

## Office of Government Ethics

§ 2638.101

authorization to engage in teaching for compensation shall be in writing and shall be final. The authority of the designated agency ethics official to authorize compensated teaching may not be delegated to any person other than the alternate designated agency ethics official described in § 2638.202(b).

### PART 2638—OFFICE OF GOVERNMENT ETHICS AND EXECUTIVE AGENCY ETHICS PROGRAM RESPONSIBILITIES

#### Subpart A—General Provisions

Sec.

- 2638.101 Authority and purpose.
- 2638.102 General policies.
- 2638.103 Agency regulations.
- 2638.104 Definitions.

#### Subpart B—Designated Agency Ethics Official

- 2638.201 In general.
- 2638.202 Responsibility of agency head.
- 2638.203 Duties of designated agency ethics official.
- 2638.204 Deputy ethics official.

#### Subpart C—Formal Advisory Opinion Service

- 2638.301 In general.
- 2638.302 Who may request a formal advisory opinion.
- 2638.303 Subject matter of formal advisory opinions.
- 2638.304 Form of requests for formal advisory opinions.
- 2638.305 Acceptance of requests for formal advisory opinions.
- 2638.306 Notice of requests.
- 2638.307 Written comment on requests.
- 2638.308 Issuance.
- 2638.309 Reliance on formal advisory opinions.
- 2638.310 Public availability and publication of formal advisory opinions.
- 2638.311 Copies of published formal advisory opinions.
- 2638.312 Referral of requests.
- 2638.313 Agency opinions.

#### Subpart D—Correction of Executive Branch Agency Ethics Programs

- 2638.401 In general.
- 2638.402 Corrective orders.
- 2638.403 Agency compliance.

- 2638.404 Report of noncompliance.

#### Subpart E—Corrective and Remedial Action in Cases Involving Individual Executive Agency Employees

- 2638.501 In general.
- 2638.502 Recommendations and advice.
- 2638.503 Agency investigations.
- 2638.504 Director's finding.
- 2638.505 Director's decision and order.
- 2638.506 Director's recommendation.

#### Subpart F—Executive Branch Agency Reports

- 2638.601 In general.
- 2638.602 Annual agency reports.
- 2638.603 Reports of referral for possible prosecution.

#### Subpart G—Executive Agency Ethics Training Programs

- 2638.701 Overview.
- 2638.702 Definitions.
- 2638.703 Initial agency ethics orientation for all employees.
- 2638.704 Annual ethics training for public filers.
- 2638.705 Annual ethics training for other employees.
- 2638.706 Agency's written plan for annual ethics training.

AUTHORITY: 5 U.S.C. App. (Ethics in Government Act of 1978); E.O. 12674, 54 FR 15159, 3 CFR, 1989 Comp., p. 215, as modified by E.O. 12731, 55 FR 42547, 3 CFR, 1990 Comp., p. 306.

SOURCE: 46 FR 2583, Jan. 9, 1981, unless otherwise noted. Redesignated at 54 FR 50231, Dec. 5, 1989.

#### Subpart A—General Provisions

##### § 2638.101 Authority and purpose.

(a) *Authority.* The regulations of this part are issued pursuant to the authority of titles I and IV of the Ethics in Government Act of 1978 (Pub. L. 95-521, as amended) (“the Act”).

(b) *Purpose.* These executive branch regulations supplement and implement titles I, IV and V of the Act, set forth more specifically certain procedures provided in those titles, and furnish examples, where appropriate.

(c) *Agency authority.* Subject only to the authority of the Office of Government Ethics as the supervising ethics office for the executive branch, all authority conferred on agencies in this subchapter B of chapter XVI of title 5

## § 2638.102

of the Code of Federal Regulations is sole and exclusive authority.

[46 FR 2583, Jan. 9, 1981. Redesignated at 54 FR 50231, Dec. 5, 1989, as amended at 65 FR 69657, Nov. 20, 2000; 72 FR 56242, Oct. 3, 2007]

### § 2638.102 General policies.

(a) The Office of Government Ethics (“the Office”) provides overall direction and leadership concerning executive branch policies related to preventing conflicts of interest. The head of each agency has primary responsibility for the administration of the “ethics in government” program within his or her agency. The Office carries out its leadership role by:

(1) Providing information on and promoting ethical standards in executive agencies;

(2) Consulting with agencies regarding their agency ethics programs and assisting them in interpreting ethics rules and regulations;

(3) Developing rules and regulations pertaining to conflicts of interests and standards of conduct;

(4) Monitoring compliance with the public and confidential financial disclosure requirements;

(5) Establishing a formal advisory opinion service; and

(6) Evaluating the effectiveness of programs designed to prevent conflicts of interests.

### § 2638.103 Agency regulations.

Each agency may, subject to the prior approval of the Office of Government Ethics, issue regulations not inconsistent with this part.

### § 2638.104 Definitions.

For the purposes of this part:

*Act* means the Ethics in Government Act of 1978 (Pub. L. 95–521, as amended).

*Agency* means any executive department, military department, Government corporation, independent establishment or agency, including the United States Postal Service and Postal Rate Commission.

*Designated agency ethics official* means an officer or employee who is designated by the head of the agency to coordinate and manage the agency’s ethics program in accordance with the provisions of § 2638.203 of this part.

## 5 CFR Ch. XVI (1–1–10 Edition)

*Director* means the Director of the Office of Government Ethics.

*Executive branch* includes each executive agency as defined in 5 U.S.C. 105 and any other entity or administrative unit in the executive branch. However, it does not include any agency, entity, office or commission that is defined by or referred to in 5 U.S.C. app. 109(8)–(11) of the Act as within the judicial or legislative branch.

*Person* includes an individual, partnership, corporation, association, government agency, or public or private organization.

[46 FR 2583, Jan. 9, 1981. Redesignated at 54 FR 50231, Dec. 5, 1989, as amended at 65 FR 69657, Nov. 20, 2000]

## Subpart B—Designated Agency Ethics Official

### § 2638.201 In general.

Each agency shall have a designated agency ethics official who is the officer or employee designated by the head of the agency to administer the provisions of title I of the Act within that agency, to coordinate and manage the agency’s ethics program and to provide liaison to the Office of Government Ethics with regard to all aspects of such ethics program. The agency’s ethics program shall be designed to implement titles I, IV and V of the Act and regulations promulgated thereunder, Executive Order 12674 as modified (relating to principles of ethical conduct for officers and employees within the executive branch) and regulations promulgated thereunder, and other statutes and regulations applicable to agency ethics matters.

[46 FR 2583, Jan. 9, 1981. Redesignated at 54 FR 50231, Dec. 5, 1989, as amended at 65 FR 69657, Nov. 20, 2000]

### § 2638.202 Responsibilities of agency head.

(a) *In general.* The head of each agency is responsible for and shall exercise personal leadership in establishing, maintaining, and carrying out the agency’s ethics program. He or she shall make available to the ethics program sufficient resources (including investigative, audit, legal, and administrative staff as necessary) to enable the