



May 6, 2016

MEMORANDUM

TO: Deputy Ethics Counselors
Ethics Coordinators

FROM: Elizabeth J. Fischmann 
Associate General Counsel for Ethics
Designated Agency Ethics Official

SUBJECT: 2016 Annual Ethics Training Program for Special Government Employees
(SGE AET) and SGE Initial Ethics Orientation (SGE IEO)

This memorandum launches the Department's annual ethics training (AET) program for special Government employees (SGE) for 2016. The same material is also to be used for SGE initial ethics orientation (IEO). As you are aware, SGEs are among the categories of employees required to receive annual training on ethics rules and regulations. In general, SGE training is accomplished through the provision of reading materials, and not through live training. However, any SGE serving more than 60 days in a calendar year must receive "verbal training," which means training presented by a qualified instructor or training with materials prepared by a qualified instructor and presented via telecommunication, computer, audiotape, or videotape. If you have any SGEs who will serve more than 60 days this calendar year, please contact Theodore Kim, Deputy Associate General Counsel for Ethics Program Administration, at (202) 690-7258.

AET and IEO. You must ensure that all SGEs receive the links included below to complete their AET and IEO. Sufficient official duty time must be provided for the SGEs to review these materials.

(1) "*Ethics Rules for Advisory Committee Members and Other Individuals Appointed as Special Government Employees (SGEs)*," an 11-page summary prepared by the Ethics Division, at:

<http://ofacp.od.nih.gov/ethics/pdfs/SGETRAININGOCT2004.pdf>

(2) "*Overview of the Ethics Rules for Special Government Employees Serving on Advisory Committees*," a brochure prepared by the Ethics Division, at:

<http://ofacp.od.nih.gov/ethics/pdfs/SGE3.pdf>

(3) "*To Serve with Honor*," a 16-page booklet for advisory committee members prepared by OGE in 2008, at:

[https://www2.oge.gov/web/oge.nsf/Education%20Resources%20for%20Ethics%20Officials/7FB810D106E32FC985257F6B00528843/\\$FILE/bkServeHonor.pdf?open](https://www2.oge.gov/web/oge.nsf/Education%20Resources%20for%20Ethics%20Officials/7FB810D106E32FC985257F6B00528843/$FILE/bkServeHonor.pdf?open)

(4) *Principles of Ethical Conduct for Government Officers and Employees*, listed in Executive Order 12731 (October 17, 1990), and 5 C.F.R. § 2635.101, at: <http://ethics.od.nih.gov/principi.htm>

(5) *Standards of Ethical Conduct for Employees of the Executive Branch*, Codified in 5 C.F.R. Part 2635, as amended at 76 FR 38547 (July 1, 2011), at:

[https://www.oge.gov/Web/oge.nsf/0/076ABBBFC3B026A785257F14006929A2/\\$FILE/SOC%20as%20of%2076%20FR%2038547.pdf](https://www.oge.gov/Web/oge.nsf/0/076ABBBFC3B026A785257F14006929A2/$FILE/SOC%20as%20of%2076%20FR%2038547.pdf)

(6) *Supplemental Standards of Ethical Conduct and Supplemental Financial Disclosure Requirements for Employees of the Department of Health and Human Services*, Codified in 5 C.F.R. Parts 5501 and 5502, as amended at 61 FR 39763, July 30, 1996; 70 FR 5543, February 3, 2005; 70 FR 37009, June 28, 2005; 70 FR 51559, August 31, 2005; and 70 FR 61713, October 26, 2005 at:

<http://www.fda.gov/downloads/AboutFDA/WorkingatFDA/Ethics/UCM071721.pdf>

(7) *The Federal Conflict of Interest Statutes*, at:

<https://www2.oge.gov/web/oge.nsf/Criminal+Statutes>

(8) The names, titles, office addresses, and telephone numbers of the HHS Designated Agency Ethics Official and other agency ethics officials available to advise employees on ethics issues, at:

<http://www.hhs.gov/ogc/contact/contacts.html>; and <https://ethics.od.nih.gov/coord.pdf>, for NIH employees.

(9) “*Ethics Training for Special Government Employees*,” a Web-based training module prepared by OGE in 2007, at:

[http://www2.oge.gov/web/oge.nsf/Resources/Ethics+Training+for+SGEs+\(WBT\)?opendocument](http://www2.oge.gov/web/oge.nsf/Resources/Ethics+Training+for+SGEs+(WBT)?opendocument)

Content Changes or Substitutions. DEC’s may provide additional ethics-related materials to supplement the materials developed by the Ethics Division, or choose to create their own unique ethics training. However, you must obtain clearance from my office prior to conducting training with your own materials or with our materials, if you have added to or altered them in any way.

The Department takes very seriously its obligation to ensure that its advisory committee members and other SGEs are free from any violation of the Federal conflict of interest statutes and ethics regulations. SGE training is an important component of our ethics program. Please provide copies of this memorandum to the Designated Federal Officials (DFOs) assigned to the advisory committees within your respective operating and staff divisions. In addition, please ensure that SGEs serving in other capacities are informed of the annual training requirements.

If you have any questions or need additional information about ethics training requirements, please contact Catherine Hess, at (202) 260-1793.

cc: General Counsel
Deputy General Counsels
Associate General Counsels
Chief Counsels, Regions I-X