

ETHICS PROGRAM REVIEW FOLLOW-UP REPORT

Agency: Office of Science and Technology Policy (OSTP)

Follow-up to OGE Report Number: 22-63I

Report No.: 25-17IF

Date: November 21, 2024

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

As a result of its review of the Office of Science and Technology Policy's (OSTP) ethics program, the Office of Government Ethics (OGE) issued three recommendations in its September 2022 review report. OGE conducted a follow-up review to assess whether the OSTP has taken sufficient action to resolve the deficiencies underlying these recommendations. The results of the follow-up review are summarized below.

	Recommendation	Agency Action and OGE Finding	Status
1	Ensure that confidential financial disclosure reports are submitted timely.	OGE examined a sample of 54 confidential financial disclosure reports covering January 2023 through October 2023. OGE found that 81% (44 out of 54) of the reports were filed timely.	Closed
2	Ensure that annual ethics training sufficiently covers all required concepts. In addition, ensure that OGE's Standards of Conduct or an equivalent version is provided as part of annual ethics training. OSTP must also provide documentation that illustrates the services provided by [The Office of Administration] OA in conducting annual ethics training. Ensure that the documentation demonstrates a mutual understanding of responsibilities.	OGE reviewed OSTP's annual ethics training slides and materials. OGE found that they sufficiently covered all required concepts and included the Standards of Conduct as required. In addition, OSTP provided a written description of the services provided by OA in conducting annual ethics training.	Closed
3	Ensure that all SGEs receive initial ethics training as required.	OGE reviewed OSTP's tracking data for 2023 and found that 73% (8 out of 11) of SGEs received the required training.	Open
4	During OGE's follow-up review, OGE discovered one unsigned, uncertified confidential financial disclosure report. OGE added a requirement that OSTP obtain the filers signature and certify the report.	OSTP submitted a signed, certified report for OGE's review.	Closed

Based on the results of OGE's follow-up review, recommendations 1, 2, and 4 are closed. OGE will conduct an additional follow-up review to assess whether the OSTP has taken sufficient action to resolve the deficiencies underlying the recommendation that remains open.