

United States Office of Government Ethics

Program Review Division

Materials Required Prior to Ethics Program Review

Program Administration

1. Agency organization chart which indicates the placement of the ethics office.
2. Delegation letters authorizing named ethics officials to coordinate and manage the ethics program. See 5 CFR 2638.202(c).
3. Any available policies and procedures governing the overall administration of the ethics program, including education and training, advice and counsel, ethics agreements, 18 U.S.C 208 waivers, enforcement of ethics laws and regulations (including DOJ/IG referral procedures), special Government employees, the Ethics Pledge, and 1353 travel.
4. If applicable, contact information for officials within the Human Resources or equivalent office who provide assistance in administering the ethics program. This would include officials who generate master lists of filers, identify new employees for initial ethics orientation, etc.

Public, Confidential, and Alternative Financial Disclosure

1. Policies and procedures governing the administration of the public, confidential, and (if applicable) alternative financial disclosure systems. See 5 U.S.C. app 402(d)(1) & (2).
2. List of all employees required to file public, confidential, and (if applicable) alternative financial disclosure reports in CY2012. Please provide separate lists by financial disclosure type.

(Note: If a tracking system (spreadsheet, database, etc.) is used to track filer names and submission, review, and certification dates, please provide the list of filers through the tracking system.)

3. Copies of written requests for filing extensions and the subsequent written approvals for all extensions granted over 45 days. See 5 CFR 2634.201(f).

Education and Training

1. Written plan for conducting annual ethics training in CY2013. See 5 CFR 2638.706.
2. Copy of the Initial Ethics Orientation material provided to all new employees in CY2012. See 5 CFR 2638.703.
3. Evidence of completed Initial Ethics Orientation for all new employees in CY2012 (e.g., tracking spreadsheets, email confirmations, sign-in rosters, procedures indicating material is automatically provided, etc.).
4. Copy of the Annual Ethics Training material provided to public filers in CY2012. See 5 CFR 2638.704.
5. Copy of the Annual Ethics Training material provided to other covered employees in CY2012. See 5 CFR 2638.705.

(Note: If different training material was provided to different groups of employees, please clarify which material was provided to each group of employees.)

6. Evidence of completed Annual Ethics Training for all covered employees in CY 2012. (e.g., tracking spreadsheet, email confirmations, sign-in rosters, etc.).
7. Copy of any additional ethics-related training material provided by the agency in CY2012 (e.g., supervisory training, ethics official training, financial disclosure review training).

Written Advice/Counseling

1. Copies of all ethics advice and counsel issued by a formal letter or memorandum in CY2012.
2. Copies of a sample of advice and counsel provided by email in CY2012 which address (if applicable) financial conflicts of interest, impartiality, post-government employment, gifts, financial disclosure, misuse of position, outside activities, and other ethics topics.

Agency-Specific Ethics Prohibitions, Restrictions, and Requirements

1. Documentation of authority to promulgate prohibitions or restrictions on financial interests or outside activities not based on a Supplemental Standard of Conduct. This would include separate statutory authority allowing the agency to establish restrictions in addition to what is allowed under the Standards of Ethical Conduct for Employees of the Executive Branch.

2. Copies of written approvals for holding outside positions, if required by supplemental agency regulation.

Conflicts Remedies

1. Copies of screening arrangements for Presidentially-appointed, Senate-confirmed (PAS) officials with 18 U.S.C. 208 or 5 CFR 2635.502 recusals in their ethics agreements.
2. Copies of all 18 U.S.C. 208(b)(1) waivers issued in CY2012.

Enforcement

1. Contact information for agency Inspector General or equivalent office.
2. Copy of any memorandum of understanding between the agency and an outside Inspector General's office, if applicable.

Special Government Employees

1. List of all advisory committees, copies of their charters, lists of their members and contact information for each committee manager.
2. List of any individuals who served for 130 days or less during any 365 days (i.e., temporarily on either a full-time, intermittent, or part-time basis) and are assigned to committees, councils, boards, commissions, etc., identified, if applicable, by SGEs and non-SGEs.
3. List of any other individuals who served for 130 days or less during any period of 365 days (e.g., experts/consultants), identified, if applicable, by SGEs and non-SGEs.
4. List of all SGEs required to file public, confidential, and (if applicable) alternative financial disclosure reports in CY2012. Please provide separate lists by financial disclosure type.
5. Copies of written requests for filing extensions and the subsequent written approvals for all extensions granted over 45 days for SGEs. See 5 CFR 2634.201(f).
6. Copy of the training material used for SGE Initial Ethics Orientation in CY2012.
7. Evidence of completed Initial Ethics Orientation for all new SGEs in CY2012 (e.g., tracking spreadsheet, email confirmations, sign-in rosters, procedures indicating material is automatically provided, etc.).

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8. Copy of the training material used for SGE Annual Ethics Training in CY2012.

(Note: If different training material was provided to different groups of SGEs, please identify which material was provided to each group of SGEs.)

9. Evidence of completed annual ethics training for all covered employees in CY 2011. (e.g., tracking spreadsheet, email confirmations, sign-in rosters, etc.).

Travel Payments under 31 U.S.C. § 1353

1. Policies and procedures governing the acceptance of travel payments, including the process for conducting conflict of interest analysis (if not provided in the Program Administration section).