Voluntary Protection Programs (VPP)

Special Government Employee (SGE)

SGE Application
Revised March 2002

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U.S. Department of Labor
Occupational Safety and Health Administration

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Qualifications to Participate

All SGE applicants must meet the following qualifications:

- Experience in applying OSHA regulations.
- Currently hold, or have held within the past two years, a leadership position(s) in the VPP activity at their site.
- Positive interpersonal skills.
- Sound reading and writing skills.
- Physically able to perform team members' duties.
- Management and/or corporate support for participating in the VPP SGE program.

Safety and Health Professionals must meet these additional qualifications:

- Two or more years experience in the safety and health field.
- Be employed in a position in which more than 50% of daily duties are dedicated to conducting or managing worksite or corporate safety or health activities.
- Be a permanent, full-time employee of a VPP worksite, a current corporate office employee of a corporation that has one or more VPP worksites, or a current employee of a non-VPP worksite who was previously an employee at a VPP worksite within the same corporation.

Other SGE applicants must have the following qualifications:

- A permanent, full-time employee of a VPP worksite that has worked at a VPP site for a minimum of two (2) years:
- Involved in at least three (3) of the following activities (or their equivalent):

  - ✓ Chair of safety/health committee;
  - ✓ Experience working directly with the OSHA VPP on-site review team during the previous onsite review.
  - ✓ Experience training others in safety and health procedures;
  - ✓ Experience writing and reviewing Job Safety Analyses (JSA's) and/or Behavior Job Analyses (BJA's).
  - ✓ Experience coordinating accident investigations.
  - ✓ Experience coordinating safety and health activities such as wellness days.
  - ✓ Experience leading worksite hazard inspection teams.
  - ✓ Other experiences that demonstrate a knowledge of safety and health management systems.

Program Information

- SGE applicants must complete and submit an application to participate as an OSHA volunteer for VPP. Currently serving SGEs must re-apply to participate at the end of their term of service. A renewal application will be sent to each SGE during the application prior to their service expiration.

- Applications to participate as an SGE are processed four times per year. Applications must be received in the Office of Partnerships and Recognition on or before January 15, April 15, July 15, or October 15 of each year. If the deadline date falls on the weekend or a Federal holiday, applications are due on the first Federal business day following the applicable deadline date. Late applications will be held until the next submission deadline.

- All new applicants must attend training. A new SGE applicant will not be approved to attend training until his/her application has been approved by OSHA's Office of Human Resources. Successful applicants will be notified by a representative from the Office of Partnerships and Recognition of the date and location of training.

- All approved applicants must take the Federal Oath of Office at the beginning of their term of service.

- The term of service for SGEs is three years. SGEs serve at the pleasure of the Assistant Secretary for Occupational Safety and Health. Service is contingent upon the proper and ethical conduct of SGEs. The term of service for new SGEs begins the day the Oath of Office is administered. The term of service for renewing SGEs is calculated from the approval date of their application.

- The Director of Cooperatve and State Programs or his/her designee will disqualify from eligibility those applicants for whose employment or financial involvements may present a conflict of interest or the appearance of impropriety.

- As a member of an onsite review team, a SGE may review company documents that describe or verify the worksite's safety and health program, conduct a walk-through of the work site to ensure the site's safety and health program is operating effectively; interview company and contract employees to determine their level of involvement in and perceptions of the worksite's safety and health program and assist in the preparation of a report that evaluates the worksite's safety and health program with respect to VPP criteria.

Application Forms

- ✓ *Application Instructions and Checklist*
- ✓ *VPP SGE Eligibility Information Sheet*
- ✓ *Request for Name Check*
- ✓ *Optional Application for Federal Employment*
- ✓ *Confidential Financial Disclosure Sheet*
- ✓ *Waiver of Claims Against the Government*

** Be sure and make a copy of your application for your records to simplify the reapplication process when your term expires in three years. If you have a copy of your application you will only need to update those pages containing information that has changed since the time of your original application rather than completing the entire application package again.*

Application Instructions and Checklist

The following forms must be **completed, signed and dated** in order for your application to be processed. This sheet and checklist is for your convenience. If you have any questions regarding the SGE Application, please contact the SGE Coordinator at (202) 693-2213. Please keep a copy of your application for your files and future reference.

- ✓ Please complete the SGE Eligibility Information Sheet.
- ✓ Please complete the "'Request for Name Check," (DL Form 1-68). Make sure that you complete all the sections on the form except for section two (2), "Bureau." That section may be left blank.
- ✓ Please complete the "'Optional Application for Federal Employment," (Form OF612) or include a copy of your most recently updated resume. Position-specific safety and health experience must be included either on the OF-612 or in your resume. **Failure to include position-specific safety or health experience may result in delays in processing your application or disqualification of your application.** If you use the Form OF-612, please remember to sign and date the form at the bottom of page two. **If you send a resume, you must include your Social Security Number.**
- ✓ Please complete the "'Executive Branch Confidential Financial Disclosure Report," (OGE Form 450). **Remember to sign and date the form.** The instructions for completing the form are located directly behind the form in your application packet.
- ✓ Please sign and date the "Waiver of Claims Against the Government."
- ✓ Please read "Principles for Ethical Conduct for Government Officers and Employees" and "How to Keep Out of Trouble: A summary of Ethics Rules for DOL Employees."

_____Eligibility Information Sheet

_____Confidential Financial Disclosure Report

_____Request for Name Check

_____Optional Application for Federal Employment or Resume

_____Waiver of Claims Against the Government

_____Please verify that you have read and understood the Principles of Ethical Conduct for Government Employees

Please return these forms with a cover letter to:

SGE Coordinator
United States Department of Labor - OSHA
Directorate of Cooperative and State Programs
Frances Perkins Building, Room N 3700
200 Constitution Ave., NW
Washington, DC

SGE Eligibility Information Sheet

SGE Contact Information: (Check one) _____ ☐ New SGE _____ ☐ Renewing SGE

Your Name and Title: First _____ Middle Initial _____ Last _____ Title _____

Your Company Name: _____

Site Address: _____

City: _____ State: AK Zip Code: _____

Phone: _____ Fax: _____ E-mail: _____

Professional and Practical Experience: Do you work at an:____ ☐ OSHA VPP Site _____ ☐ DOE VPP Site

Your worksite's first official VPP approval date: _____ Your starting employment date: _____

Corporate-level SGE applicants, please provide the site name, address and approval date of the VPP site you control.

_____

Based on the "Qualifications to Participate" (Page 3), are you applying as a safety or health professional? Yes☐ _ No☐ ___

Field(s) of Expertise (mark all that apply): _____ ☐ Safety Professional _____ ☐ Health Professional

___ ☐ Process Safety Management _____ ☐ Ergonomics __ ☐ Other (specify): _____

If you are not applying as a safety or health professional, please list at least three of the required experiences from the "Qualifications to Participate" (Page 3) that you have participated in while working at your present VPP site.

_____ _____

_____ _____

Optional Corporate / Management Contact Information:

If you complete the section below, a letter of appreciation from the Assistant Secretary of OSHA will be sent to that person after you have successfully completed training and taken the Oath of Office. Some SGEs choose to have this letter sent to the CEO of their company, while others have the letter sent to their plant manager or immediate supervisor. If you choose to complete this section, you should choose the individual that you believe will best appreciate your individual commitment to Occupational Safety and Health.

Name of CEO / Manager / Supervisor: _____ Title: _____

Corporation: _____

Address: _____

City: _____ State: AR ____ Zip Code: _____

Request for Name Check

U.S. Department of Labor
Office of Assistant Secretary for
Administration and Management

1. Date

2. Bureau

N/A

3. Name of Person (In Full) Last First Middle

4. Other Names or Nicknames Used

5. Sex

M

6. Date of Birth

7. Place of Birth (City and State)

8. Reason for Request

Request for SGE Status

9. List of Organizations, Associations, Societies or Clubs with which Affiliated

Name	City	State

10. Places of Residence *(Most Recent First)*

Dates	Street	City	State

11. Employments

Dates	Employer	City	State

This space reserved for investigative agency.

This is a request for a name check only and is not a request for an investigation

DL Form 1-68
(Rev. 8/83)

Form Approved
OMB No. 3206-0219

OPTIONAL APPLICATION FOR FEDERAL EMPLOYMENT - OF 612

You may apply for most jobs with a resume, this form, or other written format. If your resume or application does not provide all the information requested on this form and in the job vacancy announcement, you may lose consideration for a job.

1 Job title in announcement Special Government Employee (SGE)	**2** Grade(s) applying for N/A	**3** Announcement number N/A
4 Last name	First and middle names	**5** Social Security Number
6 Mailing address		**7** Phone numbers (include area code) Daytime ( ) Evening ( )
City	State AK	ZIP Code

WORK EXPERIENCE

8 Describe your paid and nonpaid work experience related to the job for which you are applying. Do **not** attach job descriptions.

1)

Job title (if Federal, include series and grade)			
From (MM/YY)	To (MM/YY)	Salary $	per Hour	Hours per week
Employer's name and address			Supervisor's name and phone number ( )
Describe your duties and accomplishments			

2)

Job title (if Federal, include series and grade)			
From (MM/YY)	To (MM/YY)	Salary $	per Hour	Hours per week
Employer's name and address			Supervisor's name and phone number ( )
Describe your duties and accomplishments			

GENERAL INFORMATION

Optional Form 612 (September 1994) (EG)
U.S. Office of Personnel Management

You may apply for most Federal jobs with a resume, the attached *Optional Application for Federal Employment* or other written format. If your resume or application does not provide all the information requested on this form and in the job vacancy announcement, you may lose consideration for a job. Type or print clearly in dark ink. Help speed the selection process by keeping your application brief and sending only the requested information. If essential to attach additional pages, include your name and Social Security Number on each page.

- For information on Federal employment, including job lists, alternative formats for persons with disabilities, and veterans' preference, call the U.S. Office of Personnel Management at **912-757-3000, TDD 912-744-2299,** by computer modem **912-757-3100,** or via the Internet at **http://www.usajobs.opm.gov.**
- If you served on active duty in the United States Military and were separated under honorable conditions, you may be eligible for veterans' preference. To receive preference if your service began after October 15, 1976, you must have a Campaign Badge, Expeditionary Medal, or a service-connected disability. Veterans' preference is not a factor for Senior Executive Service jobs or when competition is limited to status candidates (current or former career or career-conditional Federal employees).
- Most Federal jobs require United States citizenship and also that males over age 18 born after December 31, 1959, have registered with the Selective Service System or have an exemption.
- The law prohibits public officials from appointing, promoting, or recommending their relatives.
- Federal annuitants (military and civilian) may have their salaries or annuities reduced. All employees must pay any valid delinquent debts or the agency may garnish their salary.
- Send your application to the office announcing the vacancy. If you have questions, contact that office.

THE FEDERAL GOVERNMENT IS AN EQUAL OPPORTUNITY EMPLOYER

Designed using Adobe Acrobat, USOPM, April 1998

PRIVACY ACT AND PUBLIC BURDEN STATEMENTS

■ The Office of Personnel Management and other Federal agencies rate applicants for Federal jobs under the authority of sections 1104, 1302, 3301, 3304, 3320, 3361, 3393, and 3394 of title 5 of the United States Code. We need the information requested in this form and in the associated vacancy announcements to evaluate your qualifications. Other laws require us to ask about citizenship, military service, etc.

■ We request your Social Security Number (SSN) under the authority of Executive Order 9397 in order to keep your records straight; other people may have the same name. As allowed by law or Presidential directive, we use your SSN to seek information about you from employers, schools, banks, and others who know you. Your SSN may also be used in studies and computer matching with other Government files, for example, files on unpaid student loans.

■ If you do not give us your SSN or any other information requested, we cannot process your application, which is the first step in getting a job. Also, incomplete addresses and ZIP Codes will slow processing.

■ We may give information from your records to: training facilities, organizations deciding claims for retirement, insurance, unemployment or health benefits; officials in litigation or administrative proceedings where the Government is a party; law enforcement agencies concerning violations of law or regulation; Federal agencies for statistical reports and studies; officials of labor organizations recognized by law in connection with representing employees; Federal agencies or other sources requesting information for Federal agencies in connection with hiring or retaining, security clearances, security or suitability investigations, classifying jobs, contracting, or issuing licenses, grants, or other benefits; public and private organizations including news media that grant or publicize employee recognition and awards; and the Merit Systems Protection Board, the Office of Special Counsel, the Equal Employment Opportunity Commission, the Federal Labor Relations Authority, the National Archives, the Federal Acquisition Institute, and congressional offices in connection with their official functions.

■ We may also give information from your records to: prospective nonfederal employers concerning tenure of employment, civil service status, length of service, and date and nature of action for separation as shown on personnel action forms of specifically identified individuals; requesting organizations or individuals concerning the home address and other relevant information on those who might have contracted an illness or been exposed to a health hazard; authorized Federal and nonfederal agencies for use in computer matching; spouses or dependent children asking whether the employee has changed from self-and-family to self-only health benefits enrollment; individuals working on a contract, service, grant, cooperative agreement or job for the Federal Government; non-agency members of an agency's performance or other panel; and agency-appointed representatives of employees concerning information issued to the employee about fitness-for-duty or agency-filed disability retirement procedures.

■ We estimate the public reporting burden for this collection will vary from 20 to 240 minutes with an average of 40 minutes per response, including time for reviewing instructions, searching existing data sources, gathering data, and completing and reviewing the information. You may send comments regarding the burden estimate or any other aspect of the collection of information, including suggestions for reducing this burden, to U.S. Office of Personnel Management, Reports and Forms Management Officer, Washington, DC 20415-0001.

■ Send your application to the agency announcing the vacancy.

9 May we contact your current supervisor?

YES [ ] **NO [ ]▶** If we need to contact your current supervisor before making an offer, we will contact you first.

EDUCATION

10 Mark highest level completed. **Some HS [ ] HS/GED [ ] Associate [ ] Bachelor [ ] Master [ ] Doctoral [ ]**

11 Last high school (HS) or GED school. Give the school's name, city, State, ZIP Code (if known), and year diploma or GED received.

12 Colleges and universities attended. Do **not** attach a copy of your transcript unless requested.

	Name / City	State	ZIP Code	Total Credits Earned: Semester	Total Credits Earned: Quarter	Major(s)	Degree - (if any)	Year Received
1)								
2)								
3)								

OTHER QUALIFICATIONS

13 **Job-related** training courses (give title and year). **Job-related** skills (other languages, computer software/hardware, tools, machinery, typing speed, etc. **Job-related** certificates and licenses (current only). **Job-related** honors, awards, and special accomplishments (publications, memberships in professional/honor societies, leadership activities, public speaking, and performance awards.) Give dates, but do not send documents unless requested.

GENERAL

14 Are you a U.S. citizen? **YES [ ]** **NO [ ]▶** Give the country of your citizenship.

15 Do you claim veterans' preference? **NO [ ]** **YES [ ]▶** Mark your claim of 5 or 10 points below.

5 points [ ]▶ Attach your DD 214 or other proof. **10 points [ ]▶** Attach an *Application for 10-Point Veterans' Preference* (SF 15) and proof required.

16 Were you ever a Federal civilian employee?

NO [ ] **YES [ ]▶** For highest civilian grade give:

Series	Grade	From (MM/YY)	To (MM/YY)

17 Are you eligible for reinstatement based on career or career-conditional Federal status?

NO [ ] **YES [ ]▶** If requested, attach SF 50 proof.

APPLICANT CERTIFICATION

18 **I certify** that, to the best of my knowledge and belief, all of the information on and attached to this application is true, correct, complete and made in good faith. **I understand** that false or fraudulent information on or attached to this application may be grounds for not hiring me or for firing me after I begin work, and may be punishable by fine or imprisonment. **I understand** that any information I give may be investigated.

SIGNATURE **DATE SIGNED**

INSTRUCTIONS FOR OGE FORM 450, CONFIDENTIAL FINANCIAL DISCLOSURE REPORT

A. Why You Must File

This report is a safeguard for you as well as the Government. It provides a mechanism for determining actual or potential conflicts between your public responsibilities and your private interests and activities. This allows you and your agency to fashion appropriate protections against such conflicts.

B. Who Must File

Agencies are required to designate positions at or below GS-15, O-6, or comparable pay rates, in which the nature of duties may involve a potential conflict of interest. Examples include contracting, procurement, administering grants and licenses, regulating/auditing non-Federal entities, other activities having a substantial economic effect on non-Federal entities, or law enforcement.

All special Government employees (SGEs) must file, unless exempted by their agency or subject to the public reporting system. Agencies may also require certain employees in positions above GS-15, O-6, or a comparable pay rate to file.

C. When To File

New entrant reports: Due within 30 days of assuming a position designated for filing, unless your agency requests the report earlier. No report is required if you left another filing position within 30 days prior to assuming the new position. (SGEs must file new reports upon each reappointment or redesignation, at the time specified by the agency.)

Annual reports: Due not later than October 31, unless extended by your agency.

D. Reporting Periods

New entrant reports: The reporting period is the preceding twelve months from the date of filing.

Annual reports: The reporting period covers October1 through September 30 (or that portion not covered by a new entrant report). However, no report is required if you performed the duties of your position for less than 61 days during that twelve-month period. (All reappointed or redesignated SGEs file reports, regardless of the number of days worked.)

E. Where To File

With ethics officials at the agency in which you serve or will serve, or in accordance with their procedures.

F. Definitions

Dependent Child - means your son, daughter, stepson, or stepdaughter if such person is either:

(1) unmarried, under age 21, and living in your household; or
(2) a "dependent" of yours for Federal income tax purposes. See 26 U.S.C. 152.

Honoraria - means payments (direct or indirect) of money or anything of value to you or your spouse for an appearance, speech or article, excluding necessary travel expenses. Also included are payments to charities in lieu of honoraria.

Special Government Employee (SGE) - is defined in 18 U.S.C. 202(a) as: an officer or employee of an agency who performs temporary duties, with or without compensation, for not more than 130 days in a period of 365 days, either on a full-time or intermittent basis.

G. General Instructions

1. Filers must provide sufficient information about outside interests and activities so that ethics officials can make an informed judgment as to compliance with applicable conflict of interest laws and standards of conduct regulations.

2. This form consists of five parts, which require identification of certain specific financial interests and activities. NO DISCLOSURE OF AMOUNTS OR VALUES IS REQUIRED. You must complete each part (except as indicated for Part V) and sign the report. If you have no information to report in any part or do not meet the threshold values for reporting, check the "None" box. New entrants and SGEs are not required to complete Part V.

3. You must include information applicable to yourself, your spouse, and dependent children on Parts I, II and V. This is required because their financial interests are attributed to you under ethics rules in determining conflicts of interest. Information about your spouse is not required in the case of divorce, permanent separation, or temporary separation with the intention of terminating the marriage or permanently separating. Parts III and IV require disclosures about yourself only.

4. You may distinguish any entry for a family member by preceding it with S for spouse, DC for dependent child, or J for jointly held.

Part I: Assets & Income

Assets:

1. Report all assets held for investment or for the production of income by **you, your spouse, and dependent children**, with a value greater than $1,000 at the end of the reporting period or which produced more than $200 in income during the reporting period.

Salary and Earned Income:

1. **For yourself:** report all sources of salary and earned income greater than $200 during the reporting period.

2. **For your spouse:** report all sources of salary and earned income if greater than $1,000 (for honoraria, if greater than $200).

3. **For dependent children:** no earned income needs to be reported.

Examples of Assets:

- Stocks
- Tax Shelters
- Mutual Funds
- Annuities
- Trust Holdings
- Trades & Businesses
- Investment Life Insurance
- Bonds
- Investment Real Estate
- Pensions
- IRA/401(k) Holdings
- Commodity Futures
- Partnership Interests
- Collectibles held for Investment

Examples of Income:

Investment Income
- Dividends
- Rents and Royalties
- Interest
- Capital Gains

Earned/Other Income
- Fees
- Salaries
- Commissions
- Retirement Benefits
- Honoraria

Notes:

1. For **pensions**, you will ordinarily just need to indicate the name of the sponsoring employer. However, if you have control over the specific investment assets held in your pension account (it is not independently managed), you must also list those underlying investments or attach an account statement that lists them.

2. For publicly available **mutual funds**, you are only required to indicate the name of the fund, not the investments that the mutual fund holds in its portfolio. You must, however, always indicate the full name of the specific mutual fund in which you hold shares, not just the general family fund name.

3. For other publicly available investment funds, such as publicly offered units of **limited partnerships**, the disclosure requirements are the same as for mutual funds -- list the full name of the limited partnership, but not its underlying portfolio investments.

4. For a **privately held trade or business**, report its name, location, and description of activity.

Do Not Report:

1. Your personal residence, unless you rent it out;

2. Federal Government salary or retirement benefits such as the Thrift Savings Plan;

3. Social Security benefits;

4. Money owed to you, your spouse, or dependent child by a spouse, parent, sibling or child;

5. Accounts including certificates of deposit, savings accounts, interest-bearing checking accounts, or any other forms of deposit in a bank, savings and loan association, credit union or similar financial institution;

6. Money market mutual funds and money market accounts;

7. U.S. Government obligations (including Treasury bonds, bills, notes and savings bonds);

8. Government securities issued by U.S. Government agencies or Government-sponsored corporations, such as TVA, GNMA, FNMA; and

9. The underlying holdings of a trust that: 1) was not created by you, your spouse, or dependent children, **and** 2) the holdings or sources of income of which you, your spouse, and dependent children have no past or present knowledge. An example is a trust created by a relative, from which you receive periodic income but have no knowledge about its assets. Just identify the trust by name and date of creation.

Part II: Liabilities

Report for Yourself, Spouse, and Dependent Children:

1. Liabilities over $10,000 owed to any creditor at any time during the reporting period.

Do Not Report:

1. Mortgages on your personal residence unless you rent it out;

2. Personal liabilities owed to a spouse, or the parent, sibling, or child of you, your spouse, or dependent child;

3. Loans for personal automobiles, household furnishings, or appliances, where the loan does not exceed the purchase price; and

4. Revolving charge accounts where the outstanding liability does not exceed $10,000 at the end of the reporting period.

Part III: Outside Positions

Report for Yourself:

1. All positions outside the U.S. Government held at any time during the reporting period (including positions no longer held), whether or not paid.

Positions include an officer, director, trustee, general partner, proprietor, representative, executor, employee, or consultant of any of the following:

1. A corporation, company, firm, partnership, trust, or other business enterprise;

2. A non-profit organization;

3. A labor organization; and

4. An educational or other institution outside the Federal Government.

Do Not Report:

1. Positions held in any religious, social, fraternal, or political entity;

2. Positions solely of an honorary nature; and

3. Positions held by a spouse or dependent child.

Part IV: Agreements or Arrangements

Report Your Agreements or Arrangements for:

1. Current or future employment;
2. A leave of absence from private or other non-Federal employment;
3. Continuation of payment by a former employer other than the Federal Government (including severance payments); and
4. Continuing participation in an employee pension or benefit plan maintained by a former employer other than the Federal Government.

Do Not Report:

1. A spouse or dependent child's agreements or arrangements.

Part V: Gifts and Travel Reimbursements

Note: Part V is not applicable to new entrants and SGEs.

Report for You, Your Spouse, and Dependent Children:

1. Travel-related cash reimbursements received from one source during the reporting period totaling more than $260.
2. Any other gifts totaling more than $260 from any one source. A "gift" is defined as anything of value, unless you give something of equal or greater value to the donor. This includes tangible items and in-kind transportation, food, lodging, and entertainment.

Note: Gifts or reimbursements valued at $104 or less need not be included in determining the over $260 reporting threshold.

Do Not Report:

1. Anything received from relatives, the U.S. Government, D.C., State, or local governments;
2. Bequests and other forms of inheritance;
3. Gifts and travel reimbursements given to your agency in connection with your official travel;
4. Gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and
5. Gifts or reimbursements received by a spouse or dependent child totally independent of the relationship to the filer *(Example: a spouse's reimbursement in connection with private employment)*.

Privacy Act Statement

Title I of the Ethics in Government Act of 1978 (5 U.S.C. App.), Executive Order 12674, and 5 CFR Part 2634, Subpart I, of the Office of Government Ethics regulations require the reporting of this information. The primary use of the information on this form is for review by Government officials of your agency, to determine compliance with applicable Federal conflict of interest laws and regulations. Additional disclosures of the information on this report may be made: (1) to a Federal, State or local law enforcement agency if the disclosing agency becomes aware of a violation or potential violation of law or regulation; (2) to a court or party in a court or Federal administrative proceeding if the Government is a party or in order to comply with a judge-issued subpoena; (3) to a source when necessary to obtain information relevant to a conflict of interest investigation or decision; (4) to the National Archives and Records Administration or the General Services Administration in records management inspections; (5) to the Office of Management and Budget during legislative coordination on private relief legislation; and (6) in response to a request for discovery or for the appearance of a witness in a judicial or administrative proceeding, if the information is relevant to the subject matter. This confidential report will not be disclosed to any requesting person unless authorized by law. See also the OGE/GOVT-2 executive branchwide Privacy Act system of records.

Penalties

Falsification of information or failure to file or report information required to be reported may subject you to disciplinary action by your employing agency or other authority. Knowing and willful falsification of information required to be reported may also subject you to criminal prosecution.

Public Burden Information

This collection of information is estimated to take an average of one and a half hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Associate Director for Administration, U.S. Office of Government Ethics, Suite 500, 1201 New York Avenue NW., Washington, DC 20005-3917. Do not send your completed OGE Form 450 to this address. See Section E for where to file.

Pursuant to the Paperwork Reduction Act, as amended, an agency may not conduct or sponsor, and no person is required to respond to, a collection of information unless it displays a currently valid OMB control number (that number, 3209-0006, is displayed here and in the upper right-hand corner of the first page of this OGE Form 450).

Mere disclosure of the required information does not authorize holdings, income, liabilities, affiliations, positions, gifts or reimbursements which are otherwise prohibited by law, Executive order, or regulation.

If you need assistance in completing this form, contact the ethics officials in the agency in which you serve or will serve.

OGE Form 450, 5 CFR Part 2634, Subpart I
U.S. Office of Government Ethics (4/99)
(Replaces 2/96 edition)

Form Approved:
OMB No. 3209-0006

Executive Branch CONFIDENTIAL FINANCIAL DISCLOSURE REPORT

Page Number

Employee's Name *(Last, first, middle initial)*	Position/Title	Grade	Reporting Status:
	Special Government Employee (SGE)	N/A	☐ New entrant ☐ Annual

Agency	Branch/Unit and Address	Work Phone	If New Entrant, Date of Appointment
US DOL OSHA	N/A		N/A

Check box if special Government employee (SGE) ☑	If an SGE, Home Address *(Number, Street, City, State and ZIP Code)*

I certify that the statements I have made on this form and all attached statements are true, complete, and correct to the best of my knowledge.	Signature of Employee	Date

Date Received by Agency	*On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (except as noted in "comments" box below).*	Signature and Title of Supervisor/Other Intermediate Reviewer (*If agency requires*)	Date

Signature of Agency's Final Reviewing Official and Title	Date	Comments of Reviewing Officials (Check box if continued on reverse) ☐

Part I: Assets and Income

None ☐

Identify for you, your spouse, and dependent children: 1) assets with a fair market value greater than $1,000 at the close of the reporting period or producing income over $200; and 2) sources of earned income such as salaries, fees, honoraria (other than U.S. Government salary or retirement benefits, such as the Thrift Savings Plan) which generated over $200 in income during the reporting period. Earned income sources of your spouse must be reported if greater than $1,000 (greater than $200 for honoraria). No earned income needs to be reported for dependent children.

Assets include (but are not limited to): stocks, bonds, tax shelters, real estate, mutual funds, pensions, annuities, IRAs, trusts, commodity futures, trades and businesses, and partnership interests.

Exclude your personal residence, unless you rent it out, and deposit accounts in financial institutions. See instructions for additional exclusions.

	Assets and Income Sources *(Identify specific employer, business, stock, bond, mutual fund, type/location of real estate, etc.)*	(X) if no longer held	Nature of Income over $200 *(Rent, interest, dividends, capital gains, salary, etc.)*	Date *(Only for honoraria)*
Examples	Rental Condo, Anchorage, Alaska		Rent	
	Dee, Jones & Smith, Hometown, USA	X	Salary	
	(S) Alexandria Medical Clinic, Alexandria, VA		Salary	
	Franklin Equity Mutual Fund		Dividends/Capital Gains	
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				

Use copies of blank pages for continuation

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U.S. Office of Government Ethics (4/99)
(Replaces 2/96 edition)

Form Approved:
OMB No. 3209-0006

Executive Branch CONFIDENTIAL FINANCIAL DISCLOSURE REPORT

Page Number

Employee's Name *(Last, first, middle initial)*

Part I: Assets and Income (Cont.)

Assts and Income Sources *(Identify specific employer, business, stock, bond, mutual fund, type/location of real estate, etc.)*	(X) if no longer held	Nature of Income over $200 *(Rent, interest, dividends, capital gains, salary, etc.)*	Date *(Only for honoraria)*
11			
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Add continuation page

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Add continuation page

Page Number

Employee's Name *(Last, first, middle initial)*	Work Phone

Part II: Liabilities

None ☐

Report for you, your spouse, and dependent children, liabilities over $10,000 owed at any time during the reporting period (over $10,000 at the end of the period if revolving charge accounts). Exclude a mortgage on your personal residence unless it is rented out; loans for autos, household furniture or appliances; and liabilities owed to certain family members (see instructions).

Creditors *(Name and address)*	Type of Liability *(Mortgage, promissory note, etc.)*
Example: First Alaska Bank, Anchorage, Alaska	Mortgage on rental property in Anchorage, AK
1	
2	
3	

Part III: Outside Positions

None ☐

Report any positions, whether or not compensated, which you held outside the U.S. Government during the reporting period. Positions include (but are not limited to) an employee, officer, director, trustee, general partner, proprietor, representative, executor, or consultant for a business, nonprofit or labor organization, or educational institution. Exclude positions with religious, social, fraternal, or political entities or those solely of an honorary nature. You need not report any positions of your spouse or dependent children.

Organization *(Name and address)*	Type of Organization	Position	(X) If no longer held
Example: Dee, Jones & Smith, Hometown, USA	Law Firm	Associate	X
1			
2			
3			
4			

Part IV: Agreements or Arrangements

None ☐

Report your agreements or arrangements for current or future employment, leaves of absence, continuation of payment by a former employer (including severance payments), or continuing participation in an employee benefit plan. You need not report agreements or arrangements of your spouse or dependent children.

Terms of Any Agreement or Arrangement	Parties	Date
Example: Will receive retained pension benefits (independently managed, fully funded, defined contribution plan)	Dee, Jones & Smith, Hometown, USA	2/99
1		
2		
3		

Part V: Gifts and Travel Reimbursements

Do not complete this part if you are a new entrant or special Government employee.

None ☐

Report for you, your spouse, and dependent children, gifts or travel reimbursements you have received from one source totaling more than $260. Exclude anything valued at $104 or less; anything received by your spouse or dependent child totally independent of their relationship to you; anything from a relative or from the U.S. Government; anything given to your agency in connection with your official travel; and food, lodging, or entertainment received as personal hospitality at the donor's residence or premises.

Source	Description *(For travel-related items, include itinerary)*	Date
Example: Dee, Jones & Smith, Hometown, USA	Leather briefcase as a departing gift	2/99
1		
2		
3		
4		

Waiver of Claims Against the Government

I hereby waive any and all claims against the United States Government or the State in which I perform services, for any compensation on account of my services as an SGE rendered in connection with an onsite evaluation of an applicant to OSHA's VPP Program or a State Plan State's VPP Program.

_____ _____

SIGNATURE DATE

Ethics Documents

- ✓ *Principles of Ethical Conduct for Government Officers and Employees*
- ✓ *How to Keep Out of Trouble A Summary of Ethics Rules for DOL Employees*

Principles of Ethical Conduct for Government Officers and Employees

Executive Order 12674 of April 12, 1989
(as modified by E. 0. 12731)

By virtue of the authority vested in me as President by the Constitution and the laws of the United Rates of America, and In order to establish fair and exacting standards of ethical conduct for all executive branch employees, it is hereby ordered as follows:

Part I-Principles of Ethical Conduct

Section 101. *Principles of Ethical Conduct To ensure that every citizen can have complete confidence In the Integrity of the Federal Government, each Federal employee shall respect and adhere to the fundamental principles of ethical service as Implemented In regulations promulgated under sections 201 and 301 of this order.*

a.) Public service is a public trust, requiring employees to place loyalty to the Constitution, 'the laws, and ethical principles above private gain.

b.) Employees shall not hold financial interests that conflict with the conscientious performance of duty.

c.) Employees shall not engage in financial transactions using nonpublic Government information or allow the improper use of such information to further any private interest.

d.) An employee shall not, except pursuant to such reasonable exceptions as are provided by regulation, 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.

e.) Employees shall put forth honest effort in the performance of their duties.

f.) Employees shall make no unauthorized commitments or promises of any kind purporting to bind the Government.

g.) Employees shall not use public office for private gain.

h.) Employees shall act impartially and not give preferential treatment to any private organization or individual.

i.) Employees shall protect and conserve Federal property and shall not use it for other than authorized activities.

j.) Employees shall not engage in outside employment or activities, including seeking or negotiating for employment, that conflict with official Government duties and responsibilities.

k.) Employees shall disclose waste, fraud, abuse, and corruption to appropriate authorities.

l.) Employees shall satisfy in good faith their obligations as citizens, including all just financial obligations, especially those such as Federal, State, or local taxes that are imposed by law.

m.) 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.

n.) Employees shall endeavor to avoid any actions creating the appearance that they are violating the law or the ethical standards promulgated pursuant to this order.

Section 102. *Limitations on Outside Earned Income.*

a.) No employee who is appointed by the President to a full-time noncareer position in the executive branch (including the full-time noncareer employees in the White House Office, the Office of Policy Development, and the Office of Cabinet Affairs), shall receive any earned income for any outside employment or activity performed during the Presidential appointment.

b.) The prohibition set forth in subsection a.) shall not apply to any full-time noncareer employees employed pursuant to 3 U.S.C. 105 and 3 U.S.C. 107(a) at salaries below the minimum rate of basic pay than paid for GS-9 of the General Schedule. Any outside employment must comply with relevant agency standards of conduct, including any requirements for approval of outside employment.

HOW TO KEEP OUT OF TROUBLE:

A SUMMARY Y OF ETHICS RULES FOR DOL EMPLOYEES[1]

Introduction

The purpose of this summary is to briefly describe a number of ethics rules which are applicable to all DOL employees. It also covers several related matters which may arise while you are an employee at the Department.

The world of ethics is a very complex one. The purpose of this mini-guide is to help you recognize some potential trouble spots that may arise during your service with the Department. This guide should not be regarded by you as definitive or comprehensive. The resolution of many problems often depends on the specific facts involved. That is why you are encouraged to seek the advice of an ethics counselor when the situations described in this guide arise.

The legal bases for the requirements described in this guide are numerous and varied. Many of the requirements are statutory, and persons who violate them are subject to criminal penalties which may include removal from federal office, fines, and imprisonment. Others are contained in Executive orders, such as the Executive order signed by President Clinton on post-employment lobbying. Still others are the subject of government-wide regulations issued by the U.S. Office of Government Ethics (OGE). These OGE regulations set forth the basic code of conduct for all federal employees and are a starting point for resolving many ethics-related questions. All employees are given copies of these regulations and are obligated to be familiar with their provisions. The Department of Labor also has its own regulations and internal policies for a number of the areas described in this summary.

Awareness of Ethics Requirements. There are several ways to ensure that you are fully aware of your responsibilities in this area. First, you should review the government-wide ethics regulations at an early point in your tenure and attend ethics training when it is required. Most employees receive ethics training shortly after their arrival on duty at the Department. Additionally, if you are required to file a public financial disclosure report you are required to receive a "live" briefing on an annual basis. Employees required to file a confidential financial disclosure report are required to attend a "live" ethics briefing every three years. The Department will also provide written ethics materials to confidential financial disclosure filers during the years that "live" attendance is not required. [Note: Your personnel office will notify you as to whether you are required to file a public or confidential financial disclosure report.] In addition, ethics training may also be provided upon the request of an office. Finally, you are strongly encouraged to ask questions whenever you have questions about ethics-related matters. Especially in this area, "preventive medicine" is the best course of action to avoid embarrassment to

[1] Prepared by the Department of Labor, Office of the Solicitor, January 1999.

you, the Secretary, and the Department. Advice in the areas described in this memorandum can be obtained from the Office of the Solicitor. If you have any questions, please call David J. Apol, the Counsel for Ethics, Robin Evans, or Paula Lincoln, in the Solicitor's office, at (202) 219-8065.

"Warranties; and Limitations" This document is designed to be a basic, "user-friendly," guide to ethics. It is not an independent regulation, and does not supersede any of the legal authorities described above. Hopefully, this guide will be a useful starting point to recognizing and dealing with potential pitfalls.

Gifts

Employees cannot accept gifts given to them because of their official position or from "prohibited sources." "Gifts" include free meals, admission to events, and travel, as well as tangible gifts. The term "prohibited source" means any organization or person employed by an organization which:

- is seeking official action by the employee's agency;
- does business or seeks to do business with the employee's agency;
- conducts activities regulated by the employee's agency; OR
- has interests that may be substantially affected by the performance or non-performance of an employee's official duties.

Due to the fact that Department of Labor programs are so far reaching, this term includes almost every business entity. Through OSHA, Wage-Hour, OFCCP, ERISA, MSHA, and other enforcement programs, the Department regulates virtually every employer in the country. The Department of Labor's supplemental regulations define who is an employee's "agency". For some employees, their agency is all of DOL. For employees in OSHA, MSHA, BLS, ETA, and ESA, their agency is defined to be the DOL component where they work. This concept will be covered further in the "live" ethics training you will receive.

As a Department of Labor employee, you should remember that even the appearance of favoritism or impropriety can cause embarrassment to both you and the Department. Such an appearance can be created where a gift is accepted even if acceptance does not affect how you perform your official duties.

There are exceptions to the gift prohibition. These generally allow an employee to accept:

- any unsolicited non-cash gift that does not exceed $20 in market value on any one occasion, and not more than an aggregate amount of $50 per year from any one source,
- gifts clearly based on a personal relationship,
- free admission to (including food at) events at which you are speaking or to "widely attended gatherings" when it is determined to be in your agency's interest for you to attend,
- gifts based on outside business or employment relationships, and
- commercial discounts available to a wide class of people.

Gifts to supervisors are regulated as well. Most gifts to supervisors are prohibited. You may, however, exchange greeting cards with supervisors and subordinates. You may also, in general, give to your superiors or accept from your subordinates occasional gifts on appropriate occasions costing less than $10, and food to be shared within your office or in a personal residence. Also, appropriate voluntary gifts (even if they exceed $10) may be given or accepted on infrequently occurring events, such as marriage, illness, the birth of a child, or retirement.

Travel and Related Expenses

As a general rule, the travel and related expenses associated with the exercise of your official duties should be paid for by appropriated funds. However, in certain limited and exceptional circumstances, an agency head or the Deputy Secretary may authorize acceptance of' travel and related expenses if an unsolicited offer is received from certain types of organizations.

An Assistant Secretary or other head of a DOL agency may authorize approval of acceptance of travel and related expenses under the Government Employees Training Act. This authority allows the agency head to approve acceptance of certain expenses incident to attendance at training sessions or meetings. Approval may only be given to accept expenses from nonprofit and tax-exempt ["501(c)(3)"] organizations and expenses paid from the treasury of a state, county, or municipality. Agency heads may not approve acceptance of these expenses where approval would create the appearance of favoritism or undue influence or if it would be otherwise unethical or improper to do so.

Additionally, the Assistant Secretary for Administration and Management may approve the acceptance, by an agency head, of travel and related expenses from 501(c)(3) organizations, government entities, and foreign entities so that an agency employee may attend a meeting or similar function. Official approval must be given in advance of the trip; accordingly, any such request should be made well in advance of the travel.

Conflicting Financial Interests

A criminal statute prohibits your personal and substantial participation, in an official capacity, in any particular matter which, to your knowledge, will have a direct and predictable effect on your financial interests, or those of your spouse, minor children, general partner, or an organization for which you serve as a employee, director, or partner.

A particular matter" does not necessarily have to involve specific parties. It can include rulemaking or- a policy matter which affects a clearly identifiable class of people, as well as a specific investigation or enforcement action. Thus, you should seek the advice of an ethics counselor if your position requires you to take actions on matters affecting a specific company if you own stock in the company affected, or affecting a specific industry if you own stock in a company within the industry affected. The counselor can provide assistance to you in divesting a conflicting financial interest, arranging your disqualification from participating in the particular matter, or requesting a waiver to

allow your participation. Office of Government Ethics regulations exempt certain small stock holdings (under $5,000) and holdings in diversified mutual funds from these requirements.

Seeking Other Employment

You are prohibited from taking official action affecting the financial interests of any organization or individual with whom you are seeking or negotiating employment or with whom you have any arrangement concerning prospective employment. For example, if you are approached about possible future employment with a company which you affect in the performance of your official duties, you must unconditionally terminate all discussions of possible employment and reject the possibility of employment prior to any further involvement in the matter. If you wish to explore the possibility of future employment with such a company, You should discuss the matter with your supervisor so that other options can be considered. These might include disqualification from further participation in the assignment or an appropriate waiver under the conflict-of-interest laws or ethics regulations. If you are involved in selecting a contractor and are approached about future employment by one of the potential contractors, special rules apply. Therefore, you should immediately contact the Solicitor's office for additional guidance.

Impartiality in Performing Official Duties

In addition to the restrictions subjecting you to criminal sanctions in the previous two sections, you are responsible for avoiding situations in which your actions may create the appearance of impropriety. Taking action on a matter could create an appearance of impropriety even if it does not affect your financial interest or that of your spouse, dependent child, or a company which employs you or from which you seek employment. Your actions could create an appearance of impropriety if, for example, you were involved in a "particular matter involving specific parties" (e.g., a case, investigation, adjudication, or administrative ruling) which will affect the financial interest of:

- any organization or person with whom you have or are seeking a business
- or other financial relationship;
- any member of your household or a relative with whom you have a close
- personal relationship;
- those with whom your spouse, parent, or dependent child has or is
- seeking to establish certain employment or business relationships;
- any person with whom you have been employed or have had certain business relationships in the past year; OR any organization, other than a political party, in which you are actively involved.

The key test for determining if participation in a particular matter creates the appearance of impropriety is whether in your judgment, reasonable persons with knowledge of the relevant facts would question your impartiality in the matter. If you believe that your actions would be questioned, you should not participate in the matter without proper authorization. The Office of the Solicitor should be consulted for advice in such instances.

Misuse of Position; Sponsorship and Co-Sponsorship of Outside Organizations

You are prohibited from using public office for your own private gain or the private gain of another. Therefore, you should generally not endorse any product, service, organization, or enterprise in an official capacity. A frequent question that arises is whether the Department can co-sponsor conferences and other events with non-governmental entities. However meritorious these events or organizations may be, Department Employees must be very cautious about lending the Department's name or seal to them and should consult with the Office of the Solicitor to make sure the relationship does not violate any law or policy.

Similarly, you may not engage in fund-raising in your official capacity unless such action is specifically authorized as in the case of the Combined Federal Campaign. Moreover, you should not allow your official title to be used for private fund-raising activities. Finally, you should not personally solicit from people or organizations you know to be regulated by or are seeking action from your DOL component, or that have an interest in your official duties. Employees of certain DOL components may solicit from people regulated by their component so long as the person or organization is not being investigated by, or has a matter pending before, their component.

Ethics rules severely restrict the use of non-public information to further an employee's own or another person's private interests. Disclosure of non- public information related to government contracts or trade secrets can also result in criminal penalties. "Non-public information" is information that the employee gains by reason of his or her Federal employment and that the employee knows, or reasonably should know, has not been made available to the general public.

Outside Activities

Outside activities may create conflicts of interest where your official responsibilities have an impact on organizations with which you are involved. This is especially true when you are an officer, director, trustee, or an employee of an outside organization. Additionally, you must take special care to avoid the appearance that your involvement implies Department of Labor endorsement of a group or organization. Additionally, the criminal conflict-of-interest statute, with very limited exceptions, prohibits you from engaging in representational activities on behalf of any individual before the United States government. Consequently, outside of your official duties, in general, you should not call or write any federal official on behalf of any individual or organization. You should refrain from contacting any federal agency on behalf of a friend, neighbor, business associate or others to assist in making a claim or otherwise advocating a matter before that agency.

With certain very limited exceptions, Presidential appointees cannot receive any income for outside activities during their term of office. In addition, all non-career employees earning more than the GS-15 rate (this includes all non-career SES employees) may not, in any calendar year, receive outside earned income which exceeds fifteen percent of the

Level II Executive Schedule salary. Additionally, such employees may not receive any compensation for practicing a profession involving a fiduciary duty (e.g., accounting, law, or real estate), receive compensation for affiliating with a firm which provides such services, receive compensation for serving on a board of directors or as an officer of any organization, or receive compensation for teaching without prior agency approval.

Participation in Events Sponsored by For-Profit 0rganizations

Department of Labor policy generally prohibits all employees, in their official capacities, from speaking -to or otherwise participating in events sponsored by private, for-profit organizations. The concern is that such events may be used by the organizations for client-building, client-retention, or other profit-making purposes. Exceptions to this policy may be made on a case-by-case basis by the agency head, with the concurrence of the Deputy Secretary, when there will be some unusual benefit to the agency by virtue of its participation.

This policy does not prohibit Department employees from attending and participating in internal meetings of a company, firm, or organization when attendance is limited to employees, officers, or partners of that entity. It also does not prohibit official participation in events sponsored or co-sponsored by governmental entities, or by private non-profit organizations such as professional associations, business leagues, and labor organizations.

Speaking, Teaching and Writing

An employee, regardless of level, cannot accept compensation from any source other than the Government for teaching, speaking, or writing that relates to the employee's official duties. There is an exception for teaching requiring repeated appearances as part of the regularly established curriculum at a college, secondary or elementary school. As stated in a previous section, Presidential appointees may not receive any outside income.

Financial Disclosure Reports and Mandatory Annual Ethics Training

All Presidential appointees, all career and non-career Senior Executive Service employees, all career and non-career employees paid above the GS-15 rate, and most Schedule C employees are required to file public financial disclosure reports (SF-278's) within thirty days of entering a covered position. Reports must also be filed annually on May 15 and within thirty days of terminating employment. Failure to file any of these reports in a timely fashion will subject you personally to a $200 late filing fee. These financial disclosure reports are available for inspection when a written request is made by any individual or organization.

In addition, employees subject to the public filing requirement must receive at least one hour of ethics training each calendar year. Although you should be notified by your agency's servicing personnel office when you are required to file and when annual training will be offered, it is your responsibility to comply with the filing and training requirements.

Additionally, each agency within the Department has designated certain positions at or below the GS-1 5 level for coverage under a corresponding system of confidential financial disclosure reports (OGE-450's) for career employees and certain "special government employees." If your position has been so designated, you must file a confidential report within 30 days of your employment and by October 31 each year thereafter. Your personnel office should inform you if you are in a designated position. Also, all employees subject to the confidential filing requirement are required to receive at least one hour of "live" ethics training once every three years. Written ethics materials will also be provided to confidential financial disclosure filers during the years that "live" attendance is not required.

Post-Employment Restrictions; The "Ethics Pledge"

There are a number of post-employment restrictions placed on all employees when they leave governmental service. Additional restrictions are placed on "senior officials" of the government and on employees involved in the contracting process. Departing employees should make sure that they learn of these restrictions before they leave the government because violations can result in criminal penalties.

In addition, President Clinton has issued an Executive order which prohibits non-career senior employees from lobbying any officer or employee of his or her former agency for five years after leaving government. "Senior employees" are all those employees paid pursuant to the Executive Schedule, those paid at SES level 5 or 6, and those on other pay schedules Whose base salary equals or exceeds the base salary for SES level 5.

Political Activity

The Hatch Act, as amended, allows most employees (other than career SES employees), to actively participate in partisan campaigns. However, employees must do so on their own time and without using government resources or their government title.

All employees are still prohibited from being a candidate for a partisan office or from fund-raising for a party or partisan candidate. Additionally, criminal statutes prohibit any federal employee from using their official authority for the purpose of interfering with, or affecting, the nomination or the election of any candidate.

The Anti-Lobbying Act

Federal law prohibits any appropriated funds from being used for "grass roots" lobbying activities. In addition, an appropriation rider prohibits use of DOL funds for publicity or propaganda purposes designed to support or defeat legislation before the Congress. These laws have been construed as permitting agencies to inform the Congress of the Administration's position on matters before the Congress and otherwise responding to oversight requests. Additionally, these restrictions do not prohibit the Department from informing the public about a pending legislation affecting the Department or even expressing the Department's view on pending legislation. However, they do prohibit the

Department from engaging in or promoting grass roots lobbying. That is, the Department may not contact outside individuals or organizations for the purpose of encouraging them to contact legislators to advocate views on legislative matters. In addition, the Department may not use its resources to assist a private lobbying effort.