

Determining Which Positions Should File A Confidential Financial Disclosure Report: A Worksheet



This job aid is designed to assist supervisors in determining whether a career employee should file a Confidential Financial Disclosure Report (OGE Form 450). If you have questions about the criteria listed below, please contact the DoD SOCO Office at (703) 695-3422.


Employee's Name: _____

Date: _____ aaaaaaaa__


Position Title: _____



CAC Email: _____

I. Pay		
<p>1. <input type="checkbox"/> Is the employee's position classified at or below the GS-15 level or, if military, below the rank of O-7?</p> <p style="text-align: center;">OR</p> <p><input type="checkbox"/> If the employee is not paid on the GS scale, is the employee's rate of basic pay less than 120% of the minimum rate of basic pay for the GS-15 level?</p> <p>For 2018, this means that the employee's rate of basic pay is less than \$126,148.00. Basic pay does not include locality payments, bonuses, etc. For reemployed annuitants, the rate of basic pay is the employee's basic pay before any salary offset is applied.</p>	<p><input type="checkbox"/> Yes</p> <p>Go to Question 2.</p>	<p><input type="checkbox"/> No</p> <div style="text-align: center;">  </div> <p>Your agency's Ethics Office will determine if this employee must file a public financial disclosure form.</p>
II. Type of Work Done By the Employee		
<p>2. Does the employee's work involve at least one of the following:</p> <ul style="list-style-type: none"> <input type="checkbox"/> contracting or procurement actions above the micro-purchase threshold (currently \$3,500) or with an annual total that is greater than the simplified acquisition threshold (currently \$150,000). <i>Example: A GS-9 Admin Assistant makes GPC purchases of office supplies for her work unit, but each purchase totals less than \$3500 and she never spends more than \$20,000 annually. She would be excluded from filing. If her annual purchases totaled more than \$150,000, then she would file.</i> <input type="checkbox"/> administering, awarding, monitoring, or making determinations regarding grants, subsidies, licenses, or other federal benefits; <input type="checkbox"/> regulating, auditing, or inspecting non-federal entities*; or <input type="checkbox"/> performing other activities when those activities will have a direct and substantial effect on the financial interests of non-Federal entities. <p><i>*Non-federal entities include, for example, businesses, non-profit organizations, and state and local governments.</i></p>	<p><input type="checkbox"/> Yes</p> <p>Go to Question 4.</p>	<p><input type="checkbox"/> No</p> <p>Go to Question 3.</p>
<p>3. Is the employee serving in any other position where there is a potential for conflict of interest, appearance of favoritism or loss of impartiality?</p> <p>Examples include:</p> <ul style="list-style-type: none"> <input type="checkbox"/> investigating or prosecuting violations of criminal or civil law; <input type="checkbox"/> representing the United States in litigation or other proceedings; <input type="checkbox"/> scientific or social science research, when the research will have a direct and substantial effect on the financial interests of non-federal entities. 	<p><input type="checkbox"/> Yes</p> <p>Go to Question 4.</p>	<p><input type="checkbox"/> No</p> <div style="text-align: center;">  </div> <p>If you said "no" to questions 2 <u>and</u> 3, the employee does NOT need to file.</p>

<p>4. Does the employee:</p> <p><input type="checkbox"/> only provide information?</p> <p>Example: A GS-13 librarian for the Patent and Trademark Office (PTO) shows PTO staff members how to research the uniqueness of an invention and design complex search queries of the agency's electronic databases. The librarian does not make decisions on the patentability of the invention.</p> <p>OR</p> <p><input type="checkbox"/> only work on administrative or peripheral matters?</p> <p>Example: A draftsman prepares the drawings to be used by an agency in soliciting bids for construction work on a bridge. He is not involved in the contracting process associated with the construction.</p> <p>Example: An agency has just hired a GS-5 Procurement Assistant who is responsible for typing and processing procurement documents, answering status inquiries from the public, performing office support duties such as filing and copying, and maintaining an online contract database. The Assistant has no actual contracting or procurement responsibilities.</p>	<p><input type="checkbox"/> Yes</p> <p></p> <p>The employee does NOT need to file a confidential financial disclosure report.</p>	<p><input type="checkbox"/> No</p> <p>Go to Question 5.</p>
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III. Employee's Level of Responsibility

<p>5. Does the employee:</p> <p><input type="checkbox"/> engage in the work activity identified in Section II by exercising significant judgment in performing any of the following job functions?</p> <ul style="list-style-type: none"> <input type="checkbox"/> making decisions; <input type="checkbox"/> approving or disapproving; <input type="checkbox"/> making recommendations; <input type="checkbox"/> conducting investigations; <input type="checkbox"/> rendering advice or opinions. <p>OR</p> <p><input type="checkbox"/> actively supervise a subordinate's performance of any of the above-listed job functions?</p>	<p><input type="checkbox"/> Yes</p> <p>Go to Question 6.</p>	<p><input type="checkbox"/> No</p> <p></p> <p>The employee does NOT need to file a confidential financial disclosure report.</p>
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<p>6. Does the employee receive substantial supervisory review?</p> <p><i>Example: A contracting officer develops the requests for proposals for data processing equipment of significant value which is to be purchased by his agency. He works with substantial independence of action and exercises significant judgment in developing the requests. By engaging in this activity, he is participating personally and substantially in the contracting process. The contracting officer should be required to file a confidential financial disclosure report.</i></p>	<p><input type="checkbox"/> Yes</p> <p></p> <p>The employee does NOT need to file a confidential financial disclosure report.</p>	<p><input type="checkbox"/> No</p> <p></p> <p>The employee SHOULD file a confidential financial disclosure report.</p>
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Printed Name and Signature of Supervisor: _____

Email and Phone Number: _____