

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

NOTICE

DOE N 326.14

Approved: 12-20-07
Expires: 12-20-08

SUBJECT: ANNUAL CONFIDENTIAL FINANCIAL DISCLOSURE REPORT
(OGE Form 450)

This Notice addresses the Executive Branch confidential financial disclosure reporting requirements. These requirements apply to career GS/GM and prevailing rate system and administratively determined employees as well as employees serving in excepted service positions designated EJ, EK, and EN.

NOTE: The list of positions that are exempt from filing a Confidential Financial Disclosure Report is identical to that contained in DOE N 326.13, except that—

- **series 00085, 00332 and 02502 have been added to the exemption list at grade 15 and below;**
- **00119, 00408, 00457, and 01603 have been added to the exemption list at grade 13 and below; and**
- **00901, 00935, 00965 and 01720 have been added to the exemption list at grade 12 and below.**

The abbreviated report (OGE Form 450A) may not be used in calendar year 2008.

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, GM-15, or Excepted Service pay band IV, and below, prevailing rate system and administratively determined employees for more than 60 days during the reporting period (calendar year 2007) must file a Confidential Financial Disclosure Report (OGE Form 450) unless they are required to file a Public Financial Disclosure Report (SF 278, due May 15th of each year) or they occupy a position that is exempt from filing as shown on the list at the end of this Notice.

Also, each person working at the Department pursuant to an Interagency Personnel Act agreement must file OGE Form 450 unless he or she occupies a position that is required to file a Public Financial Disclosure Report (SF 278).

Further, the Department may require an OGE Form 450 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. Ethics counsel will notify employees who are affected by this requirement on an individual basis.

All special Government employees (i.e., employees who serve less than 130 days during any 365-day period and who are not SF 278 filers) are required to file OGE Form 450 when appointed and, thereafter, only on their respective anniversary/reappointment date. This requirement applies to all special Government employees appointed to serve as members of

advisory committees under the Federal Advisory Committee Act, except that they may use the Confidential Conflict-of-Interest Statement for DOE Advisory Committee Members (HQ F 515.5).

When to File. *Annual Reports* (OGE Form 450) must be completed, signed, and submitted after January 1 and no later than February 15, 2008. *New Entrant Reports* (OGE Form 450) must be completed, signed, and submitted within 30 days of entering a position that requires the filing of a report.

Where to File. Personnel duty stationed at headquarters should submit Reports (OGE Form 450) directly to the Office of the Assistant General Counsel for General Law, GC-77, Room 6A-211, Forrestal Building. Unless otherwise instructed, personnel duty stationed in the field should submit Reports directly to their respective field counsels.

Reporting Period. The reporting period covered by the Annual Report (OGE Form 450) is calendar year 2007. The reporting period for New Entrant Reports is stated in the Report instructions.

Forms. In 2008, all Confidential Financial Disclosure Report filers must use OGE Form 450. Filers should obtain OGE Form 450 directly from the Internet at: http://www.usoge.gov/pages/forms_pubs_otherdocs/forms_pubs_other_pg3.html. The abbreviated form, OGE Form 450A, is **NOT** for use in calendar year 2008.

Information Required. The instructions on OGE Form 450 answer most questions. However, if additional guidance is required, employees may contact the Office of the Assistant General Counsel for General Law, 202-586-1522, StandardsOfConduct@hq.doe.gov, or respective field counsel. **Please note:** The filer must provide a “yes” or “no” answer to the five questions in the middle of page 1. If the answer is “yes” to any of the questions, the filer must complete the corresponding section of the Report.

Nonexempt Positions. ALL employees (except those required to file a Public Financial Disclosure Report) must file a OGE Form 450 regardless of whether their position is otherwise exempt, if the employee is in one of the following categories:

- holds a contracting officer’s warrant,
- serves as a contracting officer’s representative or contracting officer’s technical representative, or
- is a purchase card holder with a transactional limit exceeding \$3,000.00.

Exempted Positions. Unless you are in one of the nonexempt categories listed above, all other exempted positions are listed below in numerical order by occupational series, with the respective exempted grade levels. For example, all employees in the occupational series 00018 at grade 13 and below are exempt from filing a Report. In addition, all employees who occupy wage grade positions in occupational series 02600 and higher are exempt.

Occupational Series	This Grade and Lower Are Exempt	Occupational Series	This Grade and Lower Are Exempt
00018	13	00019	15
00020	13	00023	15
00028	13	00029	15
00080	13	00081	15
00084	15	00085	15
00086	15	00099	15
00101	13	00110	13
00119	13	00130-132	14
00134	15	00150	15
00170	15	00180	13
00193	13	00199	15
00201-299	15	00301	13
00302-305	15	00312-313	15
00318-319	15	00322	15
00326	15	00332	15
00334	13	00335	15
00340-343	13	00344	15
00346	15	00350-351	15
00360-361	15	00382	15
00390	15	00391	13
00392	15	00394	15
00399	15	00401	13
00403	13	00408	13
00415	13	00430	13
00440	13	00457	13
00460	13	00462	15
00480	13	00482	13
00486	13	00499	15
00501	13	00503	15
00505	13	00510	11
00511	no exemptions	00525	15
00540	15	00544	15
00560	13	00561	15

Occupational Series	This Grade and Lower Are Exempt	Occupational Series	This Grade and Lower Are Exempt
00599	15	00601-603	13
00610	15	00621	15
00670-671	13	00690	13
00699	15	00801-804	13
00806-810	13	00817-818	15
00819	13	00830	13
00840	13	00850	13
00854-855	13	00856	15
00861	13	00880-881	13
00892-893	13	00896	13
00899	15	00901	12
00904	15	00905	12
00930	12	00935	12
00950	15	00963	15
00965	12	00986	15
00999	15	01001	13
01015	13	01016	15
01020	15	01035	13
01060	15	01071	13
01082-1084	13	01087	15
01099	15	01101	12
01102	11	01103-1105	12
01106-1107	15	01130	12
01140	12	01150	12
01152	12	01160	12
01163	12	01170-1171	12
01176	12	01199	15
01202	15	01220-1222	12
01299	15	01301	13
01306	13	01310	13
01311	15	01313	13
01315	13	01316	15
01320	13	01321	13

Occupational Series	This Grade and Lower Are Exempt	Occupational Series	This Grade and Lower Are Exempt
01340	13	01341	15
01350	13	01370	13
01371	15	01372-1373	13
01374	15	01399	15
01410-1412	15	01420-1421	15
01499	15	01510	13
01515	13	01520	13
01521	15	01529	13
01530	13	01531	15
01550	13	01599	15
01601	13	01603	13
01640	13	01654	13
01670	13	01699	15
01701	12	01702	15
01712	13	01720	12
01750	13	01799	15
01801	12	01810	no exemptions
01811	no exemptions	01825	12
01899	15	01910	12
01999	15	02001	13
02003	13	02005	15
02010	13	02030	15
02050	15	02099	15
02101	13	02102	15
02130-2131	13	02150-2151	13
02181	15	02199	15
02210	13	02299	15
02502	15	02600 and above	all are exempt
Prevailing rate	all are exempt		
Administratively Determined	all are exempt		

Employees Occupying Excepted Service Positions. Employees occupying an Excepted Service position (EJ, EK, and EN series) might be exempt from filing a Confidential Financial

Disclosure Report, depending on his or her pay band and occupational series. First, on the chart below, an EJ, EK, or EN employee should use his or her Excepted Service pay band to determine the equivalent grade. (For example, the chart below shows that an EJ employee in pay band III has an equivalent grade of 12.) Then an EJ, EK, or EN employee may determine whether he or she is required to file a Report by referring to his or her occupational series and the equivalent grade level on the above list of Exempt Positions. (Continuing the example, if the same EJ employee at pay band III is in occupational series 00850, she would be exempt from filing this Report because the Exempt List shows that this occupational series to be exempt at grade 13 and below.)

Excepted Service Pay Band	Equivalent Grade
I	07
II	09
III	12
IV	14
V	All file a Public Financial Disclosure Report (SF 278).

BY ORDER OF THE SECRETARY OF ENERGY:



CLAY SELL
Deputy Secretary