



Welcome to the 2014 National Government Ethics Summit

I am privileged to welcome you to the 2014 National Government Ethics Summit on behalf of the U.S. Office of Government Ethics.

This year, the Summit is presented not only by the U.S. Office of Government Ethics, but also by a collection of federal agencies that have signaled their strong commitment to government ethics by becoming cosponsors of this exciting event: the Federal Housing Finance Agency; the National Institute on Aging, National Institutes of Health; the U.S. Department of Health and Human Services; the Pension Benefit Guaranty Corporation; and the Transportation Security Administration.

This Summit is designed to strengthen the executive branch ethics program by providing the members of our government ethics community with opportunities to deepen their knowledge of the ethics rules, share lessons learned through extensive practical experience, listen to viewpoints from outside government, and build connections with ethics officials who can lend a hand in resolving even the most complex ethics issue. Toward these ends, we bring together leaders from the executive branch ethics community, representatives from the legislative and judicial branches, members of the press, advocates from good government groups, noted thinkers from academia, officials from state and local governments, and members of the international community.

Our approach to this Summit is an innovative departure from ethics conferences of the past. We are convening the Summit at local federal facilities in the Washington, D.C. area. Holding the Summit locally affords us the flexibility to schedule seven full days of presentations non-consecutively over the month of September without disrupting the important work of agency ethics offices. By using only federal facilities – thanks to our partner agencies – we avoid costs associated with renting a venue and traveling to a remote location. We are leveraging technology for streaming video in order to open many presentations to ethics officials outside the local area and interested members of the public. We are also delivering several additional sessions solely via streaming video on other dates in September.

This guide provides detailed information about all of these Summit events, organized chronologically. Throughout September, we will also post additional information about the Summit on our website at www.oge.gov. By going to the “Summits and Conferences” section under the “Education” tab on our website, you can read updates, access online content, and watch the streaming video feed: <http://www.oge.gov/Education/National-Government-Ethics-Conference/OGE-Summits---Conferences/>.

I look forward to sharing this valuable training and community-building Summit with you.

Walter M. Shaub, Jr.
Director, U.S. Office of Government Ethics

Thank You to Our Partners

This event is made possible through the generous support of our partners, who have graciously provided space for Summit events: the Federal Housing Finance Agency; the National Institute on Aging, National Institutes of Health; the U.S. Department of Health and Human Services; the Pension Benefit Guaranty Corporation; and the Transportation Security Administration.



Transportation
Security
Administration

NATIONAL GOVERNMENT ETHICS SUMMIT, SEPTEMBER 2014
Washington, D.C. Metropolitan Area

GENERAL INFORMATION

This PDF version of the Summit Guide includes the following information, which the print version does not: speaker biographies and hyperlinks to Summit materials, including slide presentations, handouts, and reference materials. The titles of sessions for which we have posted electronic presentation materials will be blue hyperlinks. (Updated 10/09/14)

HOSTED BY: U.S. Office of Government Ethics (OGE)

OGE WEBSITE: www.oge.gov

SUMMIT WEBPAGE: <http://www.oge.gov/Education/National-Government-Ethics-Conference/National-Government-Ethics-Summit/>

TWITTER: @OfficeGovEthics
#EthicsSummit

VIRTUAL EVENTS: Visit our “Watch Now” page on OGE’s Summit webpage to learn how you can watch live broadcasts of select events from the Summit and watch special virtual-only sessions. We are calling this online collection of broadcasts our “Virtual Summit.” No registration or fee is required to watch the Virtual Summit and all are welcome. Want to learn more? Watch our Virtual Summit Preview event live on August 28th at 2:00 p.m. EDT or archived thereafter: <http://youtu.be/bTXn3LAFWUs>.

See pages 6 and 7 of this Summit Guide for a handy National Government Ethics Virtual Summit schedule.

PRESENTATION MATERIALS: All Summit materials, including slide presentations, handouts, and reference materials, will be posted on the Summit pages of OGE’s website. We will not provide printed copies of slide presentations at the Summit, so attendees may wish to print the slide presentations ahead of time and bring them to the Summit.

DRESS CODE: Business casual. Attendees are encouraged to wear layered clothing to allow for varying weather and meeting room temperatures.

REGISTRATION: There is no on-site registration. All participants should have registered online in advance. All substitutions should also have been made in advance. We cannot make substitutions on the day of an event.

LUNCH: Lunch is on your own at all locations. Cafeterias are available at NIH and FHFA, and several lunch options are located near TSA and PBGC.

SUMMIT LOCATIONS: FORUM DAY 1
Tuesday, September 9, 2014
National Institutes of Health
9000 Rockville Pike
Bethesda, MD 20892

LARGE AGENCY INVITATIONAL
Wednesday, September 10, 2014
Federal Housing Finance Agency
Constitution Center
400 7th Street, SW
Washington, DC 20024

SMALL AGENCY INVITATIONAL
Monday, September 15, 2014
Transportation Security Administration
601 12th Street S
Arlington, VA 22202

MIDSIZE AGENCY INVITATIONAL
Thursday, September 18, 2014
Pension Benefit Guaranty Corporation
1200 K Street, NW
Washington, DC 20005

FINANCIAL DISCLOSURE INVITATIONAL (FINANCIAL
DISCLOSURE FUNDAMENTALS AND ADVANCED PAS NOMINEE
FINANCIAL DISCLOSURE)
Friday, September 19, 2014
Pension Benefit Guaranty Corporation
1200 K Street, NW
Washington, DC 20005

FORUM DAY 2
Friday, September 19, 2014
National Institutes of Health
9000 Rockville Pike
Bethesda, MD 20892

FORUM DAY 3
Tuesday, September 23, 2014
Federal Housing Finance Agency
Constitution Center
400 7th Street, SW
Washington, DC 20024

National Government Ethics Summit

September 2014

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
	1 LABOR DAY	2	3	4	5	6
7	8	9 Forum Day 1 (NIH)	10 Large Agency Invitational Day (FHFA)	11 Virtual Sessions	12 Virtual Sessions	13
14	15 Small Agency Invitational Day (TSA)	16 Virtual Sessions	17 Virtual Sessions	18 Midsize Agency Invitational Day (PBGC)	19 Forum Day 2 (NIH) Financial Disclosure Invitational Day (PBGC)	20
21	22 Virtual Sessions	23 Forum Day 3 (FHFA)	24	25	26	27
28	29	30				

National Government Ethics Summit *Virtual*

LIVE from National Government Ethics Forum

Below is the schedule of sessions that will be live streamed from the Summit at www.YouTube.com/OGEinstitute.

September 9, 2014

- 10:00-10:30:** Welcome Remarks
- 10:45-11:45:** Office of Government Ethics: Year in Review
- 1:45-2:45:** Perspectives on the Revolving Door
- 3:00-3:45:** Keynote Speaker: Max Stier, President of the Partnership for Public Service

September 19, 2014

- 9:00-10:30:** Gearing up for the 2014 Election Season: What Every Federal Employee Needs to Know About the Hatch Act
- 10:45-11:45:** The Nettlesome Question of Particular Matters of General Applicability
- 1:15-2:15:** Do We Have the Right Ethics Rules to Protect the Public's Trust?
- 2:30-3:30:** Compliance Convergence
- 3:45-5:00:** Government Travel and Related Ethics, Appropriations, and Gift Authorities

September 23, 2014

- 10:00-10:30:** Opening Remarks
- 10:30-11:00:** The Executive Branch Ethics Program From 50,000 Feet
- 11:15-12:15:** Ethics Across the Three Branches: Hot Topics and Issues of Common Interest
- 2:15-3:30:** Whistleblower Protection: Why It's Important to Good Government and How It Works
- 3:45-4:45:** Ethics Community Stakeholders: How the Press, Good Government Groups, and Others Work Toward Common Goals
- 4:45-5:15:** Keynote Speaker: The Honorable Donna Edwards, U.S. House of Representatives
- 5:15-5:30:** Closing Remarks

National Government Ethics Summit *Virtual*

LIVE Virtual-Only Sessions

Below is the schedule of virtual-only sessions that will be available at www.YouTube.com/OGEinstitute.

September 11, 2014

- 11:00-12:00: Elements of 18 U.S.C. § 208: The Conflict of Interest Statute (Part 1)
- 1:00-2:00: Elements of 18 U.S.C. § 208: The Conflict of Interest Statute (Part 2)

September 12, 2014

- 11:00-12:00: Elements of 5 C.F.R. § 2635.502: The Impartiality Regulation (Part 1)
- 1:00-2:00: Elements of 5 C.F.R. § 2635.502: The Impartiality Regulation (Part 2)

September 16, 2014

- 11:00-12:00: Understanding Gifts Exceptions (Part 1)
- 1:00-2:00: Understanding Gifts Exceptions (Part 2)

September 17, 2014

- 11:00-12:00: Understanding Gifts Exceptions (Part 3)
- 1:00-2:00: Understanding Gifts Exceptions (Part 4)

September 22, 2014

- 11:00-12:00: Preparing Ethics Briefings for Agency Leaders
- 1:00-2:00: Authorities Applicable to Noncareer Employees

*Forum Day 1
Tuesday, September 9*

FORUM DAY 1

Tuesday, September 9, 2014

National Institutes of Health
9000 Rockville Pike
Bethesda, MD 20892

The Three-Day Forum brings together leaders from the executive branch ethics community, representatives from the legislative and judicial branches, members of the press, advocates from good government groups, noted thinkers from academia, officials from state and local governments, and members of the international community. It consists of plenary and breakout sessions geared toward advanced ethics law and policy issues, as well as ethics-related authorities.

Metro Directions

The NIH campus is located at the Medical Center Metro Station (Red Line). The station's escalators exit onto the campus immediately in front of the NIH Gateway Center, which Summit attendees will enter for security processing. Once you receive your badge, Summit staff will be available to direct you to the Natcher Building, which is a five-minute walk from the Gateway Center. Shuttle bus service is also provided.

A map of the campus is available at <http://www.ors.od.nih.gov/maps/Pages/NIH-Visitor-Map.aspx>.

Parking

Because visitor parking is extremely difficult to find at NIH, we strongly recommend that attendees take public transportation. A map of the campus, as well as information on parking, is available at <http://www.ors.od.nih.gov/maps/Pages/NIH-Visitor-Map.aspx>. Driving directions are available at <http://www.nih.gov/about/drivingdirections.htm>.

Check-in and Pre-sessions

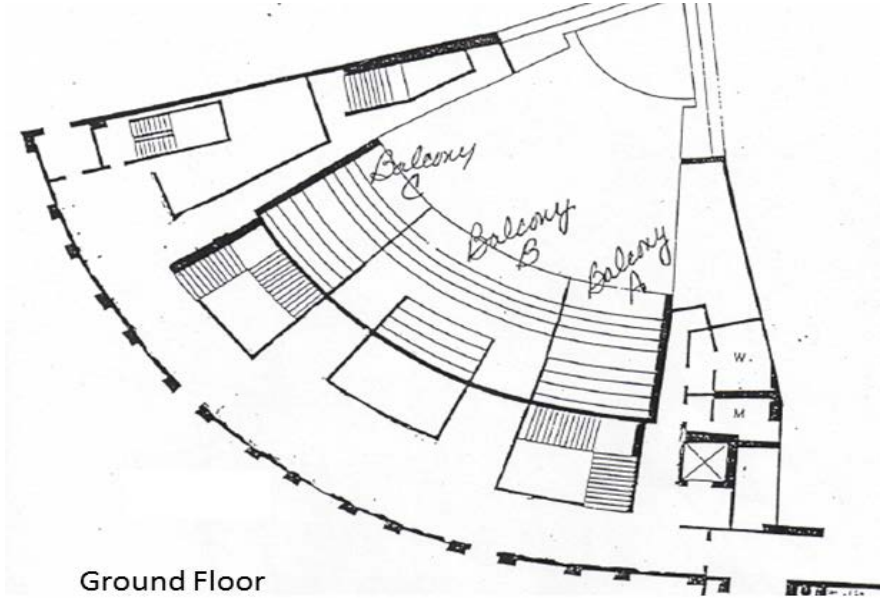
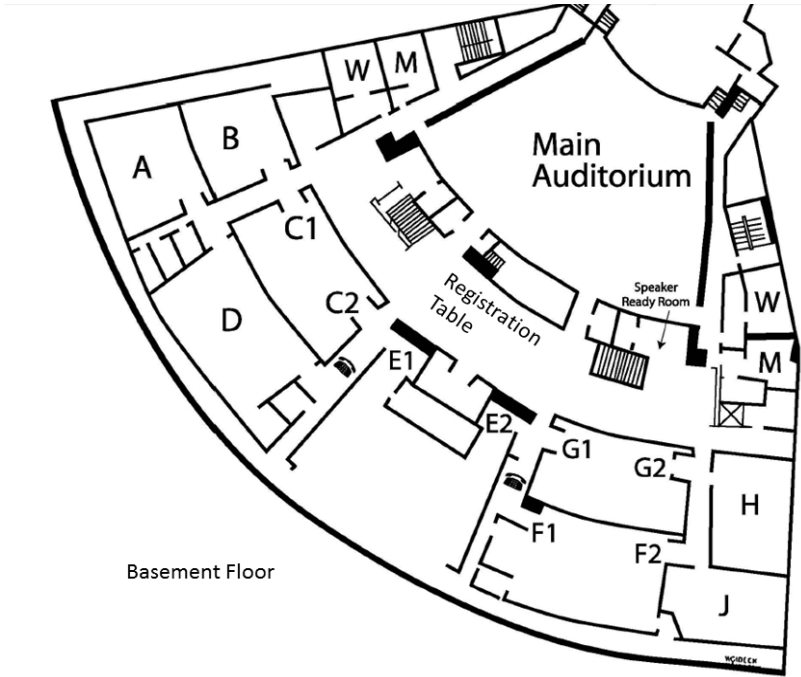
There is no on-site registration. All participants should have registered online in advance. Registrants may check in starting at 8:00 a.m.

The pre-sessions will start shortly after 8:00 a.m. They are designed as informal events, so attendees should feel free to enter pre-session venues at any time after they've checked in.

Lunch

Lunch is on your own. Attendees have the option to take lunch during any combination of the sessions that take place between 12:00 p.m. and 1:30 p.m. (marked with asterisks on the agenda-at-a-glance). The NIH cafeteria is open for lunch from 11:00 a.m. to 2:30 p.m. Food is not allowed in meeting rooms.

Map of Meeting Rooms at NIH



FORUM DAY 1 AT NIH

Tuesday, September 9, 2014

	Kirschstein Auditorium	Balcony B	Balcony C	Room D
8:00 – 8:45 Check-in Open/ Pre-session		Answers to Your Electronic Filing Questions on <i>Integrity</i>		
9:00 – 9:45 Pre-sessions	Introducing <i>Integrity</i> , OGE's New Electronic Filing System	Overview of OGE's Resources on MAX.gov		
10:00 – 10:30	Welcome Remarks			
10:45 – 11:45	Office of Government Ethics: Year in Review	Electronic Filing for Filers: <i>Integrity</i> Demonstrated		
12:00 – 12:30 *	Electronic Filing for Reviewers: <i>Integrity</i> Demonstrated (12:00 – 12:40)	A Primer on Certificates of Divestiture	Emoluments Clause for DoD Civilian Employees & Military Personnel	Resolving Impartiality Concerns – Which Door Will You Choose?
12:30 – 1:00 *	Electronic Filing for Reviewers: <i>Integrity</i> Demonstrated (12:50 – 1:30)			
1:00 – 1:30 *		A Primer on Certificates of Divestiture	Financial Disclosure Question and Answer Session	Identifying 450 Filers
1:45 – 2:45	Perspectives on the Revolving Door			
3:00 – 3:45	Keynote Speaker: Max Stier, President of the Partnership for Public Service			
4:00 – 5:00	Working With Your Office of Inspector General	2640 Exemptions That All Nominee Reviewers Should Know	Government Ethics and the Use of Social Media	What Does a Program Review Team Look For?

* Lunch is on your own. Attendees have the option to take lunch during any combination of the sessions marked with asterisks. The NIH cafeteria is open for lunch from 11:00 a.m. to 2:30 p.m. Food is not allowed in meeting rooms.

- 8:00 – 8:45 **Answers to Your Electronic Filing Questions on *Integrity*** Balcony B
- OGE’s electronic filing Program Manager and staff will answer questions about OGE’s new electronic filing system.
- George Hancock, Office of Government Ethics
Gilbert Carlson, Office of Government Ethics
- 9:00 – 9:45 **Introducing *Integrity*, OGE’s New Electronic Filing System** Ruth L. Kirschstein Auditorium
- Learn about *Integrity*, OGE’s new electronic filing system. The presentation will show how officials in various roles will use the system, its key features, improvements in electronic filing, key management reports, and more.
- Dale Christopher, Office of Government Ethics
George Hancock, Office of Government Ethics
Gilbert Carlson, Office of Government Ethics
- 9:00 – 9:45 **[Overview of OGE’s Resources on MAX.gov](#)** Balcony B
- New to MAX.gov? This session will introduce you to the resources that OGE has created on that site for the executive branch ethics community. It will also provide a tutorial on how to use some of the site’s key features, so that you can get the most out of your experience with MAX.gov.
- Monica Ashar, Office of Government Ethics
- 10:00 – 10:30 **Welcome Remarks by NIH’s Principal Deputy Director and OGE’s Director** Ruth L. Kirschstein Auditorium
- Lawrence A. Tabak, D.D.S., Ph.D., National Institutes of Health
Walter M. Shaub, Jr., Office of Government Ethics
- 10:45 – 11:45 **[Office of Government Ethics: Year in Review](#)** Ruth L. Kirschstein Auditorium
- Representatives of OGE’s General Counsel and Legal Policy Division, Program Counsel Division, and Compliance Division will present on recent developments in government ethics.
- Representatives of the Office of Government Ethics

Forum Day 1
Tuesday, September 9

10:45 – 11:45

Electronic Filing for Filers: *Integrity* Demonstrated

Balcony B

This interactive session will focus on how filers will interface with *Integrity*, OGE’s new electronic filing system. Members of the *Integrity* team will address questions that ethics officials will likely receive from their filers and will answer your questions as well.

George Hancock, Office of Government Ethics
Gilbert Carlson, Office of Government Ethics

12:00 – 12:40

Electronic Filing for Reviewers: *Integrity* Demonstrated

Ruth L. Kirschstein Auditorium

This interactive session will focus on how ethics officials and other financial disclosure report reviewers will interface with *Integrity*, OGE’s new electronic filing system.

Diana Veilleux, Office of Government Ethics
George Hancock, Office of Government Ethics

12:00 – 12:30

[A Primer on Certificates of Divestiture](#)

Balcony B

A certificate of divestiture (CD) allows executive branch employees, if they meet certain criteria, to defer capital gains that are incurred because they are required to sell assets in order to comply with the conflict of interest laws. In this session, you will learn: 1) the criteria that an employee must meet in order to be eligible for a CD and 2) what information the agency must include in its CD request to OGE.

Amy Braud, Office of Government Ethics

12:00 – 12:30

[Application of the Emoluments Clause to DoD Civilian Employees and Military Personnel](#)

Balcony C

This brief session includes instruction on the applicability of the U.S. Constitution’s Emoluments Clause to DoD personnel. After discussing the clause and what a “foreign state” is, the speaker will discuss how retiring and retired military personnel may obtain advance approval to accept a foreign emolument. The speaker will also address the remedy for violating the Emoluments Clause.

Jeff Green, Department of Defense

- 12:00 – 12:30 **Resolving Impartiality Concerns – Which Door Will You Choose?** Room D
- This short lunchtime session will help participants visualize the conceptual framework for resolving impartiality concerns under Subpart E of the Standards of Conduct.
- Kim Kaplan, Office of Government Ethics
- 12:50 – 1:30 **Electronic Filing for Reviewers: *Integrity* Demonstrated** Ruth L. Kirschstein Auditorium
- This interactive session will focus on how ethics officials and other financial disclosure report reviewers will interface with *Integrity*, OGE’s new electronic filing system.
- Dale Christopher, Office of Government Ethics
Gilbert Carlson, Office of Government Ethics
- 1:00 – 1:30 **[A Primer on Certificates of Divestiture](#)** Balcony B
- A certificate of divestiture (CD) allows executive branch employees, if they meet certain criteria, to defer capital gains that are incurred because they are required to sell assets in order to comply with the conflict of interest laws. In this session, you will learn: 1) the criteria that an employee must meet in order to be eligible for a CD and 2) what information the agency must include in its CD request to OGE.
- Amy Braud, Office of Government Ethics
- 1:00 – 1:30 **Financial Disclosure Question and Answer Session** Balcony C
- Join OGE’s Deputy Director for Financial Disclosure for an informal question-and-answer session on ethics agreements and financial disclosure reporting issues. Bring your questions on any burning financial disclosure reporting issues you have in the current filing cycle or have had in the past.
- Barbara Mullen-Roth, Office of Government Ethics

Forum Day 1
Tuesday, September 9

1:00 – 1:30

Identifying 450 filers

Room D

OGE's Compliance Division is in a unique position to observe the various ways agencies go about identifying their OGE Form 450 filers. In this session, we will share some of our experiences with you, including some model practices and common problem areas.

Michelle MaGee, Office of Government Ethics

1:45 – 2:45

Perspectives on the Revolving Door

Ruth L. Kirschstein Auditorium

Join David Zaring, Associate Professor of Legal Studies and Business Ethics at the Wharton School, and Michael Smallberg, Investigator at the Project on Government Oversight, to hear their perspectives on the revolving door.

David Zaring, The Wharton School
Michael Smallberg, Project on Government Oversight

3:00 – 3:45

Keynote Speaker: Max Stier, President of the Partnership for Public Service

Ruth L. Kirschstein Auditorium

Max Stier, President of the Partnership for Public Service, will deliver a keynote address.

Max Stier, Partnership for Public Service

4:00 – 5:00

Working With Your Office of Inspector General

Ruth L. Kirschstein Auditorium

Learn more about the working relationship between the ethics office and the Office of Inspector General and the sometimes overlapping responsibilities of IGs and ethics officials.

Justina Fugh, Environmental Protection Agency
Mary Kendall, Department of the Interior
Seth Jaffe, Office of Government Ethics
J. Anthony Ogden, Federal Reserve System Board of Governors

4:00 – 5:00

2640 Exemptions That All Nominee Reviewers Should Know

Balcony B

The speakers in this session will discuss some of the most common exemptions to 18 U.S.C. § 208 issued by OGE in its regulations at 5 C.F.R. part 2640. Emphasis will be placed on exemptions that frequently come up with nominees to Presidentially appointed, Senate-confirmed (PAS) positions. Some of the exemptions discussed will include the diversified and sector mutual funds exemptions, exemptions for interests in securities, and the employee benefit plan exemptions. Participants will review real-life scenarios to determine whether the exemptions might apply.

Deborah Bortot, Office of Government Ethics
Lorna Syme, Office of Government Ethics

4:00 – 5:00

Government Ethics and the Use of Social Media

Balcony C

This session will introduce attendees to the terminology and background of social media software; discuss how government ethics principles are implicated in official and personal use of social media tools; provide insight into best practices, recommendations, and lessons learned from other ethics officials; and provide resources for the practitioner's reference.

*DISCLAIMER: Reference to any commercial products or services in this presentation is not an endorsement or government sanction of non-federal entities, their services, or products.

Erica Dornburg, Department of Defense
Jodi Cramer, Department of the Air Force
Nancy Eyl, Department of Homeland Security

Forum Day 1
Tuesday, September 9

4:00 – 5:00

What Does a Program Review Team Look For?

Room D

Want to know what OGE looks for when it comes out to review or inspect your ethics program? This session will explain what OGE examines as part of its review and inspection processes, because knowing is half the battle. Discussion will include the scope of the review, the types of documents OGE requests, the officials who will be interviewed, and how OGE uses the information it collects to determine whether an ethics program is in compliance with applicable requirements. Participants will be encouraged to ask questions.

Dan Skalla, Office of Government Ethics
Doug Chapman, Office of Government Ethics

LARGE AGENCY INVITATIONAL

Wednesday, September 10, 2014

Federal Housing Finance Agency
Constitution Center
400 7th Street, SW
Washington, DC 20024

The Large Agency Invitational Day is an opportunity for ethics officials from large agencies, i.e., those with more than 4,000 employees, and cabinet-level agencies to learn from their peers in similarly situated agencies.

Metro Directions

FHFA is located at the L'Enfant Plaza Metro Station (Blue/Yellow/Orange/Green/Silver lines). Once in the station, follow the signs for the 7th & D Street exit. Upon exiting the station, turn left on D Street. At the corner, turn left on 7th Street. The entrance to Constitution Center is halfway down the block on the left.

Parking

Public parking garages are located nearby at 480 L'Enfant Plaza, SW (Ace Parking) and Federal Center Plaza, 500 C Street, SW (Colonial Parking). There is no public parking available at Constitution Center.

Check-in and Pre-session

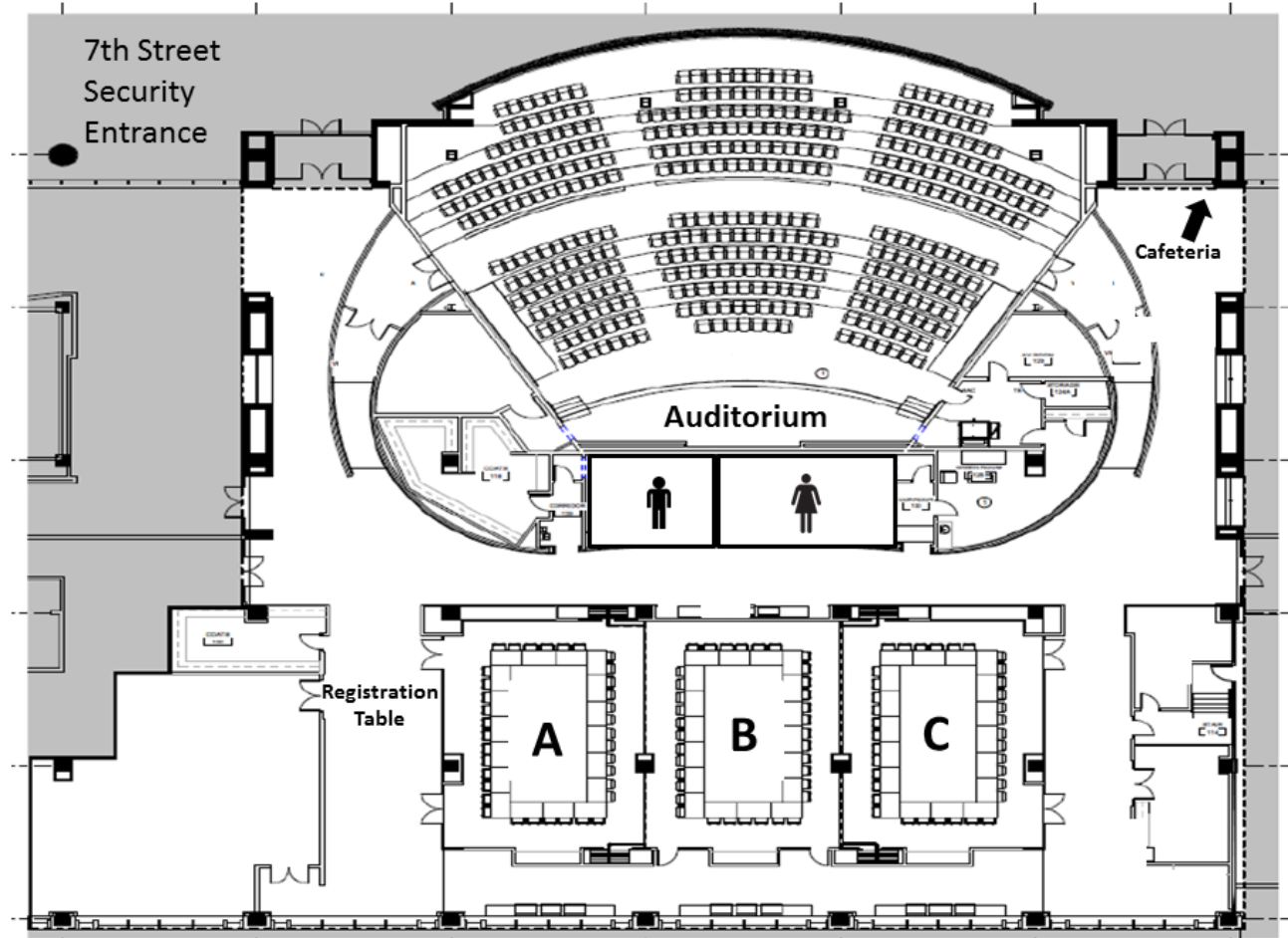
There is no on-site registration. All participants should have registered online in advance. Registrants may check in starting at 8:45 a.m.

The pre-session will start shortly after 8:45 a.m. It is designed as an informal event, so attendees should feel free to enter the pre-session venue at any time after they've checked in.

Lunch

Lunch is on your own. The FHFA cafeteria is open for lunch from 11:30 a.m. to 2:00 p.m. Food is allowed in Rooms A, B, and C, but not in the Auditorium.

Map of Meeting Rooms at FHFA



LARGE AGENCY INVITATIONAL DAY AT FHFA

Wednesday, September 10, 2014

	Room A	Room B	Room C
8:45 – 9:30 Check-in Open/ Pre-session	Answers to your Electronic Filing Questions on <i>Integrity</i>		
9:30 – 10:45	Whose Ethics Program Is It?	Understanding Core Elements of the Post-Employment Restrictions	Where Seeking, Negotiating, and the STOCK Act Merge
11:00 – 12:15	18 U.S.C. § 207: Senior Employees and Exceptions	Outside Boards: A Discussion	Issues Associated with Using the Service of Special Government Employees (SGEs)
12:15 – 1:15 Lunch*			
1:15 – 2:00	Civil Penalty Enforcement of the Ethics in Government Act	Lunch & Learn: Unlock Your MAX Potential	Lunch & Learn: Electronic Filing for Reviewers: <i>Integrity Demonstrated</i>
2:15 – 3:30	Understanding Complex Investment Funds and Executive Compensation Arrangements	How to Brief Employees on 18 U.S.C. § 207	WAG Determinations – Panel Discussion
3:45 – 5:00	The Ethics Pledge: Post-Employment Restrictions	Standards of Conduct: Can We Do Better?	The Motley World of Travel-Related Gifts

* Lunch is on your own. The FHFA cafeteria is open for lunch from 11:30 a.m. to 2:00 p.m. Food is allowed in Rooms A, B, and C.

8:45 – 9:30

Answers to Your Electronic Filing Questions on *Integrity*

Room A

OGE's electronic filing Program Manager and staff will answer questions about *Integrity*, OGE's new electronic filing system.

George Hancock, Office of Government Ethics
Gilbert Carlson, Office of Government Ethics

9:30 – 10:45

Whose Ethics Program Is It?

Room A

In this session, panelists will discuss ways that agency ethics officials can help leaders take responsibility for their agencies' ethics programs and lead those programs to success.

Doug Chapman, Office of Government Ethics
Robert M. Sadler, Department of Labor
Stuart Bender, Department of Agriculture

9:30 – 10:45

Understanding Core Elements of the Post-Employment Restrictions

Room B

A tidal wave of federal workers will retire from the federal government in the near future. Some of these workers will continue to work after leaving the government. This interactive session will help sharpen your skills on several of the important elements that you must analyze in applying the post-employment provisions in 18 U.S.C. § 207 to former federal workers. In particular, the session will address issues including: 1) when a particular matter involves specific parties, 2) when a matter does or does not continue to be the same particular matter, 3) what constitutes a communication, 4) what does "with the intent to influence" mean and 5) when is a communication "on behalf of another." The session will provide valuable insight into how to analyze these basic core elements by using case studies involving hypothetical former employees.

Jeff Green, Department of Defense
Vincent Salamone, Office of Government Ethics

9:30 – 10:45

Where Seeking, Negotiating, and the STOCK Act Merge

Room C

This session will discuss where seeking employment, negotiating for employment, and section 17 of the STOCK Act merge, and the guidance ethics officials can provide employees.

Elaine Newton, Office of Government Ethics
Gaye Williams, Department of Commerce
Wade Plunkett, Office of Personnel Management

11:00 – 12:15

18 U.S.C. § 207: Senior Employees and Exceptions

Room A

In this session, Chris Swartz and Rachel Dowell from OGE's Ethics Law and Policy Branch will go beyond the basic provisions of 18 U.S.C. § 207 to review the provisions of the post-employment law concerning senior employees, including the representation of foreign entities. Chris and Rachel will also discuss various exceptions to the rule.

Chris Swartz, Office of Government Ethics
Rachel Dowell, Office of Government Ethics

11:00 – 12:15

Outside Boards: A Discussion

Room B

Gretchen Weaver and Adam Greenstone engage on new challenges they face concerning outside boards.

Adam Greenstone, National Aeronautics and Space Administration
Gretchen Weaver, National Institutes of Health

11:00 – 12:15

Issues Associated With Using the Services of Special Government Employees (SGEs)

Room C

This session will take a look at some of the challenging issues that arise when using the services of special government employees (SGEs), primarily in conjunction with advisory committees, boards, and commissions. The topics to be covered include the appointment and designation of SGEs and representatives of industry; financial disclosure and the use of alternative forms of disclosure; effective training of SGEs; lobbying and political activity concerns; conflict-of-interest and appearance issues; Emoluments Clause issues; and the ethics office's involvement with the management of advisory committees, boards, and commissions. The session's aim is that attendees take away some tools and best practices that will help them improve their ethics management of SGEs.

Asim Akbari, Department of Health and Human Services
Chris Runkel, National Archives and Records Administration
Karen Santoro, National Science Foundation

1:15 – 2:00

Civil Penalty Enforcement of the Ethics in Government Act

Room A

This session will cover the legal and factual requirements for initiating a civil penalty action against government officials who are required to file public financial disclosure reports under the Ethics in Government Act. The violations discussed include failure to file such reports, false statements, and omissions from those reports, as well as penalties for individuals who exceed the limitations on outside income provided by the Act.

Arthur Goldberg, Department of Justice

1:15 – 2:00

**Lunch & Learn: Unlock Your MAX Potential for Collaboration,
Data Collection, Analytics, and Knowledge Management**

Room B

With more than 100,000 users, MAX.gov is used throughout the government to securely collaborate and share information, schedule interagency meetings, perform data collections, create dashboards with real-time charts and graphs, and publish fully indexed “camera-ready” documents directly from collected data. This session will provide an overview of MAX’s capabilities and demonstrate how OGE is using MAX to serve the ethics community.

Andrew Schoenbach, Office of Management and Budget
Heidi Fischer, Office of Government Ethics
Monica Ashar, Office of Government Ethics
Othni Jones, Office of Management and Budget

1:15 – 2:00

**Lunch & Learn: Electronic Filing for Reviewers: *Integrity*
Demonstrated**

Room C

This interactive session will focus on how ethics officials and other financial disclosure report reviewers will interface with *Integrity*, OGE’s new electronic filing system.

Dale Christopher, Office of Government Ethics
George Hancock, Office of Government Ethics

2:15 – 3:30

**Understanding Complex Investment Funds and Executive
Compensation Arrangements**

Room A

Knowing what information a filer needs to disclose for a particular type of financial interest does not tell you how to find that information. In this session, panelists will discuss how to approach basic questions regarding complex investment funds and executive compensation arrangements that are often difficult to answer in practice, such as how to determine the type of interest, how to find the value, and how to identify the underlying holdings.

Deborah Bortot, Office of Government Ethics
Keith Labeledz, Office of Government Ethics
Robert Rizzi, Steptoe & Johnson LLP

2:15 – 3:30

How to Brief Employees on 18 U.S.C. § 207

Room B

Justina Fugh and Shira Minton join forces to present the art of briefing employees on the post-employment restrictions of 18 U.S.C. § 207.

Brad Khaner, Office of Government Ethics
Justina Fugh, Environmental Protection Agency
Shira Minton, Securities and Exchange Commission

2:15 – 3:30

WAG Determinations – Panel Discussion

Room C

This panel presentation is for ethics officials interested in expanding their knowledge of how cabinet-level agencies approach the exception to the gift rule for widely attended gatherings (WAG) at 5 C.F.R. § 2635.204(g)(2). Beyond the challenge of knowing the exception is the challenge of knowing how the executive branch has applied it, and in this session seasoned ethics officials will share their experiences with the exception's application.

Christina Hymer, Department of Energy
Edward McDonnell, Department of the Interior
Elizabeth Fischmann, Department of Health and Human Services
Hannah Lobel, Department of State
Jeff Green, Department of Defense
Rebecca Hermanowicz, Department of Commerce

3:45 – 5:00

The Ethics Pledge: Post-Employment Restrictions

Room A

This session will review paragraphs 4 and 5 of the Ethics Pledge concerning post-employment activities. Presenters will discuss the OGE guidance issued on February 22, 2010 (DO-10-004), how an agency's standard post-employment guidance will merge with the Pledge restrictions, and recent advice given regarding these paragraphs.

Elaine Newton, Office of Government Ethics
Heather Gottry, Commodity Futures Trading Commission

3:45 – 5:00

Standards of Conduct: Can We Do Better?

Room B

In this interactive session, OGE General Counsel Dave Apol will lead a discussion and solicit feedback on OGE's continuing effort to update and modernize the Standards of Conduct. In particular, Dave will lead a discussion on Subparts B and F with a focus on how we in the ethics community can improve the rules, increase the public's trust in government, and more effectively support employees' ability to achieve the missions of their agencies. Bring your questions, your concerns, and your very best suggestions for improving the Standards of Conduct.

David Apol, Office of Government Ethics
Seth Jaffe, Office of Government Ethics

3:45 – 5:00

[The Motley World of Travel-Related Gifts](#)

Room C

Panelists will introduce various authorities that can or should be used in connection with travel-related gifts and will walk participants through scenarios to analyze and explain the differences and interplay among those authorities.

Cheryl Kane-Piasecki, Office of Government Ethics
Kelly Selesnick, Department of Health and Human Services
Megan Snyder, U.S. Customs and Border Protection

*Small Agency Invitational
Monday, September 15*

SMALL AGENCY INVITATIONAL

Monday, September 15, 2014

Transportation Security Administration
601 12th Street S.
Arlington, VA 22202

The Small Agency Invitational Day is an opportunity for ethics officials from small agencies, i.e., those with fewer than 300 employees, to learn from their peers in similarly situated agencies.

Metro Directions

TSA is located across the street from the Pentagon City Metro Station (Blue/Yellow lines). After exiting the faregate in the station, turn right and go up the escalators. At the top of the escalators, make a hard left (180 degrees) and cross 12th Street. TSA is located in the two tan buildings on the corner of 12th Street and South Hayes Street. The building on the right is 601 12th Street. Enter through the employee entrance, rather than the visitor's center.

Parking

A public parking garage is located across the street from TSA at 1200 South Hayes Street (Federal Parking Inc.).

Check-in and Pre-session

There is no on-site registration. All participants should have registered online in advance. Registrants may check in starting at 8:45 a.m.

The pre-session will start shortly after 8:45 a.m. It is designed as an informal event, so attendees should feel free to enter the pre-session venue at any time after they've checked in.

Lunch

Lunch is on your own. There are several dining establishments located near TSA. Attendees are encouraged to attend any part of the Lunch & Learn session taking place from 12:15 p.m. to 1:45 p.m. Food is allowed in meeting rooms.

SMALL AGENCY INVITATIONAL DAY AT TSA

Monday, September 15, 2014

	Town Hall	1 st Floor, Room E1-001S	12 th Floor, Room E12-001N
8:45 – 9:30 Check-in Open/ Pre-session	Recordkeeping		
9:30 – 9:45	Opening Remarks		
9:45 – 10:45	Building an Ethics Program From the Ground Up	Ethics Authorities Specific to Noncareer Employees	* ROOM CHANGE * Criminal and Non-Criminal “Conflicts” – Distinguishing 18 U.S.C. § 208 From 5 C.F.R. § 2635.502
11:00 – 12:15	* NEW SESSION * Standards of Conduct: Can We Do Better?	Education and Engagement	Managing the Challenges of Agency Staff Turnover
12:15 – 1:45 Lunch*		Lunch & Learn: Electronic Filing for Reviewers: <i>Integrity</i> Demonstrated	
1:45 – 3:00	How To Determine What Ethics Information Is Subject to Release Under FOIA	Succession Planning and the Small-Agency Ethics Program	Making Ethics Make Sense: Translating the Rules for Rank-and-File Employees
3:15 – 4:30	How to Get on Your Leader’s Speed Dial		

* Lunch is on your own. There are several dining establishments located near TSA. Attendees are encouraged to attend any part of the Lunch & Learn session taking place from 12:15 p.m. to 1:45 p.m. Food is allowed in meeting rooms.

8:45 – 9:30

Recordkeeping

Town Hall (1st Floor)

Members of OGE’s Compliance Division share their experiences with how ethics records are maintained at different agencies, including successful systems, common problem areas, and some of the tools used in the recordkeeping process. Please note: this session focuses on general workflow and does not intend to address specific statutory or regulatory record retention requirements.

Dan Skalla, Office of Government Ethics
Jaideep Mathai, Office of Government Ethics

9:30 – 9:45

Opening Remarks

Town Hall (1st Floor)

Walter M. Shaub, Jr., Office of Government Ethics

9:45 – 10:45

Building an Ethics Program From the Ground Up

Town Hall (1st Floor)

If you had to create an ethics program from scratch, where would you begin? What issues would you address first? How would you allocate your time and other resources? What are your greatest risks, and how would you mitigate them? This session features a discussion among ethics officials who have had to answer those questions in the course of developing ethics programs at newly established agencies. It is designed to encourage attendees to reflect on the fundamental purpose and essential elements of an agency ethics program.

Allison George, Military Compensation and Retirement
Modernization Commission
Amy Mertz Brown, Consumer Financial Protection Bureau
Barbara Mullen-Roth, Office of Government Ethics
Richard Lepley, Consumer Financial Protection Bureau

9:45 – 10:45

Ethics Authorities Specific to Noncareer Employees

Room E1-001S (1st Floor)

When counseling your employees, it is essential to consider who is asking for advice, and whether any authorities apply uniquely to that particular class. This presentation will examine ethics authorities that are specific to noncareer employees, exploring topics such as the Ethics Pledge, 5 C.F.R. § 2636, the Outside Earned Income Ban, and 5 C.F.R. § 2635.807.

Monica Ashar, Office of Government Ethics

9:45 – 10:45

**Criminal and Non-Criminal “Conflicts” – Distinguishing
18 U.S.C. § 208 From 5 C.F.R. § 2635.502**

Room E12-001N (12th Floor)

Black’s Law Dictionary defines a “conflict of interest” as “a real or seeming incompatibility between a person’s private interests and his or her public or fiduciary duties.” For executive branch employees, the consequence of a “real” versus a “seeming” conflict of interest is criminal liability versus administrative sanction. For government agencies, the consequences of each are the same, as an appearance of preferential treatment can be just as damaging to an agency’s reputation as an actual criminal conflict. As ethics officials we must correctly distinguish between “real” and “seeming” conflicts when advising employees, while adequately assessing the risks to the agency of both. This session will discuss the distinctions between 18 U.S.C. § 208 and the impartiality rules, and the consequences of each for both employees and government agencies.

Cheryl Kane-Piasecki, Office of Government Ethics

11:00 – 12:15

Standards of Conduct: Can We Do Better?

Town Hall (1st Floor)

In this interactive session, OGE General Counsel Dave Apol will lead a discussion and solicit feedback on OGE’s continuing effort to update and modernize the Standards of Conduct. In particular, Dave will lead a discussion on Subparts B and F with a focus on how we in the ethics community can improve the rules, increase the public’s trust in government, and more effectively support employees’ ability to achieve the missions of their agencies. Bring your questions, your concerns, and your very best suggestions for improving the Standards of Conduct.

David Apol, Office of Government Ethics

Seth Jaffe, Office of Government Ethics

Small Agency Invitational
Monday, September 15

11:00 – 12:15

Education and Engagement

Room E1-001S (1st Floor)

This session features an interactive discussion on looking beyond the required training elements toward a more holistic concept of educating and engaging your employees. Although it will incorporate the regulatory training requirements, this session focuses on the larger context of creating an environment where ethics can flourish. Participants are encouraged to share their ideas, challenges, and successes related to communicating the importance of ethics and building an ethical culture.

Dale Christopher, Office of Government Ethics
Shira Minton, Securities and Exchange Commission

11:00 – 12:15

Managing the Challenges of Agency Staff Turnover

Room E12-001N (12th Floor)

This session is a facilitated discussion in which OGE and attendees will work together to identify and address some of the challenges faced by small agencies when confronting staff turnover in the organization.

Ciara Guzman, Office of Government Ethics
David Meyers, Office of Government Ethics
Kim Kaplan, Office of Government Ethics

12:15 – 1:45

Lunch & Learn: Electronic Filing for Reviewers: *Integrity* Demonstrated

Room E1-001S (1st Floor)

This interactive session will focus on how ethics officials and other financial disclosure report reviewers will interface with *Integrity*, OGE's new electronic filing system.

George Hancock, Office of Government Ethics
Gilbert Carlson, Office of Government Ethics

1:45 – 3:00

How to Determine What Ethics Information Is Subject to Release Under FOIA

Town Hall (1st Floor)

Under the Freedom of Information Act (FOIA), persons have the right to obtain copies of records from executive branch agencies, unless the records contain information that is exempt under the FOIA from mandatory disclosure. This session will focus on the most commonly used FOIA exemptions with respect to requests for ethics-related documents.

Vanessa Brinkmann, Department of Justice

1:45 – 3:00

Succession Planning and the Small-Agency Ethics Program

Room E1-001S (1st Floor)

Small agencies face unique challenges with regard to succession planning. One departing ethics official might represent half of the agency's entire ethics staff. This session will explore how small agencies can prepare for ethics program turnover – both expected and unexpected. Participants are encouraged to share their own experiences and learn from other ethics officials who have faced similar challenges.

David Meyers, Office of Government Ethics
Jaideep Mathai, Office of Government Ethics
Kim Kaplan, Office of Government Ethics

1:45 – 3:00

Making Ethics Make Sense: Translating the Rules for Rank-and-File Employees

Room E12-001N (12th Floor)

Have you ever had difficulty explaining key ethics concepts to non-practitioners? Would you like to be able to learn how your colleagues and OGE instructors meet this challenge?

In this session, OGE's Institute for Ethics in Government lead instructors will discuss techniques for communicating tough ethics ideas to regular employees. We will also discuss strategies to effectively communicate these concepts in ways accessible to non-practitioners through several exercises.

Cheryl Kane-Piasecki, Office of Government Ethics
Patrick Shepherd, Office of Government Ethics
Ryan Segrist, Office of Government Ethics

Small Agency Invitational
Monday, September 15

3:15 – 4:30

How to Get on Your Leader’s Speed Dial

Town Hall (1st Floor)

Educating incoming employees and orienting them to federal ethics requirements is of fundamental importance, particularly when the employee has left the private sector to enter government service. However, when your new “employee” is your agency’s head, it is even more important to convey the importance of the ethics program and how it can support the agency’s mission. This session will present a discussion of best practices, as well as provide practical tips and advice.

David Apol, Office of Government Ethics
Nancy Weiss, Institute of Museum and Library Services
Wendy Laguarda, Farm Credit Administration

MIDSIZE AGENCY INVITATIONAL

Thursday, September 18, 2014

Pension Benefit Guaranty Corporation
1200 K Street, NW
Washington, DC 20005

The Midsized Agency Invitational Day is an opportunity for ethics officials from midsized agencies, i.e., those with 300 to 4,000 employees, to learn from their peers in similarly situated agencies.

Metro Directions

PBGC is located within walking distance of Metro Center (Red/Orange/Blue/Silver lines) and the McPherson Square Metro Station (Blue/Orange/Silver lines).

Parking

Public parking garages are located near PBGC on 11th Street, 12th Street, and other nearby streets. PBGC itself does not have public parking. There is very limited street parking available.

Check-in and Pre-session

There is no on-site registration. All participants should have registered online in advance. Registrants may check in starting at 8:45 a.m.

The pre-session will start shortly after 8:45 a.m. It is designed as an informal event, so attendees should feel free to enter the pre-session venue at any time after they've checked in.

Lunch

Lunch is on your own. There are several lunch options within a radius of one to two blocks of PBGC.

MIDSIZE AGENCY INVITATIONAL DAY AT PBGC

Thursday, September 18, 2014

	Classroom 2	Classroom 3	Classroom 4
8:45 – 9:30 Check-in Open/ Pre-session		Electronic Filing for Reviewers: <i>Integrity Demonstrated</i>	
9:30 – 10:45	OGE’s New Inspection Methodology: What’s in It for You?	18 U.S.C. § 207: Senior Employees and Exceptions	The Motley World of Travel-Related Gifts
11:00 – 12:15	Where Seeking, Negotiating, and the STOCK Act Merge	Understanding the Core Elements of the Post-Employment Restrictions	Official Duties vs. Outside Positions: Common Issues Ethics Officials Must Address
12:15 – 1:00 Lunch*			* NEW SESSION * Lunch & Learn: Standards of Conduct: Can We Do Better?
1:00 – 1:45	Lunch & Learn: Updates from OGE on Legislative Affairs, the 2014 Annual Questionnaire, and Policies on Financial Disclosure	Lunch & Learn: Identifying Particular Matters of General Applicability	Lunch & Learn: OGE’s Institute for Ethics in Government: A Wealth of Resources
2:00 – 3:15	The Ethics Pledge: Post-Employment Restrictions	The WAG Exception and the Ethics Pledge: Analyzing Invitations Using Relevant Authorities	How to Determine What Ethics Information Is Subject to Release Under FOIA
3:30 – 4:45	Debriefing the Departing: Best Practices on How to Brief Departing Employees on 18 U.S.C. § 207	What Does a Program Review Team Look For?	Whose Ethics Program Is It?

* Lunch is on your own. There are several lunch options within a radius of one to two blocks of PBGC. Attendees may bring food to the Lunch & Learn sessions taking place from 12:15 p.m. to 1:45 p.m.

8:45 – 9:30

Electronic Filing for Reviewers: *Integrity* Demonstrated

Classroom 3

This interactive session will focus on how ethics officials and other financial disclosure report reviewers will interface with *Integrity*, OGE’s new electronic filing system.

George Hancock, Office of Government Ethics
Steven Corbally, Office of Government Ethics

9:30 – 10:45

OGE’s New Inspection Methodology: What’s in It for You?

Classroom 2

Join the Acting Chief of OGE’s Program Review Branch for a robust discussion with ethics officials from two of the first round of agencies to undergo an ethics program inspection and one of the OGE “inspectors” assigned to conduct the inspections. The discussion will focus on both sides of the “inspection table” as panel members share their experiences with this new methodology.

Robert J. Fagan, Federal Deposit Insurance Corporation
Cary Williams, Federal Reserve System Board of Governors
Doug Chapman, Office of Government Ethics
Michelle Walker, Office of Government Ethics

9:30 – 10:45

18 U.S.C. § 207: Senior Employees and Exceptions

Classroom 3

In this session, Chris Swartz and Rachel Dowell from OGE’s Ethics Law and Policy Branch will go beyond the basic provisions of 18 U.S.C. § 207 to review the provisions of the post-employment law concerning senior employees, including the representation of foreign entities. Chris and Rachel will also discuss various exceptions to the rule.

Chris Swartz, Office of Government Ethics
Rachel Dowell, Office of Government Ethics

9:30 – 10:45

The Motley World of Travel-Related Gifts

Classroom 4

Panelists will introduce various authorities that can or should be used in connection with travel-related gifts and will walk participants through scenarios to analyze and explain the differences and interplay among those authorities.

Cheryl Kane-Piasecki, Office of Government Ethics
Elana Cohen, U.S. Customs and Border Protection
Kelly Selesnick, Department of Health and Human Services
Megan Snyder, U.S. Customs and Border Protection

11:00 – 12:15

Where Seeking, Negotiating, and the STOCK Act Merge

Classroom 2

This session will discuss where seeking employment, negotiating for employment, and section 17 of the STOCK Act merge, and the guidance ethics officials can provide employees.

Elaine Newton, Office of Government Ethics
Gaye Williams, Department of Commerce
Wade Plunkett, Office of Personnel Management

11:00 – 12:15

Understanding Core Elements of the Post-Employment Restrictions

Classroom 3

A tidal wave of federal workers will retire from the federal government in the near future. Some of these workers will continue to work after leaving the government. This interactive session will help sharpen your skills on several of the important elements that you must analyze in applying the post-employment provisions in 18 U.S.C. § 207 to former federal workers. In particular, the session will address issues including: 1) when a particular matter involves specific parties, 2) when a matter does or does not continue to be the same particular matter, 3) what constitutes a communication, 4) what does “with the intent to influence” mean, and 5) when is a communication “on behalf of another.” The session will provide valuable insight into how to analyze these basic core elements by using case studies involving hypothetical former employees.

Jeff Green, Department of Defense
Vincent Salamone, Office of Government Ethics

11:00 – 12:15

**Official Duties vs. Outside Positions: Common Issues Ethics Officials
Must Address**

Classroom 4

Most ethics officials have been asked by employees if they can obtain outside employment or participate in certain activities with outside organizations to help make ends meet. Sometimes these activities appear to be related to the employees' duties. An ethics official needs to evaluate all of the relevant facts and legal authorities to decide how an employee can become involved in a particular activity.

This session will address the common issues ethics officials must address when evaluating employee participation with outside employment/activities.

Amy Mertz Brown, Consumer Financial Protection Bureau
Andrea Bernardo, Export-Import Bank of the United States
Mark Samburg, Consumer Financial Protection Bureau
Patrick Carney, Federal Communications Commission

12:15 – 1:00

Standards of Conduct: Can We Do Better?

Classroom 4

In this interactive session, OGE General Counsel Dave Apol will lead a discussion and solicit feedback on OGE's continuing effort to update and modernize the Standards of Conduct. In particular, Dave will lead a discussion on Subparts B and F with a focus on how we in the ethics community can improve the rules, increase the public's trust in government, and more effectively support employees' ability to achieve the missions of their agencies. Bring your questions, your concerns, and your very best suggestions for improving the Standards of Conduct.

David Apol, Office of Government Ethics
Seth Jaffe, Office of Government Ethics

1:00 – 1:45

Lunch & Learn: Updates From OGE on Legislative Affairs, the 2014 Annual Agency Questionnaire and Policies on Financial Disclosure

Classroom 2

Join three of OGE's staff for a lunchtime discussion about its Financial Disclosure and Legislative Affairs programs as well as the 2014 Annual Agency Questionnaire. Related to financial disclosure, part of this session will focus on transaction reporting and OGE's procedure for notifying agency heads at the end of the calendar year of their agency's report submission status. Also, learn about the tools and resources OGE makes available to agency ethics officials as part of its legislative affairs program and get the latest update on ethics legislation from the 113th Congress. Lastly, find out more about OGE's proposed changes to this year's Annual Agency Questionnaire.

Barbara Mullen-Roth, Office of Government Ethics
Heidi Fischer, Office of Government Ethics
Nicole Stein, Office of Government Ethics

1:00 – 1:45

Lunch & Learn: Identifying Particular Matters of General Applicability

Classroom 3

Have you ever run into difficulties analyzing matters of general applicability to which 18 U.S.C. § 208 may apply? If so, you are not alone. Have you ever wondered what other ethics officials at mid-sized regulatory agencies do to help deal with this challenge? If so, bring your lunch and join in on the discussion as ethics officials share their challenges and successes in analyzing matters of general applicability.

Bianca Gomez, Federal Election Commission
Margaret Plank, Consumer Financial Protection Bureau
Patrick Carney, Federal Communications Commission
Sean Croston, Federal Reserve System Board of Governors

1:00 – 1:45

**Lunch & Learn: OGE's Institute for Ethics in Government: A
Wealth of Resources**

Classroom 4

Bring your lunch to this informal session highlighting the many training resources available through OGE's Institute for Ethics in Government MAX Community and elsewhere. OGE lead instructors will briefly demonstrate how to access these resources and then ask for your opinions on how to improve the IEG's offerings.

Patrick Shepherd, Office of Government Ethics
Ryan Segrist, Office of Government Ethics

2:00 – 3:15

The Ethics Pledge: Post-Employment Restrictions

Classroom 2

This session will review paragraphs 4 and 5 of the Ethics Pledge concerning post-employment activities. The session will discuss the OGE guidance issued on February 22, 2010 (DO-10-004), how an agency's standard post-employment guidance will merge with the Pledge restrictions, and recent advice given regarding these paragraphs.

Elaine Newton, Office of Government Ethics
Heather Gottry, Commodity Futures Trading Commission
Susan Beard, Department of Energy

2:00 – 3:15

**The WAG Exception and the Ethics Pledge: Analyzing Invitations Using
Relevant Authorities**

Classroom 3

This panel session will discuss issues common to event analysis, including 1353 travel, use of the exception for widely attended gatherings (WAG) to the gift prohibitions, and the interaction of the WAG exception and the Ethics Pledge (E.O. 13490). It will focus specifically on the appropriate use of each authority when accepting free attendance at certain events.

Christine Conyers, Office of Government Ethics
Hollie Beckerman Jaffe, National Institutes of Health
Manisha Patel, Council on Environmental Quality
Penelope Gilbertson, Social Security Administration

2:00 – 3:15

[How to Determine What Ethics Information Is Subject to Release Under FOIA](#)

Classroom 4

Under the Freedom of Information Act (FOIA), persons have the right to obtain copies of records from executive branch agencies, unless the records contain information that is exempt under the FOIA from mandatory disclosure. This session will focus on the most commonly used FOIA exemptions with respect to requests for ethics-related documents.

Vanessa Brinkmann, Department of Justice

3:30 – 4:45

[Debriefing the Departing: Best Practices on How to Brief Departing Employees on 18 U.S.C. § 207](#)

Classroom 2

This session will be presented by a panel of three experienced ethics officials from three different agencies. The panelists will share their insight and innovative approaches on how they brief departing employees on the post-employment restrictions of 18 U.S.C. § 207. Presenters will share both model practices and lessons learned.

Carol Verratti, International Trade Commission
Kerri Cox, Office of the Director of National Intelligence
Lisa Hayden, Pension Benefit Guaranty Corporation

3:30 – 4:45

[What Does a Program Review Team Look For?](#)

Classroom 3

Want to know what OGE looks for when it comes out to review or inspect your ethics program? This session will explain what OGE examines as part of its review and inspection processes, because knowing is half the battle. Discussion will include the scope of the review, the types of documents OGE requests, the officials that will be interviewed, and how OGE uses the information it collects to determine whether an ethics program is in compliance with applicable requirements. Participants will be encouraged to ask questions.

Dan Skalla, Office of Government Ethics
Doug Chapman, Office of Government Ethics

3:30 – 4:45

Whose Ethics Program Is It?

Classroom 4

In this session, panelists will discuss ways that agency ethics officials can help leaders take responsibility for their agencies' ethics programs and lead those programs to success.

Sean C. Dent, Federal Housing Finance Agency
Stuart Bender, Department of Agriculture

FINANCIAL DISCLOSURE FUNDAMENTALS INVITATIONAL

Friday, September 19, 2014

Pension Benefit Guaranty Corporation
1200 K Street, NW
Washington, DC 20005

The Financial Disclosure Fundamentals Invitational Day is an entry-level course for individuals who are new to ethics and will be certifying financial disclosure forms. To maximize interaction and encourage discussion, this hands-on course has been limited to 30 participants.

Metro Directions

PBGC is located within walking distance of Metro Center (Red/Orange/Blue/Silver lines) and the McPherson Square Metro Station (Blue/Orange/Silver lines).

Parking

Public parking garages are located near PBGC on 11th Street, 12th Street, and other nearby streets. PBGC itself does not have public parking. There is very limited street parking available.

Check-in

There is no on-site registration. All participants should have registered online in advance. Registrants may check in starting at 8:30 a.m.

Lunch

Lunch is on your own. There are several lunch options within a radius of one to two blocks of PBGC.

FINANCIAL DISCLOSURE FUNDAMENTALS INVITATIONAL DAY AT PBGC

Friday, September 19, 2014

	Classroom 4
8:30 – 9:00 Check-in Open	
9:00 – 10:45	Fundamentals of Financial Disclosure (Part 1)
11:00 – 12:30	Fundamentals of Financial Disclosure (Part 1, continued)
12:30 – 1:30 Lunch*	
1:30 – 3:15	Fundamentals of Financial Disclosure (Part 2)
3:30 – 4:45	Fundamentals of Financial Disclosure (Part 2, continued)

* Lunch is on your own. There are several lunch options within a radius of one to two blocks of PBGC.

9:00 – 10:45

Fundamentals of Financial Disclosure (Part 1)

Classroom 4

This is an entry-level course for officials who are new to ethics and will be certifying financial disclosure forms. The purpose of this two-part course is to provide new ethics officials with both an overview of the confidential (OGE Form 450) and public (OGE Form 278) financial disclosure forms and their reporting requirements, and also to provide general ethics guidance and resources for their agency ethics practice.

Part 1 of this course will consist of a brief overview of the executive branch financial disclosure rules and regulations, the financial disclosure system, and the requirements for the agency review and certification of the OGE Form 450.

Attendees will then review an example OGE Form 450 for both technical sufficiency and potential conflicts of interest.

Mark Stewart, Office of Government Ethics
Michelle Walker, Office of Government Ethics

11:00 – 12:30

Fundamentals of Financial Disclosure (Part 1, continued)

Classroom 4

This is a continuation of Part 1 of Fundamentals of Financial Disclosure.

Mark Stewart, Office of Government Ethics
Michelle Walker, Office of Government Ethics

1:30 – 3:15

Fundamentals of Financial Disclosure (Part 2)

Classroom 4

Part 2 of this course builds on the knowledge and skills attendees practiced applying in Part 1, which focused on the confidential financial disclosure form (OGE Form 450).

This part of the course will consist of an overview of the similarities and differences between the requirements for agency review and certification of confidential and public financial disclosure forms (OGE Form 278), and a specific review of the OGE Form 278 and its reporting requirements.

Attendees will then review an example OGE Form 278 and OGE Form 278-T for both technical sufficiency and potential conflicts of interest.

Emory Rounds, Office of Government Ethics
Kim Kaplan, Office of Government Ethics
Mark Stewart, Office of Government Ethics

3:30 – 4:45

Fundamentals of Financial Disclosure (Part 2, continued)

Classroom 4

This is a continuation of Fundamentals of Financial Disclosure Part 2.

Emory Rounds, Office of Government Ethics
Kim Kaplan, Office of Government Ethics
Mark Stewart, Office of Government Ethics

ADVANCED PAS NOMINEE FINANCIAL DISCLOSURE INVITATIONAL

Friday, September 19, 2014

Pension Benefit Guaranty Corporation
1200 K Street, NW
Washington, DC 20005

The Advanced PAS Nominee Financial Disclosure Invitational Day is an advanced course for individuals who review financial disclosure reports filed by Presidential nominees requiring Senate confirmation (PAS). To maximize interaction and encourage discussion, this hands-on course has been limited to 30 participants.

Metro Directions

PBGC is located within walking distance of Metro Center (Red/Orange/Blue/Silver lines) and the McPherson Square Metro Station (Blue/Orange/Silver lines).

Parking

Public parking garages are located near PBGC on 11th Street, 12th Street, and other nearby streets. PBGC itself does not have public parking. There is very limited street parking available.

Check-in

There is no on-site registration. All participants should have registered online in advance. Registrants may check in starting at 8:30 a.m.

Lunch

Lunch is on your own. There are several lunch options within a radius of one to two blocks of PBGC.

**ADVANCED PAS NOMINEE FINANCIAL
DISCLOSURE
INVITATIONAL DAY AT PBGC
Friday, September 19, 2014**

	Classroom 2
8:30 – 9:00 Check-in Open	
9:00 – 10:45	Advanced PAS Nominee Financial Disclosure: Reviewing Complex 278s (Part 1)
11:00 – 12:30	Advanced PAS Nominee Financial Disclosure: Reviewing Complex 278s (Part 1, continued)
12:30 – 1:30 Lunch*	
1:30 – 3:15	Advanced PAS Nominee Financial Disclosure: Reviewing Complex 278s (Part 2)
3:30 – 4:45	Advanced PAS Nominee Financial Disclosure: Reviewing Complex 278s (Part 2, continued)

* Lunch is on your own. There are several lunch options within a radius of one to two blocks of PBGC.

9:00 – 10:45

**Advanced PAS Nominee Financial Disclosure: Reviewing
Complex 278s (Part 1)**

Classroom 2

A full-day workshop for agency ethics officials who review public financial disclosure reports (OGE Form 278) for Presidentially appointed, Senate-confirmed positions (PAS nominees). The workshop includes a practical exercise in which participants will review an OGE Form 278 containing complex financial interests such as private equity partnerships, investment limited partnerships and limited liability companies, and a variety of family trusts. Participants will also analyze the report for technical completeness and conflicts, and draft an ethics agreement for the PAS nominee.

Part 1: Participants will complete a technical review of an OGE Form 278.

Jack MacDonald, Office of Government Ethics
Keith Labeledz, Office of Government Ethics
Megan Khaner, Office of Government Ethics
Sandy Mabry, Office of Government Ethics
Stephanie Nonluecha, Office of Government Ethics

11:00 – 12:30

**Advanced PAS Nominee Financial Disclosure: Reviewing
Complex 278s (Part 1, continued)**

Classroom 2

This is a continuation of Part 1 of Advanced PAS Nominee Financial Disclosure: Reviewing Complex 278s.

Jack MacDonald, Office of Government Ethics
Keith Labeledz, Office of Government Ethics
Megan Khaner, Office of Government Ethics
Sandy Mabry, Office of Government Ethics
Stephanie Nonluecha, Office of Government Ethics

1:30 – 3:15

**Advanced PAS Nominee Financial Disclosure: Reviewing
Complex 278s (Part 2)**

Classroom 2

Part 2: Participants will perform a conflicts analysis, identify remedies, and draft an ethics agreement.

Jack MacDonald, Office of Government Ethics
Keith Labeledz, Office of Government Ethics
Megan Khaner, Office of Government Ethics
Sandy Mabry, Office of Government Ethics
Stephanie Nonluecha, Office of Government Ethics

3:30 – 4:45

**Advanced PAS Nominee Financial Disclosure: Reviewing
Complex 278s (Part 2, continued)**

Classroom 2

This is a continuation of Part 2 of Advanced PAS Nominee Financial Disclosure: Reviewing Complex 278s.

Jack MacDonald, Office of Government Ethics
Keith Labeledz, Office of Government Ethics
Megan Khaner, Office of Government Ethics
Sandy Mabry, Office of Government Ethics
Stephanie Nonluecha, Office of Government Ethics

FORUM DAY 2

Friday, September 19, 2014

National Institutes of Health
9000 Rockville Pike
Bethesda, MD 20892

The Three-Day Forum brings together leaders from the executive branch ethics community, representatives from the legislative and judicial branches, members of the press, advocates from good government groups, noted thinkers from academia, officials from state and local governments, and members of the international community. It consists of plenary and breakout sessions geared toward advanced ethics law and policy issues, as well as ethics-related authorities.

Metro Directions

The NIH campus is located at the Medical Center Metro Station (Red Line). The station's escalators exit onto the campus immediately in front of the NIH Gateway Center, which Summit attendees will enter for security processing. Once you receive your badge, Summit staff will be available to direct you to the Natcher Building, which is a five-minute walk from the Gateway Center. Shuttle bus service is also provided.

A map of the campus is available at <http://www.ors.od.nih.gov/maps/Pages/NIH-Visitor-Map.aspx>.

Parking

Because visitor parking is extremely difficult to find at NIH, we strongly recommend that attendees take public transportation. A map of the campus, as well as information on parking, is available at <http://www.ors.od.nih.gov/maps/Pages/NIH-Visitor-Map.aspx>. Driving directions are available at <http://www.nih.gov/about/drivingdirections.htm>.

Check-in and Pre-session

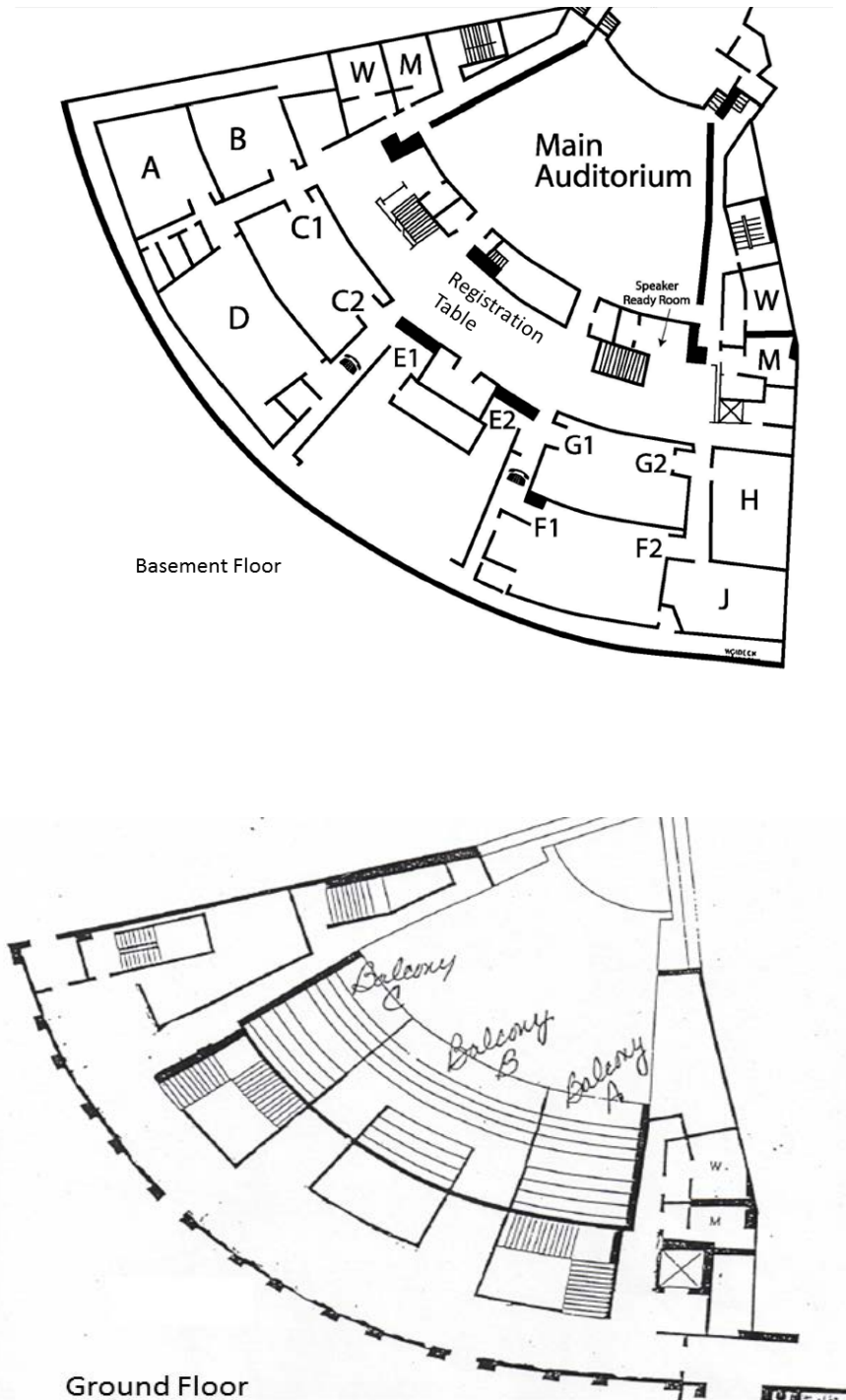
There is no on-site registration. All participants should have registered online in advance. Registrants may check in starting at 8:00 a.m.

The pre-session will start shortly after 8:00 a.m. It is designed as an informal event, so attendees should feel free to enter the pre-session venue at any time after they've checked in.

Lunch

Lunch is on your own. Attendees have the option to take lunch during any combination of the sessions that take place between 12:00 p.m. and 1:15 p.m. (marked with asterisks on the agenda-at-a-glance). The NIH cafeteria is open for lunch from 11:00 a.m. to 2:30 p.m. Food is not allowed in meeting rooms.

Map of Meeting Rooms at NIH



FORUM DAY 2 AT NIH

Friday, September 19, 2014

	Kirschstein Auditorium	* Room Change* Balcony C	Balcony B	* Room Change* Room D	
8:00 – 8:45 Check-In Open/ Pre-session				Electronic Filing for Filers: <i>Integrity Demonstrated</i>	
9:00 – 10:30	Gearing Up for the 2014 Election Season: What Every Federal Employee Needs to Know About the Hatch Act	18 U.S.C. § 205(a)(2): From Doctrine to Implementation	USAID Agency-wide Integrity Working Group	Electronic Filing for Reviewers: <i>Integrity Demonstrated</i>	
10:45 – 11:45	The Nettlesome Question of Particular Matters of General Applicability	Understanding the Supplemental Agency Regulation Process	Utilizing Model Practices to Enhance Your Ethics Program	Managing Ethics Records Under the New GRS 2.8	
12:00 – 12:30 *		Getting to EIF	Stop Making This Mistake: Clarifying 5 C.F.R. § 2635.502(a)(2)&(c)	Utilizing Model Practices to Enhance Your Ethics Program (Synopsis)	
12:30 – 1:15 *					
1:15 – 2:15		Do We Have the Right Ethics Rules to Protect the Public's Trust?			
2:30 – 3:30		Compliance Convergence			
3:45 – 5:00	Government Travel and Related Ethics, Appropriations, and Gift Authorities	What Role Do HR/Employee Relations Specialists Play in an Agency's Ethics Program?	Considerations in Drafting 208(b)(1) Determinations	Electronic Filing for Reviewers: <i>Integrity Demonstrated</i>	

* Lunch is on your own. Attendees have the option to take lunch during any combination of the sessions marked with asterisks. The NIH cafeteria is open for lunch from 11:00 a.m. to 2:30 p.m. Food is not allowed in meeting rooms.

8:00 – 8:45

Electronic Filing for Filers: *Integrity* Demonstrated

Room D (Room Change)

This interactive session will focus on how filers will interface with *Integrity*, OGE's new electronic filing system. Members of the *Integrity* team will address questions that ethics officials will likely receive from their filers and will answer your questions as well.

George Hancock, Office of Government Ethics
Steven Corbally, Office of Government Ethics

9:00 – 10:30

Gearing Up for the 2014 Election Season: What Every Federal Employee Needs to Know About the Hatch Act

Ruth L. Kirschstein Auditorium

The Congressional election season is in full swing, and federal employees continue to become more politically active, in part, because most employees now have access to the internet at home and at work. Do you know whether it is a Hatch Act violation to forward an email you received from a political party? Are you permitted to tweet your views about a candidate during your lunch break? How about inviting friends to a fundraiser? This session discusses in detail the prohibited and permitted activities under the Hatch Act, which governs the political activity of federal employees. Special attention will be placed on novel issues and emerging trends the Office of Special Counsel observed during and since the last election cycle. For example, the session will wrestle with Hatch Act issues surrounding agency and employee participation on Facebook, Twitter, and the like. In addition, this session will discuss recent amendments to the Hatch Act, in particular the new penalty structure.

Ana Galindo-Marrone, Office of Special Counsel

9:00 – 10:30

18 U.S.C. § 205(a)(2): From Doctrine to Implementation

Balcony C (Room Change)

In this session, Leigh Francis and Rachel Dowell from OGE's Ethics Law and Policy Branch will cover the elements of 18 U.S.C. § 205(a)(2) and provide specific examples to help participants understand the nuances of the prohibition. Susan Heller of DHS and Paul Conrad of FEMA will then share programmatic issues in implementing and advising on this statute.

Leigh Francis, Office of Government Ethics
Paul E. Conrad, Federal Emergency Management Agency
Rachel Dowell, Office of Government Ethics
Susan Heller, Department of Homeland Security

9:00 – 10:30

USAID Agency-wide Integrity Working Group

Balcony B

At USAID, the conclusion that an effective ethics program requires the commitment of several offices, and not just the DAEO, has led to the establishment of an agency-wide Integrity Working Group (IWG) consisting of the DAEO and ADAEO, the Deputy IG for Investigations, the Director of HR/Labor Management Relations, the Chief Information Security Officer, and the Deputy of the Office of Security. The IWG has been having regular meetings for over two years, and what was initially an ad hoc group has now been institutionalized in agency regulations. Initially, the IWG was a way to coordinate efforts, but the IWG has broadened over time to also explore the various perspectives the individual offices have. The IWG has been deemed invaluable by the agency's DAEO, who has found it instrumental in discussing difficult ethics issues with agency senior management and being able to convey a more corporate-level response, as opposed to simply an ethics opinion.

James Peters, U.S. Agency for International Development
Lisa McClennon, U.S. Agency for International Development

9:00 – 10:30

Electronic Filing for Reviewers: *Integrity* Demonstrated

Room D (Room Change)

This interactive session will focus on how ethics officials and other financial disclosure report reviewers will interface with *Integrity*, OGE's new electronic filing system.

George Hancock, Office of Government Ethics
Steven Corbally, Office of Government Ethics

10:45 – 11:45

The Nettlesome Question of Particular Matters of General Applicability

Ruth L. Kirschstein Auditorium

“What type of ‘matter’ is involved?” is a critical threshold question for criminal conflict of interest statutes and ethics rules because the type of matter determines the scope of applicable prohibitions and regulatory exemptions. Yet, drawing lines between different types of matters can be particularly vexing for ethics officials. This workshop will confront the gray areas between “particular matters of general applicability,” and the broader category of “matter” and the narrower category of “particular matter involving specific parties,” while providing constructive guidelines and advice for analyzing whether something does (or does not) constitute a particular matter of general applicability.

David Apol, Office of Government Ethics
Helen Eisner, Office of Government Ethics
Robert Shapiro, Department of Labor

10:45 – 11:45

Understanding the Supplemental Agency Regulation Process

Balcony C (Room Change)

This panel will discuss and address 1) whether an agency needs a supplemental ethics regulation to accomplish its goals, 2) appropriate subject-matter areas to include in a supplemental agency ethics regulation, and 3) a summary of OGE’s role in assisting agencies in this process.

Amber Vail, Consumer Financial Protection Bureau
Amy Braud, Office of Government Ethics
Amy Mertz Brown, Consumer Financial Protection Bureau
Seth Jaffe, Office of Government Ethics

10:45 – 11:45

Utilizing Model Practices to Enhance Your Ethics Program

Balcony B

OGE’s Compliance Division is in a unique position to observe the various ways that executive branch agencies structure and manage their ethics programs. In this session, we’ll share some of the model practices from various agencies to assist you with efficiently and effectively managing your ethics program. Jeannine Turenne from the Consumer Financial Protection Bureau will be sharing model practices relating to CFPB’s process of vetting employees.

Jeannine Turenne, Consumer Financial Protection Bureau
Michelle MaGee, Office of Government Ethics

Forum Day 2
Friday, September 19

10:45 – 11:45

Managing Ethics Records Under the New GRS 2.8

Room D (Room Change)

OGE has teamed with the National Archives and Records Administration to draft revisions to the General Records Schedule that reflect current functions and practices in executive branch ethics offices. In this session, we will review those revisions and discuss how *Integrity*, OGE's new system for electronically filing and reviewing public financial disclosures, will provide new options for managing ethics records.

Paul Ledvina, Office of Government Ethics

12:00 – 12:30

Getting to EIF

Balcony C (Room Change)

Do you have filers with lots of investment funds such as private equity funds, hedge funds, and venture capital funds? If so, one of the most crucial questions for you is whether these investment funds qualify as Excepted Investment Funds (EIF). EIFs allow for reduced disclosure because these funds are widely held, widely diversified or publicly traded, and not self-directed. This informal discussion will address the criteria and provide tips for determining whether a fund qualifies as an EIF.

Lorna Syme, Office of Government Ethics

12:00 – 12:30

Stop Making This Mistake: Clarifying 5 C.F.R. § 2635.502(a)(2) &(c)

Balcony B

In this session, we will discuss the role of “covered relationships” in making impartiality determinations and teach you an approach to Subpart E that can improve your impartiality analyses.

Patrick Shepherd, Office of Government Ethics
Ryan Segrist, Office of Government Ethics

12:00 – 12:30

**Utilizing Model Practices to Enhance Your Ethics Program
(Synopsis)**

Room D (Room Change)

OGE's Compliance Division is in a unique position to observe the various ways that executive branch agencies structure and manage their ethics programs. In this session, we will share some of the model practices from various agencies to assist you with efficiently and effectively managing your ethics program.

Michelle MaGee, Office of Government Ethics

1:15 – 2:15

Do We Have the Right Ethics Rules to Protect the Public's Trust?

Ruth L. Kirschstein Auditorium

The panel will discuss whether ethics laws and regulations go too far or not far enough to protect the public's trust. OGE General Counsel David Apol will moderate the discussion.

David Apol, Office of Government Ethics

Norman Eisen, former U.S. Ambassador and Special Counsel to
the President

Richard Painter, University of Minnesota Law School and Harvard
University; former Associate Counsel to the President

2:30 – 3:30

Compliance Convergence

Ruth L. Kirschstein Auditorium

The panel will discuss the similarities between private and public sector ethics and compliance programs, as well as successful solutions to common challenges. The panel will also examine a specific government agency that integrated ethics responsibilities into a broader compliance program.

Emil Moschella, Rutgers School of Law

Joseph Gangloff, Office of Government Ethics

Patrick Kelley, Federal Bureau of Investigation

Tim Mazur, Ethics and Compliance Officer Association

Forum Day 2
Friday, September 19

3:45 – 5:00

Government Travel and Related Ethics, Appropriations, and Gift Authorities

Ruth L. Kirschstein Auditorium

Lenny Loewentritt will discuss various travel- and ethics-related policies and regulations affecting all employees of the government. He will discuss issues relating to frequent-flyer benefits, premium-class accommodations, use of the government charge card, acceptance of payment for travel expenses from non-federal sources, the airline contract City Pair Program, routing of travel, refreshments at conferences, use of rental cars, and a number of other travel-related issues. There will also be opportunity for questions and answers on any travel-related issues.

Lennard Loewentritt, General Services Administration

3:45 – 5:00

What Role Do Human Resources/Employee Relations Specialists Play in an Agency's Ethics Program?

Balcony C (Room Change)

This panel discussion will focus on the experiences of Human Resources/Employee Relations Specialists in pursuing personnel actions related to violations of the Standards of Ethical Conduct for Employees of the Executive Branch, for instance, employees taking prohibited gifts; misuse of government time, information, or property; and conflicting outside activities. Panelists will address the following questions: How often do HR/Employee Relations Specialists deal with these types of issues? How do they come to light? What processes do the HR/Employee Relations Specialists follow when investigating misconduct or advising managers on how to handle the misconduct? How can HR/Employee Relations Specialists benefit from consulting their agency ethics officials?

Christina Peterson, National Science Foundation
Diana Veilleux, Office of Government Ethics
Julie Bednar, Department of the Interior

3:45 – 5:00

Considerations in Drafting 208(b)(1) Determinations

Balcony B

In this session, OGE’s General Counsel David Apol and Assistant Counsel Chris Swartz will discuss the art of drafting 18 U.S.C. 208(b)(1) determinations. The presenters will discuss the history and purpose behind the enactment of 208(b)(1), review initial considerations that should be made prior to drafting, and discuss model templates and language that agencies may use when drafting 208(b)(1) determinations.

Chris Swartz, Office of Government Ethics
David Apol, Office of Government Ethics

3:45 – 5:00

Electronic Filing for Reviewers: *Integrity* Demonstrated

Room D (Room Change)

This interactive session will focus on how ethics officials and other financial disclosure report reviewers will interface with *Integrity*, OGE’s new electronic filing system.

George Hancock, Office of Government Ethics
Steven Corbally, Office of Government Ethics

FORUM DAY 3

Tuesday, September 23, 2014

Federal Housing Finance Agency
Constitution Center
400 7th Street, SW
Washington, DC 20024

The Three-Day Forum brings together leaders from the executive branch ethics community, representatives from the legislative and judicial branches, members of the press, advocates from good government groups, noted thinkers from academia, officials from state and local governments, and members of the international community. It consists of plenary and breakout sessions geared toward advanced ethics law and policy issues, as well as ethics-related authorities.

Metro Directions

FHFA is located at the L'Enfant Plaza Metro Station (Blue/Yellow/Orange/Green/Silver lines). Once in the station, follow the signs for the 7th & D Street exit. Upon exiting the station, turn left on D Street. At the corner, turn left on 7th Street. The entrance to Constitution Center is halfway down the block on the left.

Parking

Public parking garages are located nearby at 480 L'Enfant Plaza, SW (Ace Parking) and Federal Center Plaza, 500 C Street, SW (Colonial Parking). There is no public parking available at Constitution Center.

Check-in and Pre-sessions

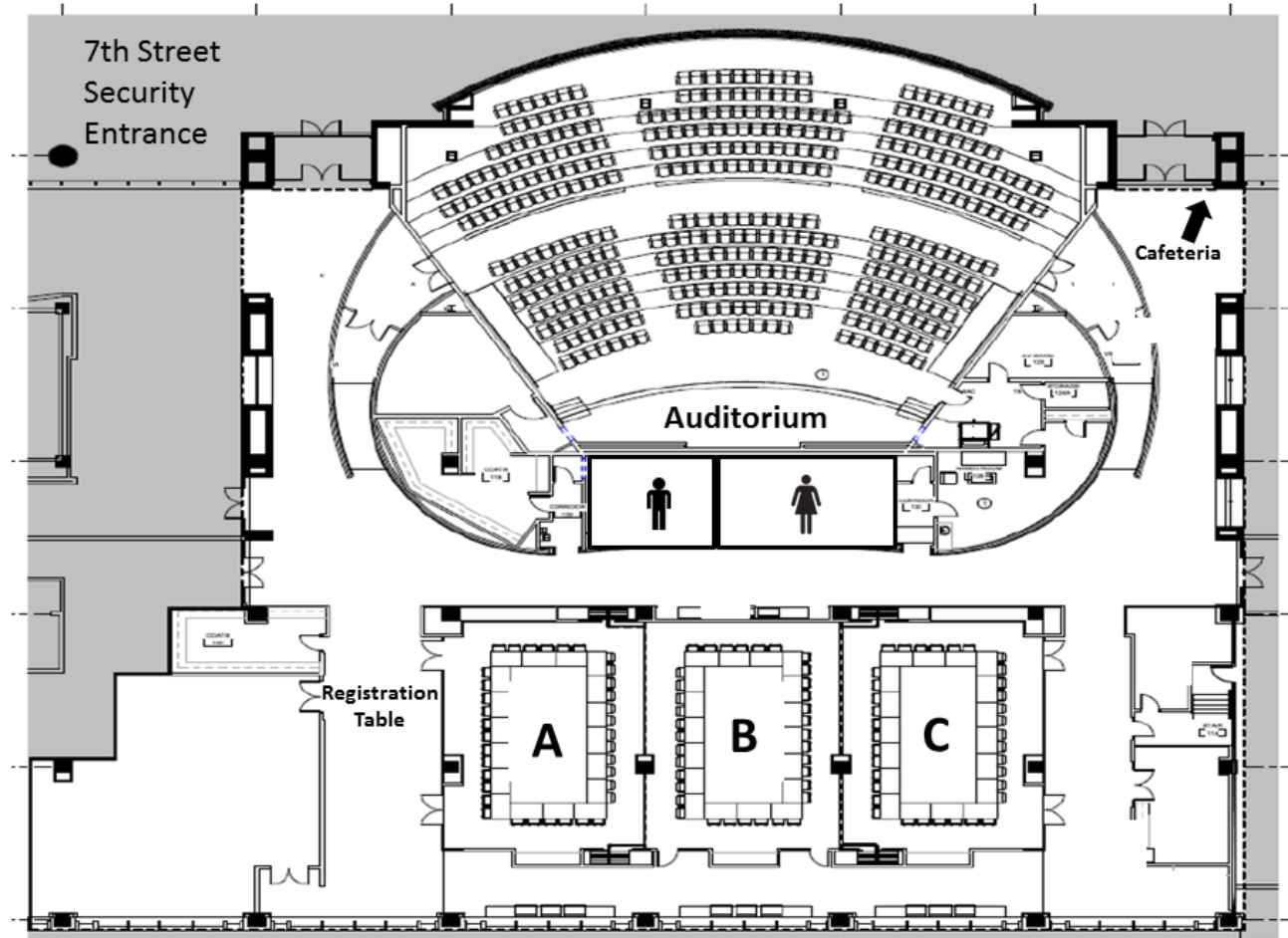
There is no on-site registration. All participants should have registered online in advance. Registrants may check in starting at 8:00 a.m.

The pre-sessions will start shortly after 8:00 a.m. They are designed as informal events, so attendees should feel free to enter pre-session venues at any time after they've checked in.

Lunch

Lunch is on your own. The FHFA cafeteria is open for lunch from 11:30 a.m. to 2:00 p.m. Attendees have the option to take lunch during any combination of the sessions that take place between 12:30 p.m. and 2:00 p.m. (marked with asterisks on the agenda-at-a-glance). Food is allowed in Rooms A, B, and C, but not in the Auditorium.

Map of Meeting Rooms at FHFA



FORUM DAY 3 AT FHFA Tuesday, September 23, 2014

	Auditorium	Room A	Room B	Room C
8:00 – 8:45 Check-in Open/ Pre-session		Electronic Filing for Filers: <i>Integrity Demonstrated</i>		
9:00 – 9:45 Pre-sessions	When Is an Employee’s Outside Teaching, Speaking, or Writing “Related to” Official Duties?	Electronic Filing for Reviewers: <i>Integrity Demonstrated</i>	Managing Ethics Issues of SGEs on Federal Advisory Committees	
10:00 – 10:30	Opening Remarks			
10:30 – 11:00	The Executive Branch Ethics Program From 50,000 Feet			
11:15 – 12:15	Ethics Across the Three Branches: Hot Topics and Issues of Common Interest	GAO’s Green Book and Yellow Books: an Ethics Perspective		
12:30 – 1:15 *		Leading Your Ethics Program: An Introduction to Risk Management	Resolving Impartiality Concerns – Which Door Will You Choose?	
1:15 – 2:00 *	Adventures of an Ethics Czar		Ethics-Related Investigations and Investigative Techniques	
2:15 – 3:30	Whistleblower Protection: Why It’s Important to Good Government and How It Works	Ethics Issues Common to Regulatory Agencies	Essentials of Ethics Enforcement	
3:45 – 4:45	Ethics Community Stakeholders: How the Press, Good Government Groups, and Others Work Toward Common Goals			
4:45 – 5:15	Keynote Speaker: The Honorable Donna Edwards, U.S. House of Representatives			
5:15 – 5:30	Closing Remarks			

* Lunch is on your own. Attendees have the option to take lunch during any combination of the sessions marked with asterisks. The FHFA cafeteria is open for lunch from 11:30 a.m. to 2:00 p.m. Food is allowed in Rooms A, B, and C, but not in the Auditorium.

8:00 – 8:45

Electronic Filing for Filers: *Integrity* Demonstrated

Room A

This interactive session will focus on how filers will interface with *Integrity*, OGE’s new electronic filing system. Members of the *Integrity* team will address questions that ethics officials will likely receive from their filers and will answer your questions as well.

George Hancock, Office of Government Ethics
Steven Corbally, Office of Government Ethics

9:00 – 9:45

When is an Employee’s Outside Teaching, Speaking, or Writing “Related to” Official Duties?

Auditorium

In this session, Seth Jaffe and Leigh Francis from OGE’s Ethics Law and Policy Branch will explore the background of the teaching, speaking, and writing restriction in 5 C.F.R. § 2635.807. They will then examine the complex issue of when teaching, speaking, or writing relates to an employee’s official duties, explaining the definition and providing examples to illuminate the concepts.

Leigh Francis, Office of Government Ethics
Seth Jaffe, Office of Government Ethics

9:00 – 9:45

Electronic Filing for Reviewers: *Integrity* Demonstrated

Room A

This interactive session will focus on how ethics officials and other financial disclosure report reviewers will interface with *Integrity*, OGE’s new electronic filing system.

George Hancock, Office of Government Ethics
Steven Corbally, Office of Government Ethics

9:00 – 9:45

Managing Ethics Issues of SGEs on Federal Advisory Committees

Room B

Federal advisory committees play a vital role in developing public policy and government rules on a wide array of issues. Many of the experts who provide advice to policymakers through these committees are special government employees (SGEs). This session will provide information that ethics officials should know concerning the Federal Advisory Committee Act (FACA) and the roles of officials involved in implementing this Act. This session will provide insight that will enable ethics officials to sharpen their skills in managing the ethics issues that arise from having SGEs serving on these committees.

Daniel Fort, Environmental Protection Agency
Lorelei Kowalski, General Services Administration
Vincent Salamone, Office of Government Ethics

10:00 – 10:30

Opening Remarks

Auditorium

Walter M. Shaub, Jr., Office of Government Ethics

10:30 – 11:00

The Executive Branch Ethics Program From 50,000 Feet

Auditorium

Every year OGE collects valuable agency ethics program information via the annual reports executive branch agencies are required to submit under the Ethics in Government Act. These reports give OGE a snapshot of each agency's ethics program, while the compiled data provides OGE with an overview of the entire executive branch ethics program. OGE is excited to share with you highlights, comparative data, and trends from the 2013 Annual Agency Questionnaire.

Nicole Stein, Office of Government Ethics

11:15 – 12:15

Ethics Across the Three Branches: Hot Topics and Issues of Common Interest

Auditorium

This panel will engage in an interesting discussion of ongoing and emerging ethics issues of common interest to each branch of government. The panel will provide a comparative look at the similarities and differences between each branch's ethics rules and approaches.

David Apol, Office of Government Ethics
John Sassaman, Senate Select Committee on Ethics
Omar Ashmawy, U.S. House of Representatives Office of Congressional Ethics
Robert Deyling, Judicial Conference Committee on Codes of Conduct, Administrative Office of the U.S. Courts
Shelley Finlayson, Office of Government Ethics
Tom Rust, U.S. House of Representatives Committee on Ethics

11:15 – 12:15

GAO's Government Auditing Standards (The Yellow Book) and Standards for Internal Control in the Federal Government (The Green Book): An Ethics Perspective

Room A

This session will explore how the audit and internal control standards promulgated by the U.S. Government Accountability Office foster the commitment to integrity that is critical to maintaining the value of government-provided services and information.

Eric H. Holbrook, U.S. Government Accountability Office

12:30 – 1:15

Leading Your Ethics Program: An Introduction to Organizational Risk Management

Room A

What if you could see the places in your organization where ethics problems are likely to occur? Would it change the way you train? Would it change the way you deploy program resources? Could it change the amount of resources that you have to deploy?

While we can't make you clairvoyant, you can learn to work with stakeholders in your organization to proactively identify, assess, and mitigate ethics risk. By doing so, you can make compliance meaningful while protecting your organization.

In this workshop, instructors will introduce you to a framework for managing risk.

Patrick Shepherd, Office of Government Ethics
Ryan Segrist, Office of Government Ethics

12:30 – 1:15

Resolving Impartiality Concerns – Which Door Will You Choose?

Room B

This short lunchtime session will help participants visualize the conceptual framework for resolving impartiality concerns under Subpart E of the Standards of Conduct.

Kim Kaplan, Office of Government Ethics

1:15 – 2:00

Adventures of an Ethics Czar

Auditorium

Norman Eisen, former Special Counsel to President Obama, will discuss his role in the Administration's initiatives on ethics, lobbying, and transparency – and the surprising and funny ways those same issues came up in his subsequent job as a U.S. Ambassador.

Norman Eisen, former U.S. Ambassador and Special Counsel to the President

1:15 – 2:00

Ethics-Related Investigations and Investigative Techniques

Room B

Join us for a conversation about the interplay between ethics regulations, investigations, and the role you play regardless of where you are on the advice-investigations ladder. We will cover common violations in the executive branch and Congress, the investigations that result from them, and the roles and responsibilities that agency officials may have when providing advice or reporting misconduct. We will also cover the nuts and bolts of how to conduct investigations, including gathering evidence before giving advice and using publicly available information before or after providing counsel.

Omar Ashmawy, U.S. House of Representatives Office of
Congressional Ethics

Paul Solis, U.S. House of Representatives Office of Congressional
Ethics

1:15 – 2:00

OGE's Education Efforts: Where We've Been and Where We're Headed

Room C

In this session, OGE's team of instructors will discuss how the experiences of the past year and a half have informed decisions about future professional development offerings.

The instructors invite participants to join the conversation about how OGE should direct its efforts in FY15.

Cheryl Kane-Piasecki, Office of Government Ethics

Patrick Shepherd, Office of Government Ethics

Ryan Segrist, Office of Government Ethics

2:15 – 3:30

Whistleblower Protection: Why It's Important to Good Government and How It Works

Auditorium

We all hope that government will operate with integrity and efficiency and in the best interest of the public we serve. But when that doesn't happen and agencies choose not to do the right thing, conscientious employees can choose to blow the whistle and put a stop to fraud, waste, and abuse. Whistleblowers have an important role in identifying corrupt practices and are rightfully accorded special protection from reprisal. This session will explain what employee activities are protected under the Whistleblower Protection Act, why these protections are important to good government, and how the whistleblower process works.

Adam Miles, Office of Special Counsel
Patricia Harned, Ethics Resource Center
Robert P. Storch, Department of Justice

2:15 – 3:30

Ethics Issues Common to Regulatory Agencies

Room A

Similarly situated agencies tend to encounter similar issues. This session will explore issues that regulatory agencies typically encounter. These could include: how to best screen regulators for conflicts of interest, deciding when to grant waivers for participation in particular matters, or deciding whether an agency needs an outside activities prior-approval requirement. The session is intended to be an interactive engagement in which agency ethics officials learn from one another how to deal with their common issues.

Charles Beamon, Federal Energy Regulatory Commission
Michael Korwin, Federal Deposit Insurance Corporation
Jeffrey Pienta, Farm Credit Administration

2:15 – 3:30

Essentials of Ethics Enforcement

Room B

This session will focus on the role of the ethics official in the federal agency enforcement scheme. Topics covered will include the ethics official's role in agency investigations and disciplinary actions, as well as significant cases involving ethics infractions.

Diana Veilleux, Office of Government Ethics
Janice Kullman, Federal Housing Finance Agency

2:15 – 3:30

Illegal Gratuities: 18 U.S.C. § 201

Room C

This session will focus on defining what constitutes an illegal gratuity under 18 U.S.C. § 201 and the relationship of 18 U.S.C. § 201 to the gift rules and other statutes.

Edward Sullivan, Public Integrity Section, Department of Justice

3:45 – 4:45

Ethics Community Stakeholders: How the Press, Good Government Groups, and Others Work Toward Common Goals

Auditorium

What do good government advocacy groups, the press, OGE, and executive branch agencies have in common? Whether through internal controls or external oversight, these entities help ensure a transparent federal government that functions with integrity and is free from conflicts of interest. Meet some of the players who ensure that the federal government is held accountable for adhering to ethical standards and requirements. The discussion will focus on how various groups contribute to the common goals of transparency, integrity, and accountability.

Craig Holman, Public Citizen
Eric Yoder, The Washington Post
Jason Miller, Federal News Radio
Scott Amey, Project on Government Oversight

Forum Day 3
Tuesday, September 23

4:45 – 5:15

Keynote Speaker: The Honorable Donna Edwards, U.S. House of Representatives

Auditorium

The Honorable Donna Edwards of the U.S. House of Representatives will discuss the importance of government ethics.

Donna Edwards, U.S. House of Representatives

5:15 – 5:30

Closing Remarks

Auditorium

Walter M. Shaub, Jr., Office of Government Ethics