

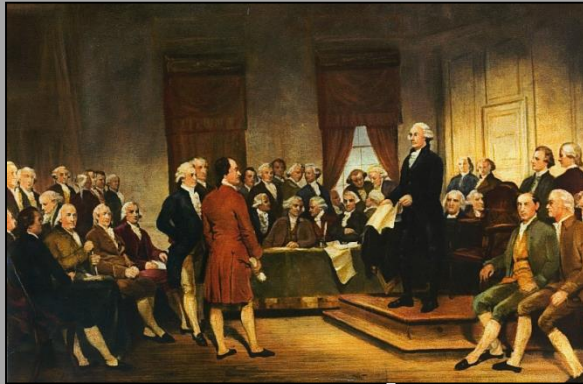
# A Legacy of Transparency

Encouraging Citizen Oversight for an  
Accountable Government

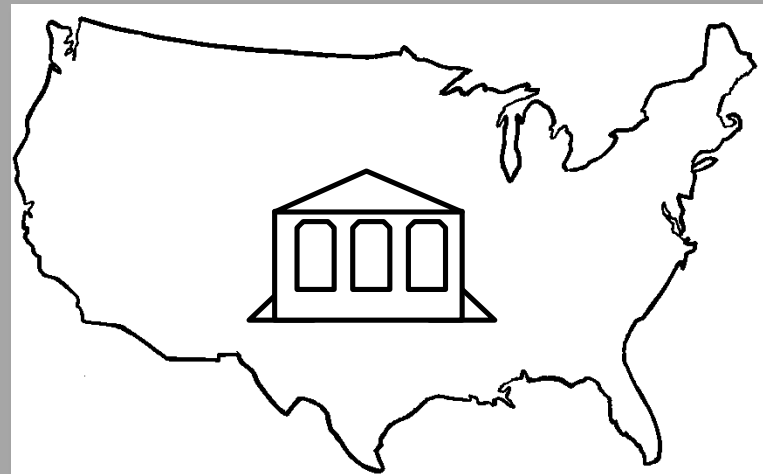
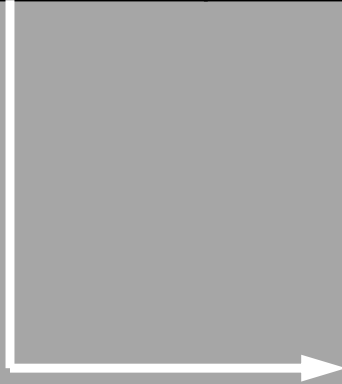
Shelley Finlayson

Chief of Staff and Program Counsel



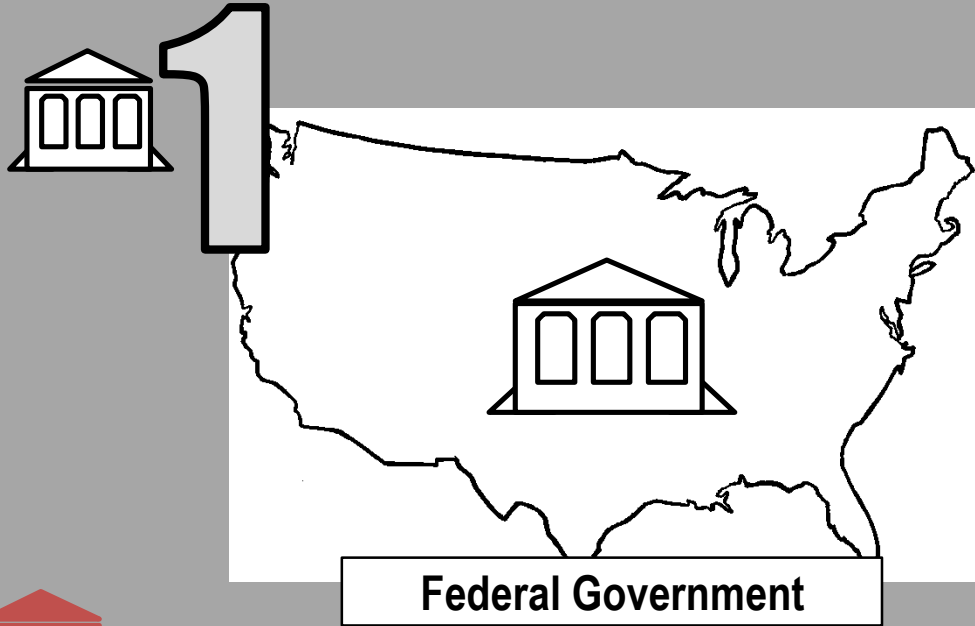


# U.S. Constitution

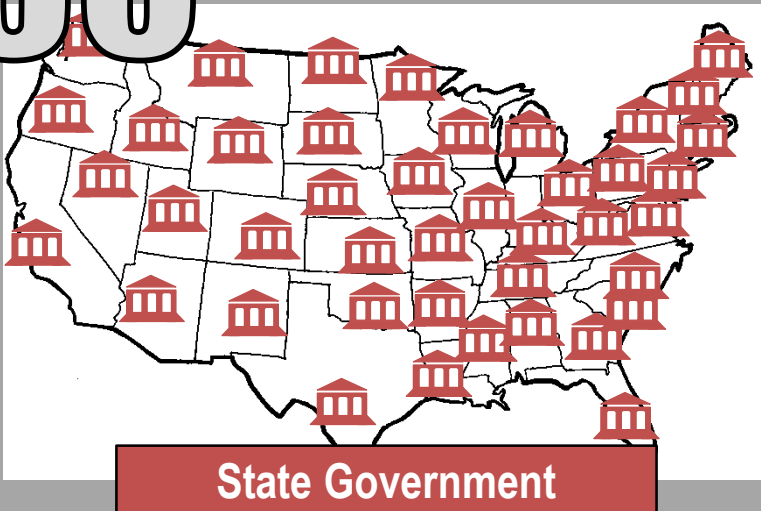


## Federalism

# Federalism



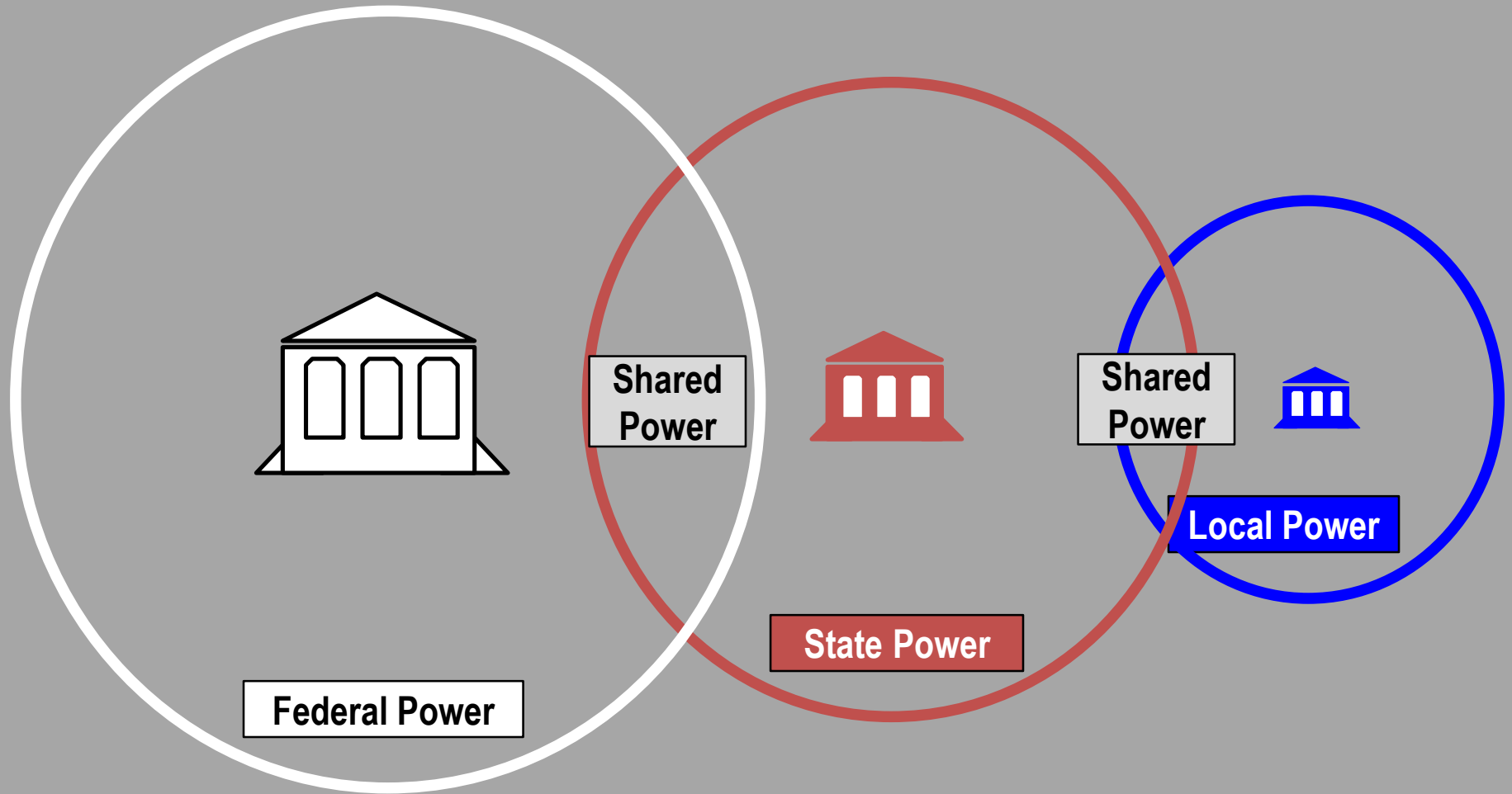
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89,004

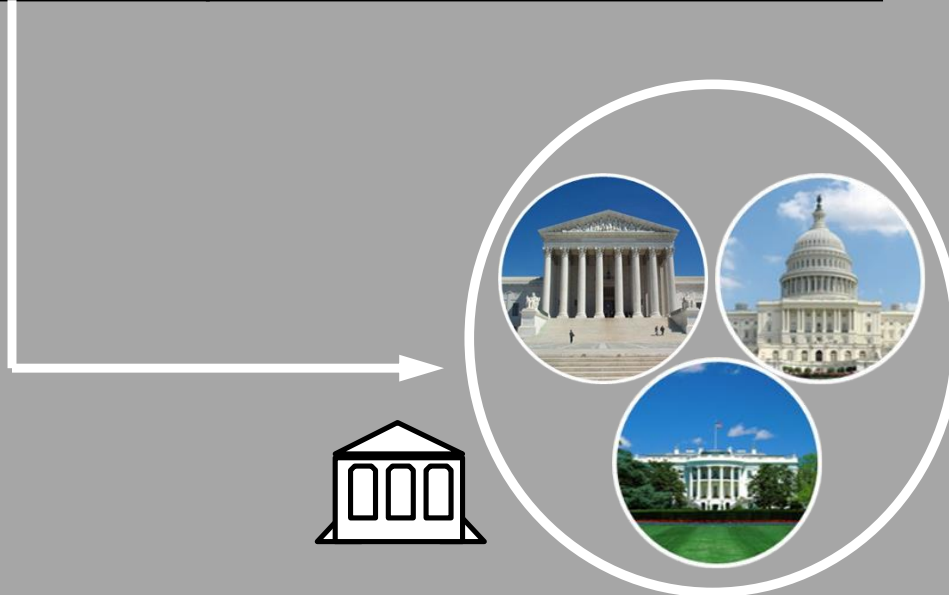


# Federalism

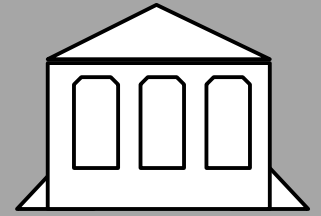




# U.S. Constitution



Three Branch Federal  
Government



Judicial  
Branch



Legislative  
Branch



Executive Branch





# Executive Branch





# Executive Branch



**Ethics Officials  
(~5,500)**

**Civilian Executive Branch Employees  
(~2.7M)**

**United States Citizens  
(~319M)**





**Vision – To achieve a high level of public confidence in the integrity of executive branch programs and operations.**

**Mission – Provide overall leadership and oversight of the executive branch ethics program designed to prevent and resolve conflicts of interest.**

# Promoting Integrity



Freedom of Information

Merit-based Civil Service

Competitive/Open Procurement



Preventing Conflicts of Interest

Whistleblower Protection

# Managing Conflicts of Interest



U.S. Office of Government Ethics

Executive Branch Agencies

**Prevention**



**Detection**

**Enforcement**

**Investigation**



Offices of Inspectors General

U.S. Department of Justice

# Expectations of Citizens



- Available



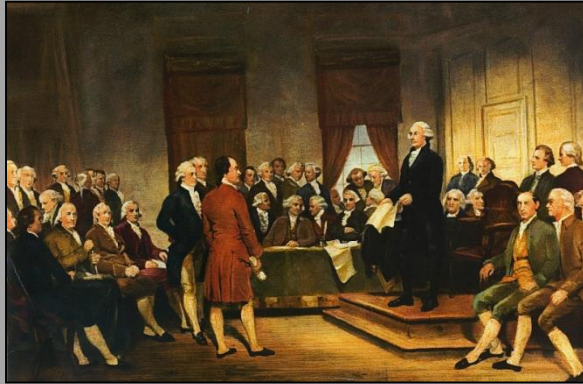
- Understandable



- Accountable



# Available



## U.S. Constitution



Free Press



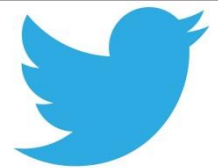
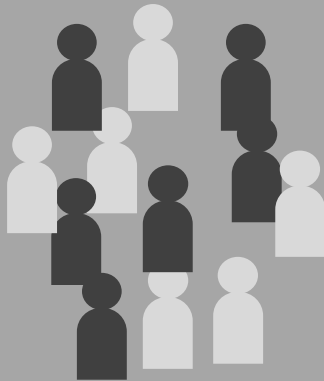
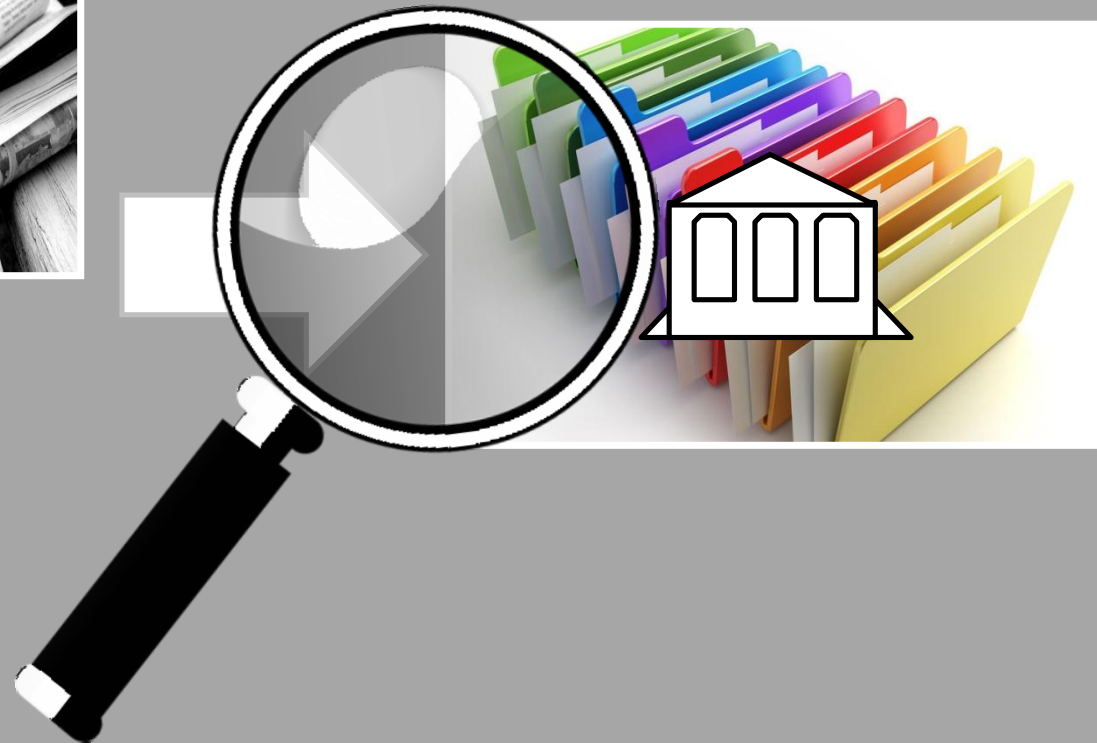
Information  
Access



Civil Society Oversight



# Understandable



# Accountable



UNITED STATES OFFICE OF  
**GOVERNMENT ETHICS**  
Preventing Conflicts of Interest  
in the Executive Branch

Other Governments

Congress

Press

Inspectors General

Government Watchdogs

Citizen Journalists & Activists

Private Sectors Ethics & Compliance

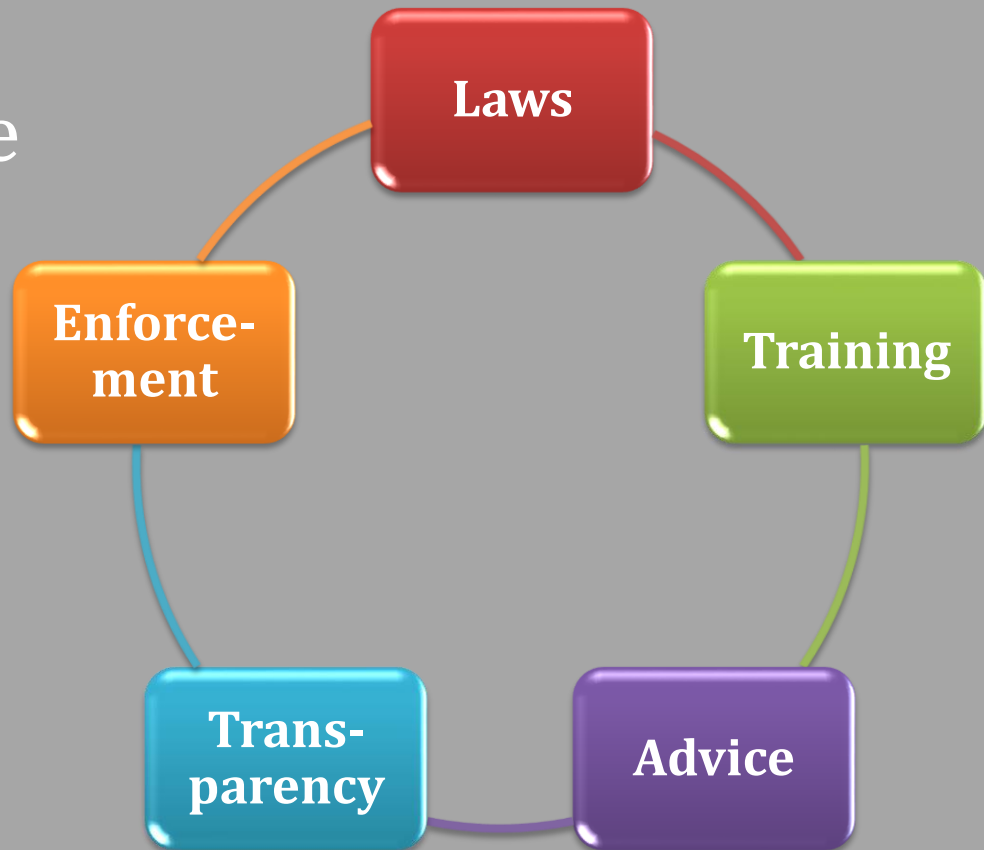
Universities

U.S. Citizens



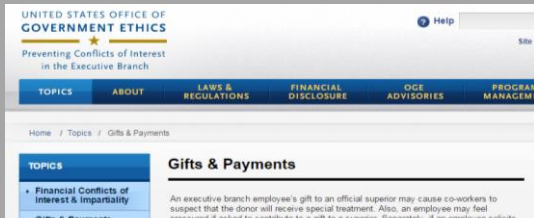
# Office of Government Ethics

- Available
- Understandable
- Accountable



# Laws and Regulations

## Available



### Subpart B—Gifts From Outside Sources

[Back to Top](#)

#### [§2635.201 Overview.](#)

This subpart contains standards that prohibit an employee from soliciting or accepting any gift from a prohibited source or given because of the employee's official position unless the item is excluded from the definition of a gift or falls within one of the exceptions set forth in this subpart.

[Back to Top](#)

#### [§2635.202 General standards.](#)

(a) General prohibitions. Except as provided in this subpart, an employee shall not, directly or indirectly, solicit or accept a gift:

- (1) From a prohibited source; or
- (2) Given because of the employee's official position.

(b) Relationship to illegal gratuities statute. Unless accepted in violation of paragraph (c)(1) of this section, a gift accepted under the standards set forth in this subpart shall not constitute an illegal gratuity otherwise prohibited by 18 U.S.C. 201(c)(1)(B).

(c) Limitations on use of exceptions. Notwithstanding any exception provided in this subpart, other than §2635.204(a), an employee shall not:

- (1) Accept a gift in return for being influenced in the performance of an official act;
- (2) Solicit or coerce the offering of a gift;
- (3) Accept gifts from the same or different sources on a basis so frequent that a reasonable person would be led to believe the employee is using his public office for private gain;

Example 1: A purchasing agent for a Veterans Administration hospital routinely deals with representatives of pharmaceutical manufacturers who provide information about new company products. Because of his crowded calendar, the purchasing agent has offered to meet with manufacturer representatives during his lunch hours Tuesdays through Thursdays and the representatives routinely arrive at the employee's office bringing a sandwich and a soft drink for the employee. Even though the market value of each of the lunches is less than \$6 and the aggregate value from any one manufacturer does not exceed the \$50 aggregate limitation in §2635.204(a), on de minimis gifts of \$20 or less, the practice of accepting even these modest gifts on a recurring basis is improper.

(4) Accept a gift in violation of any statute. Relevant statutes applicable to all employees include:

- (i) 18 U.S.C. 201(b), which prohibits a public official from seeking, accepting, or agreeing to receive or accept anything of value in return for being influenced in the performance of an official act or for being induced to take or omit to take any action in violation of his official duty. As used in 18 U.S.C. 201(b), the term "public official" is broadly construed and includes, in addition to special Government employees, as well as all other Government officials, and

## Understandable



### A Holiday Reminder about the Gift Rules

December 02, 2014  
by Walter M. Shaub, Jr.

The holiday goodies, and the giving and receiving, are observed the

As is the case with employees, because of those who are substantial

Gift-giving to employees from their

There are some employees who accept gifts from an employee who is free to attend to ethics officials



#ShouldMartyAcceptThisGift? Find out here. [oge.gov/Education/Educ...](http://oge.gov/Education/Educ...) #FedEmployees and the #holidays.



## Accountable

The Washington Post

### 'Tis the season to brush up on ethics regulations



By Eric Yoder December 17, 2013

This holiday poem doesn't have lines that soar like "To the top of the porch/To the top of the wall/Now dash away! Dash away! Dash away!"

It lacks the whimsical cadence of "Three thousand feet up! Up the side of Mt. Crummit/He rode with his load to the tiptop to dump it!"

#### Eye Opener



But the authors were working under a challenge not faced by Clement Clarke Moore or Dr. Seuss: The subject matter is the Code of Federal Regulations.

The Office of Government Ethics has posted a [notice on its Web site](#) calling attention to its guidance in poetic form on giving and accepting gifts, policies that apply to federal employees year-round but that draw added interest during the holiday season.

The poem covers considerations for exchanging gifts in the workplace — "I can give to my boss to a limit of ten/A baseball, a cap, or a blue ballpoint pen" — and accepting them from outside, allowable for anything worth up to \$20 because "surely the public/Is certain to see/I could never be bought for a sandwich and tea."

### Most Read Poems

- 1 Mike Brown notes hard-fought victory days before he was shot.
- 2 The three biggest months of Scott Walker's political career.
- 3 Maps: Each state's most terrifying movie shows and games.
- 4 The GOP needs impeachment to away - along with the
- 5 Robin Williams's memorable political jokes.

washingtonpost.com

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# Education and Training

## Available

### Featured Speakers at the OGE National Government Ethics Summit: Scott Amey, Craig Holman, Jason Miller, and Eric Yoder

What do good government advocacy groups, the press, OGE, and executive branch agency ethics programs have in common? Whether through internal controls or external



Forum Day 1 Livestream

U.S. OGE  
@OfficeGovEthics

Look for tweets from both live-stream & other sessions at today's #EthicsSummit event.

## Understandable



### The National Government Ethics Summit Begins

September 12, 2014

by Walter M. Shaub, Jr.

OGE kicked off the National Government Ethics Summit this week. I am happy to report that this month-long series of training is off to a great start.

On Tuesday, we convened the first of three plenary Forum Days at the Natcher Center on the grounds of the National Institutes of Health in Bethesda, Maryland. More than 400 members of the government ethics community registered to participate in person. Another 1,300 unique viewers also watched our live streaming video broadcast of many of the day's sessions.

U.S. OGE  
@OfficeGovEthics

Supplemental agency ethics regulations are designed to meet the specific ethics needs of an agency. #EthicsSummit  
[oge.gov/Laws-and-Regul...](http://oge.gov/Laws-and-Regul...)

## Accountable



### Complex ethics environment pushes OGE to focus on basics

Recommend 0 +1 4 Share 16

Thursday - 9/25/2014, 4:51am EDT



By Jason Miller  
The STOCK Act. The revolving door of federal employees heading to industry. The reverse revolving door of former federal

## FEDweek

### Federal Manager's Daily Report

#### Conferences Can Be Held at Low Cost

Published: February 12, 2015  
More in: Federal Manager's Daily Report



In a lesson that other agencies might put to good use in times of budgetary restrictions on conferences, the Office of Government Ethics has reported that it managed to hold a major conference last fall for just \$12,000 through techniques such as borrowing meeting space from other agencies and use of remote video technology.

The OGE's annual report noted that its National Government Ethics Summit provided multi-day training to replace a – much more expensive – annual conference it had held since 1980 involving agency ethics officials and outside stakeholders such as ethics officers of state and local government, good government groups and academia.

The summit spread 120 training seminars over seven days in federal facilities in the Washington, D.C. area; more than 500 participants attended in person on the three primary dates and about 360 more attended days that focused on specialized topics.

"OGE leveraged technology to broadcast many of the sessions and a number of virtual-only events by live streaming video on the internet. This afforded additional stakeholders and interested members of the public significant access to the Summit. OGE has also posted recordings of these events on its YouTube and Google+ pages, so that they will remain available for future viewing," the agency reported.

More in: Federal Manager's Daily Report



# Guidance and Advice

## Available



April 9, 2015  
LA-15-03

### LEGAL ADVISORY

TO: Designated Agency Ethics Officials

FROM: David J. Apol  
General Counsel

SUBJECT: The Standards of Conduct as Applied to Personal Social Media Use

Use of social media has become prevalent among Federal executive branch employees and agencies. The U.S. Office of Government Ethics (OGE) is aware that agency ethics officials have an interest in understanding how the Standards of Ethical Conduct for Executive Branch Employees (Standards of Conduct), 5 C.F.R. part 2635, apply to the use of social media. This interest is reflected in the increased volume of questions that OGE receives from various agencies seeking advice in this area.

As an initial matter, the Standards of Conduct do not prohibit executive branch employees from establishing and maintaining personal social media accounts. As in any other context, however, employees must ensure that their social media activities comply with the Standards of Conduct and other applicable laws, including agency supplemental regulations and agency-specific policies. To assist employees and agency ethics officials in this endeavor, OGE is providing the following guidance regarding issues that agency ethics officials have frequently raised concerning employees' obligations under the Standards of Conduct when using social media.<sup>1</sup>

### Search Legal Advisories

Keywords:

Topics:  Subtopics:

Citation:  Focus:

Year:  Month:

[Help](#)

Showing 1 — 10 of 859 results found

## Understandable

### Media Resources

One of OGE's main purposes is to help ensure public confidence in Government decision-making. Our framework of ethical behavior is based on the U.S. OGE @OfficeGovEthics

Public confidence in Government is essential to the functioning of our democracy. How do the Federal ethics rules apply to officials' personal use of social media? OGE has the answers here: [oge.gov/OGE-Advisories...](http://oge.gov/OGE-Advisories...)

This information is intended to provide guidance on the role in promoting ethics in the Executive Branch. If you are unable to find an answer to a question you have, after reading our [frequently asked media questions](#), feel free to contact OGE's Media Liaison.

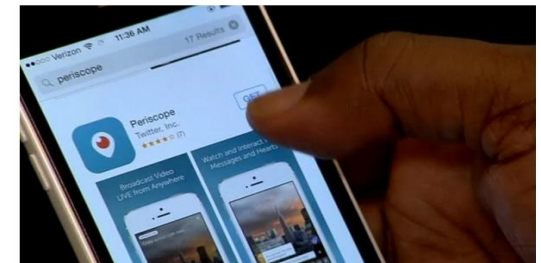
## Accountable

Federal Eye

### Think before you post: Here's the new federal-workforce guidance on social media



By Eric Yoder April 16



(Reuters photo)

Federal employees would be wise to ponder before posting and to think through their tweeting in order to avoid running afoul of government ethics

Gover: U.S. OGE @OfficeGovEthics

Rules

.@Nextgov & @FedScoop are talking about how federal ethics rules apply to social media [nextgov.com/cio-briefing/w...](http://nextgov.com/cio-briefing/w...) [fedscoop.com/feds-get-guida...](http://fedscoop.com/feds-get-guida...)

# Transparency

## Available

### Search Travel Reports

Keywords:

Agency:

[Help](#) [Clear](#) [Search](#)

Showing 1 — 8 of 8 results found

#### [Environmental Protection Agency-\(Oct 2013 to March 2014\)](#)

This travel report covers the period between Oct 31, 2013 - April 1, 2014.

#### [Environmental Protection Agency \(Apr 2011 to Sept 2011\)](#)

This travel report covers the period between April 1, 2011 - Sept 30, 2011.

#### [Environmental Protection Agency \(Oct 2010 to Mar 2011\)](#)

This travel report covers the period between Oct 31, 2010 - April 1, 2011.

#### [Environmental Protection A](#)

This travel report covers the period bet



## Understandable

U.S. OGE  
@OfficeGovEthics

See agency 1353 rpts for info on travel payments from non-federal sources for employee attendance at certain mtgs  
[oge.gov/Open-Governmen...](http://oge.gov/Open-Governmen...)

Navigation icons: back, forward, star, list, more

## Accountable

E&E PUBLISHING, LLC

<< Back to E&E Publishing index page.

**EPA:**  
**Outside groups shelled out \$4.5M for agency officials' travel**  
Kevin Bogardus and Robin Bravender, E&E reporters  
*Greenwire: Thursday, May 22, 2014*

In June 2012, Chesapeake Energy Corp. led more than a dozen U.S. EPA officials on a tour of its hydraulic fracturing operations near Sayre, Pa.

Fracking, and how the federal government regulates it, is of great concern to Chesapeake. The energy company spent \$1.8 million on lobbying that year -- including lobbying EPA on its hydraulic fracturing study looking into potential impacts on drinking water, according to [disclosure records](#) on file with the Senate.

The Chesapeake excursion is among thousands of trips that EPA officials -- including top brass -- have taken on someone else's dime since 2010, according to trip reports obtained by *Greenwire*. Overall, EPA has accepted more than \$4.5 million to pay for hotels, meals, travel and other benefits from outside groups over the past four years.

Corporations, industry associations, nonprofits, foreign governments and others with a stake in EPA's rules -- including groups with registered lobbyists -- regularly pay for EPA official travel, according to reports the agency has filed with the Office of Government Ethics. EPA has reported accepting 3,369 trips that have had some if not all private funding for employees to take tours, attend conferences and meetings, conduct training sessions, and update outsiders on the agency's research and policies since 2010.

In the Chesapeake case, about 13 EPA officials went on the tour of fracking sites to learn more about the process, according to an agency official. The company provided transportation from a central office in Sayre out to nearby well sites. That was noted as "local transportation" on the trip reports with Chesapeake spending \$1,250 overall to ferry the officials to the sites.

"None of the travelers would have had an issue pending before them that involved

# Program Oversight

## Available

### Search Program Review Reports

Keywords:

Year:  Month:

[Help](#) [Clear](#) [Search](#)

Showing 1 — 10 of 66 results found

[1](#) [2](#) [3](#) [4](#) [5](#) [6](#) [7](#)

January 27, 2015

#### Department of Commerce Program Review Report

U.S. Office of Government Ethics Program Compliance Division

September 18, 2014

#### Department of Veterans Affairs Program Review Report

U.S. Office of Government Ethics Program Compliance Division



## Understandable

U.S. OGE  
@OfficeGovEthics

OGE reviews agency ethics programs through plenary reviews and a new inspections process. #EthicsSum  
[oge.gov/Blog/2014/Expanding-Inspections-Process](http://oge.gov/Blog/2014/Expanding-Inspections-Process)

U.S. OGE  
@OfficeGovEthics

Read OGE's review of the Veterans Affairs ethics program. [oge.gov/Program-Management](http://oge.gov/Program-Management)

## Accountable

### VA has one ethics officer for every 18,674 employees

[Recommend](#) [4](#) [Share](#) [11](#)

Tuesday - 9/23/2014, 2:21pm EDT



By Emily Kopp

[Follow](#)

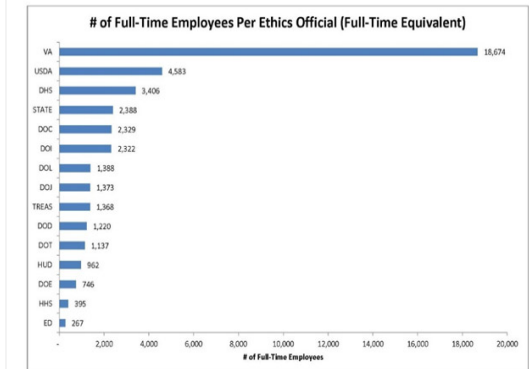
[More Reports](#)

The Veterans Affairs Department should grow its ethics team, according to a [new review](#) by the Office of Government Ethics, which oversees ethics standards across the government.

Just 19 VA lawyers and paralegals work on a specialized team that ensures the department's nearly 343,000 employees comply with government ethics rules. Spread across the nation, the team members make sure senior officials and certain mid-level employees file financial disclosure forms. They also provide training, advice and counseling to employees on a range of questions, such as whether it's OK to accept gifts or take on outside work.

"OGE is concerned that this ratio of one ethics official for every 18,674 employees may be too small for VA to have confidence in its ability to ensure that its workforce is capable of consistently complying fully with the complex framework of government ethics rules applicable to federal agencies," the report said.

VA's ratio of employees to ethics staff is out of line with other cabinet agencies. It is four times higher than at the Department of Agriculture, the agency that comes the closest, according to OGE.



# Enforcement

## Available

### LA-13-12: 2012 Conflict of Interest Prosecution Survey

Link to PDF

#### Prosecution Surveys from Last 3 Years

LA-12-06: 2011 Conflict of Interest Prosecution Survey

LA-11-08: 2010 Conflict of Interest Prosecution Survey

DO-10-017: 2009 Conflict of Interest Prosecution Survey

December 9, 2013  
LA-13-12

#### MEMORANDUM

TO: Designated Agency Ethics Officials

FROM: Walter M. Shaub, Jr.  
Director

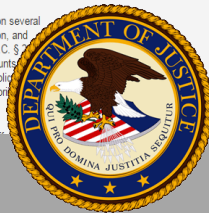
SUBJECT: 2012 Conflict of Interest Prosecution Survey

The Office of Government Ethics (OGE) has completed its annual survey of prosecutions involving the conflict of interest criminal statutes (18 U.S.C. §§ 202-209) for the period January 1, 2012 through December 31, 2012. Information on 11 new prosecutions by the U.S. Attorneys' offices and the Public Integrity Section of the Department of Justice's Criminal Division was provided to OGE with the assistance of the Executive Office for United States Attorneys at the Department of Justice. Summaries of the prosecutions reported to OGE for past years can be found on its website at [www.oge.gov](http://www.oge.gov) under the topic of "Enforcement."

#### I. Update on Previously Reported Case

1. *United States v. Florence A. White Eagle*, 721 F.3d 1108 (9th Cir. 2013)

The defendant, Florence A. White Eagle, appealed her conviction and sentence on several charges, including bribery, misprision of a felony, conspiracy, theft and conversion, and participating in an act affecting a personal financial interest in violation of 18 U.S.C. § 208. The U.S. Court of Appeals for the Ninth Circuit reversed her conviction on the counts charging a violation of 18 U.S.C. § 208, theft and conversion, concealment of public property, and conspiracy, and affirmed her convictions on the counts charging bribery and misprision of a felony.



## Understandable



### OGE's Conflict of Interest Prosecution Survey

February 11, 2014

by Walter M. Shaub, Jr.

Each year, OGE publishes a survey of prosecutions of federal employees alleged to have violated criminal conflict of interest laws. You might ask why OGE would focus on alleged ethical failures, given that OGE's primary mission to prevent conflicts of interest. The reason is that the survey illustrates the high standards to which federal employees are held and the potential consequences for the few found to have violated the public's trust. A comprehensive ethics program necessarily includes not only safeguards to prevent conflicts of interest before they occur but also mechanisms for enforcing ethics rules if they are violated. One such mechanism is disciplinary action, including termination of

### OGE Publishes a Summary of Ethics Prosecutions in 2013

The U.S. Office of Government Ethics (OGE) has issued the 2013 [Conflict of Interest Prosecution Survey](#). The survey contains summaries of eight cases prosecuted by the Department of Justice in 2013 involving the criminal conflict of interest statutes (18 U.S.C. §§ 202-209 and related statutes).

As OGE's Director Walter Shaub has written about the importance of the annual prosecution survey:

You might ask why OGE would focus on alleged ethical failures, given that OGE's primary mission to prevent conflicts of interest. The reason is that the survey illustrates the high standards to which federal employees are held and the potential consequences for the few found to have violated the public's trust.

## Accountable

### FEDweek

#### Ethics Violations Can Have Serious Fallout, OGE Says

Published: November 19, 2014

More in: [Federal Manager's Daily Report](#)



The Office of Government Ethics has put out a legal advisory summarizing the serious legal trouble, in some cases at the felony level, that can await federal employees, and in particular those of higher levels, who commit ethical violations.

The document highlights penalties up to imprisonment that were imposed just in 2013 on conflict of interest charges against employees from agencies including DoD, the IRS, the FBI, NASA and the Bureau of Prisons. At issue were charges involving issuance of contracts, financial interests in outside firms with business related to their official duties, prohibited employment-seeking contacts during a "cooling off" period, and improperly intervening in proposed disciplinary action.

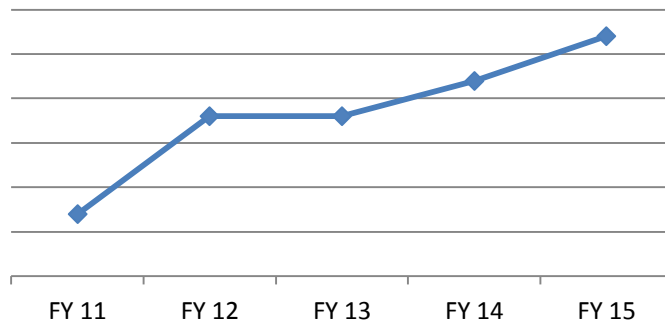
Said an online posting from OGE: "You might ask why OGE would focus on alleged ethical failures, given that OGE's primary mission to prevent conflicts of interest. The reason is that the survey illustrates the high standards to which federal employees are held and the potential consequences for the few found to have violated the public's trust."

The advisory is here: <http://www.oge.gov/OGE-Advisories/Legal-Advisories/LA-14-07-2013-Conflict-of-Interest-Prosecution-Survey/>

# Ongoing Outreach Efforts

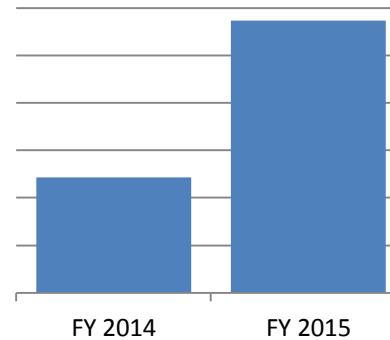
## News Media

Number of News Media Articles that Mention Both OGE & the Executive Branch Ethics Program

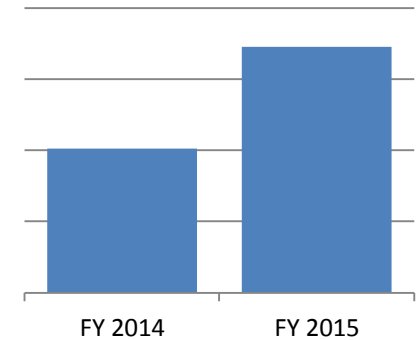


## Social Media

Average Views Per Tweet

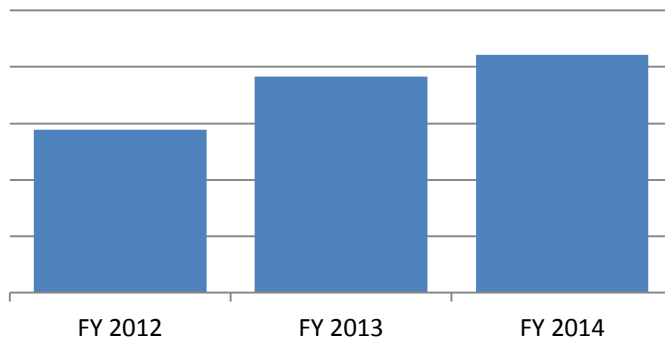


Average Engagements Per Tweet

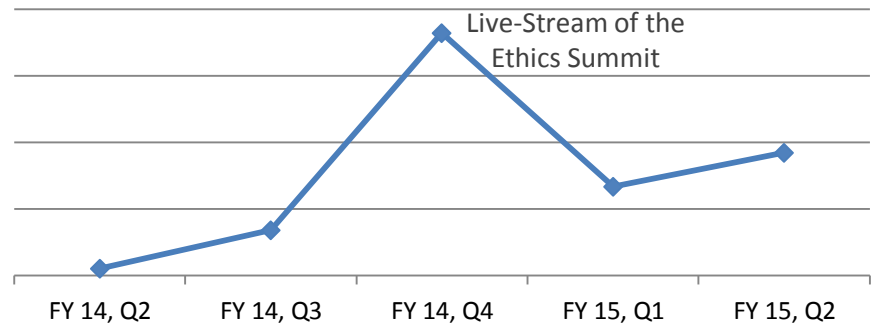


## Website

Unique Visitors to [www.oge.gov](http://www.oge.gov)



YouTube Total Views





# Thank you.

