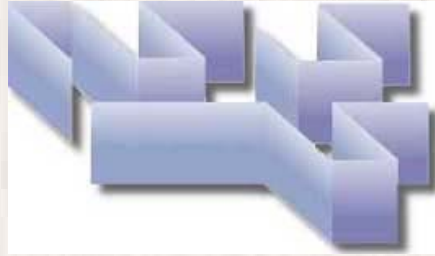


**OFFICE**  
**of**  
**ETHICS**



# **7<sup>th</sup> Annual Ethics Retreat**

**APRIL 18-21, 2006**

**GEORGE WASHINGTON CARVER CENTER  
5601 SUNNYSIDE AVENUE  
BELTSVILLE, MARYLAND 20705**

*Hosted by: Food Safety and Inspection Service*





United States  
Department of  
Agriculture

Food Safety  
and Inspection  
Service

Washington, DC  
20250

April 10, 2006

TO: USDA Ethics Retreat Attendees

FROM: Dawn R. Ruffner  
Mission Area Ethics Adviser  
Food Safety and Inspection Service

A handwritten signature in black ink that reads "Dawn R. Ruffner". The signature is written in a cursive style and is placed over a white rectangular background.

On behalf of the USDA, Office of Ethics, the Food Safety and Inspection Service is honored to host the 7<sup>th</sup> Annual USDA Ethics Retreat. This year's retreat features a plethora of speakers from the Office of Government Ethics and throughout the Federal government. On Tuesday, April 18, 2006, we are pleased to present an optional program that will provide insight into the National Institute of Health's ethical stances and a USDA Scientific Roundtable. The general sessions of the Ethics Retreat begin on Wednesday, April 19, 2006, and run through the morning hours of Thursday, April 20, 2006. But the fun doesn't stop there!! There is an extended session designed to provide orientation to new ethics advisors. In addition, the Food Safety and Inspection Service is providing four additional workshops for their employees during the afternoon of Thursday, April 22, 2006 and the morning of Friday, April 23, 2006. All Ethics Retreat participants are welcome to extend their retreat experience by staying to attend the workshops. The USDA Ethics Retreat is the perfect tool to continue the growth and education of Ethics Advisors. We hope that you have a fulfilling experience!



**7<sup>th</sup> ANNUAL ETHICS RETREAT**  
*April 18 – 21, 2006 Beltsville, Maryland*

<b>Tuesday, April 18</b>	<b>Wednesday, April 19</b>
<p><b>8:30—9:00 A.M.</b> <b>Registration</b></p>	<p><b>8:30—9:00 A.M.</b> <b>Registration</b></p>
<p><b>9:00—9:15 A.M.</b> <b>Introduction</b> Susan Mutchler, Mission Area Ethics Advisor Agricultural Research Service &amp; Dawn Ruffner, Mission Area Ethics Advisor Food Safety and Inspection Service</p>	<p><b>9:00—9:45 A.M.</b> <b>Opening Remarks</b> Raymond Sheehan, Director, Office of Ethics</p>
<p><b>9:00 – 10:45 A.M.</b> <b>Issues Surrounding NIH Supplemental Activities</b> Holli Beckerman Jaffe, Director, Ethics Office, National Institutes of Health</p>	<p><b>9:45—10:00 A.M.</b>      <i>Break</i></p>
<p><b>10:45 – 11:00 A.M.</b>      <i>Break</i></p>	<p><b>10:00 – 10:45 A.M.</b> <b>Ethics in Times of Emergency Response</b> Cheryl Kane-Piasecki, Senior Desk Officer, Office of Government Ethics</p>
<p><b>11:00 A.M. – 12:30 P.M.</b> <b>Scientific Roundtable</b> Raymond Sheehan, Director, Office of Ethics &amp; Susan Mutchler, Mission Area Ethics Advisor, Agricultural Research Service</p>	<p><b>10:45 – 11:30 A.M.</b> <b>How to Successfully Identify Financial Disclosure Filing Positions</b> Cheryl Kane-Piasecki, Senior Desk Officer, Office of Government Ethics</p>
<p><b>12:30 – 1:30 P.M.</b>      <i>Lunch</i></p>	<p><b>11:30 A.M.—12:30 P.M.</b>      <i>Lunch</i></p>
<p><b>1:30 – 2:45 P.M.</b> <b>Scientific Roundtable (cont'd)</b></p>	<p><b>12:30—1:30 P.M.</b> <b>How Technology is Affecting the Hatch Act</b> Ana Galindo-Marrone, Chief, Hatch Act Unit, Office of Special Counsel</p>
<p><b>2:45 – 3:00 P.M.</b>      <i>Break</i></p>	<p><b>1:30—2:30 P.M.</b> <b>Certifying Financial Disclosures</b> Jennie Keith, Government Ethics Specialist, Office of Government Ethics</p>
<p><b>3:00 – 4:30 P.M.</b> <b>Scientific Roundtable (cont'd)</b></p>	<p><b>2:30—2:45 P.M.</b>      <i>Break</i></p>
	<p><b>2:45—3:45 P.M.</b> <b>Surviving an OGE Program Review</b> Dale Christopher, Jr., Senior Ethics Program Specialist, Office of Government Ethics</p>
	<p><b>3:45—4:30 P.M.</b>      <i>Awards &amp; Closeout</i></p>

Thursday, April 20	Friday, April 21
<p><b>8:30 – 9:00 A.M.</b>  <b>Opening Discussion</b>  William P. Milton, Jr.,  Assistant Administrator,  Office of Management,  Food Safety and Inspection  Service</p> <p><b>9:00 – 10:00 A.M.</b>  <b>OE Potpourri</b>  Raymond Sheehan, Director,  Patricia Tippet, Senior Specialist,  Michael Edwards, Senior Specialist  Office of Ethics</p> <p><i>10:00—10:15 A.M. Break</i></p> <p><b>10:15—11:15 A.M.</b>  <b>Effective Use of Agency Resources</b>  Michael Korwin, Deputy Ethics  Counselor, Federal Deposit  Insurance Corporation</p> <p><b>11:15 A.M.—12:00 P.M.</b>  <b>Going Hollywood: An Inside Look at  Video Production</b>  Cecilia Owens, Project Manager  of Course Development,  Office of Government Ethics</p> <p><i>12:00—1:00 P.M. Lunch</i></p> <p><b>1:00—4:00 P.M.</b>  <b>New Ethics Advisor Orientation  Breakout Session</b>  Ellen Pearson, Ethics Specialist  Office of Ethics</p> <p><i>OR</i></p> <p><b>1:00– 2:00 P.M.</b>  <b>Contractors in the Workplace</b>  Rebecca Gilchrist, Senior Ethics  Attorney, Office of General  Counsel, National Aeronautics  and Space Administration</p> <p><i>2:00—2:15 P.M. Break</i></p> <p><b>2:15 - 4:00 P.M.</b>  <b>Professional Organizations and  Outside Activities</b>  Ed Peterman, Mission Area  Ethics Advisor, Rural Development</p>	<p><b>8:30 – 9:45 A.M.</b>  <b>Prohibited Personnel Practices</b>  Richard Woodford, Associate  Counsel, Office of Inspector  General, Securities and Exchange  Commission</p> <p><i>9:45 – 10:00 A.M. Break</i></p> <p><b>10:00 – 11:30 A.M.</b>  <b>When Good Employees Go “Bad”</b>  Richard Woodford, Associate  Counsel, Office of Inspector  General, Securities and Exchange  Commission</p>

# Description of Topics

## **Issues Surrounding NIH Supplemental Activities**

A discussion on the ethics environment at NIH and the impact of ethics regulations on the scientific community. NIH representatives will discuss their on-hands experience with science based ethics and review their successes and challenges.

## **Scientific Roundtable**

A continuation of the science based issues before the Department of Agriculture. Several issues were presented to the Office of General Counsel that will be discussed. Topics cover adjunct professorships, affiliations with universities, official capacity versus personal capacity, editor positions, and fiduciary roles in an official capacity. The projected end result is a departmental issuance further detailing employee's roles, responsibilities, and restrictions when affiliated with non-Federal organizations.

## **Ethics in Times of Emergency Response**

In the aftermath of Hurricane Katrina, officials throughout the Federal government were faced with the dilemma of providing immediate and effective responses while balancing ethics laws and regulations. OGE currently has implemented an ongoing workgroup to address these issues and provide future guidance. Tentative subjects will include lessons learned from first responders, Public Health Service authorities and the role they play, coordinating with outside organizations, fundraising, and frequently asked questions.

## **How to Successfully Identify Financial Disclosure Filing Positions**

A plain language look at when duties entail personal and substantial involvement in making official decisions or using significant judgment. How to identify the significance and level of authority afforded the employee and set boundaries to avoid over-designation.

## **How Technology is Affecting the Hatch Act**

In this session, the Chief of the Hatch Act Unit for the U.S. Office of Special Counsel will provide information on how employees may be politically active during the election cycle without violating the Hatch Act.

## **Certifying Financial Disclosures**

Quick tips to help the financial disclosure review process run smoother and be less of an administrative burden. Key areas and types of financial investments that raise "red flags" or should have more detailed information will be identified. Advice and guidance will be given regarding reviewing less frequently used sections of the disclosure form.

## **Surviving an OGE Program Review**

A detailed look into the workings of that feared process called the audit. The session will discuss the ethics program review process, the employee ethics survey, and the agency program review evaluation form. Suggestions about preparation, pro-active measures, and presentation will be addressed.

## **OE Potpourri**

The Office of Ethics will discuss a mix of situational ethics issues and FAQ's for the general practitioner.

### **Effective Use of Agency Resources**

A look at how agency ethics officials can make use of agency resources in carrying out their responsibilities. The discussion will focus on three main areas: opinions, financial disclosure, and training. A variety of tools will be used to illustrate how to borrow and put to use agency's internal assets, such as human resources, information technology, and the Inspector General's office to help manage and facilitate ethics programs.

### **Going Hollywood: An Inside Look at Video Production**

Tired of lecturing about ethics for an entire hour? Perhaps it's time to produce your own ethics video! This session examines the practical ins and outs of creating a video, including the keys to success and lessons learned. Brief excerpts from videos will be shown. Our goal is to save you production time and help you avoid last-minute surprises as you produce your video.

### **New Ethics Advisor Orientation**

Are you very confused? Do you feel way out of your element? Ethics isn't simply logic or common sense. This course is targeted towards employees new to the ethics arena. Introductory discussions on the Standards of Ethical Conduct, criminal statutes, post employment, and conflicting financial interests will be covered.

### **Contractors in the Workplace**

They may look like federal employees, have offices in our building, even work on our teams, but they are in fact contractors who come to work each day with a very different fiduciary duty, and they interact with the federal workplace under a very different set of rules, regulations and statutes than we do as federal officials. This session will examine the fundamental differences between federal employees and contractors, agency concerns regarding contractors in the workplace, and ethical and other legal landmines individual employees should consider when interacting with contractors in the workplace.

### **Professional Organizations and Outside Activities**

A discussion of the obligations of Federal service and the restrictions on personal activities that inter-relate with official duties. The speaker will discuss situations in which employees' activities may be characterized as either official or personal, and the rules that apply to each. This discussion will include an overview of the basic rules governing outside activities and the merging of official duties and outside activities. The speaker will address such situations as service with professional societies; participation in widely attended gatherings; teaching, speaking, and writing; and other situations in which outside activities and official duties may present a conflict.

### **Prohibited Personnel Practices**

The Do's and Don'ts of supervising employees. An introduction to the elements of Prohibited Personnel Practices (PPP) and the relevant questions that will help identify times when supervisors or ethics officials should seek additional guidance.

### **When Good Employees Go "Bad"**

No federal manager intentionally hires a "bad" employee, so where do bad employees come from? This presentation takes a broader perspective examining minor "ethical lapses" and how unaddressed ethics issues lead to much more serious consequences.

# Presenter Biographies

**Ms. Holli Beckerman-Jaffe**      **National Institutes of Health Ethics Office; Director**  
Holli Beckerman Jaffe has been advising on government ethics rules and procedures for over 14 years. Currently, she is the Director of the National Institutes of Health Ethics Office. Prior to assuming this position, Ms. Jaffe served as Ethics Counsel to the National Institutes of Health as an attorney in the Office of the General Counsel, Department of Health and Human Services. In 2002, she completed a detail to The White House as an Ethics Advisor in the Office of the Counsel to the President. Before coming to HHS, Ms. Jaffe was the Assistant General Counsel for the Ethics Law Division in the Office of the General Counsel, Department of Housing and Urban Development, and an Ethics Counselor in the General Law Division of the Pension Benefit Guaranty Corporation's General Counsel's Office. She received a Bachelor of Arts degree from the State University of New York at Binghamton, and a Juris Doctor degree from the Washington College of Law, American University.

**Ms. Cheryl Kane-Piasecki**      **Office of Government Ethics; Senior Desk Officer**  
Ms. Kane-Piasecki serves as a Senior Desk Officer in the Office of Agency Programs with the U. S. Office of Government Ethics (OGE). Cheryl joined the OGE staff in December of 1991. She currently provides ethics liaison services to three departments and eight agencies and has served as USDA's Desk Officer since 1992. Prior to joining OGE, Cheryl served as an Adult Education Advisor with Peace Corps/Costa Rica. Cheryl holds an MIA from the Columbia University School of International and Public Affairs. She earned her BA, *cum laude*, from Mount Holyoke College.

**Ms. Ana Galindo-Marrone**      **Office of Special Counsel; Chief, the Hatch Act Unit**  
Ana Galindo-Marrone is the Chief of the Hatch Act Unit of the Office of Special Counsel (OSC). Ms. Galindo-Marrone began her employment at OSC in 1998 and her primary responsibilities include providing Hatch Act advisory opinions, making recommendations to the Special Counsel regarding Hatch Act matters and investigating and litigating Hatch Act cases. Prior to joining OSC, Ms. Galindo-Marrone was a Staff Attorney for the School Board of Miami-Dade County, Florida. Ms. Galindo-Marrone, who is a native of Miami, Florida, received her law degree, *cum laude*, from the University of Miami School of Law.

**Ms. Jennie Keith**      **Office of Government Ethics; Government Ethics Specialist**  
Jennie Keith joined the Office of Government Ethics in October 2003 and works as a Government Ethics Specialist in the Program Services Division. She is the desk officer for the ethics programs of 12 Executive branch departments and agencies. Prior to OGE, Ms. Keith lived in Western Washington where she worked as a program coordinator with the Municipal League of King County, a nonprofit civic organization, and as committee staff for the Washington State House of Representatives. She graduated from the University of Washington with a Bachelor of Arts degree in Classical Studies and Political Science.

**Mr. Dale Christopher, Jr.**      **Office of Government Ethics; Senior Ethics Program Specialist**  
Dale has worked at OGE since October 1991. As a senior member of the Program Review Division, he leads teams of management analysts in the review of executive branch department and agency ethics programs, locally, nationally, and internationally, to ensure compliance with regulatory standards-of-conduct and statutory conflict-of-interest rules. Additionally, he has conducted numerous single-issue reviews of ethics-

related topics, including agency procedures for granting conflict-of-interest waivers, issuing certificates of divestiture, administering alternative and supplemental financial disclosure systems, and managing Federal advisory committees. He also evaluates and recommends approval or disapproval of agency requests to implement alternative or supplemental financial disclosure systems.

**Mr. Michael Korwin**

**Federal Deposit Insurance Corporation; Deputy Ethics Counselor**

Michael Korwin is an Ethics Program Specialist and a Deputy Ethics Counselor with the FDIC. Mr. Korwin joined the FDIC in May, 2003, after having spent 14 years on staff as a Senior Ethics Specialist with the Office of Government Ethics. Prior to his time at the OGE, Mr. Korwin was a Deputy Ethics Counselor with the Nuclear Regulatory Commission. Highlights of his career in ethics include developing outreach programs to both the private sector and developing democracies. Mr. Korwin holds a Masters Degree in Public Administration from George Washington University, and has also done post graduate work at Harvard University's Kennedy School of Government

**Ms. Cecilia Owens**

**Office of Government Ethics; Project Manager, Training Course Development**

Cecilia F. Owens is currently a Project Manager of Training Development within the Education Division of the U.S. Office of Government Ethics (OGE). Cecilia is a Certified Master Instructor, Certified Instructional Designer/Developer, and Certified Training Generalist. She has made numerous public speaking appearances throughout her career, including conferences and a guest appearance on a local radio show. She also has had two monographs published in national professional publications. She manages the design, development, and evaluation of instructor-led training courses.

**Ms. Rebecca Gilchrist**

**National Aeronautics and Space Administration; Senior Ethics Attorney**

Rebecca Gilchrist is a Senior Ethics Attorney in NASA's Office of General Counsel where she has served since 2003. Prior to that, she served for twenty years as an attorney in the Office of the Judge Advocate General of the Navy. Over the years she has practiced law in a wide variety of areas including ethics, criminal, international, consumer, and environmental law. She graduated from Baylor University, and has a Master's Degree from Corpus Christi State University, a Juris Doctorate from University of Miami School of Law, and a Master of Laws Degree in environmental law from George Washington University School of Law.

**Mr. Ed Peterman**

**USDA, Rural Development, Mission Area Ethics Advisor**

Mr. Peterman is the Ethics Advisor for Policy in the National Office. Ed joined Rural Development in November 2001 after completing 5 years of service at the U.S. Office of Government Ethics. While at OGE he provided day-to-day policy guidance to 21 Federal Departments and agencies. In his current position, he is responsible for providing advice to Rural Development's State Directors and National Office employees as well as developing ethics policies and procedures for the entire Rural Development employee community. Mr. Peterman is a 1992 graduate of Virginia Tech with a Bachelor of Science degree in Agriculture. He currently resides in Washington, DC.



**Mr. Richard Woodford****Securities and Exchange Commission; Associate Counsel**

Richard Woodford is responsible for investigating civil, criminal, and administrative allegations of wrongdoing, including allegations of waste, fraud, and abuse in SEC programs. Mr. Woodford started his federal civil service career as a Law Clerk at the United States Merit Systems Protection Board (MSPB) Washington Regional Office. Mr. Woodford's other investigative and litigation experience includes the U.S. Office of Special Counsel where he worked on Whistleblower and Prohibited Personnel Practice complaints. He also has experience as a Agency Representative and Labor Relations Specialist at the National Naval Medical Center (NNMC) Bethesda, Maryland. Prior to his service with the SEC, Mr. Woodford was a Scientific Attorney for the National Science Foundation (NSF) Office of Inspector General. He earned a Bachelor of Science degree, with merit, from the U.S. Naval Academy, Annapolis, Maryland. In 1997, he received his Juris Doctor degree from Florida State University, College of Law, Tallahassee, Florida.