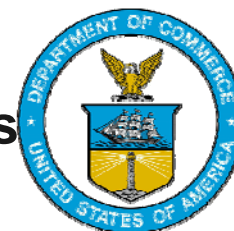


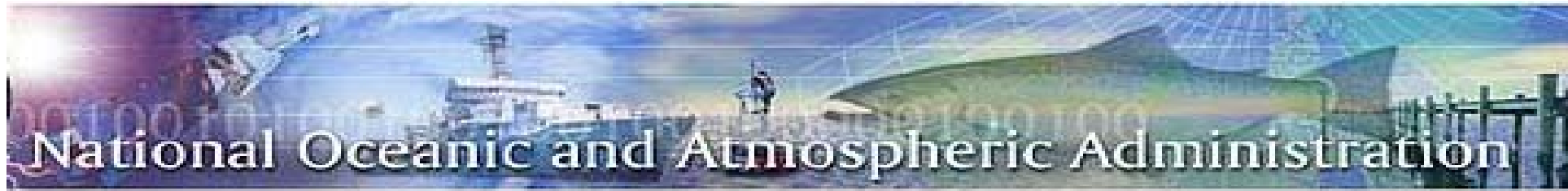
2010 Financial Assistance Workshop

GMD Connected: The New Decade

**Government Ethics Rules
For Grants Administrators and
Grantees**

**Arthur Warren
Senior Counsel for Ethics**





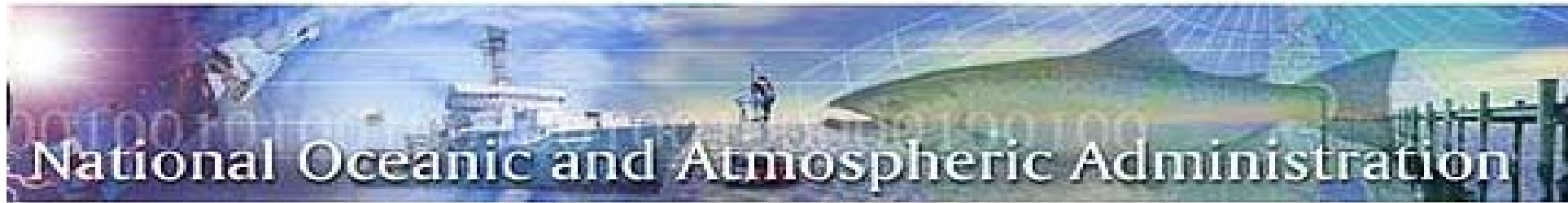
FINANCIAL CONFLICTS OF INTEREST AVOID SELF-DEALING

- **A NOAA EMPLOYEE MAY NOT WORK ON A GRANT OR APPLICATION THAT WILL AFFECT THE EMPLOYEE'S FINANCIAL INTERESTS**



PERSONAL RELATIONSHIPS AVOID APPEARANCES OF FAVORITISM

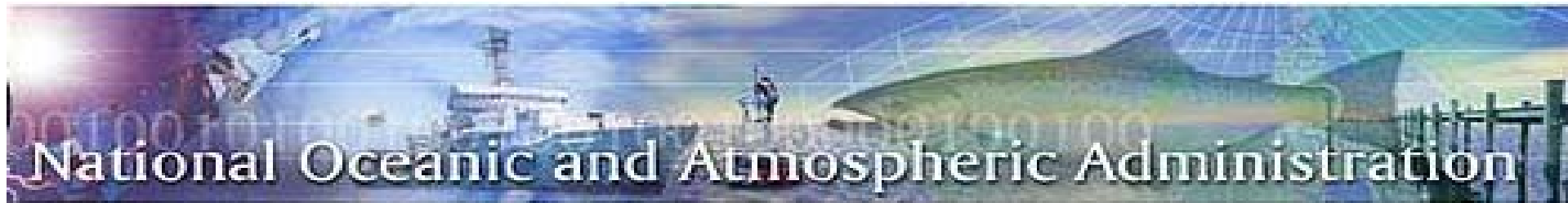
- **A NOAA EMPLOYEE MAY NOT WORK ON A GRANT OR APPLICATION OF AN ORGANIZATION IN WHICH THE EMPLOYEE IS ACTIVE OR HOLDS A POSITION**



GIFTS

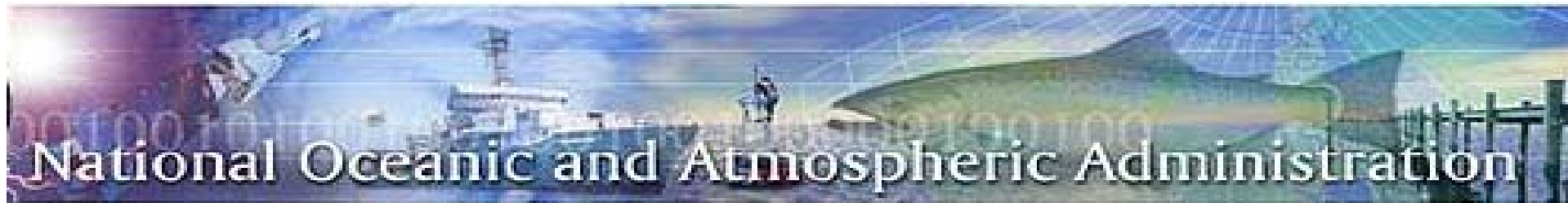
AVOID UNDUE INFLUENCE

- **A NOAA EMPLOYEE MAY NOT ACCEPT A GIFT FROM A GRANTEE, UNLESS AN EXCEPTION APPLIES, SUCH AS:**
 - **A GIFT OF \$20 OR LESS**
 - **AN INVITATION TO A “WIDELY-ATTENDED GATHERING”**



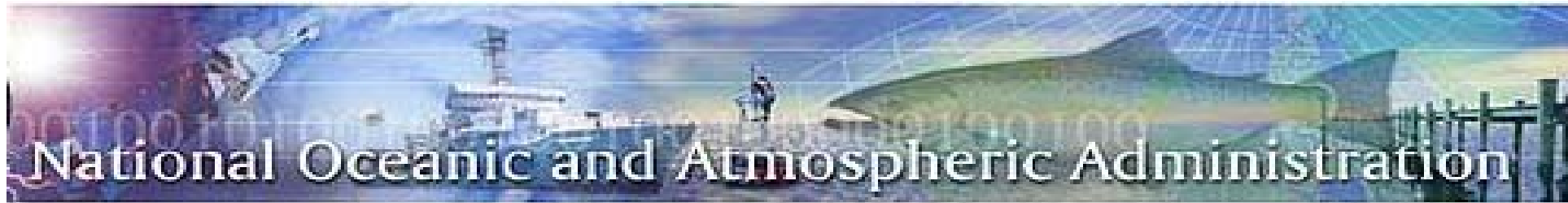
GIFTS
AVOID UNDUE INFLUENCE

- **A NOAA EMPLOYEE MAY NOT ACCEPT A GIFT ON BEHALF OF NOAA, SUCH AS A TRAVEL GIFT, FROM A GRANTEE OR GRANT APPLICANT**



OUTSIDE ACTIVITIES AVOID DIVIDED LOYALTIES

- **A NOAA EMPLOYEE MAY NOT ACCEPT EMPLOYMENT WITH, OR PROVIDE VOLUNTARY SERVICES TO, AN ORGANIZATION, INCLUDING A GRANTEE, WITH MATTERS BEFORE THE EMPLOYEE'S OFFICE**



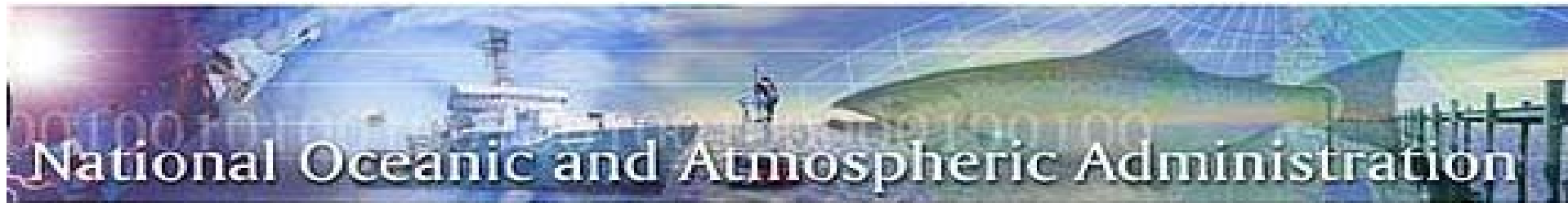
USE OF GOVERNMENT RESOURCES AVOID MISUSE OF RESOURCES

- **NEITHER A NOAA EMPLOYEE NOR A GRANTEE MAY USE GOVERNMENT RESOURCES FOR ANYTHING OTHER THAN AUTHORIZED PURPOSES**



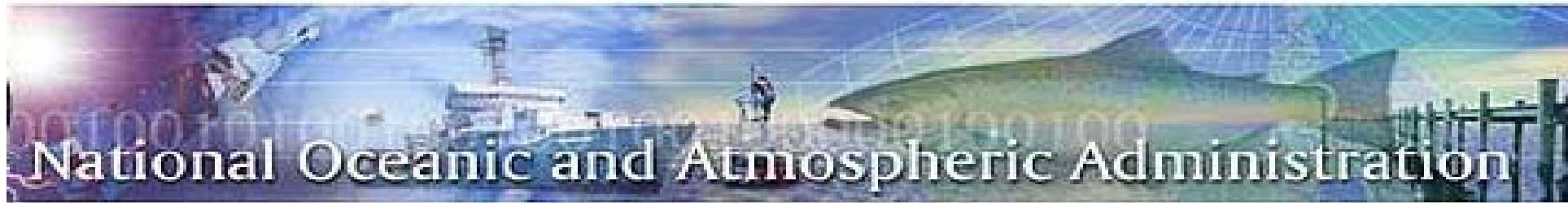
SEEKING EMPLOYMENT WITH A GRANTEE AVOID DIVIDED LOYALTIES

- **A NOAA EMPLOYEE MAY EXPLORE EMPLOYMENT WITH A GRANTEE, BUT MUST STOP ALL WORK ON THE GRANT WHILE EMPLOYMENT DISCUSSIONS ARE ONGOING**



**RESTRICTIONS AFTER LEAVING
GOVERNMENT SERVICE
AVOID MISUSE OF POSITION**

- **A NOAA EMPLOYEE MAY WORK FOR A GRANTEE AFTER LEAVING FEDERAL SERVICE, BUT:**
 - **MAY NOT CONTACT NOAA ABOUT GRANTS THE EMPLOYEE WORKED ON**
 - **MAY NOT DISCLOSE NON-PUBLIC INFORMATION**



RESTRICTIONS ON A FORMER GRANTEE WORKING FOR THE GOVERNMENT

- **A GRANTEE MAY WORK FOR THE GOVERNMENT AFTER LEAVING THE GRANTEE ORGANIZATION, BUT CANNOT WORK ON ANY MATTERS IN WHICH THE ORGANIZATION IS A PARTY FOR ONE YEAR, UNLESS SPECIAL AUTHORIZATION IS GIVEN**



**HAVE QUESTIONS?
NEED ADVICE?**

- **CONTACT:**

**THE ETHICS LAW AND PROGRAMS DIVISION
U.S. DEPARTMENT OF COMMERCE**

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www.ogc.doc.gov/ethics.html