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Roles for Supervisors in Confidential Financial Disclosure

Why do we do financial disclosure?

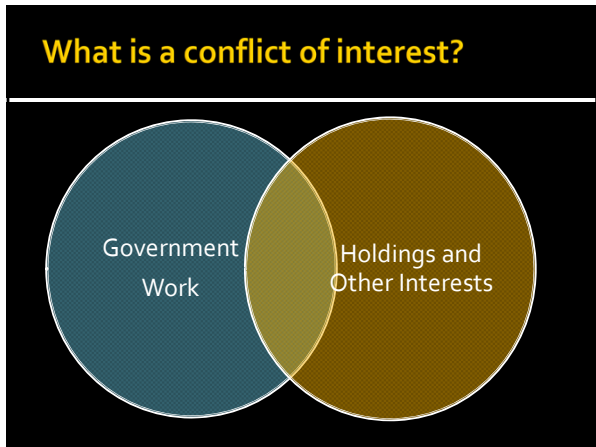
Certification Statement

FOR REVIEWERS' USE ONLY:
On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations, except as noted in the "comments" box below.

Signature and Title of Supervisor/Other Intermediate Reviewer (if required by the agency)		Date (mm/dd/yy)
E-mail Address	Phone Number	
Signature and Title of Agency's Final Reviewing Official		Date (mm/dd/yy)
Comments of Reviewing Officials		

(Check box if continued on additional page)





-
- Why must we avoid conflicts?
- Introduce bias
 - Harm our work
 - Can result in challenges and investigations
 - Some are crimes

What do I need to know to prevent conflicts ?

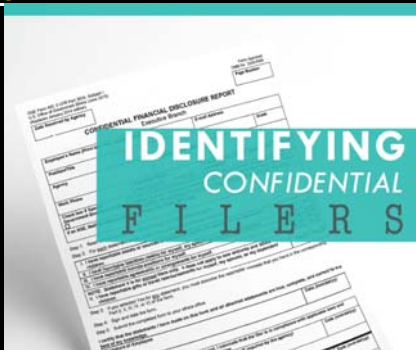
- Employee's position and duties (what your employees do at work)
- Employee's financial holdings and business relationships (the stuff on the 450)

Who files a 450?

See 5 CFR 2634.904

- GS-15 (or equivalent) and below
- Responsibilities and duties affecting nonfederal entities
- As determined by the agency

How can I help ensure the right people file?



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

The job will be designed to assist ethics officials in determining whether a 2019 employee should file a Confidential Financial Disclosure Report (CDFR) Form 450. Some Special Government Employees and Schedule C employees may also be required to file confidential financial disclosure reports. If you have questions about the criteria listed below, contact your agency's Ethics Officer.

I. Pay		
1. <input type="checkbox"/> Is the employee's position classified at or below the GS-15 level? OR <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 maximum rate of basic pay for the GS-15 level? <i>Basic pay does not include locality payments, bonuses, etc. For non-career positions, the rate of basic pay is the employee's basic pay before any salary offset is applied.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No STEP
Go to question 2. <i>If your agency's Ethics Officer is-GI determine if the employee must file a public financial disclosure form.</i>		
II. Type of Work Done By the Employee		
2. Does the employer's work involve at least one of the following: <input type="checkbox"/> contracting or procurement above the micro-purchase threshold. <i>Example: A GS-7 Office Acquisition Clerk is issued a purchase card to buy office supplies for her work unit as needed. Such an employee is generally excluded from filing.</i> <input type="checkbox"/> administering, overseeing, monitoring, or making determinations regarding grants, subsidies, licenses, or other federal benefits. <input type="checkbox"/> reporting, auditing, or inspecting non-federal activities. <input type="checkbox"/> performing other activities, when those activities will have a direct and substantial effect on the financial interests of non-federal entities. <i>*Non-federal entities include, for example, businesses, non-profit organizations, and state and local governments.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Go to question 4. <i>Go to question 3.</i>		
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? <i>Examples include:</i> <input type="checkbox"/> investigating or processing violations of criminal or civil law.	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No STEP
Go to question 4. <i>If you said "no" to questions 1 and 2, go to question 4.</i>		

4. Does the employee: <input type="checkbox"/> only provide information? <i>Example: A GS-11 Director for the Power and Technical Office (PTO) does PTO staff members have to research the requirements of an acquisition and design requests with a portion of the agency's electronic database. The Director does not make decisions on the priority of the activities.</i> OR <input type="checkbox"/> only work on administrative or peripheral matters? <i>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.</i> <i>Example: An agency has just hired a GS-7 Procurement Assistant who is responsible for typing and processing procurement documents, answering phone inquiries from the public, performing office support duties such as filing and mailing, and maintaining an online contract database. The Assistant has no direct involvement in procurement responsibilities.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No STEP <i>The employee does not need to file a confidential financial disclosure report.</i>
Go to question 5. <i>Go to question 5.</i>		
III. Employee's Level of Responsibility		
5. Does the employee: <input type="checkbox"/> engage in the work activity identified in Section II by exercising significant influence or performing any of the following job functions: <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. OR <input type="checkbox"/> actively supervise a subordinate's performance of any of the above listed job functions?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No STEP <i>The employee does not need to file a confidential financial disclosure report.</i>
Go to question 6. <i>Go to question 6.</i>		
6. Does the employee receive substantial supervisory review? <i>Example: A GS-11 employee at an independent grant-making agency conducts the annual agency review of grant applications from nonprofit organizations, and advises the Deputy Assistant Chairman for Grants and Awards about the results of such</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No STEP

What gets filed?

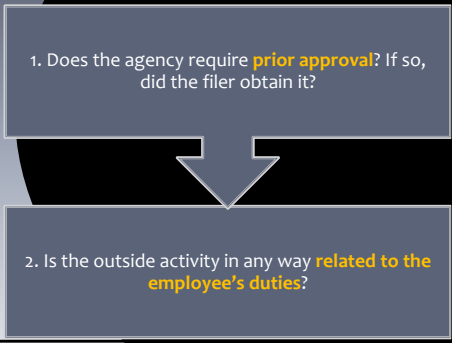
- OGE Form 450 (2019 version)
- Alternative report format

What's the process for review?



- What types of assignments might the employee participate in?
- Could any interests disclosed on the Form 450 be affected by those assignments?

Outside activities



OSE Form 450, 5 CFR Part 203, Subpart 1
U.S. Office of Government Ethics (Jan. 2018)
Expires 11/30/22

Date Received by Agency: 02/15/2018

Form Approval Code No. 1039-0000
Page Number: 1

CONFIDENTIAL FINANCIAL DISCLOSURE REPORT

Executive Branch

Employee's Name (Print last, first, middle initial): Fair, Jane G. E-mail Address: _____

Position/Title: Program Manager / Food Safety Division Grade: 14

Agency: Government Department: Branch/Unit and Address: Food Safety

Work Phone: _____ Reporting Status: New Entrant Annual If New Entrant, Date of Appointment to Position (mm/yyyy): _____

Check box if Special Government Employee (SGE) An SGE is an executive branch officer or employee who is retained, designated, appointed, or employed to perform temporary duties either on a full-time or intermittent basis, with or without compensation, for a period not to exceed 130 days during any consecutive 365-day period.

If an SGE, Mailing Address (Number, Street, City, State, ZIP Code): _____

Step 1: Read the instructions for Parts I through V on the following pages.
Step 2: For each statement below, check Yes or No to describe your situation.

I. I have reportable assets or sources of income for myself, my spouse, or my dependent children.	Yes <input type="checkbox"/>	No <input type="checkbox"/>
II. I have reportable liabilities (debts) for myself, my spouse, or my dependent children.	Yes <input type="checkbox"/>	No <input type="checkbox"/>
III. I have reportable outside positions for myself.	Yes <input type="checkbox"/>	No <input type="checkbox"/>
IV. I have reportable agreements or arrangements for myself.	Yes <input type="checkbox"/>	No <input type="checkbox"/>
V. I have reportable gifts or travel reimbursements for myself, my spouse, or my dependent children.	Yes <input type="checkbox"/>	No <input type="checkbox"/>

NOTE: Statement V is for annual filing only. It does not apply to new entrants and SGEs.

Part I – Common Entries

- Securities/Sector Funds
- Current /Prior non-federal employer
- Spousal non-federal employer
- Outside business/earned income

Reportable Information – Go to the last page to see examples of how to report assets and income.

Specific stock, bond, sector mutual fund, type/location of real estate, etc. (Indicate the full name of each specific asset or investment. You may add the ticker symbol to the full name.)	No longer held
¹ Walmart	<input type="checkbox"/>
² 5Shares US Financial Services ETF	<input type="checkbox"/>
³ Tyson Food	<input type="checkbox"/>
⁴ Doe Family Farm	<input type="checkbox"/>
⁵	<input type="checkbox"/>

Reportable Information – Go to the last page to see examples of how to report assets and income.

Specific stock, bond, sector mutual fund, type/location of real estate, etc. (Indicate the full name of each specific asset or investment. You may add the ticker symbol to the full name.)	No longer held
¹ Walmart ?	<input type="checkbox"/>
² 5Shares US Financial Services ETF No conflict	<input type="checkbox"/>
³ Tyson Food Conflict	<input type="checkbox"/>
⁴ Doe Family Farm ?	<input type="checkbox"/>
⁵	<input type="checkbox"/>

Part III – Common Entries

Filer's ONLY:

- Prior employer
- Outside employment
 - Including consulting
 - Including employee-owned business
- Certain outside activities

Part III: Outside Positions

Report for Yourself:	Do Not Report:
<ul style="list-style-type: none"> ▪ All positions outside the U.S., Government held at any time during the reporting period, whether or not you were compensated and whether or not you currently held that position. Positions include an officer, director, employee, trustee, general partner, proprietor, representative, executor, or consultant of any of the following: <ul style="list-style-type: none"> - Corporation, partnership, trust, or other business entity - Non profit or volunteer organization - Educational institution - State or Local Government 	<ul style="list-style-type: none"> ▪ Any position with a <ul style="list-style-type: none"> - Religious entity - Social entity - Fraternal entity - Political entity ▪ Any position held by your spouse or dependent child ▪ Any position that you hold as part of your official duties

Reportable Information – Go to the last page to see examples of how to report outside positions.

Organization (include city and state where organization is located)	Type of organization	Position	No longer held
Doc Family Farm	Family Business	Treasurer	<input type="checkbox"/>
			<input type="checkbox"/>

Part III: Outside Positions

Report for Yourself:	Do Not Report:
<ul style="list-style-type: none"> ▪ All positions outside the U.S., Government held at any time during the reporting period, whether or not you were compensated and whether or not you currently held that position. Positions include an officer, director, employee, trustee, general partner, proprietor, representative, executor, or consultant of any of the following: <ul style="list-style-type: none"> - Corporation, partnership, trust, or other business entity - Non profit or volunteer organization - Educational institution - State or Local Government 	<ul style="list-style-type: none"> ▪ Any position with a <ul style="list-style-type: none"> - Religious entity - Social entity - Fraternal entity - Political entity ▪ Any position held by your spouse or dependent child ▪ Any position that you hold as part of your official duties

Reportable Information – Go to the last page to see examples of how to report outside positions.

Organization (include city and state where organization is located)	Type of organization	Position	No longer held
Doc Family Farm ?	Family Business	Treasurer	<input type="checkbox"/>
			<input type="checkbox"/>

Part IV –Common Entries

Filer's ONLY

- Agreements for outside employment
 - Including teaching, speaking and writing
- Retirement and other benefits from prior employer(s)
- Leaves of absence

Part IV. Agreements or Arrangements

Report Your Agreements or Arrangements for:

- Continuing participation in an employee pension or benefit plan (including for a former or former employer)
- A leave of absence
- Future employment, including date you started employment (if)
- Contribution of payment by a current or former employer (including severance payments)

Do Not Report:

- An agreement or arrangement related to your employment by the Federal Government
- Spouse's and dependent child's agreements or arrangements
- Continuing participation in a defined contribution plan, such as a 401(k) plan, to which an employer is no longer making contributions.

Reportable Information – Go to the last page to see examples of how to report agreements and arrangements.

Entity with which you have an agreement or arrangement (include city and state where entity is located)	Terms of Agreement or Arrangement
David Family Farms Winchester, VA	I will continue to receive payment for my services as Treasurer of my family's farm.

What if I find a potential conflict?

- Contact ethics office ASAP
- Ask employee to stop working on anything that might pose a conflict
- Work with ethics office and employee to resolve the conflict

How else can I help prevent conflicts?

- Think about conflicts when assigning work
- Tell the ethics office about promotions, changes in roles, or transfers to new jobs
- Remind employees to avoid conflicts when starting new work, acquiring new assets, or engaging in non-federal activities (spouses, too)
- Tell the ethics office when you are thinking about hiring

Thank You
