







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

This job aid is designed to assist you in determining whether an employee should file a Confidential Financial Disclosure Report (OGE Form 450). Some Special Government Employees may also be required to file a confidential financial disclosure report. If you have questions about the criteria listed below, please contact the Air Force Ethics Office at (703) 693-0417.

<b>I. Pay</b>		
<p>1. <input type="checkbox"/> Is the employee’s position classified at or below the GS-15 level?</p> <p style="text-align: center;"><b>OR</b></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 2011, this means that the employee’s <b>rate of basic pay is less than \$119,554.00</b>. 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"/> <b>Yes</b></p> <p>Go to question 2.</p>	<p><input type="checkbox"/> <b>No</b></p> <div style="text-align: center;">  </div> <p>Please review our Frequently Asked Questions link (FAQ) to determine if you need to file.</p>
<b>II. Type of Work Done By the Employee</b>		
<p>2. Does the employee’s work involve at least one of the following:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> contracting or procurements above \$2,500;</li> </ul> <p style="padding-left: 20px;">Example: An employee is issued a purchase card to buy office supplies for his/her work unit as needed. Such an employee is generally excluded from filing.</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> administering, awarding, monitoring, or making determinations regarding grants, subsidies, licenses, or other federal benefits;</li> <li><input type="checkbox"/> regulating, auditing, or inspecting non-federal entities*;</li> <li><input type="checkbox"/> performing other activities, when those activities will have a direct and substantial effect on the financial interests of non-federal entities.</li> </ul> <p>*<i>Non-federal entities</i> include, for example, businesses, non-profit organizations, and state and local governments.</p>	<p><input type="checkbox"/> <b>Yes</b></p> <p>Go to question 4.</p>	<p><input type="checkbox"/> <b>No</b></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"> <li><input type="checkbox"/> investigating or prosecuting violations of criminal or civil law;</li> <li><input type="checkbox"/> representing the United States in litigation or other proceedings;</li> <li><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.</li> </ul>	<p><input type="checkbox"/> <b>Yes</b></p> <p>Go to question 4.</p>	<p><input type="checkbox"/> <b>No</b></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 employee shows staff members how to conduct research. The employee does not make decisions concerning the data.</p> <p><b>OR</b></p> <p><input type="checkbox"/> only work on administrative or peripheral matters?</p> <p>Example: An employee prepares information to be used in soliciting bids. He is not involved in the contracting process.</p> <p>Example: An employee 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 database. The employee has no actual contracting or procurement responsibilities.</p>	<p><input type="checkbox"/> <b>Yes</b></p> <p></p> <p>The employee does not need to file a confidential financial disclosure report.</p>	<p><input type="checkbox"/> <b>No</b></p> <p>Go to question 5.</p>
<b>III. Employee's Level of Responsibility</b>		
<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"> <li><input type="checkbox"/> making decisions;</li> <li><input type="checkbox"/> approving or disapproving;</li> <li><input type="checkbox"/> making recommendations;</li> <li><input type="checkbox"/> conducting investigations;</li> <li><input type="checkbox"/> rendering advice or opinions.</li> </ul> <p><b>OR</b></p> <p><input type="checkbox"/> actively supervise a subordinate's performance of any of the above-listed job functions?</p>	<p><input type="checkbox"/> <b>Yes</b></p> <p>Go to question 6.</p>	<p><input type="checkbox"/> <b>No</b></p> <p></p> <p>The employee does not need to file a confidential financial disclosure report.</p>
<p>6. Does the employee receive substantial supervisory review?</p> <p>Example: A GS-13 employee conducts the initial agency review of applications for services from organizations and advises his/her supervisor about the merits of each application. Although the process of reviewing the applications entails significant judgment, the employee's analysis and recommendations are reviewed by his/her first and second level supervisor, before a decision is made.</p>	<p><input type="checkbox"/> <b>Yes</b></p> <p></p> <p>The employee does not need to file a confidential financial disclosure report.</p>	<p><input type="checkbox"/> <b>No</b></p> <p></p> <p>The employee should file a confidential financial disclosure report.</p>