



United States
Office of Government Ethics
1201 New York Avenue, NW., Suite 500
Washington, DC 20005-3917

December 24, 2002

DO-02-031

MEMORANDUM

TO: Designated Agency Ethics Officials and Alternate Designated Agency Ethics Officials

FROM: Jack Covalleski
Deputy Director, Office of Agency Programs

SUBJECT: Revisions to the Annual Agency Ethics Program Questionnaire

In accordance with 5 C.F.R. §2638.602(a), this memorandum serves as notice of changes to the reporting requirements for the Annual Agency Ethics Program Questionnaire (Questionnaire). These changes will go into effect for the Questionnaire due to the Office of Government Ethics (OGE) on February 1, 2004, covering calendar year 2003. The Questionnaire that is due to OGE on February 1, 2003 covering calendar year 2002 was distributed by email to all executive branch Designated Agency Ethics Officials (DAEOs) and Alternate Designated Agency Ethics Officials (ADAEOs) on October 29, 2002.

Overall, the questionnaire has been shortened, eliminating questions that ask for information that OGE obtains through other means. Several questions have also been reformatted, replacing numeric ranking with rating scales. However, there are several areas where OGE will be asking for new statistics that we feel will provide us with a better assessment of the ethics program executive branch-wide and aid us in future program policy decisions. Specific changes in the questionnaire that require additional data collection are detailed below by section. Please note, there are several questions in the Questionnaire that may require you to contact another office within your agency, such as Human Resources, to obtain the information you need to answer the questions.

Organization/Resources

These two sections have been combined and streamlined to eliminate questions that ask for information that OGE obtains through other means throughout the year.

Program Administration

This new section includes reformatted questions previously found in the Resources section. The questions address the amount of time required to administer specific ethics program functions, areas of the program that agencies have contracted out or automated, and internal reviews of the ethics program.

Education and Training

This section has been significantly revised. The table of training, which required agencies to identify the training conducted in accordance with each specific provision of the training regulation, has been eliminated. For calendar year 2003, you will be asked to provide totals for the following:

Initial Training

- Number of employees required to receive initial training.
- Number of employees who received initial training.

Annual Training

- Number of employees who were required to receive annual training.
- Number of required employees who received annual training.
- Total number of employees who received annual training. (Including employees that you trained that were not required to receive training.)

We have added multiple choice questions on the methods you use to ensure that your covered employees received training as well as the topics you covered in your training.

Ethics Opinions, Advice and Counseling

We reformatted the question asking how frequently you provide opinions, advice and counseling on specific ethics topics by replacing the numeric ranking with a rating scale. We added a multiple choice question on the methods you use to ensure that accurate opinions, advice and counseling are provided to employees.

Enforcement of Standards of Ethical Conduct, Criminal and Civil Statutes

Previously, enforcement was divided between two sections. One dealing with the standards of conduct and the other with the statutes. The sections have been combined under one heading and the questions on the criminal and civil statutes have been consolidated.

We have also added a question asking which office in your agency is responsible for notifying OGE when a referral of a potential violation of the conflict of interest statutes has been made to the Department of Justice.

Public Financial Disclosure

This section has the most significant changes that require you to collect new data. For calendar year 2003, you will need to break out the number of Schedule C employees who were required to and filed the SF 278. In addition, you will need to break out the number of career and non-career SES employees who were required to and filed the SF 278. These new categories are also included in the table for reporting corrective and remedial actions.

You will be asked several new questions in this section that deal with administering the public financial disclosure system. Because OGE has delegated authority for granting filing extensions and waivers of the late filing fee, you will be asked to report the number of requests you received for extensions and waivers and the number that you granted. In addition, you will be asked to report the number of requests (OGE form 201) you received to release SF 278s and the total number of individual SF 278 reports requested to be released. You will also be asked to break out the number of career and non-career SES SF 278 reports requested to be released.

We have simplified the reporting requirements for the confidential financial disclosure system. You will be asked to report the total number of OGE 450 reports required to be filed and the number actually filed. You will be asked to separately report the number of the Alternative OGE 450A reports required to be filed and the number actually filed.

Advisory Committees/Special Government Employees (SGEs)

We have added a question on advisory committee members and a question that will require you to identify any boards or

commissions for which you provide ethics program services that are independent of your agency.

Waivers

We removed this as a separate section and eliminated the questions on the number of waivers issued to public and confidential filers as this is captured in the financial disclosure sections. The question on the number of waivers issued for SGEs has been moved into the SGE section.

Lastly, we expect to offer an on-line version of this revised questionnaire on the OGE website to allow you to submit your report for calendar year 2003 electronically. More information regarding the on-line version will be provided in the fall of next year.

If you have any questions regarding the changes to the questionnaire, please contact Barbara Mullen-Roth at 202-208-8000, extension 233 or bamullen@oge.gov.

[Attachment](#)