



Financial Disclosure ... And Beyond! A Play In Three Acts

Featuring the EPA Ethics Performers Justina Fugh, Jennie Keith and Dan Fort September, 2011

The Life of an Ethics Official



Ethics officials need certain skills to succeed

- Working knowledge of financial instruments
- Ability to communicate 360 degrees
- Knowledge of ethics statutes and regulations
- Ability to multi-task
- Time management skills
- Know when you can't do it all

Also key: MANAGEMENT SUPPORT

EPA Order 1000.28A: Our Ethics "Constitution"



EPA's ethics program is decentralized:

- ✓ Core team in Office of General Counsel (OGC) provides oversight for entire program
- ✓ Over 100 Deputy Ethics Officials (DEOs) with certain delegated authority
- ✓ DEOs may redelegate some of their authority to Assistant DEOs
- ✓ DEOs sign 450's, core team signs 278's

Financial Disclosure: Only the Beginning



Technical review is only part of the task
Conflict review is harder, but even more important
Be curious and probe deeper for information
Reviewing forms is an opportunity, not a chore

What does a typical day look like for us?

Financial Disclosure ... and Beyond! A Play In Three Acts



The Inner Workings of Review

- Technical Review
 - Anything missing?
 - Any discrepancies with last filing?



- Conflicts Review
 - Private interests conflicting with public duties?
 - Watch for nuances: private vs. public stock, outside organizations made up primarily of federal employees
 - Ask for more information when needed
 - Ultimately, the filer is responsible for disclosure

Where We Look For Information

The form itself:

Assets
Agreements/Arrangements
Outside positions

Internet and Intranet:
➢ Internet search engines
➢ Internal databases

Ask filer's supervisor

But, sometimes there's no substitute to talking with the filer...



Financial Disclosure ... and Beyond! A Play In Three Acts



Tips For Talking With Your Filer



- > May not be as focused as you on ethics
- Look below the surface for underlying issues
- Build relationship with your filer
- > Ask questions, try to be pleasant
- You are not an accountant (unless you really are)

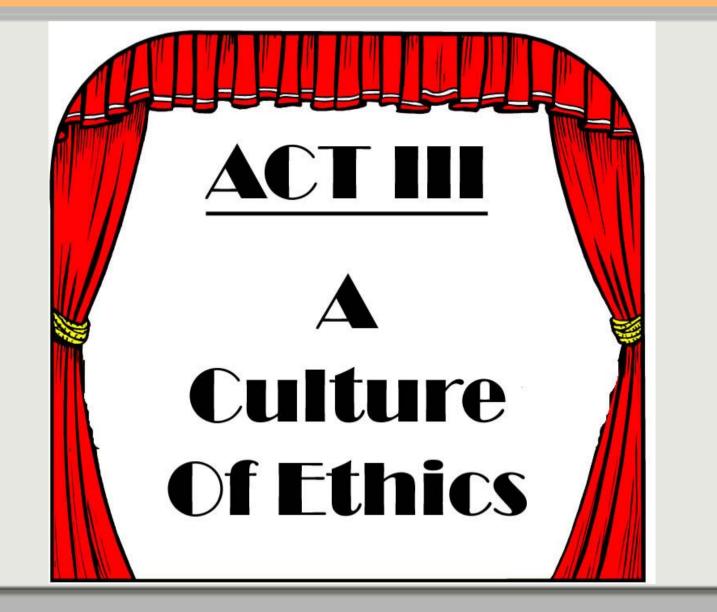
Dealing With Ethics Issues



- Keep focused on your mission
- Ethics nuances (e.g, private vs. public stock)
- > The filer may not see the issues the same way you do
- Remember: YOU are the ethics official
- Some examples we've seen

But, you have to go beyond financial disclosure and build a culture of ethics

Financial Disclosure ... and Beyond! A Play In Three Acts



Building A Culture of Ethics

- ➢ No person is an island
- > Work within your structure
- Don't need to know everything
- Prevent problems from happening
- Set achievable goals
- Cultural change can take years





- It's not just what's legal, it's what's right
- You can do everything to letter of law, but still lose in the court of public opinion
- Have to go beyond compliance and create a culture of ethics
- Just have fun!



Contacts at EPA/Ethics:

Justina Fugh, Senior Counsel for Ethics (202) 564-1786 fugh.justina@epa.gov

Dan Fort, Ethics Officer (202) 564-2200 fort.daniel@epa.gov

Jennie Keith, Ethics Officer (202) 564-3412 keith.jennie@epa.gov