

**ETHICS PROGRAM REVIEW FOLLOW-UP REPORT**

Agency: Court Services and Offender Supervision Agency

Follow-up to OGE Report Number: 19-32I

Report No.: 21-37IF

Date: August 3, 2021

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

As a result of its review of the Court Services and Offender Supervision Agency (CSOSA) ethics program, the Office of Government Ethics (OGE) issued three recommendations in its July 2019 inspection report. OGE conducted a follow-up review to assess whether CSOSA 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	Update procedures and ensure the ethics office receives notification of all relevant appointments, promotions, and terminations within 15 days.	CSOSA provided a standard operating procedure outlining notification requirements for new supervisors and prospective employees. It addresses HR's responsibility to notify the DAEO of all appointments to or terminations from covered financial disclosure positions.	Closed
2	Establish written procedures for notices to prospective employees and supervisors.	CSOSA provided a standard operating procedure outlining notification requirements for new supervisors and prospective employees. The standard operating procedure explains the processes in place to ensure the required notices are provided. If followed, the procedure seemed likely to be effective.	Closed
3	Establish written procedures for IET and ensure new employees receive training within three months of appointment.	CSOSA provided an HR-produced New Employee Orientation Procedure checklist that discusses an ethics training flier. Ethics officials also provided a spreadsheet that tracks initial ethics training. The spreadsheet shows that only 60% of new employees who entered on duty between January and December 2020 received training within 90 days.	Open

Based on the results of OGE's follow-up review, recommendations one and two are closed and recommendation three remains open. OGE will conduct an additional follow-up inspection to ensure CSOSA has taken sufficient action to resolve the deficiencies underlying recommendation three and complies with relevant requirements.