

2019
ETHICS
CALENDAR

REPORTS DUE

OGE Form 450, Confidential Financial Disclosure Report, is due to reviewers by February 15, 2019, unless the filer was granted an extension. This report covers the period from January 1, 2018 through December 31, 2018. Most filers should be using EFDS, or for CMS, CDC, and NIH their legacy electronic filing systems.

OGE Form 278e, Public Financial Disclosure Report, is due to reviewers by May 15, 2019, unless the filer was granted an extension. This report covers the period from January 1, 2018 through December 31, 2018. Most filers should be using OGE Integrity, or for CDC and NIH their legacy electronic filing systems.

HHS-520, Request for Approval of Outside Activity, is submitted as necessary throughout the year. CMS, CDC, and NIH use their own electronic filing systems.

HHS-521, Annual Report of Outside Activity, must be submitted to the employee's supervisor by February 28, 2019. ACF, CMS, CDC, and NIH use their own electronic filing systems.

As necessary, remind HHS-520 and HHS-521 filers throughout the year of the need to renew their requests for approval of an ongoing outside activity by filing renewal HHS-520s at least 45 days before their current HHS-520s expire. HHS-520s are only good for one year from the date they are approved.

SF 326 (or OGE Form 1353), Semiannual Report of Payments Accepted from a Non-Federal Source under 31 U.S.C. § 1353, covering in kind benefits received in excess of \$250 received during the period October 1, 2018 through March 31, 2019, is due to ASA/PSC by date set by ASA/PSC, usually on or **about** May 20. Similarly, an SF 326 (or OGE Form 1353), for in kind benefits received in excess of \$250 received during the period April 1, 2019 through September 30, 2019, is due to ASA/PSC by date set by ASA/PSC, usually on or **about** November 20. **NEGATIVE REPORTS ARE REQUIRED. DO NOT REPORT PAYMENTS ACCEPTED FROM A NON-FEDERAL SOURCE UNDER OTHER AUTHORITIES, SUCH AS 42 U.S.C. § 3506 or 5 U.S.C. § 7342.**

THROUGHOUT THE YEAR

- Initial Ethics Training:** Ensure that each new employee receives an initial ethics training (IET) [prior to 2017 was known as initial ethics orientation (IEO)] within three months from the time the new employee begins working for HHS. An online IET module is accessible by using the HHS Access Management System. **The 20 minute ethics introduction that new employees may receive during a New Employee Orientation (NEO) session does not, on its own, fully satisfy the regulatory requirement for IET.**
- DEC / EC Quarterly Mtgs:** Will be held this year on Wednesday, January 23, Wednesday, July 31, and Tuesday, October 29, 2019.
- DEC Annual Workshop:** Will be held in May 2019 (location and date TBD).
- Annual Ethics Training:** Annual Ethics training (AET) must be completed by all public (OGE Form 278e) and confidential (OGE Form 450) financial disclosure filers. The deadline for 2019 AET completion will be announced at the time of its launch. You are responsible for tracking AET completion. It is helpful to send periodic reminders to employees required to be trained.
- IEC Meetings:** Interagency Ethics Council (IEC) monthly meetings are held on the first or second Thursday of every month. The IEC presents topics of interest to ethics advisors. To receive information on upcoming IEC meetings, please go to <https://community.max.gov/x/rIL2P> or <https://community.max.gov/display/FTC/IEC+Journal>. Click on "Watchers" in the top right of your screen, and select "Watch This Page Family." This will allow you receive updates whenever a new post is added to the site. If you have any problems, or do not get an IEC email after about three weeks, notify the IEC Website Manager, Alice Bartek-Santiago, alice.bartek-santiago@sol.doi.gov; (202) 208-4110/7960.
- Waivers:** Copies of all conflict of interest waivers issued under 18 U.S.C. §§ 208(b)(1) and (b)(3) must be forwarded to the Ethics Division. At a minimum, waivers should be forwarded at the end of each quarter. All 208(b)(1) waivers require prior approval by Elizabeth Fischmann, the HHS Designated Agency Ethics Official (DAEO). Consult with your Advice Section attorney if you are considering issuance of a (b)(1) waiver. Components are to consult with the Ethics Division prior to the issuance of a 208(b)(3) waiver where such a review is practicable. For those rare instances where prior review is not practicable, a full Ethics Division review will occur after issuance.
- Waivers from October 1 through December 31, 2018, are due the first week of January 2019. Waivers from January 1 through March 31, 2019, are due the first week of April; waivers from April 1 through June 30, 2019, are due the first week of July; waivers from July 1 through September 30, 2019, are due the first week of October. For fiscal year 2020, waivers from October 1 through December 31, 2019, are due the first week of January 2020.

January 2019

◀ Dec 2018

Feb 2019 ▶

Sun	Mon	Tue	Wed	Thu	Fri	Sat
		1 FEDERAL HOLIDAY January 1, 2019 is the beginning of CY 2019 public (OGE Form 278e) and confidential (OGE Form 450) financial disclosure reporting periods	2 First week of January: Forward to the Ethics Division copies of all 18 U.S.C. § 208(b)(1) and § 208(b)(3) waivers issued since last submission First week of January: OGC Ethics Division sends email to notify all HHS employees that CY 2018 HHS-521 is due by February 28	3 IEC Meeting 12:15 – 1:30 pm [see prior “throughout the year” page to learn how to receive meeting details]	4	5
6	7	8	9	10 2018 HHS Ethics Version of the OGE Questionnaire due to Ethics Division from OP/Staff Divisions	11 Confirmation of 2018 AET completion due to Ethics Division	12
13	14	15 Notify confidential filers that CY 2018 OGE Form 450 is due by February 15	16	17	18	19
20	21 FEDERAL HOLIDAY	22	23 DEC / EC QUARTERLY MEETING HHH 705A, 1 – 4 PM	24	25	26
27	28 Remind 2018 HHS 520 filers to submit CY 2018 HHS-521 by February 28	29	30	31 Seeking / Post-Employment Brown Bag HHH 730B, 12 – 1:30 pm		

February 2019

◀ Jan 2019

Mar 2019 ▶

Sun	Mon	Tue	Wed	Thu	Fri	Sat
					1	2
3	4	5	6	7 IEC Meeting 12:15 – 1:30 pm [see prior “throughout the year” page to learn how to receive meeting details]	8	9
10	11	12	13	14	15 CY 2018 OGE Form 450 is due to be filed with reviewers by this date, unless extension is granted [document all extensions] Unless further information is required, each OGE Form 450 to be reviewed and certified within 60 days of receipt	16
17	18 FEDERAL HOLIDAY	19 Begin generating list of untimely OGE Form 450 filers and notify filers’ supervisors	20	21	22	23
24	25	26	27	28 Seeking / Post-Employment Brown Bag HHH 730B, 12 – 1:30 pm Deadline date for employees to submit HHS-521 to their supervisors		

March 2019

◀ Feb 2019

Apr 2019 ▶

Sun	Mon	Tue	Wed	Thu	Fri	Sat
					1	2
3	4	5	6	7 IEC Meeting 12:15 – 1:30 pm [see prior “throughout the year” page to learn how to receive meeting details]	8	9
10	11	12	13	14	15 Notify public filers that CY 2018 OGE 278e Forms are due by May 15	16
17	18	19	20	21 Ask supervisors to obtain and provide to you HHS 521 forms from 2018 HHS 520 filers whose forms have not yet been received by you.	22	23
24	25	26	27	28 Seeking / Post-Employment Brown Bag HHH 730B, 12 – 1:30 pm	29	30
31 End of 10/1/18 – 3/31/19 reporting period for travel payments accepted under 31 U.S.C. § 1353						

April 2019

◀ Mar 2019

May 2019 ▶

Sun	Mon	Tue	Wed	Thu	Fri	Sat
	1 OGE Form 450 is due from filers granted first 45 day extensions Ethics Program Innovation Award applications due to Ethics Division	2 First week of April: Forward to the Ethics Division copies of all 18 U.S.C. § 208(b)(1) and § 208(b)(3) waivers issued since last submission	3	4 IEC Meeting 12:15 – 1:30 pm [see prior “throughout the year” page to learn how to receive meeting details]	5	6
7	8	9	10	11	12	13
14	15 Notify public filers that CY 2018 OGE Form 278e is due by May 15	16 Unless further information is required, each OGE Form 450 filed timely to be certified (within 60 days of receipt)	17 Expect May 2019 DEC Workshop registration forms to arrive via email in mid-April - please return forms promptly	18	19 Reminder that 31 U.S.C. § 1353 Travel Report using OGE Form 1353 or SF 326 due to ASA/PSC by date set by PSC, usually on or about May 20; negative reports required	20
21	22	23	24	25 Seeking / Post-Employment Brown Bag HHH 730B, 12 – 1:30 pm	26	27
28	29	30				

May 2019

◀ Apr 2019

Jun 2019 ▶

Sun	Mon	Tue	Wed	Thu	Fri	Sat
			1 Deadline for submission of completed May 2019 DEC Workshop registration forms	2 IEC Meeting 12:15 – 1:30 pm [see prior “throughout the year” page to learn how to receive meeting details]	3	4
5	6	7	8	9	10	11
12	13	14	15 CY 2018 OGE Form 278e is due to be filed with reviewers by this date, unless extension is granted [document all extensions] Unless further information is required, each OGE Form 278e to be reviewed and certified within 60 days of receipt	16 Begin generating list of untimely OGE Form 278e filers and notify filers’ supervisors OGE Form 450 is due from filers granted 90 day extensions	17	18
19	20	21 By now CY 2018 HHS 521 forms should have received, reviewed, and finalized. .	22	23	24	25
26	27 FEDERAL HOLIDAY	28	29	30 Seeking / Post-Employment Brown Bag HHH 730B, 12 – 1:30 pm	31 Unless further information is required, each OGE Form 450 with 45 day extension to be certified (within 60 days of filing)	

June 2019

◀ May 2019

Jul 2019 ▶

Sun	Mon	Tue	Wed	Thu	Fri	Sat
						1
2	3	4	5	6 IEC Meeting 12:15 – 1:30 pm [see prior “throughout the year” page to learn how to receive meeting details]	7	8
9	10	11	12	13	14 For CY 2018 OGE 278e filers who failed to file and lacked approved extensions, last day to submit 278e without incurring late fee	15 Late filing fee now applies to CY 2018 OGE 278e filers who did not file and lacked approved extensions
16	17	18	19	20	21	22
23	24	25	26	27 Seeking / Post-Employment Brown Bag HHH 730B, 12 – 1:30 pm	28	29
30						

July 2019

◀ Jun 2019

Aug 2019 ▶

Sun	Mon	Tue	Wed	Thu	Fri	Sat
	1 OGE 278e is due from filers granted first 45 day extensions Last day for request of OGE 278e second 45 day extensions [document all extensions]	2 First week of July: Forward to the Ethics Division copies of all 18 U.S.C. § 208(b)(1) and § 208(b)(3) waivers issued since last submission	3	4 FEDERAL HOLIDAY	5	6
7	8	9	10	11 IEC Meeting 12:15 – 1:30 pm [see prior “throughout the year” page to learn how to receive meeting details]	12	13
14	15 Unless further information is required, each OGE Form 450 with two 45 day extensions to be certified (within 60 days of filing)	16	17	18	19	20
21	22	23	24	25 Seeking / Post-Employment Brown Bag HHH 730B, 12 – 1:30 pm	26	27
28	29	30	31 For CY 2018 278e filers with 45 day filing extensions, last day to submit 278e without incurring late fee DEC / EC QUARTERLY MEETING HHH 705A, 1 – 4 PM			

August 2019

◀ Jul 2019

Sep 2019 ▶

Sun	Mon	Tue	Wed	Thu	Fri	Sat
				1 Late filing fee now applies to CY 2018 OGE 278e filers who did not file within their 45 day filing extensions IEC Meeting 12:15 – 1:30 pm [see prior “throughout the year” page to learn how to receive meeting details]	2	3
4	5	6	7	8	9	10
11	12	13	14	15 CY 2018 OGE 278e is due from filers granted second 45 day extensions	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30 Unless further information is required, each OGE Form 278e with 45 day extension to be certified (within 60 days of filing)	31

September 2019

◀ Aug 2019

Oct 2019 ▶

Sun	Mon	Tue	Wed	Thu	Fri	Sat
1	2 FEDERAL HOLIDAY	3	4	5 IEC Meeting 12:15 – 1:30 pm [see prior “throughout the year” page to learn how to receive meeting details]	6	7
8	9	10	11	12	13	14
15	16 For CY 2018 OGE Form 278e filers with two 45 day filing extensions, last day to submit 278e without incurring late fee	17 Late filing fees now applies to CY 2018 OGE Form 278e filers failing to file within their second 45 day extensions	18	19	20	21
22	23	24	25	26 Seeking / Post-Employment Brown Bag HHH 730B, 12 – 1:30 pm	27	28
29	30 End of 4/1/19 – 9/30/19 reporting period for travel payments accepted under 31 U.S.C. § 1353					

October 2019

◀ Sep 2019

Nov 2019 ▶

Sun	Mon	Tue	Wed	Thu	Fri	Sat
		1 First week of October: Forward to the Ethics Division copies of all 18 U.S.C. § 208(b)(1) and § 208(b)(3) waivers issued since last submission	2	3 IEC Meeting 12:15 – 1:30 pm [see prior “throughout the year” page to learn how to receive meeting details]	4	5
6	7	8	9	10	11	12
13	14 FEDERAL HOLIDAY	15 Unless further information is required, each OGE Form 278e with two 45 day extensions to be certified (within 60 days of filing)	16	17	18 Reminder that 31 U.S.C. § 1353 Travel Report using OGE Form 1353 or SF 326 due to ASA/PSC by date set by PSC, usually on or about November 20; negative reports required	19
20	21	22	23	24	25	26
27	28	29 DEC / EC QUARTERLY MEETING HHH 505A, 1 – 4 PM	30	31 Seeking / Post-Employment Brown Bag HHH 730B, 12 – 1:30 pm		

November 2019

◀ Oct 2019

Dec 2019 ▶

Sun	Mon	Tue	Wed	Thu	Fri	Sat
					1 Only 61 days remain in financial disclosure calendar year; employees need to serve in a position for 61 days or more to file annual financial disclosure reports	2 Financial disclosure filers entering positions today and later do not file CY 2019 reports in 2020
3	4	5	6	7 IEC Meeting 12:15 – 1:30 pm [see prior “throughout the year” page to learn how to receive meeting details]	8	9
10	11 FEDERAL HOLIDAY	12	13	14	15	16
17	18	19	20	21 Seeking / Post-Employment Brown Bag HHH 730B, 12 – 1:30 pm	22	23
24	25	26	27	28 FEDERAL HOLIDAY	29	30

December 2019

◀ Nov 2019

Jan 2020 ▶

Sun	Mon	Tue	Wed	Thu	Fri	Sat
1	2 Last day to submit copies of SES DEC performance plans for current appraisal year to Ethics Division	3	4	5 IEC Meeting 12:15 – 1:30 pm [see prior “throughout the year” page to learn how to receive meeting details]	6	7
8	9	10	11	12	13 CY 2019 OGE Form 450 is due in two months Identify all confidential filers	14
15	16	17	18	19	20	21
22	23	24	25 FEDERAL HOLIDAY	26	27	28
29	30 Last day to submit paper original CY 2018 OGE 278e and 278T forms to Ethics Division. Only applies to forms filed and signed using paper. NOT APPLICABLE if filed electronically.	31 End of CY 2019 public (OGE Form 278e) and confidential (OGE Form 450) financial disclosure reporting periods				