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About OGE

The U.S. Office of Government Ethics (OGE), established by the Ethics in Government Act of 1978, provides overall leadership and oversight of the executive branch ethics program designed to prevent and resolve conflicts of interest. OGE’s mission is part of the very foundation of public service. The first principle of the 14 General Principles, set forth as part of the Standards of Ethical Conduct for Government for Employees of the Executive Branch, is “[p]ublic service is a public trust, requiring employees to place loyalty to the Constitution, the laws and ethical principles above private gain.” Public servants are expected to make impartial decisions based on the interests of the public when performing their job duties. OGE, in concert with agency ethics practitioners throughout the executive branch, ensures that employees fulfill this great trust.

To carry out its leadership and oversight responsibilities, OGE promulgates and maintains enforceable standards of ethical conduct for the nearly 3 million employees in over 130 executive branch agencies and the White House; oversees a financial disclosure system that reaches more than 26,000 public and more than 380,000 confidential financial disclosure report filers; ensures that executive branch agency ethics programs are in compliance with applicable ethics laws and regulations; provides education and training to the more than 5,000 ethics officials executive branch-wide; conducts outreach to the general public, the private sector, and civil society; and provides technical assistance to state, local, and foreign governments and international organizations. OGE maintains an Open Government webpage at www.oge.gov/open.

OGE Mission

Provide overall leadership and oversight of the executive branch ethics program designed to prevent and resolve conflicts of interest

- **Advance a Strong, Uniform Executive Branch Ethics Program**
  - Provide Expert Guidance and Support to Stakeholders
  - Strengthen the Expertise of Officials Who are Integral to the Executive Branch Ethics Program
  - Continuously Refine Ethics Policy and Issue Interpretive Guidance

- **Hold the Executive Branch Accountable for Carrying Out an Effective Ethics Program**
  - Monitor Agency Compliance with Executive Branch Ethics Program Requirements
  - Monitor Senior Leaders’ Compliance with Individual Ethics Commitments

- **Contribute to the Continuity of Senior Leadership in the Executive Branch**
  - Prepare for a Presidential Transition
  - Provide Assistance to the President and the Senate in the Presidential Appointment Process

- **Engage the Public in Overseeing Government Integrity**
  - Inform the Public about OGE and the Executive Branch Ethics Program
  - Make Ethics Information Publicly Available

Management Objectives

Sustain a Strong Culture of Performance Management
Strengthen Organizational Compliance and Fiscal Stewardship
Continuously Enhance OGE’s Information Systems and Processes
Open Government at OGE

Building public confidence in the impartiality of government decision-making is at the core of OGE’s mission. In support of its commitment to the principle of an open government, OGE directs resources toward raising the visibility of OGE and the systems in place to identify and resolve conflicts of interest. OGE also directs resources toward making ethics documents publicly available. Transparency increases accountability and public confidence by providing information to the public about the work of government and the integrity of its decision-making processes.

This plan details expected actions and a timeline for further incorporating the principles of transparency and open government into the core mission objectives and operations of OGE. The main components of the plan are:

- Transparency – providing information about OGE and its initiatives
- Participation – allowing the contribution of ideas and expertise to government policy making
- Collaboration – encouraging cooperation within the federal government, across levels of government, and between the government and non-government entities

The plan also addresses OGE’s new initiative to review and redesign its website to improve users’ experience. OGE will build on its efforts to inform the public about the availability and usability of this information by streamlining the process to access information and making it easier to navigate and view the data on its website. OGE will also continue to identify new data sets that can be made publicly available on its website.

New Initiative

Transparency and public engagement are important aspects of OGE’s role as the leader of the executive branch ethics program. To help meet these responsibilities, OGE has begun the process of redesigning its website to improve the public’s ability to search ethics documents, to improve the ability of ethics officials to effectively search and locate key resources needed to perform their jobs, and to further ensure IT security. In doing so, OGE has focused on increasing its capacity and responsiveness to public requests and increasing the transparency of ethics information by improving the ability of website visitors to search, filter, and view the information.

The website redesign is driven by OGE’s continued commitment to the principles of transparency, participation, and collaboration. OGE began this collaborative process by seeking participation from the public and other stakeholders using surveys intended to gain further insight into how the website is currently utilized and how it can be improved. These surveys sought feedback specifically designed to ensure the redesigned

OGE is updating its website. If you use our site and would like to help us improve it, you can complete a brief survey here: surveymonkey.com/r/LD9JXDJ
website reflects the principles of open government. For example, OGE sought participation from the public and stakeholders with questions about why respondents visit OGE’s website, what they are searching for on the website, how they access resources, which sections should be more prominent, which documents are not currently available that would be useful, other websites and elements OGE should emulate, and other aspects of the website OGE should or should not change. This participatory process will help to ensure both a positive user experience and that the new website best reflects the principles of open government.

With respect to transparency, OGE’s new initiative will focus on redesigning its website to improve the searchability of the significant amount of high-value information currently available on OGE’s website, such as OGE Advisories, Ethics Program Review Reports, Ethics Pledge Waivers, Public Financial Disclosures, Ethics Agreements, Ethics Agreement Compliance, Certificates of Divestiture, Travel Reports, Annual Agency Questionnaire Responses, and more. This will help ensure that the public and stakeholders can access the information in the most useful way possible. For example, improved filter functionality could increase transparency by allowing website visitors to filter ethics documents to see only those related to a particular agency. In addition, enhanced search functionality could increase transparency by allowing website visitors to more easily find the ethics documents they are seeking.

Ultimately, OGE’s website allows the public to hold government officials accountable by providing transparency about OGE, the executive branch ethics program, and the systems in place to detect and resolve conflicts of interest. Redesigning OGE’s website in accordance with the principles of open government and collaborating with the public and stakeholders through the process will help OGE, and the public, continue to accomplish this critical mandate.

**Update on Prior Initiative**

In its last Open Government Plan, OGE described its initiative to prepare for the 2017 Presidential transition. As discussed in the plan, OGE’s work is especially critical during a Presidential transition when, due to vacancies in most senior leadership positions, the nation is particularly vulnerable to national security and other risks. The efficient analysis and processing of Presidential nominations is critical in order to expeditiously fill vacant positions. OGE plays a vital role by reviewing the financial disclosure reports of potential Presidential nominees and resolving their conflicts of interest so they can serve with integrity. OGE began preparing for the transition two years in advance, focusing on training ethics officials, creating resources for incoming leaders and administration officials, and collaborating with agencies and outside groups to establish best practices for the incoming administration. In addition, OGE took steps to increase transparency and inform all stakeholders, including the public, about OGE’s role in the Presidential transition.

One of OGE’s first major transition-related initiatives was the 2016 National Government Ethics Summit and Symposium on Financial Disclosure. The primary focus of the 2016 Summit was to prepare ethics officials to effectively respond to the ethics issues that arise due to a Presidential transition. The 2016 Summit provided members of the government ethics community with opportunities to deepen their knowledge of the ethics rules, share lessons
learned through extensive practical experience, listen to viewpoints from outside government, and build connections with fellow ethics officials. As a means of both expanding the reach of the Summit and increasing the transparency of the executive branch ethics program, OGE live-streamed and archived many of the sessions, including all plenary sessions. After the Summit, OGE continued to support ethics officials in their preparation for the Presidential transition through its Transition Readiness Series, which combined distance learning and classroom learning opportunities.

OGE collaborated with other representatives of the executive branch on the Agency Transition Directors Council (ATDC), established by the Presidential Transition Improvement Act of 2015, and the Partnership for Public Service’s Presidential Transition Service Providers’ Council. OGE also collaborated with the General Services Administration (GSA) to provide on-site assistance as part of GSA’s responsibility to provide pre-election services and facilities to eligible candidates for President or Vice President. Through this initiative, OGE offered early and ongoing ethics support and training on Integrity, OGE’s secure, web-based system for collecting and reviewing public financial disclosure reports. OGE regularly updated its stakeholders and the public on the progress made through these collaborations, through its quarterly meetings with ethics officials, Twitter feed, and website.

Finally, OGE prepared several key transition resources. Throughout the transition, OGE’s website featured a Presidential Transition page targeting the Presidential campaigns, the future Presidential Transition Team, incoming Presidential nominees, the media, and the public. OGE’s new, web-based Public Financial Disclosure Guide provides comprehensive guidance on financial disclosure requirements for all types of public reports in the executive branch. OGE also created an ethics guide specifically for Presidential nominees. This easy-to-read guide outlines all the important information potential nominees need to prepare for the confirmation process. OGE also developed an informational guide about its role in preventing conflicts of interest in the executive branch, intended for a broader audience (including the general public).

**Transparency**

**High-Value Data and Information**

OGE recognizes the value of providing data and information to its stakeholders, including the general public. Increasing data transparency increases public understanding about what OGE’s programs accomplish and strengthens accountability for results. In addition, raising the visibility of OGE and the executive branch ethics program is critical to building public
confidence in the integrity of government operations and programs. OGE inventories all of its information sets on an on-going basis to identify high-value information not yet publicly available to post on its public website.

The following high-value information is currently available for download (generally in TXT, HTML, and PDF formats) on OGE’s website:

- **OGE Advisories:** OGE posts all written guidance to executive branch ethics officials and employees, including legal, education, and program advisories.

- **Ethics Program Review Reports:** OGE conducts reviews of agency ethics programs and issues recommendations to improve the ethics program if deficiencies are found. To confirm that the agency has acted on OGE’s recommendations, OGE also conducts a follow-up review six months from the date of the initial report. OGE posts all program review and follow-up reports to its website.

- **Ethics Pledge Waivers:** On January 28, 2017, President Trump signed Executive Order 13770, which creates commitments for political appointees entering government service. This Executive Order requires every full-time, political appointee appointed on or after January 20, 2017, to sign an Ethics Pledge. Copies of the waivers granted pursuant to Executive Order 13770 are available on either OGE’s website or the White House website.

- **Public Financial Disclosures and Associated Documents:** OGE has an automated online process for providing public access to public financial disclosure reports for Presidential and Vice Presidential candidates, the President and Vice President, Presidential appointees confirmed by the Senate (PAS), and certain other executive branch officials. Through this system, OGE also posts ethics agreements of PAS employees (which describe the steps an appointee will take to avoid any actual or apparent conflicts of interest), signed Certifications of Ethics Agreement Compliance, and Certificates of Divestiture issued by OGE.

- **Annual Agency Questionnaire Responses:** In 2015 OGE began posting to its website the full responses collected from agencies in its Annual Agency Questionnaire, in addition to providing an online summary of the combined data in a visual format. The Questionnaire asks agency ethics offices for information about ethics officials and the administration of agency ethics programs, as well as core elements of the ethics program that assist in the identification and resolution of potential conflicts of interest. The compiled data provides valuable insights about the executive branch ethics program.

- **Travel Reports:** Agencies are required to submit to OGE semiannual reports of payments for travel, subsistence, and related expenses received from non-federal sources in
connection with the attendance of employees at certain meetings or similar functions. OGE posts these travel reports on its website.

OGE is committed to making information resources accessible, discoverable, and usable by the public. When providing the public financial disclosure information of executive branch employees, OGE is bound by 5 U.S.C. app. § 105(b), which provides the mechanism through which OGE can release financial disclosure reports to the public. Thus, OGE does not and cannot provide this information in an open data format. Currently, releasable data from which the public could derive benefit is provided at the document level, available on OGE’s website. Moreover, over the two-year period covered by this plan, OGE will continue to review its information sets to identify whether some can be provided in an open data format.

Informing the Public

Reflecting OGE’s commitment to proactively disclosing information to advance transparency, accountability, and openness, OGE’s new strategic plan for FY 2018-2022 includes the strategic goal of engaging the public in overseeing government integrity. OGE is accomplishing this through its strategic objectives of informing the public about OGE and the executive branch ethics program and by making ethics information publicly available.

OGE’s website, www.oge.gov, is its primary tool for communicating with its external stakeholders and is a valuable tool for building confidence in the systems designed to detect and resolve conflicts of interest in the federal executive branch. Based on numerous press inquiries, OGE has reviewed and modified its web pages to provide answers to frequently asked questions about how to access financial disclosure reports. In 2018, OGE reorganized its Open Government Page to make it easier to use. As discussed above, OGE’s new initiative to review and redesign its website will continue to build on its efforts to inform the public about the availability and usability of the available information by streamlining the process to access information and making it easier to navigate and view the data on its website. OGE will also continue to identify new data sets that can be made publicly available on its website.

In fiscal year 2018, OGE’s Institute for Ethics in Government (IEG) learning portal was successfully launched and made publicly available on OGE’s website. The IEG learning portal is an efficient way to find and access educational materials on a wide variety of topics pertinent to the executive branch ethics program. OGE makes available all of the video and audio recordings of its distance-learning events, as well as the informational slide decks, job aids, and reference materials created to support those events. Although the educational materials are aimed at agency ethics officials, the IEG learning portal makes these resources available to the general public as well as the government ethics community.

In addition, using social media (Twitter and YouTube), OGE has created content to help citizens understand the structure of the ethics program, learn how to access various ethics documents, and contribute to government accountability. For example, in recognition of Sunshine Week 2019, OGE published a series of Twitter threads with illustrations and instructions for accessing financial disclosure reports, conflict of interest waivers, and documents that OGE has released under the Freedom of Information Act.
In 2020, OGE plans to live-stream a portion of the third National Government Ethics Summit on its YouTube channel. OGE Summits provide members of the government ethics community with opportunities to deepen their knowledge of the ethics rules, share lessons learned through extensive practical experience, listen to viewpoints from outside government, and build connections with fellow ethics officials. As it has in the past, OGE will invite the public to participate by viewing the live stream and engaging with participants on Twitter.

**Freedom of Information Act**

On its official website, OGE provides the public with a description of its Freedom of Information Act (FOIA) [program](#), [organizational structure](#), [process for analyzing and responding](#) to FOIA requests, a link to OGE’s [FOIA regulation](#), and an [explanation of how requesters can check the status of a request](#). OGE’s [FOIA Annual Reports and Chief FOIA Officer Reports](#) are also publicly available on OGE’s website.

OGE’s FOIA Office is uniquely situated to gain a sense of the types of materials the public is seeking. As a result, OGE includes distinct steps in OGE’s FOIA processes for identifying records for proactive disclosure on OGE’s website. OGE will continue to implement these steps when processing FOIA requests.

OGE is making more information available online to better serve the public and taking affirmative steps to make information public without waiting for specific requests from the public. The [Electronic Reading Room](#) contains records that have been frequently requested under FOIA (Frequently Requested Records), records encompassing OGE’s policies and procedures, OGE’s administrative staff manuals and instructions, and OGE’s FOIA logs. The [FOIA-Processed Records page](#) contains records processed for release under the FOIA after January 1, 2017, with applicable exemptions.

In 2019, the Department of Justice recognized a member of OGE’s FOIA team with a Sunshine Week award. This award was based on the employee’s contributions to the reduction of OGE’s backlog by approximately 56% in fiscal year 2018, after an unprecedented, approximate 450% increase in FOIA requests in fiscal year 2017.
Congressional Requests

Serving as the legislative liaison on behalf of the entire executive branch ethics program, OGE works to build congressional understanding of the executive branch ethics program and to inform congressional oversight and revisions to ethics laws. The majority of congressional requests for information are made by phone and OGE generally responds to these requests within one or two business days. In addition, when OGE receives a letter from a Member of Congress requesting information on his or her own behalf or on behalf of a constituent, OGE has a process in place to timely respond in writing. Written correspondence from OGE to Congress is posted to OGE’s website.

Records Management

Maintaining and enhancing an effective records management program ensures OGE’s records are available to the public and agency staff, and that OGE continues to comply with records management requirements. OGE has a Records Officer who is responsible for ensuring the agency’s compliance with records management statutes and the implementing regulations of the National Archives and Records Administration (NARA). OGE also has a Senior Agency Official for Records Management who oversees the program. OGE has established and disseminated records management policies and procedures to ensure that all records, including email, are maintained and disposed of according to NARA-approved records disposition schedules. OGE completed its project to digitize all temporary and permanent paper records and implemented new standard operating procedures to manage all electronic records, including email, within its new electronic recordkeeping system. OGE’s website provides the public with information about its records management program.

The Controlled Unclassified Information (CUI) Program is an open and uniform program to standardize the way the executive branch handles information that requires protection under laws, regulations, or Government-wide policies. The CUI program replaces legacy markings such as For Official Use Only (FOUO) and Sensitive But Unclassified (SBU). In accordance with the CUI program, CUI must include the authorized CUI markings as listed in the CUI Registry prior to dissemination. Federal agencies within the executive branch are required to implement an agency-wide CUI program.

OGE has implemented an agency-wide Controlled Unclassified Information (CUI) program in accordance with Executive Order 13556 and 32 CFR 2002. Questions about OGE’s CUI program may be directed to ContactOGE@oge.gov.

Privacy

Protecting the privacy of both federal employees and the public is a high priority for OGE. OGE maintains Privacy Impact Assessments for its information technology systems in
keeping with Office of Management and Budget (OMB) guidance and is also in the process of updating its Privacy Act system of records notices for both its government-wide and internal systems of records. In addition, OGE maintains a user-friendly page on its website to inform the public and government employees about OGE’s privacy program. The information found on OGE’s Privacy Act Information page includes how to file a Privacy Act request, OGE’s Privacy Act system of records notices and privacy impact assessments, and OGE’s breach policy. The page provides links to all the relevant documents in one, easy-to-navigate place.

OGE has no computer matching agreements and does not engage in data mining as defined by the Federal Agency Data Mining Act. OGE submitted the Senior Agency Official for Privacy (SAOP) questions in its 2018 annual Federal Information Security Management Act (FISMA) report in October 2018. OGE is not subject to any other privacy compliance reporting requirements.

**Digital Strategy**

As part of its website redesign, discussed above, OGE plans to create a Digital Strategy page on its website.

**Whistleblower Protection**

OGE takes seriously its obligation to inform its workforce about the rights and remedies available to them under the whistleblower laws. Notably, OGE has obtained re-certification from the U.S. Office of Special Counsel (OSC) that its employees are informed of the rights and remedies available to them under the Civil Service Reform Act, the Whistleblower Protection Act, the Whistleblower Protection Enhancement Act, and related laws. OGE received this re-certification on June 15, 2018. As required by law, OGE provides information about the 13 prohibited personnel practices and whistleblower disclosures to new employees as part of the orientation process.

**Other Government-Wide Transparency Initiatives**

OGE is not currently using eRulemaking because of the comparatively low volume of its rulemaking. However, OGE posts all of its Federal Register issuances on its website. OGE also posts pending rules and notices with associated comments for major rule-making and policy initiatives on its website and informs the public regarding pending rules and notices on its Twitter feed.

OGE does not administer grant programs as tracked by Recovery.gov or listed on Grants.gov, nor does OGE administer any federal assistance programs as tracked and reported on CFDA.gov. OGE is also not required to report on the IT Dashboard or to have a declassification program. With regard to USASpending.gov, SAM.gov, and FSRS.gov, OGE relies on the U.S. Department of Treasury, Bureau of Fiscal Service (BFS), a shared service provider, for its accounting and financial systems and reporting requirements. Through BFS, OGE reports as required on USASpending.gov and SAM.gov. In addition, BFS includes a clause in all applicable contracts stating that the contractor must report in FSRS.gov for all contracts of $25,000 or more.
Because OGE is a microagency focused on preventing conflicts of interest within the executive branch of the federal government, OGE does not engage in open innovation practices nor is it subject to requirements regarding access to scientific data and publications. Furthermore, OGE has no custom software code that is appropriate for release to the public. OGE does make some of the code developed for the agency by employees and contractors available for federal government reuse.

**Participation**

Participation allows the public to contribute ideas and expertise so that OGE can make decisions and create policies with the benefit of information that is widely dispersed in society.

OGE actively seeks engagement from the public. For example, OGE maintains Twitter and YouTube accounts through which the public can interact with OGE. OGE tracks its engagement rate on Twitter as part of its performance goals and takes steps to increase engagement, such as through asking trivia questions related to conflicts of interest. In addition, OGE contact information is available on the OGE website at www.oge.gov. This contact information includes both email addresses and phone numbers. Members of the public regularly contact OGE using these methods to ask questions, raise issues, and make suggestions. To ensure a timely response to general questions from the public, OGE maintains a rotating assignment for responding to requests for information from the public through ContactOGE@oge.gov or by phone (202-482-9300). OGE ensures that a person is available to respond to these requests daily. OGE also posts the above email and phone number and specifically solicits feedback on various pages of its website, such as the Open Government and Plain Language pages.

OGE publishes all of its Federal Register issuances on its website and posts tweets notifying the public when new Federal Register notices are published and open for public comment. Within the last year, OGE has also taken additional steps to increase transparency in the rulemaking process, including publishing an advance notice of proposed rulemaking in the Federal Register requesting input, hosting a virtual public hearing, and holding stakeholder meetings to gain the perspective of agency ethics officials and others. In addition, OGE has created a webpage that provides updates on OGE’s progress and alerts members of the public to opportunities to participate in the rulemaking. On that page, members of the public can sign up to receive email updates when the status of the rulemaking changes and when opportunities for comment are open.
Finally, in fiscal year 2018, as part of a federal government-wide effort to streamline the process to seek feedback from the public on service delivery, OGE sought and obtained OMB approval of a generic clearance to collect qualitative feedback on our products and services under the Paperwork Reduction Act. Collecting this information will provide vital feedback from stakeholders on the agency’s services, including soliciting feedback from users of OGE’s website.

Collaboration

OGE collaborates with stakeholders both inside and outside the federal government to achieve its mission to prevent and resolve conflicts of interest and its vision of achieving a high level of public confidence in the integrity of executive branch programs and operations. These stakeholders include executive branch ethics officials, members of the general public, state and local governments, private sector organizations, professional associations, government watchdog groups, the media, and international anti-corruption organizations.

OGE has a number of initiatives designed to promote collaboration with its stakeholders. OGE’s Director holds quarterly meetings with senior agency ethics officials to share information critical to managing an effective ethics program, encourage discussion of current ethics issues facing the executive branch, and consult with agency ethics officials regarding contemplated changes in OGE’s policies. OGE also circulates drafts of its advisories to ethics officials across the executive branch with the greatest experience in the matters addressed in the advisories. In 2020, OGE plans to increase its collaboration with academics and other nongovernment experts on ethical behavior, in the form of discussion groups and interviews, to further develop its educational methods and products.

Further, OGE organizes “three branch meetings” with the most senior ethics practitioners from each branch of government to exchange information and discuss experiences related to key topics of common interest. OGE also participates in professional, good government, and interagency groups to discuss emerging ethics issues and trends, share model practices, develop sound ethics policies, and combine resources to more effectively ensure that government decisions are made for the benefit of the public and not private gain. For example, OGE is a member of the Council of the Inspectors General on Integrity and Efficiency (CIGIE) and the Council on Governmental Ethics Laws (COGEL).

As mentioned above, OGE plans to hold the third National Government Ethics Summit in 2020. The Summit will expose participants to the insights of speakers from both inside and outside the government. Like prior events, it will provide members of the government ethics community with opportunities to deepen their knowledge of the ethics rules, share lessons learned through extensive practical experience, listen to viewpoints from outside government, and build connections with fellow ethics officials who can lend a hand in resolving complex ethics issues. Past Summits have fostered increased understanding among OGE’s stakeholders about the executive branch ethics program and how it protects the public trust and laid the groundwork for collaboration between OGE, agency ethics officials, and other stakeholders.
Conclusion

Building public confidence in the impartiality of government decision-making is at the core of OGE’s mission. To support its mission and the principle of an open government, OGE will continue to direct resources toward raising the visibility of OGE and the systems in place to identify and resolve conflicts of interest and making ethics documents publicly available. To comment on OGE’s Open Government Plan and initiatives, please send a message to ContactOGE@oge.gov. For additional information please see the list of webpages on the following page.
# Useful Webpages

## General Information

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## Access to Records

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## Information Regarding the Ethics Laws and Regulations

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## Ethics Training

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## OGE News

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