



NAVAL  
POSTGRADUATE  
SCHOOL

ETHICS  
for  
**SPECIAL GOVERNMENT EMPLOYEES**  
NPS/NWC Board of Advisors

The Nation's Premier Defense Research University

Monterey, California  
[WWW.NPS.EDU](http://WWW.NPS.EDU)



# Special Government Employees

- Assume the responsibilities, obligations, and restrictions that are part of public service
- Must observe existing and continuing obligations based on continuing or prior federal service
- **REMINDER:** The consequence of violating ethics principles may be extensive. Protect yourself and the organization by seeking the advice of your agency ethics official



- Criminal statutes and regulation
- Three subject areas:
  - Financial Conflicts of Interest (COI)
  - Representational Activities
  - Limits on Representation after Leaving the Government



- **18 USC 208(a)**

- *Prohibited from participating personally and substantially in any particular matter that affects your financial interests as well as the financial interests of your spouse, minor child, general partner, an organization in which you serve as an officer, director, trustee, general partner or employee, or an organization with which you are negotiating prospective employment*



Scenario: The Advisory Board is reviewing whether a certain contractor-supported program should be reduced or continued. A financial interest may arise, if:

- You own stock in the prime or subcontract companies that support the program;
- Your spouse owns stock or works for the company;
- You are a consultant to, or employee of, the company
- You are a member of the Board of Directors of the contractor company



- *A particular matter involves deliberation, decision or action that is focused upon the interests of specific persons or a class of persons*
- Broad policy agenda items and discussion greatly reduce the potential for financial COI
- Regulatory exemptions also exist, i.e.
  - Financial interest is held in a diversified mutual trust
  - Aggregate value of the interest is < \$15,000
- DoD Policy recommends recusal where a financial interest exists even though the item would not be considered a “particular matter” in order to avoid the appearance of conflicts or mis-use of position



When in doubt, consult your agency ethics official

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