Filer Determination Worksheet for Confidential Financial Disclosure Reports

Department of the Interior Confidential Filer Job Aid

This job aid is designed to assist supervisors in determining whether a career employee should file a Confidential Financial Disclosure Report (OGE Form 450).

Position Title, Pay Plan, Series, and Grade: GS-1316-06 Hydrologic Technician

QUESTION	YES	NO
A. Automatic Filing Status - Occupational Series and Designations		
1. Is the employee's occupational series a 1102, 1105, 1109, or a 1101 Self-Determination Specialist?	**Required** to file OGE 450. ☐	Go to Question 2. ☑
2. Is the employee a designated P.L 93-638 Awarding Official or Awarding Official Technical Representative (AOTR)?	**Required** to file OGE 450. ☐	Go to Question 3. ☑
B. Conditional File Status - Type of Work Done by the Employee		
3. Does the employee's work involve at least one of the following? a. Administering, awarding, monitoring, or making, determinations regarding grants, subsidies, licenses, or other federal benefits, b. Regulating, auditing, or inspecting non-federal entities[1], **OR** c. Performing other activities, when those activities will have a direct and substantial effect on the financial interests of non-federal entities.	Go to Question 4. ☐	Go to Question 4. ☑
4. Is the employee serving in any other position where there is a potential for conflict of interest, appearance of favoritism, or loss of impartiality?[2]	Go to Question 5. ☐	If you answered "no" to Questions 3 and 4, the employee is **NOT** required to file OGE 450. ☑
5. Does the employee's work involve more than: a. Merely providing information[3], **OR** b. Only working on administrative or peripheral matters?[4]	Go to Question 6. ☐	Employee is **NOT** required to file OGE 450. ☑
C. Employee's Level of Responsibility		
6. Does the employee: a. engage in the work activity identified in Section B by exercising significant judgment in performing any of the following job functions? i. making decisions, ii. approving or disapproving, iii. making recommendations, iv. conducting investigations, v. rendering advice or opinions, vi. project management, **OR** b. actively supervise a subordinate's performance of any of the above-listed job functions, including occupational series and designations listed in Parts A.1 and A.2?	Go to Question 7. ☐	Employee is **NOT** required to file OGE 450. ☑
7. Does the employee have substantial independence not subject to substantial supervisory review?[5]	**Required** to file OGE 450. ☐	Employee is **NOT** required to file OGE 450. ☑
D. Employees in Acting Capacities or on Details		
8. Is or will the employee be acting in the capacity of one of the positions or detailed to one of the positions that answered "yes" in #1, #2, or #7 for more than 60 days in the calendar year?	**Required** to file OGE 450[6] ☐	Employee is **NOT** required to file OGE 450. ☑

[1] *Non-federal entities* include, for example, businesses, non-profit organizations, water districts, tribes, universities, and state and local governments.

[2] **Example for #4**: Examples include (1) investigating or prosecuting violations of criminal or civil law; (2) representing the United States in litigation or other proceedings; or (3) scientific or social science research, when the research will have a direct and substantial effect on the financial interests of non-federal entities.

[3] **Example for #5a**: A GS-13 Analyst regularly provides updates to a manager regarding the status of different funding opportunity announcements. The Analyst does not review or make any decisions on the award of any funding opportunities and would not be required to file an OGE-450 report.

[4] **Examples for #5b**: An Engineering Technician prepares the drawings to be used by BLM in soliciting bids for a safety modification project. The Technician is not involved in the contracting process associated with the project and would not be required to file an OGE-450 report.

[5] **Example for #7**: An employee at Reclamation serves as a Contracting Officer Representative (COR) for a level 2 contract. Although the employee routinely reviews the work of and coordinates with the contractor, the COR does not exercise independent authority to obligate, terminate, or change funding or scope of work regarding the contractor. As a result, the COR would not be required to file an OGE-450 report.

[6] The employee will be required to file a confidential financial disclosure report for the time spent while acting or detailed to a covered position if that time exceeds 60 cumulative days in a calendar year. The time does not have to be successive or in the same covered position, so an employee that spends 30 days one month and 31 days three months later in acting positions would be required to file an OGE-450 report covering those 61 days.

FPPS Coding Instructions:

Financial Disclosure Designation	Financial Statements Code
Conflict of Interest Confidential Filers OGE 450	I
Public Financial Disclosure Filers (SES, SL, and Political Appointees ONLY)	J
Not Required to File	6

Procurement Integrity Act Code: Procurement Officials (1102, 1105, 1106) are coded as Y; all other positions are coded as N. Note that this will result in the 1106 occupational series being coded with a Y Procurement Act Integrity Code and a 6 Financial Statements Code. This is appropriate based on the determination standards specified in this worksheet.