

United States Office of Government Ethics



Joseph Gangloff
Deputy Director

4.6 Million Executive Branch Employees

Over 25,000 "Public" Filers (1,300 PAS) and 325,000 "Confidential" Filers

5,768 Ethics Officials

8% full-time and 92% collateral duty

133 Federal Agencies

*133 Designated Agency Ethics Officials and
133 Alternate Designated Agency Ethics Officials*

U.S. Office of Government Ethics





Oversight

Advice

Training

5,700
Ethics Officials

Working in 133 Agencies

Oversight

Advice

Training

4,600,000
Agency Employees

Includes 326,000 Confidential
Financial Disclosure Filers

Includes 28,000 Public
Financial Disclosure Filers

U.S. Ethics Program is Rules-Based

Statutory Civil and Criminal Laws

Administrative Regulations

Presidential Executive Orders

Compliance Model

1. Develop and disseminate clear standards.
2. Provide day-to-day guidance, advice, and other support to officials responsible for administering the program.
3. Provide training courses, instructional materials, and awareness-building products to enhance the program.
4. Monitor implementation of relevant laws and regulations, and assessing ethics program effectiveness.
5. Sanction individuals who violate legal requirements.

The U.S. Office of Government Ethics (OGE), is established by the *Ethics in Government Act of 1978* and:

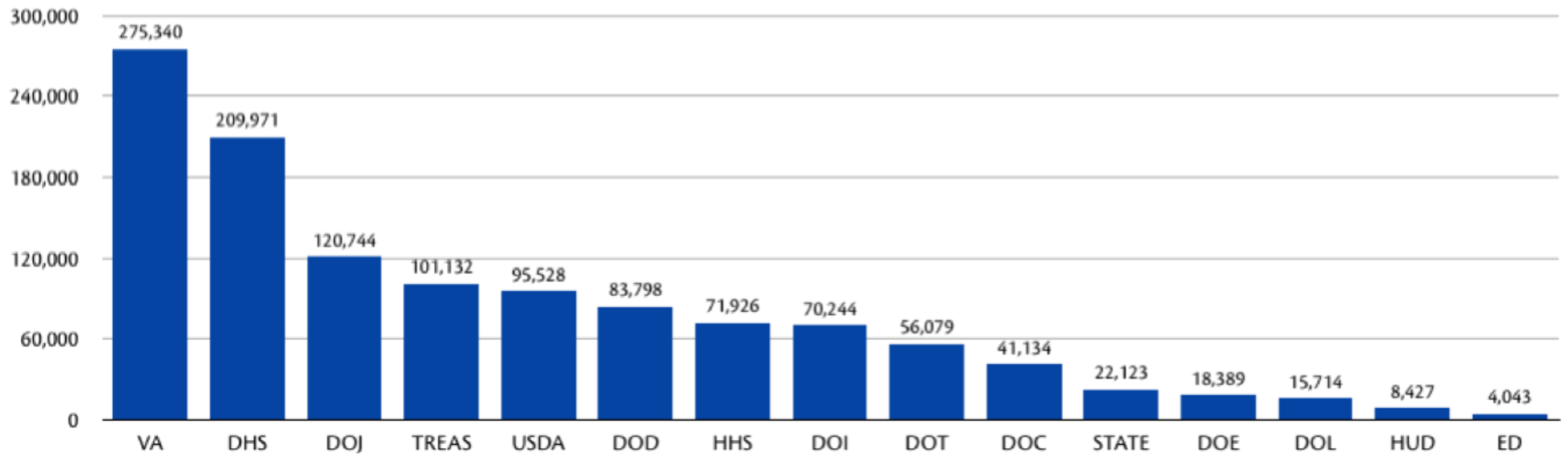
- provides overall direction of executive branch policies related to preventing conflicts of interest for executive branch employees,
- ensures uniform interpretation and application of ethics laws and rules,
- fosters consistent administration and implementation of a basic program structure within the executive branch, and
- works in partnership with agency ethics officials.

Decentralized implementation but centralized policy-making support and monitoring.

While oversight of the program is centralized, the head of each agency has ultimate responsibility for conduct of the ethics program at the agency level; day-to-day implementation of the program and support to employees is provided by the agency. Each component head is accountable for the success of the program within the agency, and regulations require that a qualified individual in the agency be designated to handle the routine responsibilities of the agency's program.

A Brief Look at the Cabinet Agencies

Number of Full-time Employees



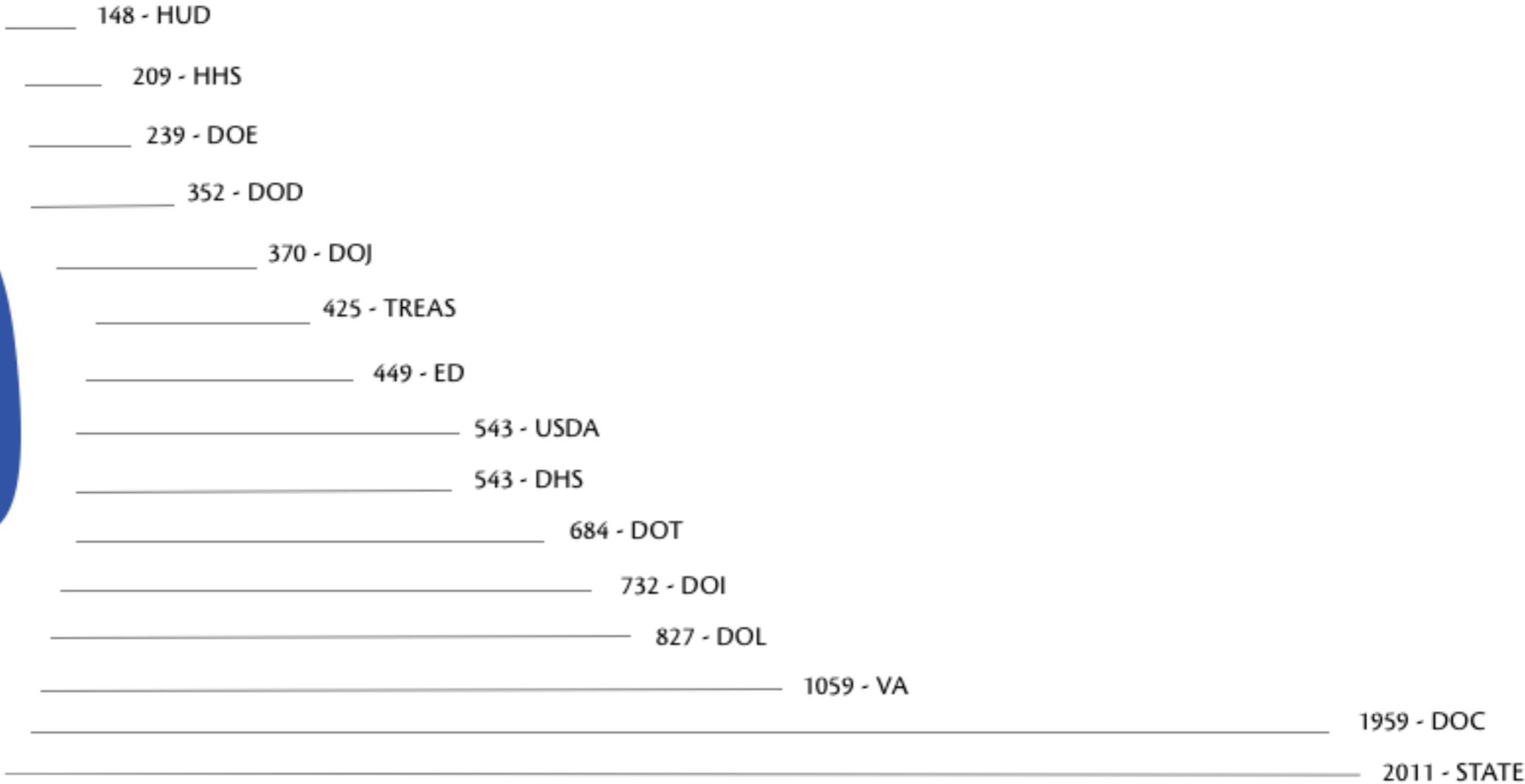
The Cabinet Agencies

1. VA - Department of Veterans Affairs
2. DHS - Department of Homeland Security
3. DOJ - Department of Justice
4. TREAS - Department of the Treasury
5. USDA - Department of Agriculture
6. DOD - Department of Defense
7. HHS - Department of Health and Human Services
8. DOI - Department of the Interior
9. DOT - Department of Transportation
10. DOC - Department of Commerce
11. STATE - Department of State
12. DOE - Department of Energy
13. DOL - Department of Labor
14. HUD - Department of Housing and Urban Development
15. ED - Department of Education

Number of Employees per One Ethics Official (Includes Full-Time and Collateral Duties)

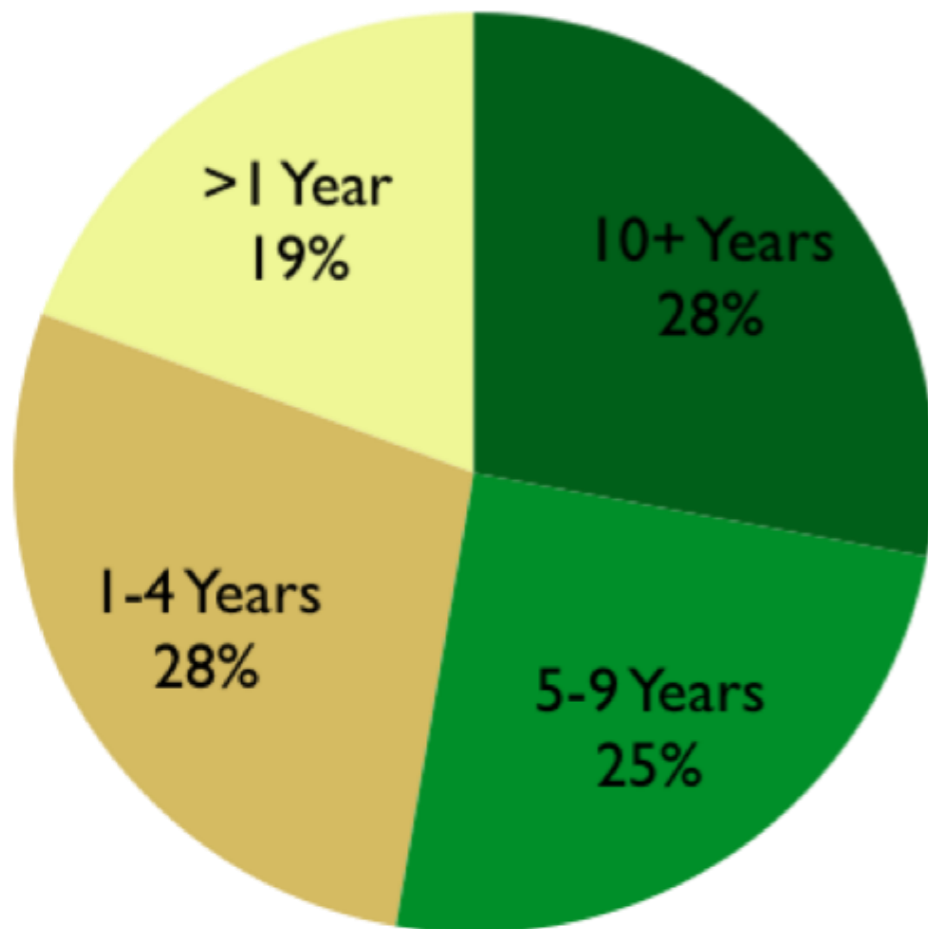


Ethics Official

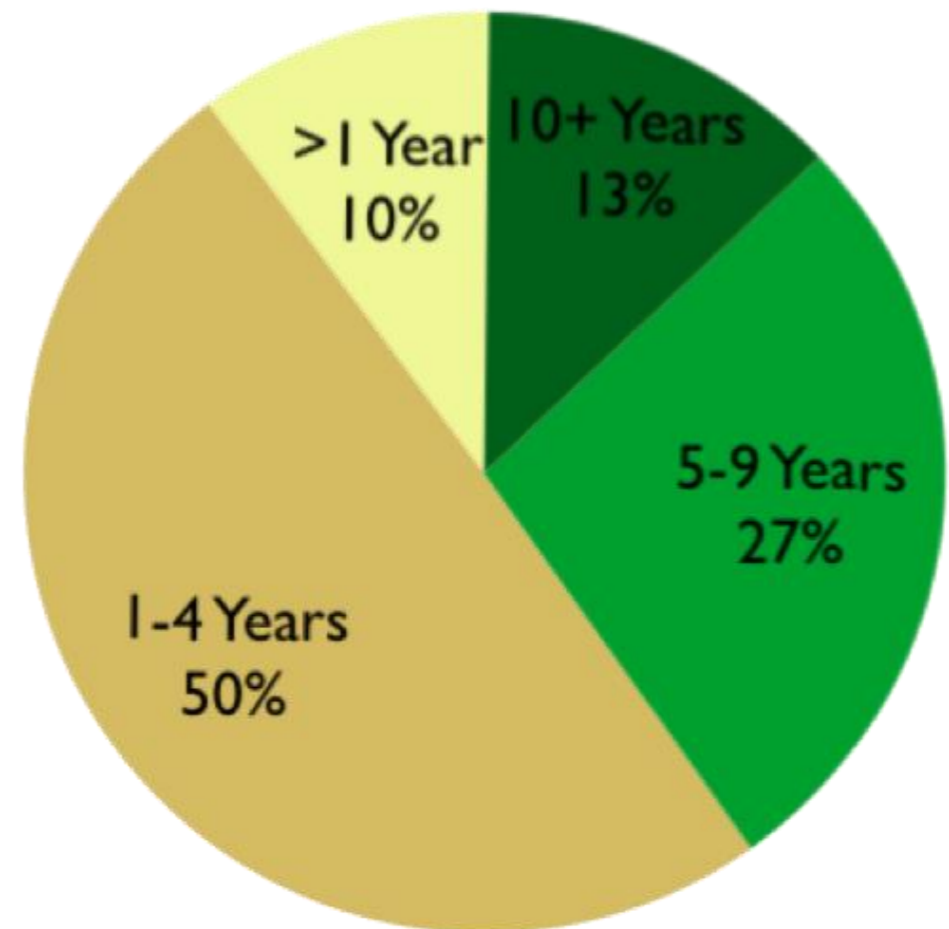


Length of Time Ethics Officials Have Been on the Job

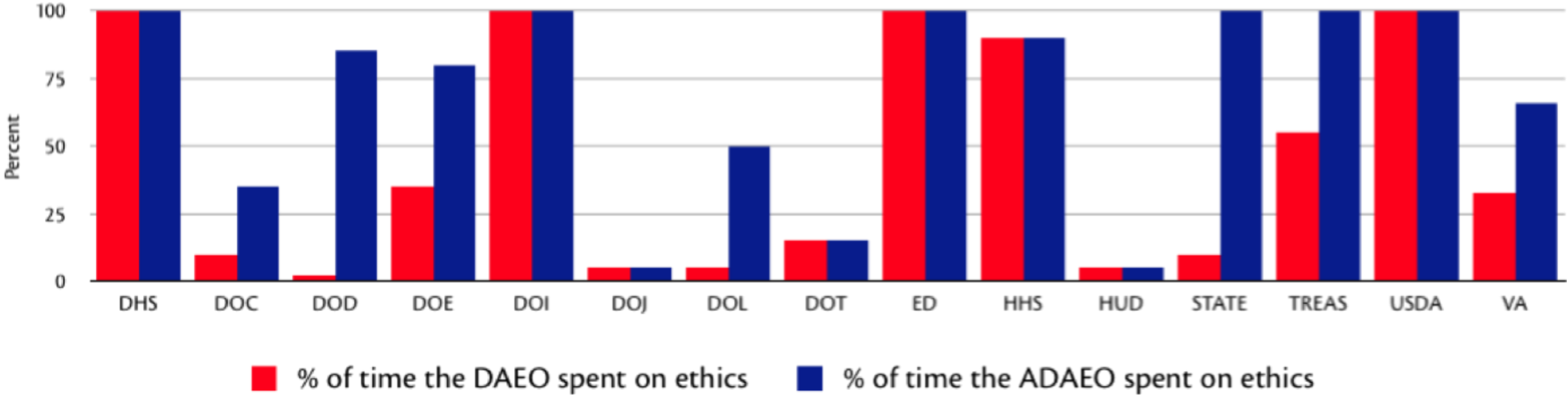
DAEOs



ADAEOs



Percentage of Time DAEO and ADAEO Spends on Ethics



Three Competencies Pillars

Substantive
Knowledge



Educational
Skills



Program
Management



Program Services

Provides direct liaison and support to agencies and components:

- guidance on ethics laws and regulations
- presidential nominee financial disclosure
- support overall public financial disclosure system
- desk officer system
- on-site outreach

Education

Supports agency ethics programs by emphasizing ethics education:

- ethics training products and materials including instructor-led training
- workshops and seminars
- focus groups
- training award program to enhance the usefulness of agency-specific training to benefit the broader ethics community

Program Review

Monitors agency compliance with ethics rules and assesses ethics program effectiveness:

- broad and narrowly-focused on-site reviews
- leadership commitment initiative
- model practice dissemination
- survey projects
- trend analysis

Compliance Is Not Enough

While our ethics system is based on rules, our experience over the last thirty years has convincingly demonstrated that narrowly focusing on compliance with rules is not enough to ensure the successful implementation of an integrity system.

Beyond Mere Compliance

Enduring program effectiveness can be achieved only by building and maintaining an ethical organizational culture that recognizes the importance of compliance, technical assessments can tell only part of the story. Monitoring and assessment efforts should be complemented by a range of activities designed to maintain an effective and cohesive ethics community and to foster an ethical culture within each agency.

Core Values of Technical Assessments

Transparency

Accountability

Accuracy

Consistency

Timeliness

Successful Ethics Program



Leadership	Awareness	Resources	Oversight
Visible Support	Distribution of Ethics-Related Information	Participation in Ethics-Related Events	Financial Disclosure and Training Tracking Systems
Access	Marketing the Ethics Program	Collaboration within the Ethics Community	Standard Operating Procedures
Involvement in Managing the Ethics Program	Training	Relationships within the Agency	Program Reviews
Budgetary Support		Searchable Advice and Counsel Databases	Peer Reviews
Awards and Ratings Linked to Compliance with Ethics Requirements		Electronic Filing Systems	Customer Feedback

Recent OGE Initiatives

- National Government Ethics Conference
- New Ethics Official Certificate Program
- “Ethics Pledge” Implementation
- Cabinet Benchmarking Project

Structural Balance

Consistency of advice

Leadership Support

Succession planning

Community

Raise the Level of Dialogue

Consistency of sanctions

Flexibility

Awareness

Resource allocation

Ownership

Customization

Appropriateness of sanctions

Integration with other programs

Recruitment/Retention

Specialized knowledge
of agency activities

Risk threshold

Timeliness

Continuity

Specialized knowledge
of ethics rules

Thank You

