



Guide for Administrators

Quick Reference

Ethics Certification Officers

Every Senate office must have an **Ethics Certification Officer (ECO)**. The ECO serves as a liaison between the office and the Committee to ensure compliance with mandatory ethics training requirements. Each office must designate its ECO by completing the *Ethics Certification Officer – Designation Form* and filing it with the Committee.

Mandatory Ethics Training

Within 60 days of beginning Senate service, all Members, officers, and employees must complete Code of Official Conduct Training. Members, officers, and employees may complete this training by attending a live briefing or by watching the online video available on the Committee's website. This requirement applies even if the member, officer, or employee is rejoining the Senate a break in service.

ECOs must document completed training by filing a *New Senate Personnel – Ethics Training Certification Form* bi-annually (March 15th and September 15th) along with copies of all individual certification forms received during the previous six-month period (July 1 to December 31 and January 1 to June 30, respectively) with the Ethics Committee.

Political Fund Designees

Personal Senate offices may have up to three Political Fund Designees (PFDs), at least one of whom must be in the Washington, DC office. A PFD serves as the in the office who may legally solicit or handle federal campaign funds for the Senator's principal campaign committee, a campaign controlled by a Senator or group of Senators, or a state or local committee of a national party. In order to be designated as a PFD, the employee must earn a salary of at least \$10,000 as an employee of the Senator's personal office. Senate Rules require PFDs to file **Annual Financial Disclosure Reports** (regardless of salary), and a **Termination Financial Disclosure Report** within 30 days of leaving the PFD position. PFDs paid less than \$126,148 (CY 2018) are not required to file Periodic Transaction Reports (PTRs).

Each office must complete *Designation of Staff for Limited Political Fund Activity* (Form 41.1) when designated staff initiate or terminate their status as a PFD. This form should be filed with the Office of Public Records (SH-232).

Fellows and Interns

Fellows and interns are subject to the Code of Official Conduct. A **fellow** is a private sector employee or a recipient of a fellowship sponsored by an outside entity (e.g., a foundation) who serves in a Senate committee or office. An **intern** is an individual providing temporary service to a Senate office or committee through an established program that is primarily for the educational benefit of the participant.

Senate offices must file *Supervisor's Report on Individuals Who Perform Senate Services* (Form 41.6) upon hiring, upon termination, and on a quarterly basis with the Office of Public Records (SH-232) for individuals compensated from sources other than the U.S. Government. Senate offices must file *Agreement to Comply with the Senate Code of Official Conduct* (Form 41.4) with the Office of Public Records (SH-232) for every intern/fellow expected to provide full-time Senate services for more than 90 days.

Each fellow and intern whose outside salary is at least \$126,148 (CY 2018) must also file Financial Disclosure Reports. Outside compensation for Senate service and any salary disbursed by the Secretary of the Senate shall be combined for purposes of the financial disclosure threshold. Fellows and interns are not required to file PTRs.



SELECT COMMITTEE ON ETHICS

Guide for Administrators

Quick Reference

Federal Government Detailees/Fellows Serving on a Senate Committee

Federal government detailees/fellows are subject to the Official Code of Conduct. A federal government detailee/fellow is an individual who is assigned or detailed to a Senate committee from a department or agency of the federal government subject to approval from the Committee on Rules and Administration. Some non-Senate federal government employees serve in fellowships while continuing to receive compensation from their department or agency.

For each detailee/fellow, Senate offices must file *Agreement to Comply with the Senate Code of Official Conduct* (Form 41.3) with the Committee on Rules and Administration (SR-305) and the Select Committee on Ethics (SH-220).

Detailees/fellows whose outside salary is at least \$126,148 (CY 2018) must file Annual Financial Disclosure Reports with the Senate. This requirement generally applies even if the detailee/fellow is filing elsewhere.

Financial Disclosure Reports

Each Senate office is responsible for notifying their employees of their specific filing obligations. Financial Disclosure Reports must be filed on May 15th each year or within 30 days of:

- Commencing Senate employment at a rate of at least \$126,148 (CY 2018);
- Receiving a **permanent, midyear raise** to a rate of at least \$126,148 (CY 2018); or
- Terminating a filing position.

Midyear raises and bonuses may trigger a new filing obligation.

- Senate employees who receive a **permanent, midyear raise** to an annual rate of at least \$126,148 (CY 2018), with or without a promotion or change in title, are required to file a New Filer Disclosure Report within 30 days of the raise.
- Senate employees who receive a **bonus** must file an Annual Financial Disclosure Report if: (1) their rate of pay meets or exceeds the financial disclosure threshold (\$126,148 for CY 2018) for more than 60 days in the preceding calendar year; *and* (2) their gross pay exceeds the financial disclosure threshold for that calendar year.

New filers **must request an eFD account** through the Committee's website, and should do so as part of their hiring. **There is a \$200 late filing penalty and other penalties for knowing and willful failure to disclose.**

Periodic Disclosure of Transactions Reports (PTRs)

Members, officers, and employees earning an annual rate of at least \$126,148 (CY 2018) must report transactions of stocks, bonds, commodities futures, and other assets in excess of \$1,000 *no later* than 30 days after receiving *notification* of the transaction, but in *no case later* than 45 days after such transaction. "Notification" occurs when a filer receives a written communication that a transaction has occurred. File PTRs through eFD at <http://efd.senate.gov>.

PFDs paid below \$126,148 (CY 2018), fellows, and detailees do not file PTRs.

Outside Activity or Employment

Employees must get written approval from their supervising Senator prior to engaging in outside activities, including but not limited to outside employment for compensation. Offices are encouraged to document such approval using Form 37.3: *Statement of Outside Business or Professional Activity or Employment*. Approval must be granted prior to initiating an activity and must be renewed every May 15th thereafter.

Outside compensation of staff earning an annual rate of at least \$126,148 (CY 2018) is limited to \$28,050 (CY 2018) from all combined outside sources, including pay earned for campaign work.

Please note that this is intended as a quick reference and does not represent or address all applicable authority and guidance on the subject. For more information, consult the relevant laws, rules, and standards of conduct, including the Senate Ethics Manual, or contact the Committee at (202) 224-2981 for advice concerning your specific situation.

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