

U.S. Department of Energy
Washington, D.C.

NOTICE

DOE N 326.9

10-1-02
Expires: 10-1-03

SUBJECT: ANNUAL CONFIDENTIAL FINANCIAL DISCLOSURE REPORT (OGE 450)

This Notice addresses the Executive Branch confidential financial disclosure requirements. These requirements apply to career **GS (GM)** employees.

Who must file: All employees of the Department of Energy, including those in the National Nuclear Security Administration, who have occupied positions at GS-15 and below for more than 60 days during the reporting period (October 1, 2001 through September 30, 2002) must file OGE Form 450 or 450-A, unless they are required to file a Public Financial Disclosure Report (SF 278) or they occupy a position that is exempt from filing as shown on the list at the end of this Notice. **(The list of exempted positions is the same as last year.)** The exemptions, however, do **not** apply to any employee who holds a contracting officer warrant, who serves as a contracting officer's representative or contracting officer's technical representative, or who has been issued an IMPAC Card. Those persons working at the Department pursuant to an Interagency Personnel Act agreement must also file OGE Form 450 or 450-A. The criteria for filing is the same as for Department employees.

Also, the Department may require an OGE Form 450 or 450-A from an employee who performs duties that require a report in accordance with 5 C.F.R. 2634.904(a), regardless of whether such employee occupies a position on the exempt list. Employees who are affected by this requirement will be notified on an individual basis.

All special Government employees, i.e., employees who serve less than 130 days during any 365-day period, who are not SF 278 filers are required to file OGE Form 450 when appointed and upon their respective anniversary/reappointment dates only.

Forms: **All confidential financial disclosure report filers must use OGE Form 450 or OGE 450-A.** Filers should obtain OGE Forms 450 or 450-A from their Administrative Officers, who may obtain them from supply rooms, or directly from the internet at:
<http://www.directives.doe.gov/libraries/othersources.html>

SPECIAL NOTE:

This agency has determined that OGE Form 450 must be submitted by all employees required to file in those years divisible evenly by four. OGE Form 450-A may be submitted in other years provided the employee has an OGE Form 450 already on file and all criteria listed below are met. The filer's signature on OGE Form 450-A certifies compliance with the requirements.

Penalties for certifying false information may be grounds for administrative, as well as criminal, action.

DISTRIBUTION:
All Departmental Elements

INITIATED BY:
Office of General Counsel

OGE Form 450-A is an optional form, which may be used only by current employees (other than special Government employees) who already have an OGE Form 450 on file with the Department, and who meet the criteria described below. **In order to use OGE Form 450-A, upon reviewing his or her last OGE Form 450 on file, the filer must be able to certify that since filing his or her most recent OGE Form 450:**

1. The filer, the filer's spouse, and the filer's dependent children have no new reportable :
 - A. assets or sources of unearned income,
 - B. liabilities (debts), or
 - C. gifts or travel reimbursements,
2. The filer and the filer's spouse have no new reportable sources of income from non-Federal employment,
3. The filer has no new reportable:
 - A. outside positions, or
 - B. agreements or arrangements concerning future, current, or past non-Government employment, and
4. The filer has not changed jobs at the Department, including having a new position description or other significant change in duties.

All these criteria must be met. All employees who cannot file an OGE Form 450-A and who are subject to the filing requirements must file an OGE Form 450.

When to file: OGE Form 450 or 450-A must be completed, signed, and submitted between October 1 and October 31, 2002.

Where to file: Headquarters personnel should submit the completed and signed OGE Form 450 or 450-A **directly** to the Office of the Assistant General Counsel for General Law, GC-77, Room 6A-211, Forrestal Building. Unless otherwise instructed, field personnel should submit the completed and signed OGE Form 450 or 450-A directly to their respective field counsel.

Reporting Period: The reporting period covered by OGE Form 450 or 450-A is the 12 month period beginning on October 1, 2001, and ending on September 30, 2002.

Reminders: The instructions on OGE Form 450 and 450-A should answer most questions. However, if further guidance is needed, please consult the publication "OGE Form 450: A Review Guide," or the Department's Procedures for Confidential Financial Disclosure which have been provided to your Administrative Officer, or contact the Office of the Assistant General Counsel for General Law, (202) 586-1522, StandardsOfConduct@hq.doe.gov, or your respective field counsel.

Please note: When using OGE Form 450, an answer must be provided to each part of the report. If the correct answer is none, you must check the “None” box. Do not use “NA.” Also, the following information may prove helpful in completing the report:

Part I: All assets held as of September 30, 2002, having a fair market value of over \$1,000 should be reported on Part I of the Report. In addition, all sources of income (salaries, fees, honoraria, capital gains, dividends, interest, etc.) exceeding \$200 during the reporting period must be reported, **even if the source of income is no longer held at the close of the reporting period.** (In such a case, the box in the second column labeled “(X) if no longer held” must be checked.)

For pension plans, you must indicate the name of the sponsoring employer. However, if you have control over the specific investments held in the pension account, you must also list the underlying investments or attach an account statement that lists them. Also, the **underlying assets must be included for IRA’s.**

For publicly available mutual funds, you must always indicate the **complete names** of the specific mutual funds.

Exclude:

- o Bank accounts or accounts in other depository financial institutions, including certificates of deposit;
- o Money market accounts;
- o U.S. Government-backed securities; and
- o U.S. obligations, such as Treasury bonds, bills, or notes, and U.S. Savings Bonds.

Part II: Liabilities exceeding \$10,000 owed to any creditor **at any time** during the reporting period must be reported, even if the amount owed has fallen below \$10,000 as of September 30, 2002.

Part III: All positions held outside the U.S. Government **at any time** during the reporting period must be reported, including positions no longer held and those that are not compensated.

Part IV: Interests in employer pension plans, excluding U.S. Government plans, must be reported.

Part V: In addition to gifts, travel-related cash reimbursements received from any one source, other than the Government, during the reporting period totaling \$285 or more, must be reported.

Exempted Positions: Employees who hold a contracting officer warrant, who serve as a Contracting officer's representative or contracting officer's technical representative, or who have been issued an IMPAC Card are **NOT** exempt by this Notice from filing OGE Form 450 or 450-A. ALL OTHER EMPLOYEES WHO OCCUPY POSITIONS IN THE OCCUPATIONAL SERIES LISTED BELOW IN THE SPECIFIED GRADES ARE **NOT** REQUIRED TO FILE THE OGE FORM 450 or 450-A.

Positions at **GS-15 or below** in the following occupational series:

019	134	221	312	344	392
023	140	223	313	346	394
029	150	230	318	350	399
084	160	299	319	351	460
085	170	302	322	356	462
086	199	303	326	360	499
090	201	304	332	361	503
099	203	305	333	382	525
132	212	309	335	390	530
540	950	1341	1999	2806	4742
544	963	1371	2005	2808	4749
561	986	1374	2030	2810	5003
590	999	1399	2050	2843	5313
599	1016	1411	2099	3314	5324
603	1020	1420	2102	3502	5402
604	1060	1421	2132	3566	5407
610	1087	1499	2181	3603	5703
621	1099	1521	2199	4102	5716
699	1106	1531	2511	4204	5803
817	1107	1599	2604	4402	6907
818	1199	1670	2610	4414	
856	1202	1699	2619	4417	
899	1299	1702	2801	4605	
904	1316	1799	2805	4741	

Positions at **GS-14 or below** in the following occupational series:

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Positions at **GS-13 or below** in the following occupational series:

018	180	341	671	1515	1712
028	233	342	807	1520	2003
080	235	343	1410	1529	2010
081	334	501	1412	1530	
110	340	505	1510	1550	

Positions at **GS-12 or below** in the following occupational series:

020	408	808	1104	1310	1654
101	415	809	1105	1311	1701
246	430	905	1140	1313	1910
260	440	930	1150	1315	2001
301	480	1001	1152	1320	2101
345	482	1015	1160	1321	2130
385	486	1035	1163	1340	2131
386	560	1071	1176	1350	2134
391	601	1082	1220	1370	2150
393	602	1083	1221	1372	2151
401	690	1084	1222	1373	
403	802	1101	1301	1601	
404	806	1103	1306	1640	

Positions at **GS-11 or below** in the following occupational series:

193	510	854
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Positions at **GS-9 or below** in the following occupational series:

801	810	840	861	892	1102
803	819	850	880	893	1130
804	830	855	881	896	1170
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SPENCER ABRAHAM
Secretary of Energy