

# OGE Inspection Methodology



Federal Reserve Board

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**ETHICS PROGRAM INSPECTION RESULTS**



Agency:			
Report No.:		Date:	
Review Period:			

1.0 AGENCY DATA		
	EMPLOYEES	Data
1.1	Number of full-time agency employees, as reported in the most recent Annual Questionnaire	
1.2	Number of agency SGEs, as reported in the most recent Annual Questionnaire	
1.3	Number of PAS public financial disclosure reports required to be filed, as reported in the most recent Annual Questionnaire	
1.4	Number of non-PAS public financial disclosure reports required to be filed, as reported in the most recent Annual Questionnaire	
1.5	Number of confidential financial disclosure reports required to be filed by employees, as reported in the most recent Annual Questionnaire	
	ETHICS PROGRAM	Data
1.6	Name of DAEO	
1.7	Title of DAEO	
1.8	Grade level of DAEO	
1.9	Name of ADAEO	
1.10	Title of ADAEO	
1.11	Grade level of ADAEO	
1.12	Name of the primary, day-to-day ethics program administrator	
1.13	Title of the primary, day-to-day ethics program administrator	
1.14	Grade level of the primary, day-to-day ethics program administrator	
1.15	Current number of full-time ethics officials	
1.16	Current number of part-time ethics officials	
1.17	Average FTE value of a part-time ethics official(s) (For example, if part-time ethics officials at the agency generally devote 10 hours per week to ethics work, the average FTE value is 25%.)	
1.18	Number of reporting levels between the ethics office/program and the agency head	

2.0 LEADERSHIP			
	COMPLIANCE REQUIREMENT	Yes	No
2.1	OGE has received an up-to-date designation from the agency head naming the DAEO. See 5 C.F.R. § 2638.202(c).	<input type="checkbox"/>	<input type="checkbox"/>
2.2	OGE has received an up-to-date designation from the agency head naming the ADAEO. See 5 C.F.R. § 2638.202(c).	<input type="checkbox"/>	<input type="checkbox"/>

3.0 ETHICS AGREEMENTS			
	COMPLIANCE REQUIREMENT	Yes	No
3.1	All officials currently in PAS positions have complied with their ethics agreements. See 5 C.F.R. § 2634.804. (□ Not Applicable: see OGE comment section below)	<input type="checkbox"/>	<input type="checkbox"/>
3.2	All officials currently in PAS positions complied with their ethics agreements in a timely fashion. See 5 C.F.R. § 2634.804. (□ Not Applicable: see OGE comment section below)	<input type="checkbox"/>	<input type="checkbox"/>
3.3	For all officials currently in PAS positions, the agency notified OGE of ethics agreement compliance in a timely fashion. See DO-09-015. (□ Not Applicable: see OGE comment section below)	<input type="checkbox"/>	<input type="checkbox"/>

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3.4	For all officials currently in PAS positions, the agency maintains documentation of actions taken to comply with ethics agreements. See 5 C.F.R. § 2634.804. (□ Not Applicable: see OGE comment section below)	<input type="checkbox"/>	<input type="checkbox"/>
3.5	All PAS officials' ethics agreements are maintained with their financial disclosure reports. See 5 C.F.R. § 2634.805. (□ Not Applicable: see OGE comment section below)	<input type="checkbox"/>	<input type="checkbox"/>

4.0 PUBLIC FINANCIAL DISCLOSURE (OGE Form 278, OGE Form 278-T)			
	COMPLIANCE REQUIREMENT	Yes	No
4.1	The agency has written policies and procedures in place governing. See 5 U.S.C app. IV, § 402(d)(1).		
4.1.1	• Collection of public financial disclosure reports	<input type="checkbox"/>	<input type="checkbox"/>
4.1.2	• Review/evaluation of public financial disclosure reports	<input type="checkbox"/>	<input type="checkbox"/>
4.1.3	• Public availability of public financial disclosure reports	<input type="checkbox"/>	<input type="checkbox"/>
4.2	The agency can demonstrate that late filing fees are collected or, where appropriate, waivers are issued when public files do not timely file financial disclosure reports.	<input type="checkbox"/>	<input type="checkbox"/>
4.3	Public financial disclosure records are securely maintained. See OGE/GOVT-1.	<input type="checkbox"/>	<input type="checkbox"/>
4.4	Public financial disclosure reports are retained in accordance with the retention requirements. See 5 C.F.R. § 2634.603(g)(1).	<input type="checkbox"/>	<input type="checkbox"/>
4.5	Agency ethics officials respond promptly to requests by OGE for additional information regarding PAS annual and termination public financial disclosure reports. See 5 U.S.C app. IV, § 402(d)(1). See 5 C.F.R. § 2638.203(b)(14). (□ Not Applicable: see OGE comment section below)	<input type="checkbox"/>	<input type="checkbox"/>
	DATA ANALYSIS	%	
4.6	Percentage of sampled non-PAS new entrant reports filed timely. See 5 C.F.R. § 2634.201(b).		
4.7	Percentage of sampled non-PAS annual reports filed timely. See 5 C.F.R. § 2634.201(a).		
4.8	Percentage of sampled non-PAS termination reports filed timely. See 5 C.F.R. § 2634.201(e).		
4.9	Percentage of sampled non-PAS public financial disclosure reports certified within 60 days of receipt (unless additional information was being sought or remedial action was being taken). See PA-11-04.		
4.10	Percentage of sampled PAS annual reports filed timely. See 5 C.F.R. § 2634.201(a).		
4.11	Percentage of sampled PAS termination reports filed timely. See 5 C.F.R. § 2634.201(e).		
4.12	Percentage of sampled PAS annual and termination reports certified within 60 days of receipt (unless additional information was being sought or remedial action was being taken). See 5 C.F.R. § 2634.603(a).		

5.0 CONFIDENTIAL FINANCIAL DISCLOSURE			
	COMPLIANCE REQUIREMENT	Yes	No
5.1	The agency has written policies and procedures in place governing. See 5 U.S.C app. IV, § 402(d)(1).		
5.1.1	• Collection of confidential financial disclosure reports	<input type="checkbox"/>	<input type="checkbox"/>
5.1.2	• Review/evaluation of confidential financial disclosure reports	<input type="checkbox"/>	<input type="checkbox"/>
5.2	Confidential financial disclosure records financial disclosure records are securely maintained. See OGE/GOVT-2.	<input type="checkbox"/>	<input type="checkbox"/>
5.3	The agency's OGE-approved alternative confidential financial disclosure system complies with plans approved by OGE. See 5 C.F.R. § 2634.905(a). (□ Not Applicable: see OGE comment section below)	<input type="checkbox"/>	<input type="checkbox"/>
5.4	Confidential financial disclosure reports are retained in accordance with the retention requirements. See 5 C.F.R. § 2634.604.	<input type="checkbox"/>	<input type="checkbox"/>

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	DATA ANALYSIS	%
5.5	Percentage of sampled confidential new entrant reports filed timely. See 5 C.F.R. § 2634.903(b).	
5.6	Percentage of sampled confidential annual reports filed timely. See 5 C.F.R. § 2634.903(a).	
5.7	Percentage of sampled confidential financial disclosure reports certified within 60 days of receipt (unless additional information was being sought or remedial action was being taken). See 5 C.F.R. §§ 2634.605(a), 2634.909(a).	

**6.0 INITIAL ETHICS ORIENTATION**

COMPLIANCE REQUIREMENT		Yes	No
6.1	All initial ethics orientation material contains: See 5 C.F.R. § 2638.703(a) and (b).		
6.1.1	• Current contact information of relevant ethics official(s)	<input type="checkbox"/>	<input type="checkbox"/>
6.1.2	• Copy of the Standards of Ethical Conduct and any agency supplemental standards to keep or review, or Summaries of the Standards, any agency supplemental standards, and 14 Principles for employees to keep	<input type="checkbox"/>	<input type="checkbox"/>
6.2	The agency can demonstrate that it has an effective process to ensure that new employees receive initial ethics orientations. See 5 C.F.R. § 2638.703(c).	<input type="checkbox"/>	<input type="checkbox"/>
DATA ANALYSIS		%	
6.3	Percentage of new agency employees who received initial ethics orientation within 90 days. See 5 C.F.R. § 2638.703.		

**7.0 ANNUAL ETHICS TRAINING**

COMPLIANCE REQUIREMENT		Yes	No
7.1	All annual ethics training material contains: See 5 C.F.R. § 2638.704(b).		
7.1.1	• Current contact information of relevant ethics official(s)	<input type="checkbox"/>	<input type="checkbox"/>
7.1.2	• Review of the criminal conflict of interest statutes	<input type="checkbox"/>	<input type="checkbox"/>
7.1.3	• Review of the Standards of Ethical Conduct	<input type="checkbox"/>	<input type="checkbox"/>
7.1.4	• Review of the 14 Principles	<input type="checkbox"/>	<input type="checkbox"/>
7.1.5	• Review of any agency supplemental standards ( <input type="checkbox"/> Not Applicable: see OGE comment section below)	<input type="checkbox"/>	<input type="checkbox"/>
7.2	The agency can demonstrate that it has an effective process to ensure that covered employees receive annual ethics training. See 5 C.F.R. § 2638.704(c) and 705(c).	<input type="checkbox"/>	<input type="checkbox"/>
DATA ANALYSIS		%	
7.3	Public financial disclosure filers who completed annual ethics training. See 5 C.F.R. § 2638.704(a).		
7.4	Confidential financial disclosure filers who completed annual ethics training. See 5 C.F.R. § 2638.705(a)(3).		

**8.0 ETHICS ADVICE AND COUNSEL**

COMPLIANCE REQUIREMENT		Yes	No
8.1	Based on a sample collected by OGE, guidance provided by agency ethics officials to employees appears to be consistent with applicable laws and regulations. ( <input type="checkbox"/> Not Applicable: see OGE comment section below)	<input type="checkbox"/>	<input type="checkbox"/>

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**RECOMMENDATIONS**

#	Element	RECOMMENDATION	Compliance Due
1		<p><u>CONCERN:</u> <i>Restatement of the relevant finding(s)</i></p> <p><u>RECOMMENDATION:</u> <i>Directive action to correct a compliance deficiency</i></p> <p><u>AGENCY RESPONSE:</u> <i>Agency response to recommendation</i></p> <p><u>OGE COMMENT:</u> <i>OGE comment to agency's response, if warranted</i></p>	
2			
3			
4			
5			

**COMMENTS**

(Agency and OGE may provide additional comments)