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# *Agency Questionnaires & Program Reviews*



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# *The Questionnaire*

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## *What is it?*

- Annual Ethics Program Report Card
  - Due Feb 1 of each calendar year.
  - Covers ethics program and compliance data for the preceding calendar year.
- Reflects your effectiveness as an ethics official and program manager.
  - Goes to your DAEO Agency Head.
  - Published on OGE website.



# *The Questionnaire*

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## *Reporting Accurate Data*

- Standard processes and tracking systems makes completion a breeze.
  - Look at prior year questions and use to ensure you have mechanisms to track required data.
  - Leverage/set up tracking mechanisms (filing system reports, LMS reports, spreadsheets, etc.)
- Establish relationships and get regular reports from responsible offices.
  - Get buy in from leadership.
  - Find ways to demonstrate benefit to your component.



# *The Questionnaire*

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*It's not a bad thing...*

- Accept that you will find issues.
- Use findings to improve your program.
- Use data to demonstrate value added.



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# *Surviving Program Reviews*

## *&*

# *Assist Visits*



# *Program Reviews & Assist Visits*

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## *Purpose*

Identify and report on the strengths and weaknesses of an ethics program by evaluating:

- Compliance with ethics statutes, regulations, and policies; and
- Ethics-related systems, processes, and procedures in place for administering the ethics program.



# *Program Reviews & Assist Visits*

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## *Elements Evaluated*

- Program Administration
- Financial Disclosure
- Education & Training
- Advice & Counsel
- Agency-specific Ethics Requirements
- Conflict Remedies
- Enforcement
- Special Government Employee Ethics Requirements
- 1353 Travel



# *Program Reviews & Assist Visits*

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## *Best Practices*

- Point out any program improvements or agency best practices to reviewers.
- Be proactive!
  - If you have a program issue, be prepared with a solution and corrective action plan up front.
- Findings (and the need to correct them) can be a catalyst for leadership support to your ethics office/program.
- DAEO programs can request SOCO assistance with specific questions/issues resulting from OGE review.





# *OGE Program Reviews*

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## *Types*

- Plenary Review (most common)
  - Typically every 2-3 years
  - In-depth narrative assessing entire program
- Inspection
  - Streamlined
  - Results based



# *OGE Program Reviews*

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## *Process*

- Data Gathering Phase – OGE requests data approximately 60 days in advance of site visit.
- Onsite Visit
  - Meet w/ DAEO/ADAEO/ECs, OIG & HR
  - Review financial disclosure reports/program
  - Exit brief with preliminary findings
- Reporting Phase – Draft shared with agency for comment prior to finalization.
- Follow-up – EC responds in writing to any recommendations. OGE will follow up within 6 months if additional action required.



# *Program Assist Visits*

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## *Types*

- DAEO Ethics Program Assist Visit
  - Typically every 2-3 years
  - In-depth narrative assessing entire program
  - Training for ECs and Senior Leadership
- JCS Staff Assist Visit (or similar)
  - Targeted ethics compliance
  - Goes beyond ethics compliance



# *Program Assist Visits*

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## *Process*

- Data Gathering Phase – DAEO/HLR requests data in advance of site visit.
- Onsite Visit
  - Meet w/ DDAEO/ECs & Senior Leadership
  - Review financial disclosure reports/program
  - Exit brief with preliminary findings
- Reporting Phase – Draft shared with agency for comment prior to finalization.
- Follow-up – EC responds in writing to any recommendations. DAEO/HLR will follow up.



# *Program Assist Visits*

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## *SOCO PAVs*

- Try to coordinate with SAV schedule to minimize disruption.
- DoD senior leadership expects SOCO to meet with DDAEO senior leaders (e.g., COCOM Commander & Deputy) and report back.
- We try to notify by February of each year.



# *Program Assist Visits*

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## *Additional Purpose*

- Really is to ASSIST you!
  - Let reviewers know where you need help.
  - Share tools and best practices with reviewers so they can be shared across the DAEO agency or DoD writ large.
- Findings (and the need to correct them) are shared with DoD senior leadership.



# QUESTIONS?

If you have questions regarding the material in this presentation, please contact the DoD Standards of Conduct Office:



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- (Subject: Agency Questionnaires & Program Reviews)