

SUMMARY OF PERFORMANCE
FINANCIAL INFORMATION &

FISCAL YEAR
2016

OGE

OVERVIEW

The U.S. Office of Government Ethics (OGE), established by the Ethics in Government Act of 1978, provides overall leadership and oversight of the executive branch ethics program designed to prevent and resolve conflicts of interest. OGE’s mission is part of the very foundation of public service. The first principle in the Fourteen Principles of Ethical Conduct for Government Officers and Employees is, “Public service is a public trust, requiring employees to place loyalty to the Constitution, the laws and ethical principles above private gain.” Public servants are expected to make impartial decisions based on the interests of the public when performing their job duties. OGE, in concert with agency ethics practitioners throughout the executive branch, ensures that employees fulfill this great trust.

To carry out its leadership and oversight responsibilities, OGE promulgates and maintains enforceable standards of ethical conduct for approximately 2.7 million employees in over 130 executive branch agencies and the White House; oversees a financial disclosure system that reaches more than 26,000 public and more than 380,000 confidential financial disclosure report filers; ensures that executive branch agency ethics programs are in compliance with applicable ethics laws and regulations; provides education and training to the more than 4,500 ethics officials executive branch-wide; conducts outreach to the general public, the private sector, and civil society; and provides technical assistance to state, local, and foreign governments and international organizations.

FINANCIAL HIGHLIGHTS

OGE is committed to effectively and efficiently manage the funds appropriated by Congress to execute its important mission. There were no significant changes to OGE’s financial position in fiscal year 2016. OGE’s financial statements and footnotes appear in the Part III of [OGE’s Annual Financial Report for FY 2016](#).

Selected Financial Data	2015	2016
Total Assets	\$8,306,839	\$6,917,138
Total Liabilities	\$1,543,137	\$3,399,129
Net Cost of Operations	\$17,014,534	\$19,440,102

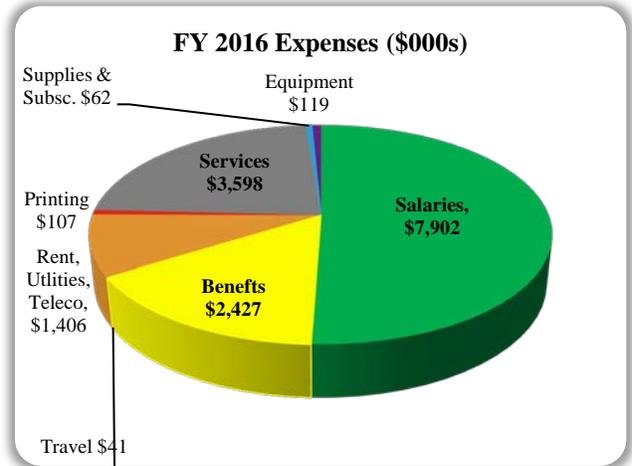
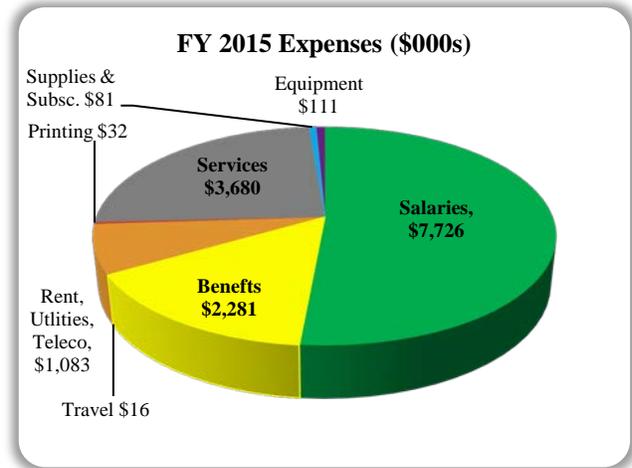
In fiscal year 2016, OGE maintained an unmodified opinion on its financial statements and no material internal control weaknesses were found by independent auditors.

Salaries & Benefits

OGE is a lean [organization](#), operating with fewer than its 80 authorized full-time equivalents. OGE’s greatest resource is its multidisciplinary staff of attorneys, ethics and finance experts, and support personnel who work in concert to carry out OGE’s mission.

Integrity

In fiscal year 2016, OGE demonstrated strong financial stewardship by maximizing the use of existing resources, improving internal processes, and advancing transparency initiatives to accomplish its strategic goals in support of White House priorities. In fiscal year 2016, OGE expanded use of *Integrity*, a secure, web-based electronic filing system for executive branch public financial disclosure report (OGE Forms 278e and 278T) filers mandated by the STOCK Act. The system is offered without charge to all executive branch agencies, and to date, 134 agencies and more than 14,000 senior executives and Presidential appointees are using the system. In order to fully prepare for and successfully support its role in the Presidential transition, OGE significantly enhanced *Integrity* functionality. In particular, OGE improved the system functionality to better manage the influx of the highest level officials in the next Administration, and made several other critical enhancements essential to supporting OGE's work in the Presidential nomination process. In addition, preparation for the election and post-election periods in fiscal years 2017 and 2018 remained a top priority agency-wide during fiscal year 2016. OGE rebuilt and relaunched its website, provided a wide variety of cost-effective training opportunities, exceeded targets for agency ethics program reviews, and undertook significant regulatory activities to ensure their continued effectiveness and applicability to government employees.



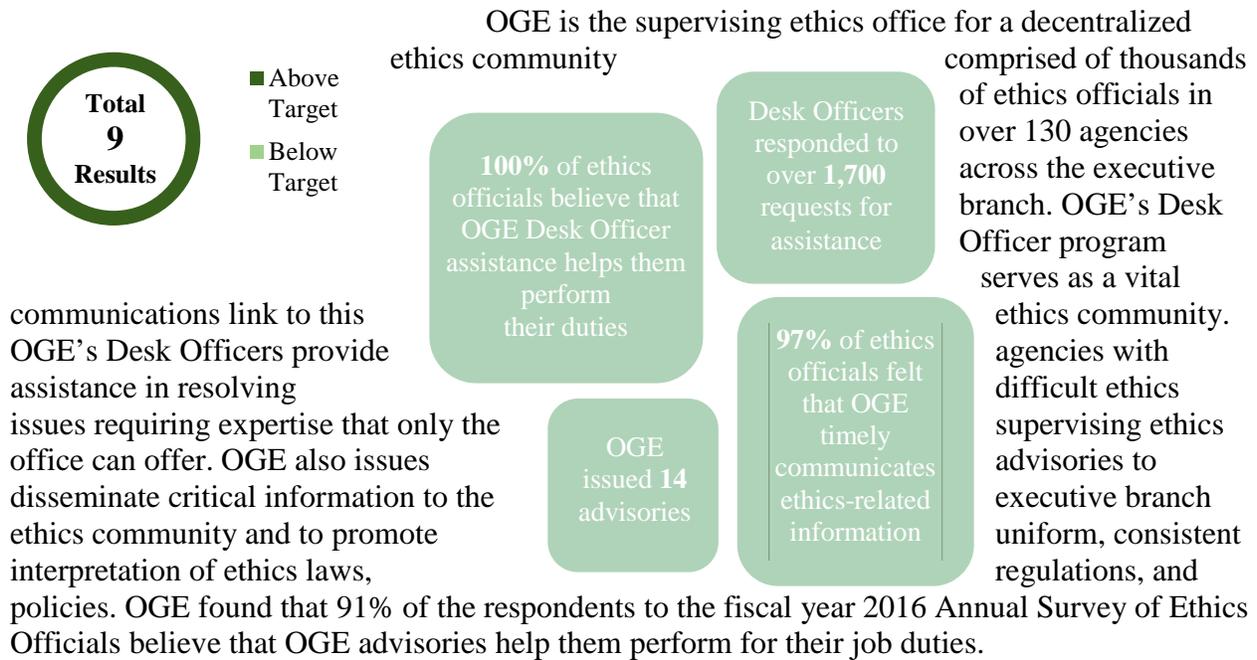
PERFORMANCE HIGHLIGHTS

In fiscal year 2016, OGE met or exceeded each of its performance goals. Below are performance highlights from each of OGE’s major activities that support its strategic goals. These highlights demonstrate that OGE has been successful in achieving its strategic goals and accomplishing its mission.



- Above Target
- Below Target

Strategic Goal 1: Advance a strong uniform executive branch ethics program.



In addition to providing day-to-day assistance through the Desk Officer program and issuing advisories, OGE holds executive branch agencies accountable for carrying out an effective ethics program by conducting agency ethics program reviews and reviewing the financial disclosure reports of senior executive branch officials.



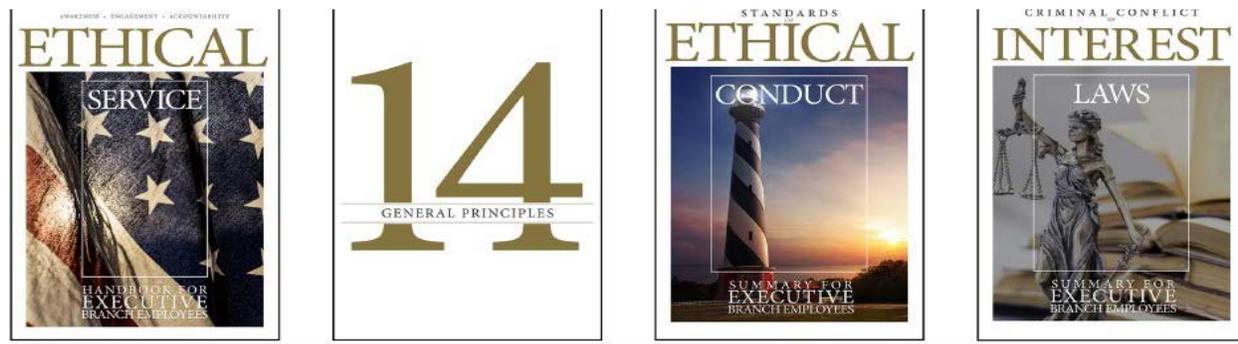
OGE also reviews the public annual, termination, and transaction financial disclosure reports of executive branch leaders appointed by the President and confirmed by the Senate (PAS), as well as other reports filed by Designated Agency Ethics Officials (DAEOs) and certain White House officials. The timely review of these reports helps ensure that these senior officials remain free from conflicts of interest. In fiscal year 2016, OGE reviewed approximately 1,700 public financial disclosure reports (new entrant, annual, termination, and periodic transaction reports). OGE exceeded its target of completing reviews of public financial disclosure reports required to be submitted to OGE within 60 days of receipt.



In addition, in fiscal year 2016, OGE offered a wide array of educational offerings to ensure that ethics officials had access to the expertise and tools they need to do their jobs. Ethics training is essential to ensuring uniformity in the application of ethics laws and policy. As a key part of these offerings was OGE held its second National Government Ethics Summit (Summit) in March 2016. The Summit, a cost effective, multi-day training event was attended by over 500 in- person executive branch ethics officials and external stakeholders. To both expand the reach of the Summit and increase transparency of the executive branch ethics program, OGE effectively utilized technology to broadcast, by live-streaming at no cost more than half of the sessions.

OGE also held a full-day, in person training event, with two financial disclosure tracks: one for beginner financial disclosure reviewers and one for nominee financial disclosure reviewers. The event helped prepare ethics officials to successfully manage the surge in financial disclosure filings related to the large numbers of departing employees and incoming nominees typical during a Presidential transition year.

In addition to in-person training, OGE continued to deliver its Ethics Fundamentals and Advanced Practitioner distance learning series. Topics covered included gifts, public and confidential financial disclosure, ethics records, and tools for delivering annual ethics training. As a result of attending courses offered by OGE, 100 percent of ethics officials reported that they better understood the subject matter presented and 97 percent believe they can more effectively perform their jobs. OGE also made available useful training products by developing a collection of scenarios ethics officials could use to deliver annual ethics training, and by developing a handbook for executive branch employees new to federal service.



Ethics regulations serve as the building blocks of the executive branch ethics program. OGE reviews and revises the ethics rules and regulations to ensure their continued effectiveness and applicability to situations faced by employees in a 21st century government. This includes publishing a final regulation revising regulations addressing the limitations on the ability of executive branch employees to seek employment other than government employment. Lastly, in fiscal year 2016, OGE made significant progress toward finalizing key changes to the regulations governing executive branch agency ethics program responsibilities (5 C.F.R. part 2638); gifts from outside sources (5 C.F.R. part 2635, subpart B); and financial disclosure (5 C.F.R. part 2634). OGE issued a final rule revising 5 C.F.R. part 2638 and 5 C.F.R. part 2635, subpart B at the beginning of fiscal year 2017.

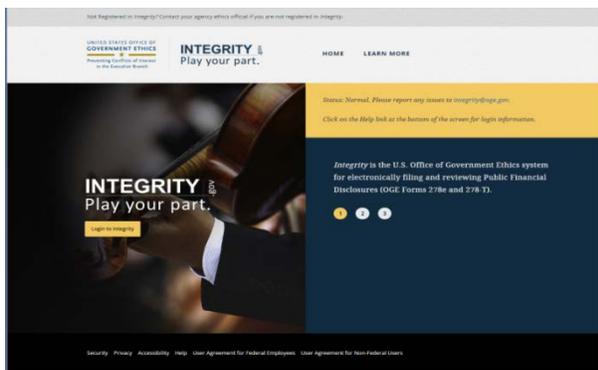
Strategic Goal 2: Contribute to the continuity of senior leadership in the executive branch.



- Above Target
- Below Target

OGE contributes to the continuity of senior leadership in the executive branch by assisting in the President’s constitutional duty to nominate and appoint officers to the executive branch, supporting succession planning in executive branch ethics programs, and promoting leadership support of the executive branch ethics program overall.

In fiscal year 2016, OGE reviewed the reports of nominees for approximately 12 percent of the PAS positions. By leveraging existing resources and improving internal processes and tracking, OGE was able to meet the priorities set by the White House and the Senate. In addition, in coordination with the Federal Election Commission, OGE reviewed all of the public financial disclosure reports of covered candidates and for the Office of President of the United States for the office of Vice President. OGE makes these reports available to the public upon request. OGE measures its performance by the successful and timely resolution of conflicts and technical reporting issues for nominee financial disclosure reports. OGE’s standard is to resolve conflicts and technical reporting issues no later than five days after a nomination is made. OGE exceeded its targets in this area.



In fiscal year 2016, OGE successfully operated its electronic public financial disclosure filing system, *Integrity*. Throughout fiscal year 2016, OGE worked to transition 80 agencies and approximately 7,000 filers into *Integrity* in time for the 2016 annual filing season. As a result of OGE’s multi-year over efforts 13,700 filers from 134 agencies were registered and used the system during the 2016 annual 278 filing season. Also in fiscal year 2016, OGE successfully developed and

launched a complex new workflow functionality in *Integrity* for reviewing Presidential nominees that will enable OGE to better manage the influx of the highest-level officials in the next Administration, so they can securely and efficiently file their public financial disclosure reports electronically.

In fiscal year 2016, OGE expanded its efforts to prepare for the Presidential transition. OGE increased its collaboration with the Partnership for Public Service and transition service provider agencies, contributing to the development of products for campaigns and the transition team, and conducting in depth briefings and training presentations. Following passage of the Presidential Transition Act of 2016, OGE’s Chief of Staff began serving on the executive branch-wide Agency Transition Directors Council. OGE increased its internal training of staff and began conducting similar training for agency ethics officials throughout the executive branch. OGE centered its 2016 National Government Ethics Summit around the theme of the Presidential transition, delivering three full days of instruction relevant to the Presidential transition to hundreds of ethics officials and other stakeholders. OGE presented a full-day

symposium on financial disclosure, with separate tracks for beginner and advanced reviewers, to prepare for the surge in financial disclosure work during the Presidential transition. In addition, OGE continued to streamline its nominee processes, automating a number of functions and going paperless for nominees who file public reports. OGE also developed and presented a Presidential Transition Readiness series of courses and workshops to continue training agency ethics officials throughout fiscal year 2016. OGE also developed and published several products for use during the Presidential transition: an extensive Nominee Ethics Guide for Presidential nominees, a separate ethics guide for campaigns and the Presidential Transition Teams, a comprehensive web-based financial disclosure guide, and a one-page guidance document on Certificates of Divestiture that will be useful to nominees who are required to divest financial interests.

Strategic Goal 3: Promote transparency of the executive branch ethics program.



- Above Target
- Below Target

OGE directs resources toward raising the visibility of the systems in place to identify and resolve conflicts of interest, and making ethics documents publicly available. Transparency increases accountability and builds public confidence in the impartiality of government decision making.

OGE’s website is its primary tool for communicating with its external stakeholders and building confidence in the systems designed to detect and resolve conflicts of interest in the federal executive branch. In fiscal year 2016, OGE rebuilt and relaunched its website in order to better control the timeliness of the content it makes available to the public, as well as significantly reduce costs. In fiscal year 2016, OGE continued to use social media to broaden its reach to key external stakeholders.

OGE also responded to 500 requests for information and assistance from its non-executive branch external stakeholders on topics such as public financial disclosure, gifts from outside sources, and post-employment restrictions. This assistance increases OGE’s external stakeholders’ understanding of the executive branch ethics program and related ethics rules and regulations.

In fiscal year 2016, OGE continued its efforts to make a broad array of ethics documents available to the public including legal advisories, laws and regulations, travel reports, training materials, and financial disclosure reports. For example, OGE assists citizens in ensuring that the leaders of their government are free from conflicts of interest by timely making available on its website the public financial disclosure reports and ethics agreements of the most senior officials in the executive branch. OGE also helps citizens to assess the health of ethics programs across the executive branch by publishing ethics program review reports. These reports detail strengths and weaknesses of agency ethics programs as well as steps that agencies have taken to correct any deficiencies. OGE has taken steps to make access to these important documents as easy as possible by creating dedicated sections of its website for locating these documents and highlighting the availability of these documents on the OGE homepage.

Management Objectives: Promote professional development opportunities aimed at building OGE employees’ knowledge, skills, and abilities. Transform the way OGE conducts business through process improvement.



- Above Target
- Below Target

In an effort to work smarter, OGE continued to review its processes and procedures for ways to improve the ethics community and its internal

operations. Of note, in fiscal year 2016, OGE

developed web applications and automated tools that enable the agency to conduct business with greater efficiency and effectiveness. For example, OGE launched an updated version of its Financial Disclosure Tracking System a critical tool that allows OGE staff to access financial



disclosure records, reports, supporting documentation, and correspondence relevant to a filer through a single application.

USEFUL RESOURCES

OGE's homepage is www.oge.gov. Several of the more frequently visited OGE resources are listed here:

General Information	
About OGE	A general overview of OGE's mission and activities.
Organizational Chart	OGE's Organizational Chart.
Performance and Strategic Documents	Copies of OGE's Budget Justification, Annual Performance Plan, Annual Performance Report, Annual Financial Report, and Annual Employee Survey Results.
Important Dates and Deadlines	A schedule of important ethics dates for the current calendar year.
Director's Notes	A series of notes written by OGE's Director about the ethics program.
International Activities	This section describes OGE's international activities and provides links to key reference documents, translated documents, papers, and speeches, and related international links.
Access to Records	
Forms Library	Access to all forms created by OGE and instructions for downloading the forms.
Presidential Appointee and Ethics Agreements	Copies of the public financial disclosure reports and ethics agreements of executive branch leaders (officials occupying positions for which the pay is set at Levels 1 and 2 of the Executive Schedule).
Ethics Pledge Waivers	Copies of limited waivers to the Ethics Pledge required by Executive Order 13490 of January 21, 2009.
Ethics Pledge Reports	Copies of OGE's annual report on Executive Order 13490.
Program Review Reports	Copies of agency ethics program review reports, which include plenary, inspections, and follow-up reviews.
Travel Reports	Copies of semi-annual reports of payments for travel, subsistence, and related expenses from non-Federal sources in connection with attendance at certain meetings or functions.
Annual Agency Questionnaire Responses	Copies of agency responses to the Annual Agency Ethics Program Questionnaire. Responses include information about ethics officials and the administration of agency ethics programs, as well as core elements of the ethics program that assist in the identification and resolution of potential conflicts of interest.
Information Regarding the Ethic Laws and Regulations	
Conflict of Interest Statutes	Summaries and links to each of the federal criminal conflict of interest statutes.
Standards of Conduct	An electronic copy of Standard of Ethical Conduct for Employees of the Executive Branch.
Legal Advisories	Copies of legal advisories published by OGE.
Program Advisories	Copies of program advisories published by OGE.
Special Reports	A series of reports issued by OGE. For example, a compilation of agency responses to the Annual Agency Ethics Program Questionnaire.

Ethics Training	
<u>You Tube</u>	OGE's You Tube channel. The page contains training videos produced by OGE.
<u>Google+</u>	OGE's Google+ account. The page contains training videos produced by OGE.
Financial Disclosure	
<u>Integrity</u>	<i>Integrity</i> is OGE's system for electronically filing and reviewing public financial disclosures.
<u>Public Financial Disclosure Guide</u>	The Public Financial Disclosure Guide is a tool to assist individuals who file or review public financial disclosure reports.
<u>Confidential Financial Disclosure Guide</u>	The Confidential Financial Disclosure Guide is a tool to assist individuals who file or review confidential financial disclosure reports.
<u>Ethics Agreement Guide</u>	A comprehensive document to assist ethics officials in drafting ethics agreements.
OGE News	
<u>News Releases</u>	Short summaries of recent OGE activities.
<u>Twitter</u>	OGE's Twitter account: @OfficeGovEthics

For additional assistance, contact OGE by email at contactoge@oge.gov.

GAO Recommendation

GAO-16-548, Opportunities Exist to Improve Data on Selected Group of Special Government Employees

GAO Recommendation: To help ensure that agencies report consistent and reliable data, the Director of OGE should determine (e.g., through a survey of Designated Agency Ethics Officials and/or analyzing agency data) whether other executive branch agencies are experiencing data challenges similar to HHS, State, and NRC. If they are, the Director should take steps to help the agencies strengthen their data.

OGE described its plan to address the recommendation in a letter to the Committee on Homeland Security and Governmental Affairs on October 11, 2016. A copy of the letter can be found [here](#). OGE conducted a compulsory survey of and released a summary report of the results. A copy of the report can be found [here](#).

UNITED STATES OFFICE OF
GOVERNMENT ETHICS

— ★ —
Preventing Conflicts of Interest
in the Executive Branch

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