office of the General Counsel and Chief Counsel.
Office of General Counsel, Ethics Specialty Team.
EPA Ethics provides online training for SGEs and, upon request, provides in person training.
The Office of Legal Counsel provides SEGs with a written summary of the ethics restrictions.
OGC Ethics Department
Ethics Office
The Ethics office
The Office of General Counsel and the Human Resource Office.
The Office of General Counsel, which also serves as the Ethics Office.
DAEO
Ethics Office
New SGEs are required to take OGE's on-line training for SGEs. Board meetings include Ethics ann'ly
Attorneys from the Ethics Office within NASA OGC, and OGE's online SGE Training link.
Ethics office
The DAEO provides the training.
Office of General Counsel (DAEO is General Counsel and ADAEO is Assistant General Counsel).
Ethics Office/Office of the General Counsel

Ethics Office provides written materials. Managing Program Officials provide verbal COI overview.
Administrative Law & Ethics office.
Office of the General Counsel.
DAEO (The NWTRB's Director of Administration)
Ethics officials in OMB-OGC.
General Counsel's Office
N/A
DAEO
Office of the General Counsel
General Counsel
General Counsel/Ethics office
OEC and GC
TVA's Designated Agency Ethics Official and Deputy Ethics Official
Office of General Counsel
Ethics Office

**ADDITIONAL COMMENTS FOR PART 11.** Please indicate the question number to which the comment corresponds. **Table 32**

None.

**Table 32**

#### **ADDITIONAL QUESTIONNAIRE COMMENTS Table 33**

Can OGE save this filled-out template for next year's questionnaire, so we don't have to populate it from scratch each year? This would save time and effort. Please?
Classified response is available on file with the Office of General Counsel's Ethics Law Division for review by appropriately cleared Office of Government Ethics Personnel upon request. Wherever a response seeking numbers of Agency employees has been sought, the Agency has responded with the number "zero," as the number of Agency employees is classified. Certain information also has been withheld pursuant to Section 6 of the Central Intelligence Agency Act of 1949 and is available in the classified response.
Completion of IG Address: Washington, DC 20460 General: Can the form be revised next year so it is not necessary to insert a 0 into every cell in each table if there is no response for the cell.
Some questions are not applicable to the Commission
DeCA underwent an OGE Inspection this past Fall 2016.
The Commissioners for the Denali Commission have traditionally been categorized as SGEs. Section 5002 of the WIIN Act (PL 114-332) stated that the Commissioners are not federal employees for any purpose removing them as SGEs. This is why there is a difference in the reporting from previous years.
Additional comments in response to question 23: Those employees that completed IEO beyond the 90 day requirement disregarded the required completion date assigned to the course within their AgLearn account. Those employees that did not complete IEO to date disregarded the required completion date assigned to the course within their AgLearn account until an AgLearn database malfunction removed the IEO module from their AgLearn account on 1/1/17. From 1/1/17 onward, this group of employees have no longer had the IEO module assigned within their AgLearn accounts and thus have not had the continued opportunity to complete the course. OE was advised on 2/21/17 by AgLearn staff of their conclusion that the database malfunction occurred. This notification occurred while OE was working with AgLearn staff to address a separate error "now corrected as of 2/23/17 - in the annual IEO tracking report. The AgLearn database malfunction will not affect assignments of IEO going forward as of 1/1/17.
1. Mr. Glenn A. Fine Acting Inspector General Department of Defense 4800 Mark Center Drive, Suite 15G27

Alexandria, VA 22350-1500 2. Mr. Henry C. Shelley, Jr. General Counsel / DAEO DoD, Office of Inspector General 4800 Mark Center Drive, Suite 15K26 Alexandria, VA 22350-1500 3. Mr. Gary Brinner Director, Human Capital Management DoD, Office of Inspector General 4800 Mark Center Drive, Suite 10A26 Alexandria, VA 22350-1500 4. Mr. Glenn A. Fine Acting Inspector General Department of Defense 4800 Mark Center Drive, Suite 15G27 Alexandria, VA 22350-1500

Mike.McCarthy@exim.gov

Agency Head: The Honorable Janet L. Yellen Chair, Board of Governors of the Federal Reserve System Mail Stop 45 20th St and Constitution Ave, NW Washington, DC 20551 DAEO: Cary Williams Designated Agency Ethics Official Board of Governors of the Federal Reserve System Mail Stop 3 20th St. and Constitution Ave, NW Washington, DC 20551 CHCO: Tameika Pope Chief Human Capital Officer Board of Governors of the Federal Reserve System Mail Stop K-146 20th St. and Constitution Ave, NW Washington, DC 20551 IG: Mark Bialek Inspector General Board of Governors of the Federal Reserve System Mail Stop K-300 20th St. and Constitution Ave, NW Washington, DC 20551

NOT ENOUGH SPACE IN THE COMMENTS BOXES -- IT WILL ONLY TAKE @ 200 CHARACTERS

It is important to note that any question eliciting numbers of filers would require a classified answer.

Mailing addresses valid until Fall, 2017 when NSF moves to Alexandria, VA

OSC does not have a designated Inspector General. The Chief Human Capital Officer should be listed as James Wilson. Whenever exited draft, entry changed to Carolyn Lerner.

\*The DOT/OIG has jurisdiction with the Board to the extent provided for in 49 U.S.C. 1326 -- authority of the Inspector General.

Response data in sections 4, 5, 7 (except for question 35), 9, 10, and 11 covers the period between January 1, 2016, and December 31, 2016. Response data in sections 6, 8, and question 35 (relating to the number of requests for financial disclosure reports WHO has received in 2016) covers the period between January 1, 2016, and November 15, 2016.