

NOTIFICATION OF POST-EMPLOYMENT NEGOTIATION OR AGREEMENT AND RECUSAL STATEMENT

Section 17 of the Stop Trading on Congressional Knowledge Act of 2012 (STOCK Act) requires certain employees to file a statement notifying their agency ethics official of any negotiation for or agreement of future employment or compensation with a non-federal entity within three (3) business days after commencement of the negotiation or agreement. Employees who file this notification statement also must file with their agency ethics official a recusal statement whenever there is a conflict of interest or appearance of a conflict of interest with the entity or obtain a written waiver or an authorization as discussed in 5 C.F.R. § 2635.605.

Negotiations means discussion or communication with another person, or such person's agent or intermediary, mutually conducted with a view toward reaching an agreement regarding possible employment with that person. It is not limited to discussions of specific terms and conditions of employment in a specific position.

Agreement of future employment or compensation includes any arrangement concerning employment, or any arrangement to compensate in exchange for services, that will commence after termination of Government service. It includes, among other things, an arrangement to compensate for teaching, speaking, or writing that will commence after the termination of Government service.

Please submit the original version of this form to the Office of the Assistant General Counsel for Ethics and Personnel Law, GC-21 inbox at Standardsofconduct@hq.doe.gov. You must also submit this form to your supervisor if you have (or it is likely that you will have) duties affecting an entity with which you are negotiating or have an agreement for employment or compensation. Field employees must also file a copy with their local ethics counselor.

Please contact the Office of Assistant General Counsel for Ethics and Personnel Law, GC-21 at Standardsofconduct@hq.doe.gov with any questions.

PRIVACY ACT STATEMENT

Section 17 of the STOCK Act requires that certain Executive Branch employees who negotiate for future employment with non-federal entities provide notification of the negotiation and of any required recusal. The primary use of the information on the form is to provide a record of an employee's recusal. Additional disclosures of the information may be to a Federal, state or local law enforcement agency when the Department of Energy becomes aware of a potential violation of civil or criminal law, to a Federal agency when conducting an investigation for employment or security reasons, or to a Federal agency that is reviewing compliance with the provisions of Section 17.

**NOTIFICATION OF POST-EMPLOYMENT NEGOTIATION OR
AGREEMENT**

Name of Employee:

Office:

Title:

Name of Employee's Supervisor:

Date Negotiation or Agreement Commenced:

Names(s) of Non-Federal Entity or Entities:

RECUSAL STATEMENT

For as long as I am seeking, negotiating for, or have an agreement of, employment or compensation with any entity listed above, I will comply with all applicable recusal obligations under 5 C.F.R. Part 2635 and 18 U.S.C. § 208. I will not participate personally and substantially in any particular matter that has a direct and predictable effect on that entity, unless I first obtain a written waiver or an authorization consistent with 5 C.F.R. § 2635.605. I understand it is my responsibility to consult an ethics official if I have questions regarding these recusal obligations.

Check one and complete applicable sections:

- ☐ I have (or it is likely that I will have) duties that affect the entity/entities listed above. I have directed _____, to route all matters from which I am recused to _____.
- ☐ I do not have (and it is unlikely that I will have) any duties affecting the entity/entities listed above. If my duties change such that they will affect the entity/entities listed above, I shall inform my supervisor immediately and consult with an ethics official to determine if any action, such as a screening arrangement, is required.

Employee Signature

Date Submitted

Please send this signed form to standardsofconduct@hq.doe.gov. If you have (or it is likely that you will have) duties affecting a listed entity, please also send to your supervisor.