

## **REGULATORY COMPLIANCE & NOTICE**

Financial disclosure filers are required to receive annual ethics training including notice of:

### **THE 14 ETHICAL PRINCIPLES**

1. Public service is a public trust, requiring employees to place loyalty to the Constitution, the laws and ethical principles above private gain.
2. Employees shall not hold financial interests that conflict with the conscientious performance of duty.
3. Employees shall not engage in financial transactions using nonpublic Government information or allow the improper use of such information to further any private interest.
4. An employee shall not, except as permitted by the Standards of Ethical Conduct, solicit or accept any gift or other item of monetary value from any person or entity seeking official action from, doing business with, or conducting activities regulated by the employee's agency, or whose interests may be substantially affected by the performance or nonperformance of the employee's duties.
5. Employees shall put forth honest effort in the performance of their duties.
6. Employees shall not knowingly make unauthorized commitments or promises of any kind purporting to bind the Government.
7. Employees shall not use public office for private gain.
8. Employees shall act impartially and not give preferential treatment to any private organization or individual.
9. Employees shall protect and conserve Federal property and shall not use it for other than authorized activities.
10. Employees shall not engage in outside employment or activities, including seeking or negotiating for employment, that conflict with official Government duties and responsibilities.
11. Employees shall disclose waste, fraud, abuse, and corruption to appropriate authorities.
12. Employees shall satisfy in good faith their obligations as citizens, including all financial obligations, especially those -- such as Federal, State, or local taxes -- that are imposed by law.
13. Employees shall adhere to all laws and regulations that provide equal opportunity for all Americans regardless of race, color, religion, sex, national origin, age, or handicap.
14. Employees shall endeavor to avoid any actions creating the appearance that they are violating the law or the ethical standards set forth in the Standards of Ethical Conduct. Whether particular circumstances create an appearance that the law or these standards have been violated shall be determined from the perspective of a reasonable person with knowledge of the relevant facts.

### **THE CRIMINAL CONFLICT OF INTEREST STATUTES** (18 U.S.C. 201-209)

STATUTE	BRIEF SUMMARY
18 U.S.C. 201 Bribery	Prohibits public officials from seeking, receiving or agreeing to accept anything of value for themselves or others in return for being influenced in an official act; being influenced to aid in the commission of a fraud on the United State; or being induced to do or omit any act in violation of official duty.
18 U.S.C. 203 Representation	Bars employees from seeking or accepting compensation for representing another before a Federal department, agency or court in matters where the U.S. is a party or has a substantial interest; or receiving money from anyone else's representation.

18 U.S.C. 205 Representation	Forbids employees from prosecuting or assisting in the prosecution of claims against the U.S.; or representing another before a Federal department, agency or court in matters where the U.S. is a party or has a substantial interest.
18 U.S.C. 207 Post-Gov Employment	Places certain restrictions on contacting the Federal government after leaving its employment.
18 U.S.C. 208 Financial Conflict of Interest	Bars an employee from participating personally and substantially in an official capacity in any particular Government matter that would have a direct and predictable effect on his own or his imputed financial interests.
18 U.S.C. 209 Dual Compensation	Prohibits employees from receiving any salary or contribution to or supplementation of salary from any source other than the United States as compensation for services as a Government Employee.

### **THE STANDARDS OF CONDUCT (5 C.F.R. PART 2635)**

- Subpart B – Gifts from Outside Sources
- Subpart C – Gifts Between Employees
- Subpart D – Conflicting Financial Interests
- Subpart E – Impartiality
- Subpart F – Seeking Employment
- Subpart G – Misuse of Position
- Subpart H – Outside Activities

### **THE DOD SUPPLEMENTAL ETHICS RULES (5 C.F.R. Part 3601)**

- Caps group gifts to supervisors for special infrequent occasions to gifts not to exceed \$300, where voluntary nominal contributions solicited cannot exceed \$10
- Requires that when a conflict arises DoD personnel complete a written disqualification
- Requires prior approval for outside employment for financial disclosure filers
- Requires disclaimer for speeches and writings devoted to agency matters
- Creates additional gift exceptions for free attendance at events sponsored by State or local governments and other designated entities

### **DESIGNATED AGENCY ETHICS OFFICIAL CONTACT INFORMATION.**

DoD Designated Agency Ethics Official (DAEO): Caroline Krass, DoD General Counsel

DoD Alternate DAEO: Scott Thompson, Director, Standards of Conduct Office (SOCO)

DHA Deputy Designated Agency Ethics Official: Sal Maida, DHA General Counsel

DHA Alternate Deputy Designated Agency Ethics Official: Kathleen Zweig, Associate General Counsel

DHA Ethics Officials: Sarah Gentry, Assistant General Counsel

Claes Lewenhaupt, Associate General Counsel

Grant McDowell, Assistant General Counsel

Laurie Rafferty, Associate General Counsel

Crystal Wong, Associate General Counsel

Contact DHA at: 703-681-6012 or [DHA-OGCEthicsOffice@health.mil](mailto:DHA-OGCEthicsOffice@health.mil)

For additional information on any of the above rules, please see: [www.dod.mil/dodgc/defense\\_ethics](http://www.dod.mil/dodgc/defense_ethics) or contact an ethics official.

Dated: October 1, 2024