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## **Title 49 —Transportation**

### **Subtitle A —Office of the Secretary of Transportation**

#### **Part 98** Enforcement of Restrictions on Post-Employment Activities

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## **PART 98—ENFORCEMENT OF RESTRICTIONS ON POST-EMPLOYMENT ACTIVITIES**

**Authority:** 18 U.S.C. 207; Pub. L. 96-28.

**Source:** 48 FR 12383, Mar. 24, 1983, unless otherwise noted.

### **Subpart A—Administration of Enforcement Proceedings**

#### **§ 98.1 Purpose.**

The purpose of this part is to set forth the administrative enforcement procedures that the Department of Transportation will follow when there is an allegation that a former employee of the Department has violated 18 U.S.C. 207.

#### **§ 98.2 Definitions.**

For the purposes of this part, the following definitions apply:

(a) **Administration** means each of the following:

- (1) The United States Coast Guard.
- (2) The Federal Aviation Administration.
- (3) The Federal Highway Administration.
- (4) The Federal Railroad Administration.
- (5) The National Highway Traffic Safety Administration.
- (6) The Urban Mass Transportation Administration.
- (7) The Saint Lawrence Seaway Development Corporation.
- (8) The Research and Special Programs Administration.
- (9) The Maritime Administration.

(b) **Department** means the Department of Transportation.

(c) **18 U.S.C. 207** means 18 U.S.C. 207 (a), (b), or (c) or any regulations issued under 18 U.S.C. 207.

(d) **Secretary** means the Secretary of Transportation.

### § 98.3 Reports of apparent violations.

Any person may report, to the Assistant General Counsel for Environmental, Civil Rights and General Law, an apparent violation by a former employee of the Department of 18 U.S.C. 207.

### § 98.4 Initiation of administrative disciplinary proceeding.

(a) Whenever the Assistant General Counsel for Environmental, Civil Rights and General Law has determined that there is reasonable cause to believe that a former Departmental employee has violated 18 U.S.C. 207, the Assistant General Counsel for Environmental, Civil Rights, and General Law:

- (1) Shall expeditiously provide that information to the Director, Office of Government Ethics, and to the Criminal Division, Department of Justice; and
- (2) After coordinating any proceeding with the Criminal Division, Department of Justice, to avoid prejudicing criminal proceedings, may institute an administrative disciplinary proceeding in accordance with this part.

(b) The person who shall provide for the prosecution of the alleged violation in an administrative disciplinary proceeding under this part (hereinafter referred to as the "Departmental counsel") is:

- (1) In a case where the last Departmental employer of the alleged violator is the Office of the Secretary, the Assistant General Counsel for Environmental, Civil Rights and General Law, or his or her designee; or
- (2) In a case where the last Departmental employer of the alleged violator is an administration, the Chief Counsel, or his or her designee, for that administration.

(c) Before beginning an administrative disciplinary proceeding, the Departmental counsel shall provide the former employee with actual notice of the institution of a proceeding. This notice must include:

- (1) A statement of allegations and the basis for those allegations, which statement must be sufficiently detailed to enable the former employee to prepare an adequate defense;
- (2) Notification of the right to a hearing;
- (3) An explanation of the method by which a hearing may be requested; and
- (4) A statement of the possible sanctions that may be imposed if a violation by the former employee is found to have occurred.

### **§ 98.5 Former employee response to notice.**

- (a) Within 30 working days after service of a notice pursuant to § 98.4(c), the former employee may submit to the Departmental counsel in writing:
  - (1) A request for a hearing, which, if not all issues are disputed by the former employee, should specify those issues that are;
  - (2) Any evidence and arguments in lieu of a hearing or
  - (3) A statement that the allegations are true and set forth any factors that should be considered in determining the administrative sanction to be imposed.
- (b) The Department shall deem the right to a hearing to have been waived by the former employee if the former employee does not submit a request under paragraph (b)(1) of this section within 30 working days after service of notice pursuant to § 98.4(c).

### **§ 98.6 Examiner.**

- (a) The presiding official at a hearing held under this part and the deciding official under § 98.9 of this part (hereinafter referred to as the "examiner") shall be designated by the Secretary.
- (b) The examiner shall not have been involved in any of the events specified in the allegations, shall not have been involved in the investigation of the allegations and the institution of the proceedings under this part, and shall not be or have been employed by the administration, or the Office of the Secretary if applicable, in which the alleged violation occurred.

### **§ 98.7 Hearing.**

- (a) The examiner shall, within 30 working days of a request for a hearing under § 98.5(b), schedule the hearing for a reasonable time, date, and place. The examiner shall grant any delays or continuances that the examiner determines to be necessary and appropriate for fair resolution of the case, with due regard to the former employee's need for adequate time to prepare a defense and for expeditious resolution of allegations that may be damaging to that former employee's reputation.
- (b) The following rights shall be granted to a former employee who requests a hearing under § 98.5(b):
  - (1) To represent oneself or to be represented by counsel.
  - (2) To introduce and examine witnesses and to submit physical evidence.
  - (3) To confront and cross-examine adverse witnesses.
  - (4) To present oral argument.
  - (5) To obtain a transcript or recording of the hearing on request from the official reporter upon payment of the fees fixed therefor.

- (c) In a hearing under this part, the Federal Rules of Civil Procedure and Evidence do not apply. However, the examiner may make such orders and determinations regarding discovery, admissibility of evidence, conduct of examination and cross-examination, and similar matters the examiner deems necessary or appropriate to ensure orderliness in the proceedings and fundamental fairness to the parties.

### **§ 98.8 Decision by examiner.**

- (a) In a hearing under § 98.7 of this part, the Departmental counsel must establish a violation by a preponderance of the evidence.
- (b) The examiner shall make a decision exclusively on matters of record in the proceeding and shall set forth in the decision:
  - (1) All findings of fact relevant to the matters at issue;
  - (2) All conclusions of law relevant to the matters at issue; and
  - (3) The sanction to be imposed, if any.

### **§ 98.9 Decision if hearing waived.**

- (a) If the former employee waives or, in accordance with § 98.5(b) of this part, is deemed to have waived a hearing under this part, the examiner shall, after review of the record as it exists, make a decision as to whether the former employee is in violation of 18 U.S.C. 207.
- (b) In a decision under paragraph (a) of this section, the requirements of § 98.8 of this part apply.

### **§ 98.10 Appeal.**

- (a) Within 30 working days after receipt of a decision issued under § 98.8 or § 98.9 of this part, either the Departmental counsel or the former employee may appeal the decision to the Secretary.
- (b) In making a decision on an appeal, the Secretary shall consider only the evidence admitted during the prior proceeding and contained in the record of that proceeding.
- (c) If the Secretary modifies or reverses the initial decision, the Secretary shall specify the findings of fact and conclusions of law that are different from those of the examiner.

### **§ 98.11 Final administrative decision.**

The final administrative decision under this part shall be:

- (a) The decision of the examiner under § 98.8(b), if there is no appeal under § 98.10;
- (b) The decision by the examiner under § 98.9, if a hearing is waived or is deemed to have been waived and there is no appeal under § 98.10; or
- (c) The decision of the Secretary on an appeal under § 98.10.

## **Subpart B—Administrative Sanctions**

### **§ 98.12 Administrative sanctions.**

- (a) The Secretary, in decisions under § 98.10 of this part, and the examiner, in decisions under § 98.8 and § 98.9 of this part, may impose an administrative sanction against a former employee who, after a final administrative decision under this part, is found to be in violation of 18 U.S.C. 207.

- (b) The administrative sanctions that may be imposed under subsection (a) of this section are:
  - (1) Prohibiting the former employee from making, on behalf of any other person except the United States, any formal or informal appearance before, or, with the intent to influence, any oral or written communication to, the Department of any of its administrations on any matter of business for a period not to exceed five years; or
  - (2) Taking other appropriate disciplinary action, such as a reprimand or suspension from participation in a particular matter or matters before the Department.

## **Subpart C—Judicial Review**

### **§ 98.13 Judicial review.**

Any former employee found to have violated 18 U.S.C. 207 by a final administrative decision under this part may seek judicial review of disciplinary action imposed under this part.