

UNITED STATES OFFICE OF GOVERNMENT ETHICS



January 20, 2016

Rochelle F. Granat
Assistant General Counsel and
Designated Agency Ethics Official
U.S. Department of the Treasury
1500 Pennsylvania Avenue, NW
Washington, DC 20220

Dear Ms. Granat:

As a result of its review of the U.S. Department of the Treasury's Departmental Offices (Treasury) ethics program, the United States Office of Government Ethics (OGE) issued three recommendations in its May 2015 review report. OGE recently conducted a follow-up review to assess whether Treasury has taken action sufficient to resolve the deficiencies underlying the recommendations. The results of the follow-up review are summarized below.

	Recommendation	Agency Action	Status
1	Update Treasury Directive 61-01 to include guidance on the collection, review, evaluation, and public availability of periodic transaction reports.	Treasury Directive 61-01's draft update includes guidance on collection, review, evaluation, and public availability of periodic transaction reports. Additionally, ethics officials issue monthly reminders of the requirement to file periodic transaction reports.	Closed
2	Reassess confidential new entrant filing timeliness after upgrading the tracking database and re-engage with senior officials to consider administrative remedies to encourage timely filing.	OGE's review of new entrant confidential financial disclosure reports submitted subsequent to upgrading the tracking database showed filing timeliness improved from 70% to 86%. In addition to upgrading the tracking database, ethics officials have engaged with supervisors to provide training on reviewing financial disclosure reports and to stress the importance of timely filings.	Closed
3	Ensure coverage of the Principles in annual ethics training provided to confidential filers.	Treasury updated the annual ethics training provided to confidential files to include coverage to the Principles.	Closed

Thank you for your assistance during the follow-up process. We encourage you to contact your OGE Desk Officer for ethics program support.

Sincerely,

A handwritten signature in black ink, appearing to read "D. Christopher", written in a cursive style.

Dale Christopher
Deputy Director for Compliance