# Financial Disclosure Management

## FDM Release 4.1

**Release Notes**

FDM 4.1 Release 1 /Publication 1.0

# Introduction

These Release Notes describe the changes to the FDM system for Release 4.1.

The changes in this release affect the following areas:

- Admin (Org Unit Tool, New Roles, Data Migration)
- Admin (Managing Roles)
- My Info (Review Chain, My Filers, Required Activity, Extensions, Bulk Registration, My Profile (View all roles, Edit Logons, View personal audit trail)
- Reports List (Org Unit Navigation, Alphabetic search by name)
- Review Status (Grant Extensions)
- New Audit Trail Events
- Website

Address questions about FDM to the FDM Help Desk:
(Mail to: monm-secfdmspt@conus.army.mil).

Training materials on the new features can be found on the FDM website:

https://www.fdm.army.mil/learningCenter/learningCenter.htm

# Admin

## Org Unit Tool – Managing Org Units

FDM now features a new Org Unit tool to support filer management by allowing you to organize filers and reviewers by organization in FDM. Org Units allow you to group Filers into Org Units or departments based on their distinct report review chain.

### Key Change from Release 3.1

Filers are now assigned to an Org Unit to allow for Deputy DAEO oversight.

### New features

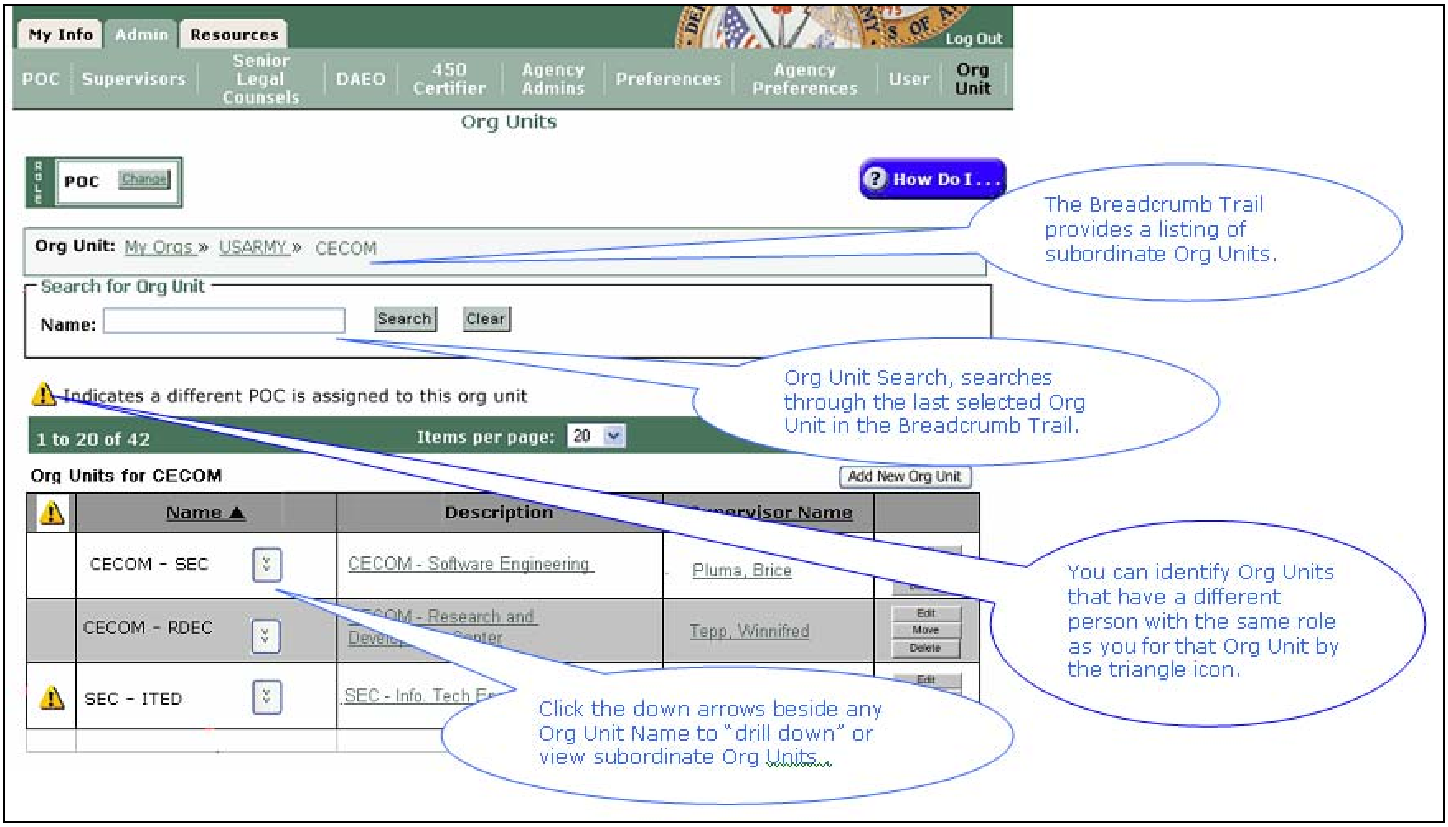
- Adding a new Org Unit
- Editing an Existing Org Unit (change Name, Description & Location)
- Changing an Org Unit's Location within the hierarchy (Moving an Org Unit)
- Deleting an Org Unit

### Who can access the Org Unit Tool?

Administrative FDM users, including POCs, 450 Certifiers, 450 Certifier Ethics Counselors, 450 Certifier Assistants, Senior Legal Counsels, Senior Legal Counsels Ethics Counselors, Senior Legal Counsel Assistants, DAEOs, DAEO ECs, and System and Agency Administrators, can access the Org Unit tool.

## Navigating to the new Org Unit Tool

The new Org Unit Tool is on the Admin tab. The initial view of the Org Units page displays your Org Unit in a "Breadcrumb Trail" and any subordinate org units are listed below in a table. See sample screen below:



### Adding a new Org Unit

There are two ways to add a new Org Unit to FDM:

1. From the Org Unit tab, click **Add New Org Unit**

2. From any of the role's tabs by clicking **Add New <FDM Role> and Org Unit**

See sample screen below.

#### Important Information

– Only a System Administrator can add Org Units without restriction.
– All other Org Unit users can manage FDM Org Units within their level of authority.
– A set of default review chain participants exists at the Agency Org Unit level
– Each Org Unit inherits the review chain participants from the Agency Org Unit until a different review chain is assigned to the subordinate Org Unit.

## Editing an Existing Org Unit

Authorized users can update the Name, Description, and Location of an Org unit anytime in FDM. Your Agency will most likely update Org Units when it goes through a transformation or reorganization.

### Important Information

- Any changes made to an existing Org Unit effects the users associated to that Org Unit and any Org Units under that Org Unit.
- You can only edit those Org Units that are subordinate to your highest Org Unit.
- Multiple Org Units cannot have the same name at the same Org Unit level.

On the Org Units page, click **Edit** beside the Org Unit you wish to update. The Edit Org Unit page is displayed.  See sample screen below:

## Moving an Org Unit

### Important Information

An Org Unit can be moved to a different location in the hierarchy in two ways:

1. Move an existing Org Unit
2. Move the Org unit at the time it is added.

### Moving an Existing Org Unit

You can move an Org Unit to align the filers and review chain participants appropriately after a transformation. On the Org Units page, click **Move** beside the appropriate Org Unit. The Move Org Unit page is displayed.  After locating the Org Unit under which you want to position the Org Unit being moved, click **select**.  To locate the Org Unit under which to position the Org Unit being moved you must first select the appropriate Scope:

| Scope | Description |
|---|---|
| **Span of Control** | Allows you to view and manage all Org Units listed on the Org Units page. For example, a Senior Legal Counsel can manage users within their own Org Units and subordinate Org Units even if the subordinate Org Unit has a different Senior Legal Counsel. |
| **Span of Responsibility** | This scope limits your view to those Org Units that do not have another user with your same FDM role. For example, a Senior Legal Counsel can act as a Senior Legal Counsel to their Org Unit and all subordinate Org Units unless the sub Org Unit has different Senior Legal Counsel. |
| **Current Org Units Only** | This scope limits your view to the subordinate Org Units for the selected Org Unit. |

After locating the Org Unit under which you want to position the Org Unit being moved, click **select**.

See sample screen below:

### Move an Org Unit at the time it is added

Both the Add and Edit Org Unit screen give you the option of moving the new Org Unit to a different location. See sample of the Edit Org Unit screen below.

Once a user clicks **Move** from either the Add or the Edit Org Unit screen, the steps to move an Org Unit are the same as the steps for moving an existing Org Unit.

## Deleting an Org Unit

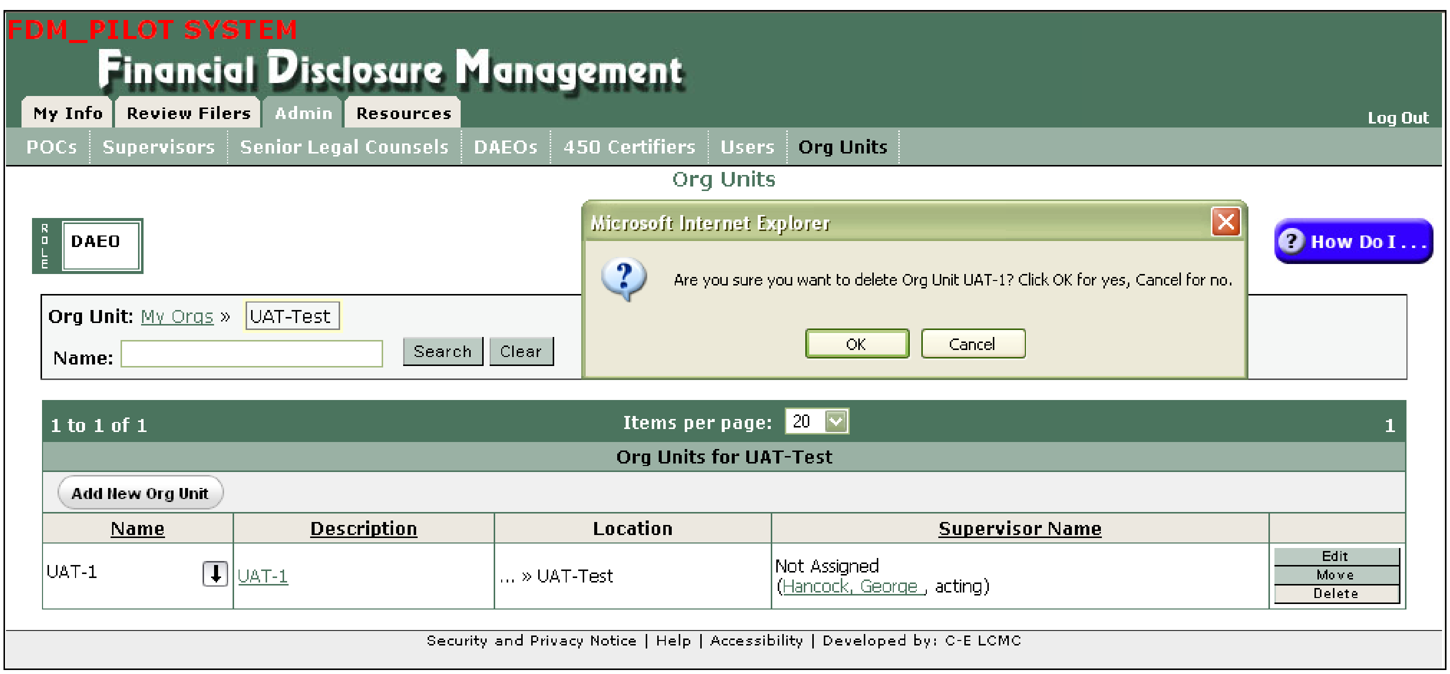
### Important Information

- An Org Unit can only be deleted after its subordinate Org Units and Filers have been re-associated with a different Org Unit.
- It is recommended that you view each Org Unit profile before attempting to delete an Org Unit to ensure that you are aware of what information will be deleted.

To Delete an Org unit, drill down to the Org Unit to be deleted. The subordinate Org Units are displayed for the selected Org Unit.

Review the list of matching results and then click **Delete** beside the Org Unit to be deleted. A warning message will be displayed.

Below is a sample of the Org Units screen with the Confirmation Dialog Box to Delete an Org Unit:



## Existing FDM Users - Data Migration

As part of the FDM Release 4.1 upgrade, current FDM users were converted to the Org Unit structure. It is recommended that all FDM Admin Users review each of your Org Units that were created and make any necessary corrections.

### How were Org Units created and named?

A separate Org Unit was created for each FDM Supervisor who previously had Filers associated to them in FDM. The Organization Name is "OrgUnit" + Supervisor's last name, first name, middle initial and is limited to 20 characters. For example, if a supervisor's name is *Janey Sprain*, the Org Unit name will be *OrgUnit Sprain, Jane.*

The Org Unit Description will contain Job Description information from a user's most recent SF 278 or Branch/Unit information from the user's most recent OGE 450 to uniquely identify the Org Unit.

> **Note:** If the Supervisor in FDM was not a Filer, the Org Unit Description will be the same as the Org Unit Name.

# Navigating New Roles Pages

## Key Change from Release 3.1

The appearance and functions of the FDM Admin screens have changed to incorporate the new Org Unit feature. In the previous releases, supervisors and legal reviewers were linked directly to a Filer. In the new release, supervisors and legal reviewers are assigned to an Org Unit of filers. The Admin screens allow users to assign roles (POCs, Supervisors, 450 Certifiers, SLCs, and DAEOs) to Org Units.

## New features

- Notifying Admin Users
- Role Inheritance Down the Org Unit Hierarchy (Show/Hide Acting)
- Assigning/Reassigning Roles to Org Units
- Adding a role to an FDM User and Creating a New Org Unit at the same time.

## New Roles

FDM Admin roles now include a 450 Certifier and the Supervisor Assistant has been renamed POC for “Point of Contact”, a 450 Certifier EC and a 450 Certifier Assistant.

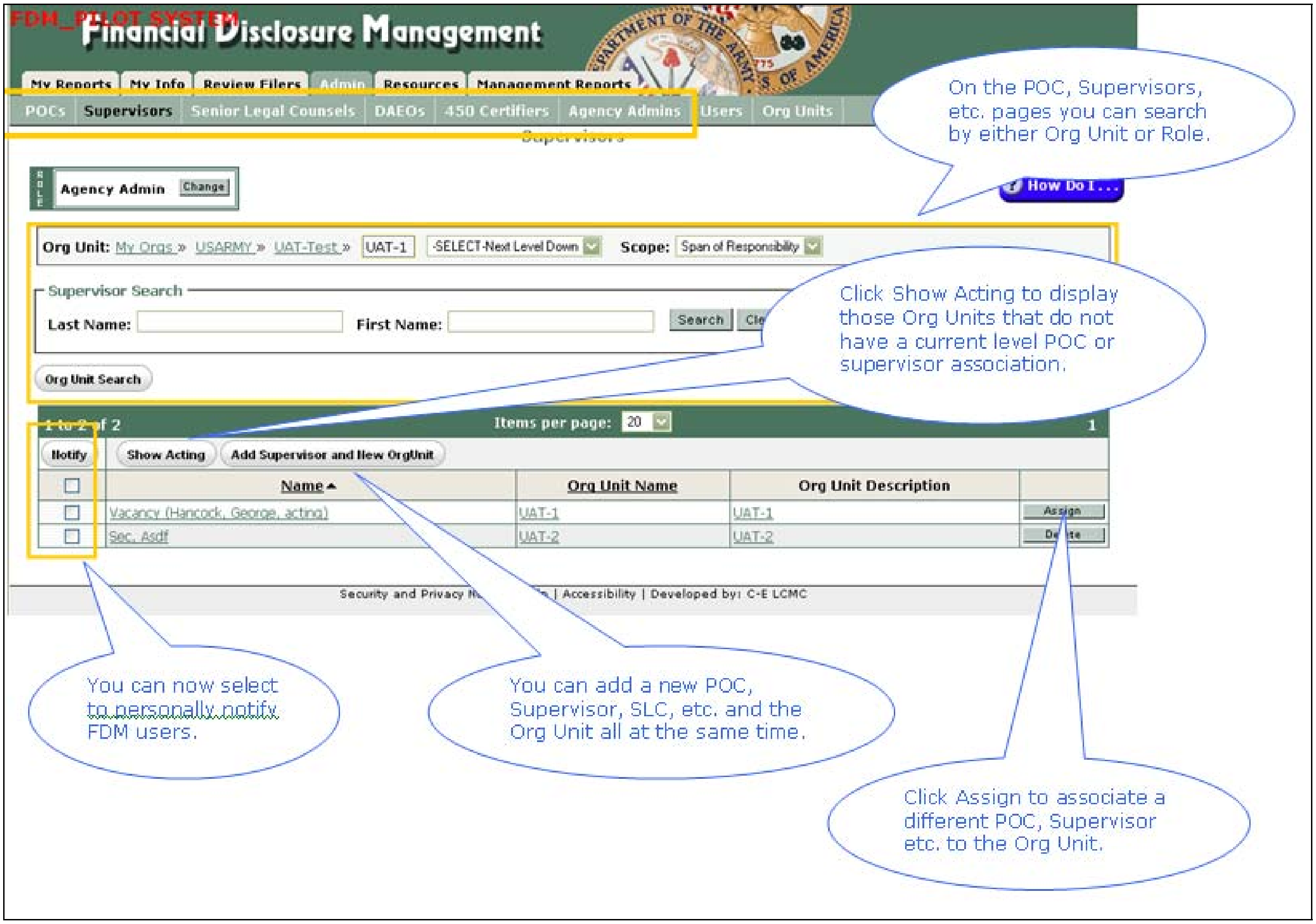
New Admin Role Definitions

| **Admin Role** | Authorizations |
|---|---|
| **450 Certifier** | Can add, move or delete a Supervisor, POC or Filer |
| **POC** | Can add, move or delete a Supervisor, POC or Filer |

## Important Information

- Before a new role can be assigned to an FDM user, the user must be associated to a new or existing Org Unit.
- A new Org Unit inherits the legal reviewers from the Agency Org Unit until a different legal reviewer is assigned to that Org Unit.

Below is an example of one of the new Admin role screens. All the role screens (POC, Supervisor, Senior Legal Counsels, DAEO and 450 Certifier) operate in the same way. See the sample Supervisors screen below:




## Search by Org Unit / Search by [Role]

The Search function gives you the option to locate a specific POC, Supervisor, Senior Legal Counsel, 450 Certifier and DAEO or Org Unit within your current Org Unit. If the complete name of the Org Unit or user is not known, type any portion of the name and click **Search.** Click **Clear** to remove the search text and return the Admin page to its initial state.

## Notify

Notify allows you to send e-mail messages to specific FDM users.

## Show / Hide Acting

You can click **Show Acting** to see the FDM users who are acting as interim POCs or Supervisors for FDM Org Units. This function can be disabled by clicking **Hide Acting.**

## Add (FDM Role) and New Org Unit

Anytime a new Supervisor, SLC, 450 Certifier or DAEO is added, a new Org Unit must be added as well. POCs are added to existing FDM Org Units. If you need to replace an old Supervisor with a new Supervisor, you must first delete the old Supervisor before adding a new one. See Assign/Delete below.

### Assign / Delete

To replace a POC, Supervisor, etc. of an Org Unit, you must first delete a POC, Supervisor, and etc. association with an Org Unit and then assign a new POC, Supervisor, etc.

# My Info

## My Profile

### Key Change from Release 3.1

New to the “My Profile” page is the ability to see all of one’s roles and relationships to other FDM users in one place. In addition, three new features were added: Edit Logins, Audit Trail and access to the Org Unit profile. In the previous releases, “My Profile” was limited to just showing a user’s “Review Chain”.

My Profile can now be accessed from two places:

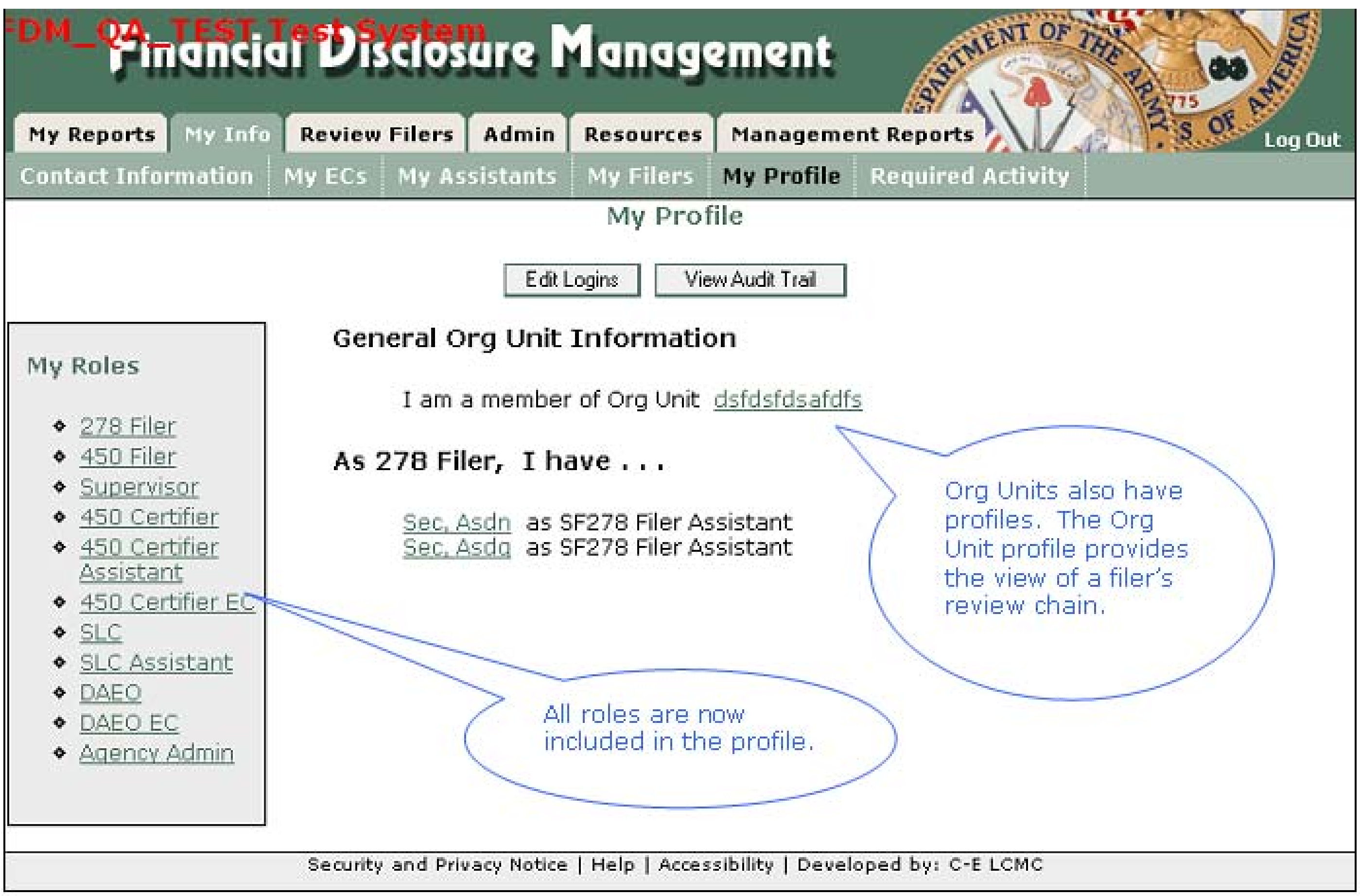
- Through “My Profile” for individuals wanting to see his or her own information
- Through the Admin > Users Tabs for Admin users wanting to see another’s profile

### New features

- Edit Logins
- View Audit Trail

**Org Unit Profile**

Below is a sample of the newly revised My Profile screen:



## Edit Logins

### Important Information

- The new login credential must be exact or else login will fail.
- Only credentials from the Agencies that have signed agreements with FDM to provide access to their directory are valid for use. As of 12/1/2007, credentials can be added from ARMY AKO, DoD smartcard, OGE, and VA only.

Clicking **Edit Logins** displays a listing of Login Credentials. A login credential is a userid and password or a smartcard that a user enters to gain access (login) to FDM. A user's Login Credential is used by FDM to identify the person, their reports, their privileges etc. This new feature allows an individual with different credentials (personas) to appear to be the same person in FDM.

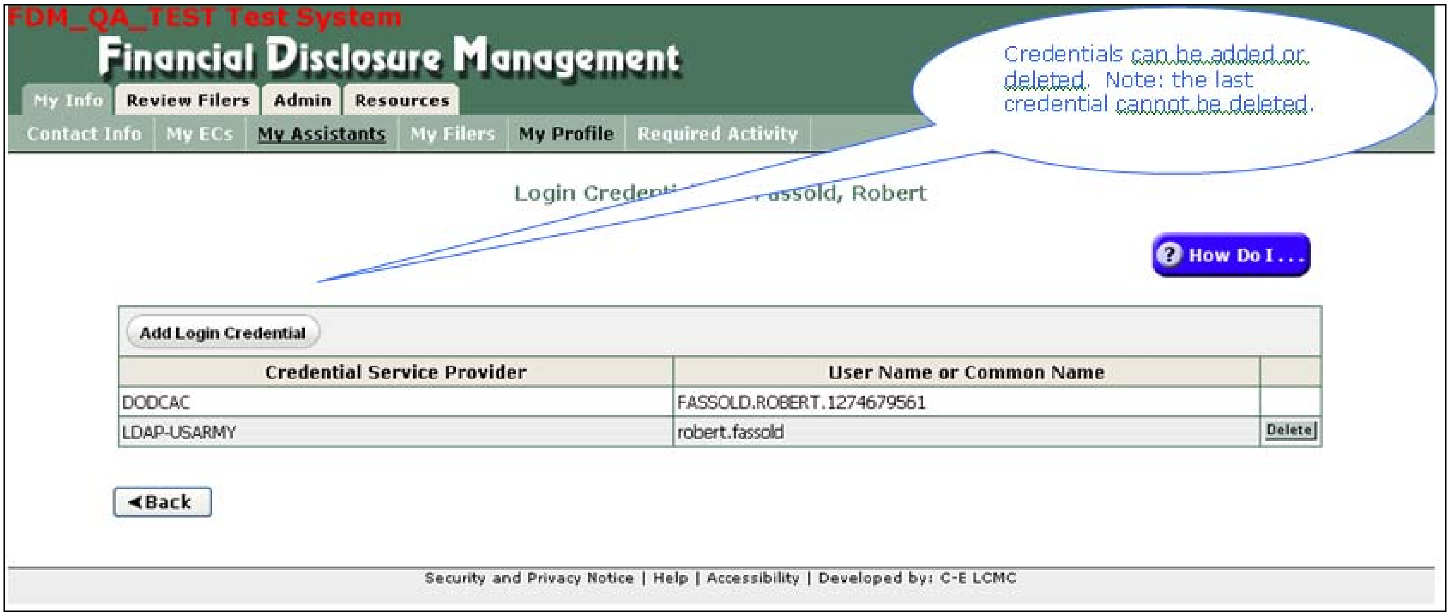
This feature is helpful in three situations:

**1.** When a user moves from one agency to another and, loses their login credentials with his or her old agency, and has reports in FDM tied to their older login credential.

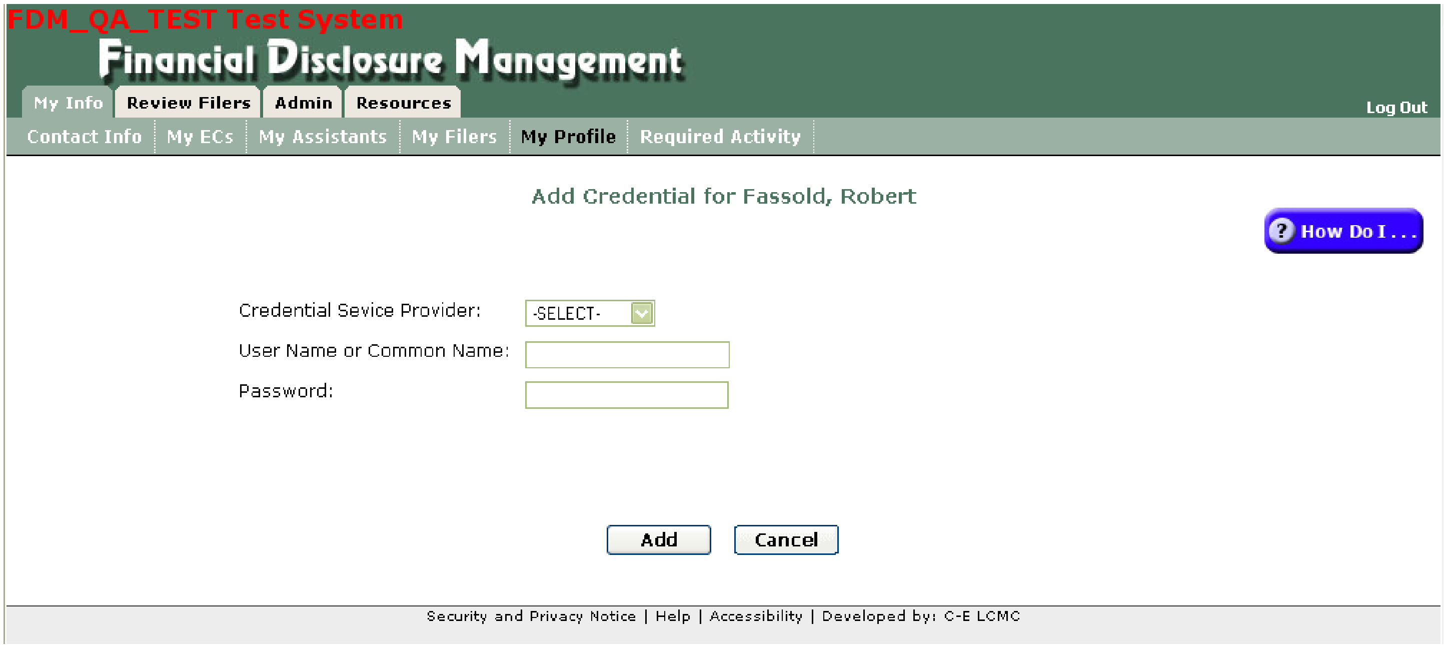
**2.** When a user also has access to a smartcard and wants to access FDM using the smartcard.

**3.** When the login credential is changed due to marriage, name change etc.

See a sample of the Login Credentials screen below:



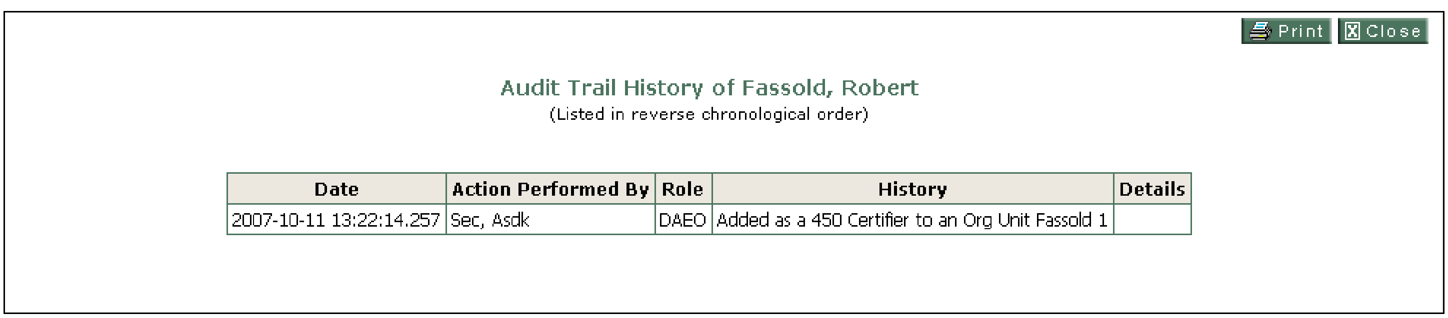
By Clicking **Add Login Credential**, the Add Credential Screen is displayed.  See a sample of the Add Credential screen below:




## View Audit Trail

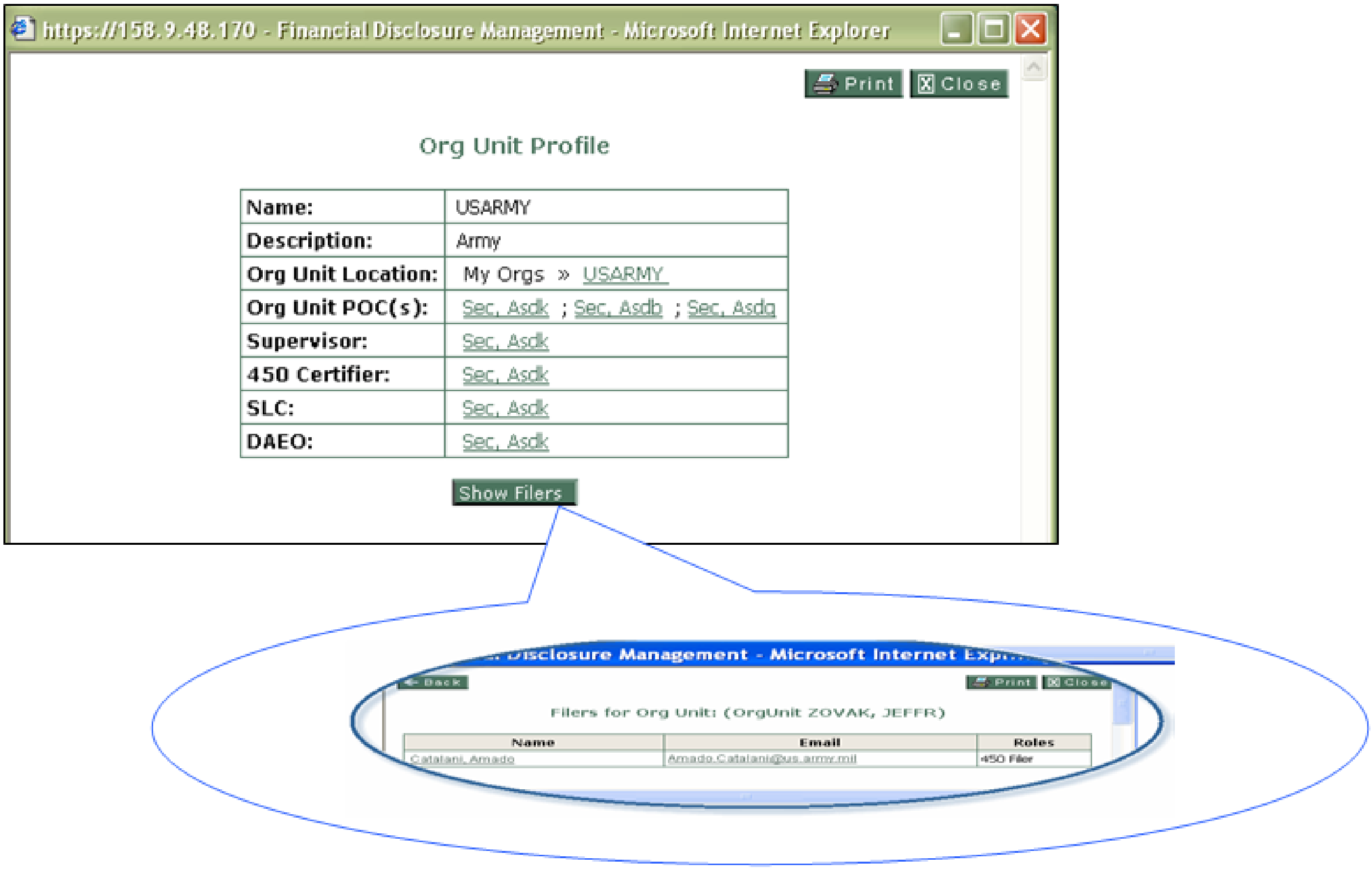
FDM is now auditing changes in administrative information regarding such things as associations to Org Units, changes in roles or in relationships with other FDM users.  This audit information is accessed from the My Profile page in FDM.

Below is a sample of the Audit Trail screen:



## Org Unit Profile

To identify the “Review Chain” of a filer within an individual organization, you must look at the assigned reviewers of the individual filer’s Org Unit. This information is found on the Org Unit Profile which can now be accessed from “My Profile” and is also accessible from Admin>Org Units and then clicking on the description of an Org Unit. A sample of the Org Unit Profile is provided below:



# Required Activity

## Key Change from Release 3.1

A new sub-menu, Required Activity, is now available on the My Info tab. Required Activity allows you to assign a specific disclosure form and a due date to an individual filer or to a group of filers at one time.

## New features

- ❖ Notifying Filers
- ❖ Set Required Activity filter
- ❖ Assign/Edit a Required Activity
- ❖ Remove a Required Activity
- ❖ Granting, Editing & Deleting Extensions

## Important Information

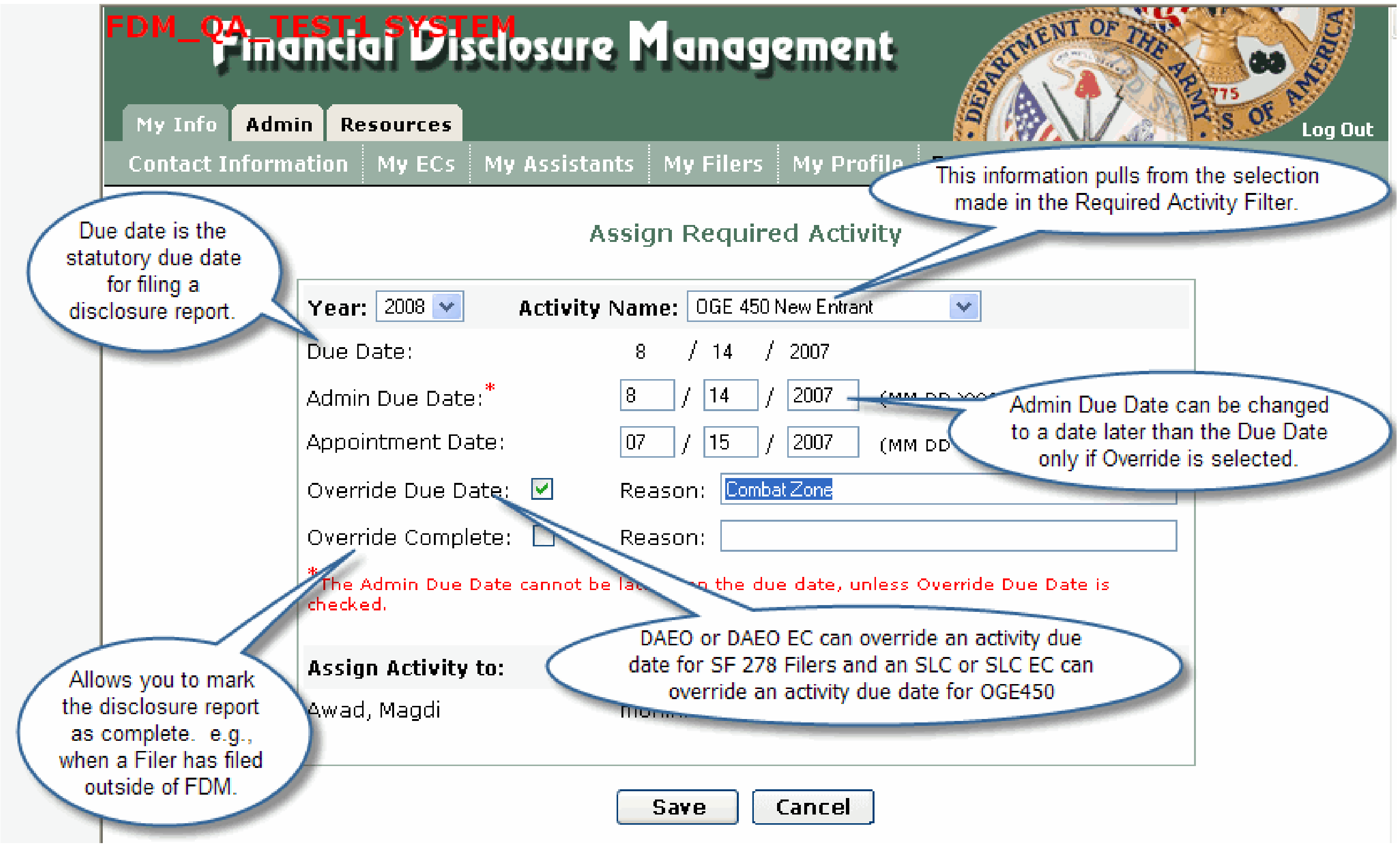
- – The Required Activity filter must be set before assignment/removal features become available.
- – The check box to the left of the filer's name needs to be checked in order to select the person to be assigned an activity. More than one person at a time can be assigned an activity.
- – A Required Activity must be assigned before an Extension can be granted.

## Who can manage required Activities?

- ❖ Manage OGE 450 Filer Required Activities and Extensions
  - – The DAEO, DAEO EC, SLC, SLC EC, SLC Asst, 450 Certifier, 450 Certifier EC and 450 Certifier Assistant can manage filer activities. These same roles can grant, edit and delete extensions.
- ❖ Manage SF 278 Filer Required Activities
  - – A DAEO, DAEO EC, SLC, SLC EC, SLC Asst can manage their Filer's required activities. However, only DAEO and DAEO ECs can edit required activities
- ❖ SF 278 Extensions
  - – Only DAEO and DAEO ECs can manage SF 278 extensions.

Below is a sample of the new Required Activity screens:

Below is a sample of the new Assign Required Activity page:




- **Required Activity** - Allows you to assign a specific disclosure type to a Filer, e.g., SF 278 or OGE 450.
- **Due Date** - The Due Date is the statutory filer submission due date. The assigned Required Activity will be considered late if it is not complete by the Due Date.
- **Admin Due Date** - A date set by an Ethics Official for the completion of the Required Activity. This date initially defaults to the Due Date but can be changed if necessary.
- **Override Due Date** - An indication that a Certifying Official or their EC overrode the statutory due date. A reason must be included when overriding a Due Date in FDM.

## Required Activity Notification

The Notify Required Activity page is used to notify a filer that he/she has been registered in FDM and lists the type of report that should be filed along with the due date and the criteria required to file the report. Below is a sample of the Required Activity Notification screen:

# Extensions

In FDM there are two ways of granting an extension:

1. Granting an extension through the Required Activity, (this is especially useful in the case where a filer has not yet created a report).

2. Granting an extension on a report in progress (Access from the Review Status screen).

## Who can grant an extension?

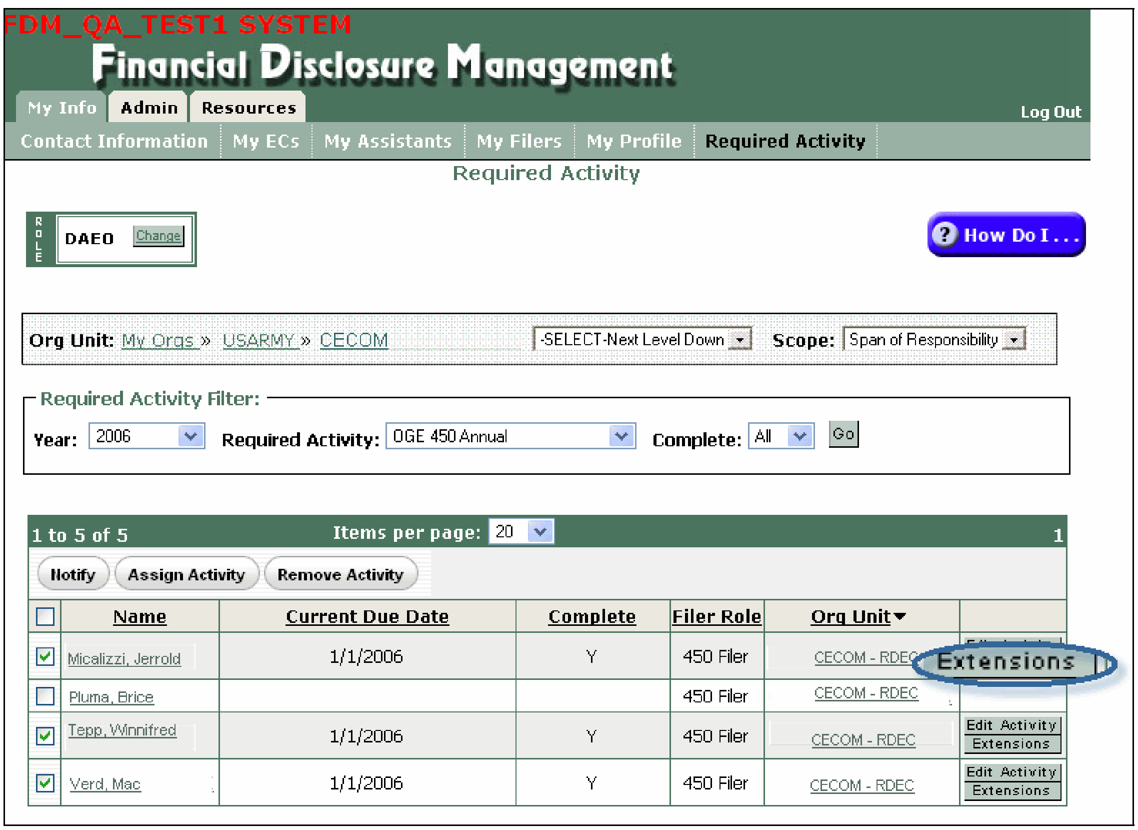
– For 450 reports, DAEOs, DAEO ECs, SLCs, SLC EC, SLC Assts, 450 Certifiers, 450 Certifiers ECs and 450 Certifier Assts can grant extensions.

– For SF 278 reports, only DAEOs and DAEOS ECs can grant extensions.

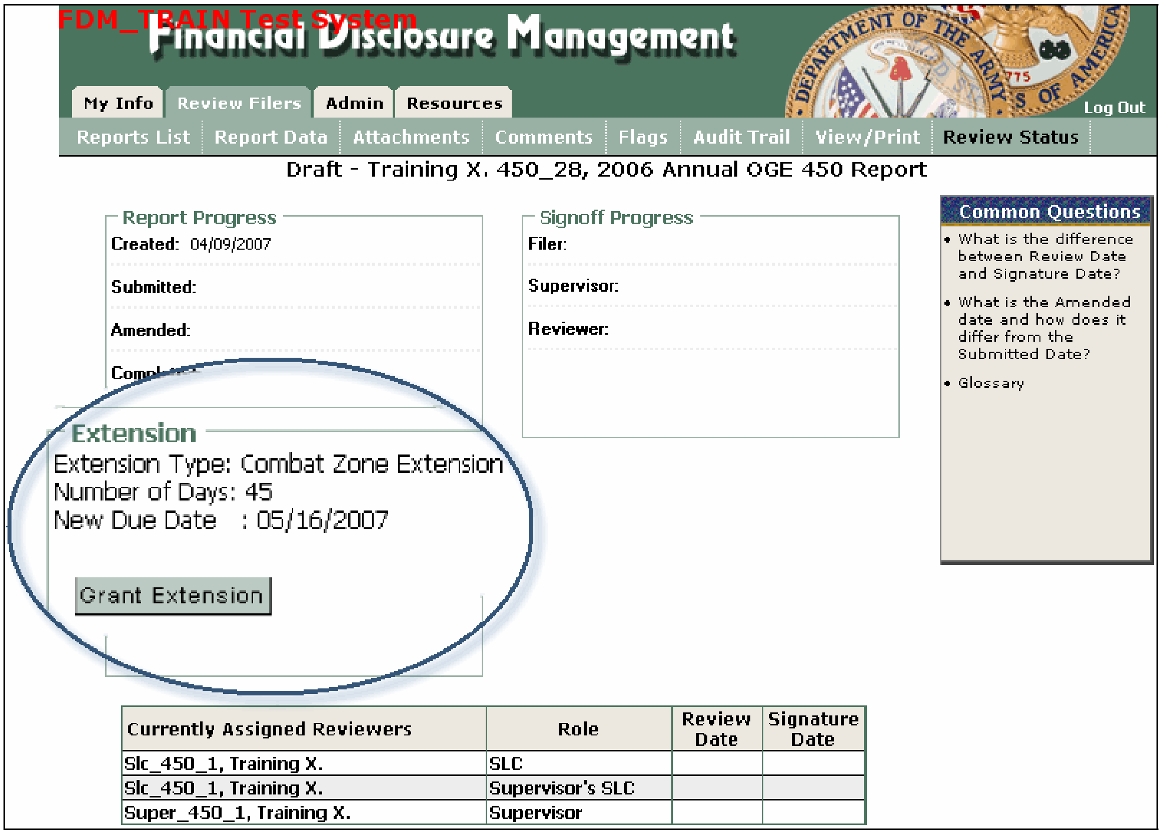
## Important Information

– Extensions are cumulative. If a filer has an extension for "long period of travel" and then gets sick, a second extension can be granted for the period of sickness. The extension duration would be calculated as the sum of days for both extensions.

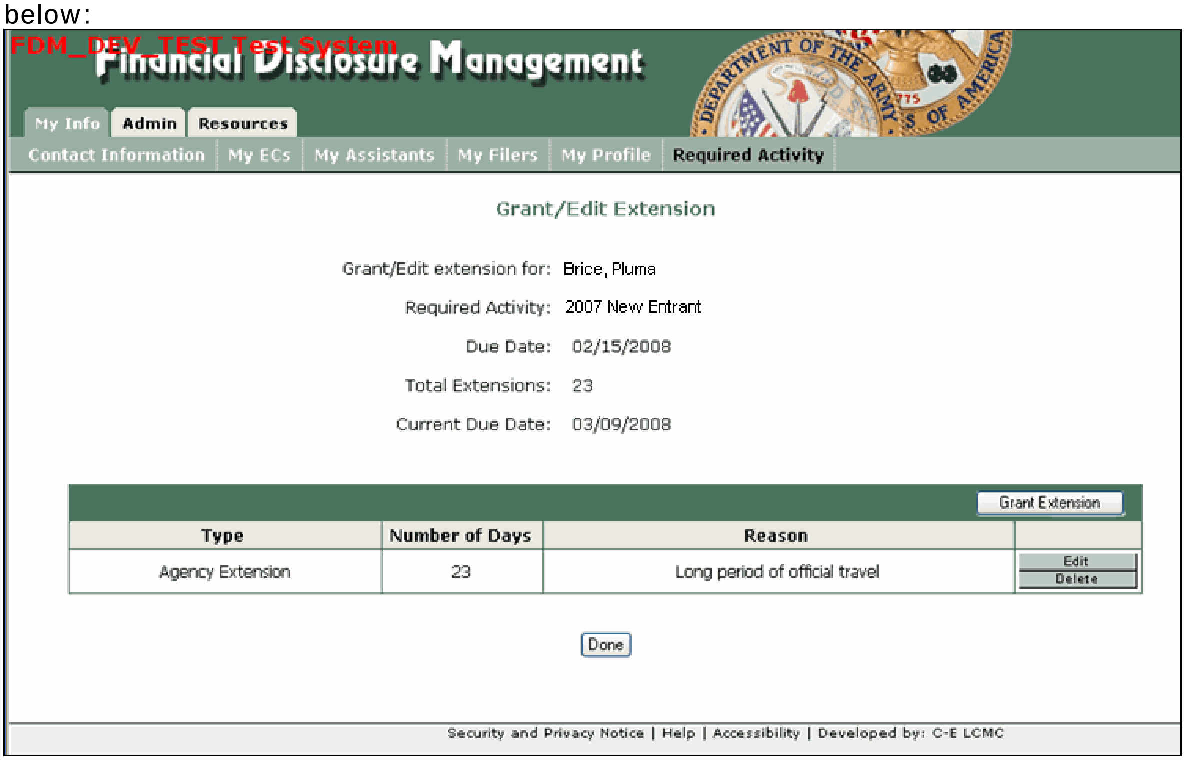
See sample page below for granting an extension from the Required Activity page:




See sample page below for granting an extension from the Review Status Screen:

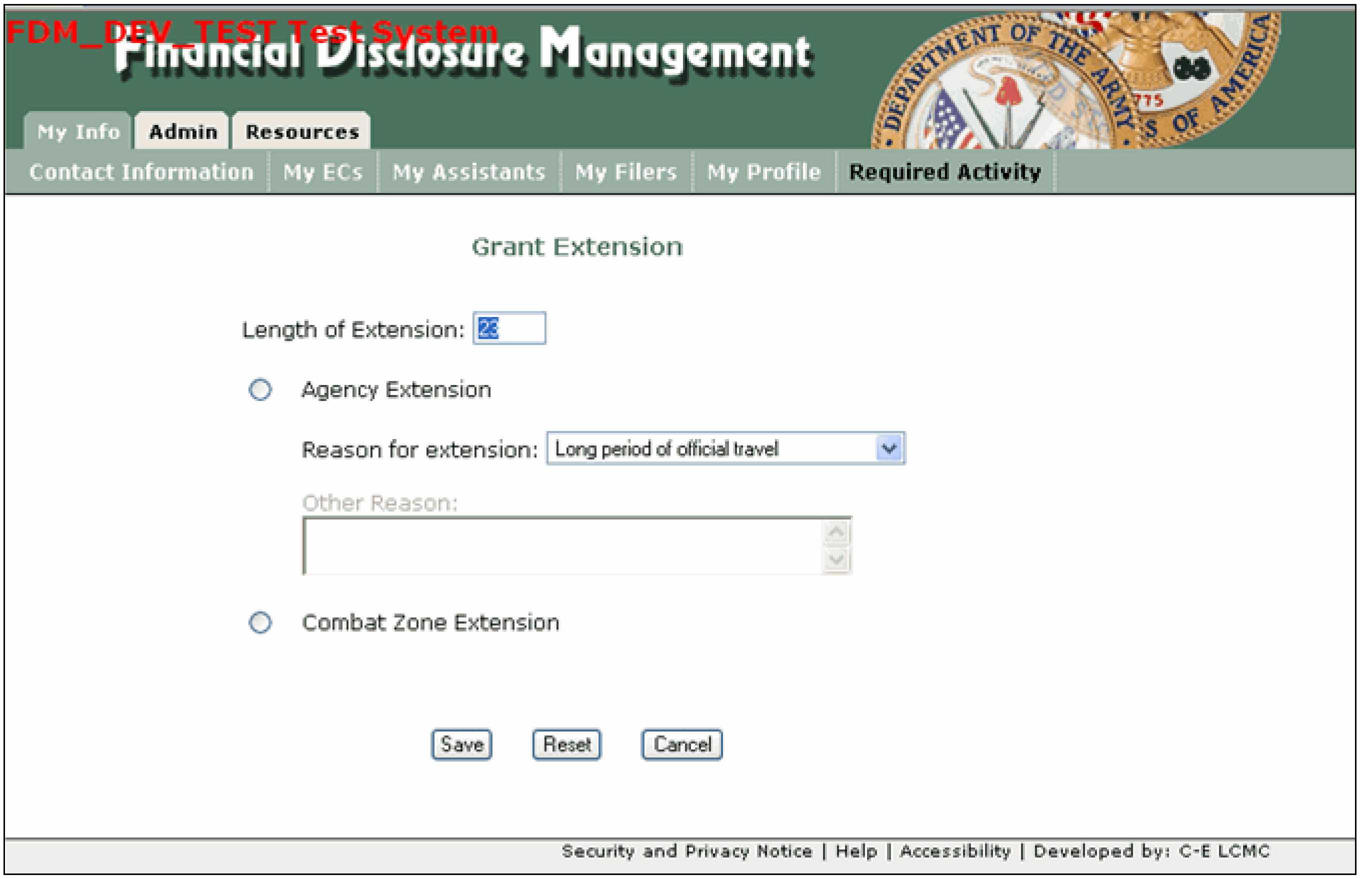



From either access point the Grant/Edit Extensions page is displayed next. See a sample of this page below:



## Granting an Extension

Clicking **Grant Extension** from the Grant/Edit Extension page allows you to create a new extension even if there is an existing extension. See a sample of the Grant Extension page below:




- When entering Agency Extensions, you must select a “Reason for Extension” from the drop-down menu. For Combat Zone extensions, you do not need to select a reason.
- The available Agency Extension Reasons are as follows:
  - Long Period of Travel
  - Significant Illness
  - Extremely Pressing Assignments
  - Convenience of Filing Combined Reports
  - Other

## Editing an Extension

To edit an extension already granted, click **Edit** on the Grant/Edit Extension page.  See a sample of the Edit Extension page below:


## Deleting an Extension

To delete an extension already granted, click **Delete** on the Grant/Edit Extension page.  See a sample of the Delete Extension page with delete confirmation box below:

# My Filers

## Key Change from Release 3.1

The appearance and functions of the My Filers screen has changed to incorporate the new Required Activity feature, the new Org Tool feature and the ability to search by name to enhance your user experience with FDM.

## New features

- Assign filers to the appropriate Org Unit
- Verify filer information
- Send notifications to multiple filers at the same time
- Assign required filing activities
- Remove multiple filers at the same time from your list.
- Adding Multiple OGE 450 filers (Bulk Registration)
- Moving a filer to a different Org Unit

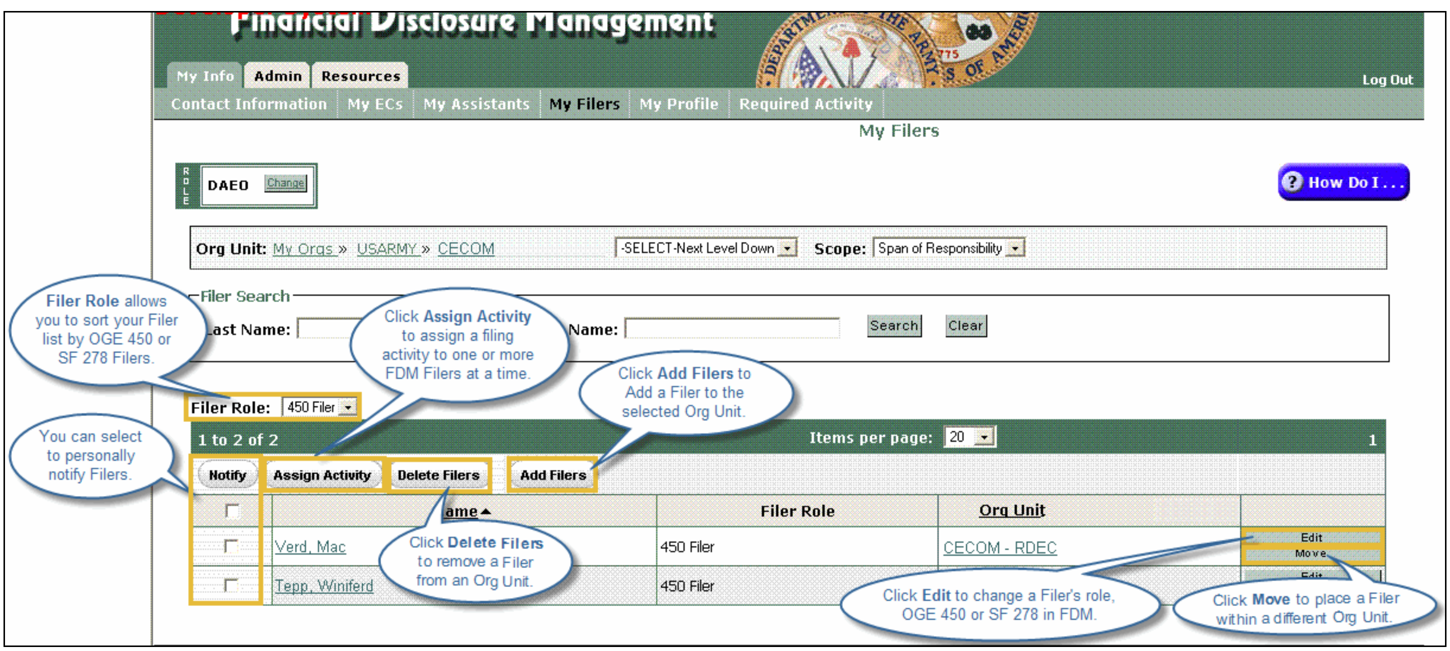
## Who can Add OGE 450 Filers?

- DAEOs, DAEO ECs, SLCs, SLC ECs, SLC Assts., Supervisors, 450 Certifiers, 450 Certifier Assts. POCs, Agency Admins and System Admins can add and manage OGE 450 Filers.

## Who can Add SF 278 Filers?

- DAEOs, DAEO ECs, SLCs, SLC ECs, SLC Assts., POCs, Supervisors, Agency Admins, and System Admins can add SF 278 Filers.

# Navigating the new “My Filers” page



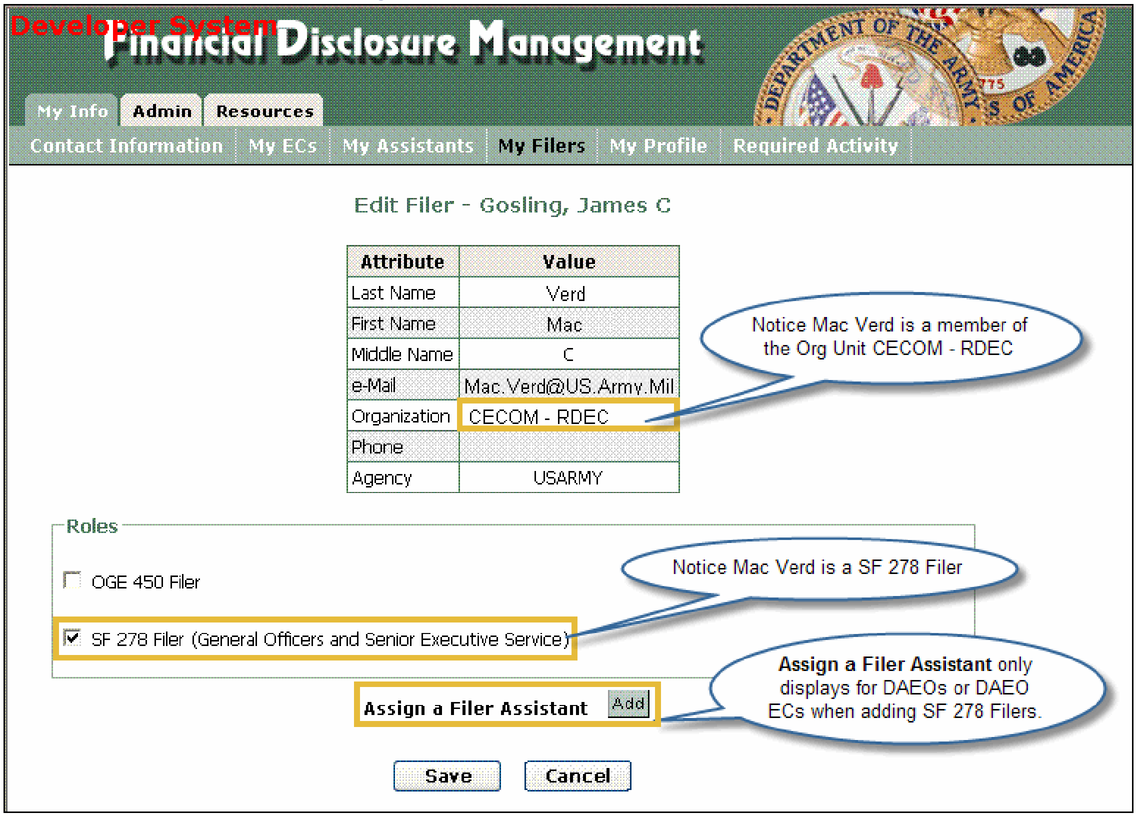
Several enhancements have been made to the My Filers page.

- **Breadcrumb Trail** -- Provides a listing of subordinate Org Units.
- **Org Unit Navigation**
  - **Next Level Down** - To view your Org Unit's hierarchy, expand the breadcrumb trail by selecting an Org Unit listed in the Next Level Down drop-down. The Org Units page then lists the subordinate org units.
  - **Scope** - Within each Org Unit, you can view subordinate Org Units using Span of Responsibility, Current Org Unit or Span of Control.

| Scope | Description |
|---|---|
| **Span of Control** | Allows you to view and manage all Org Units listed on the Org Units page. For example, a Senior Legal Counsel can manage users within their own Org Units and subordinate Org Units even if the subordinate Org Unit has a different Senior Legal Counsel. |
| **Span of Responsibility** | This scope limits your view to those Org Units that do not have another user with your same FDM role. For example, a Senior Legal Counsel can act as a Senior Legal Counsel to their Org Unit and all subordinate Org Units unless the sub Org Unit has different Senior Legal Counsel. |
| **Current Org Units Only** | This scope limits your view to the subordinate Org Units for the selected Org Unit. |

- **Notify** - Allows you to send e-mail messages to specific FDM users.
- **Select All/Clear All** - Allows you to select a group of FDM filers at the same time to assign a required activity or to notify.
- **Assign Activity** - Allows you to assign a disclosure filing activity to a specific filer or group of filers.
- **Delete Filers** - You can now remove multiple Filers from an Org Unit at the same time.
- **Move** - Allows you to move a Filer into a different Org Unit.
- **Sorting OGE 450/SF 278** - You can now sort the Filer table by disclosure report type.

## Changes to the Edit Filer Page

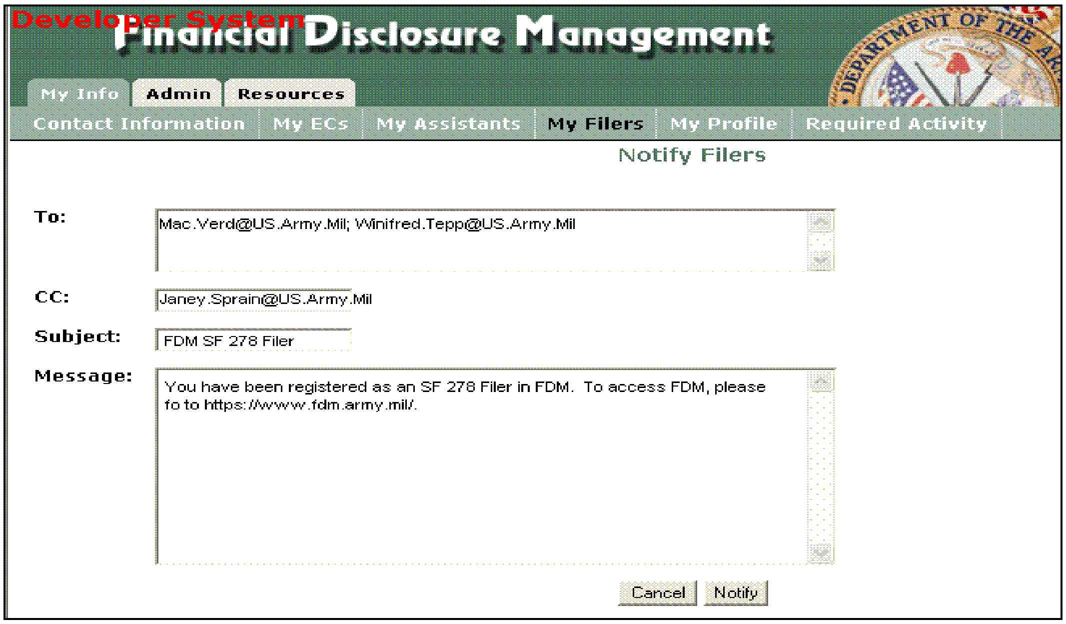


The following new features have been added to the Edit Filer page:

- **Organization** – Org Unit is now shown on the Filer's profile.
- **Filer Assistant** – A Filer Assistant can be added from this page by a DAEO or DAEO EC for 278 Filers

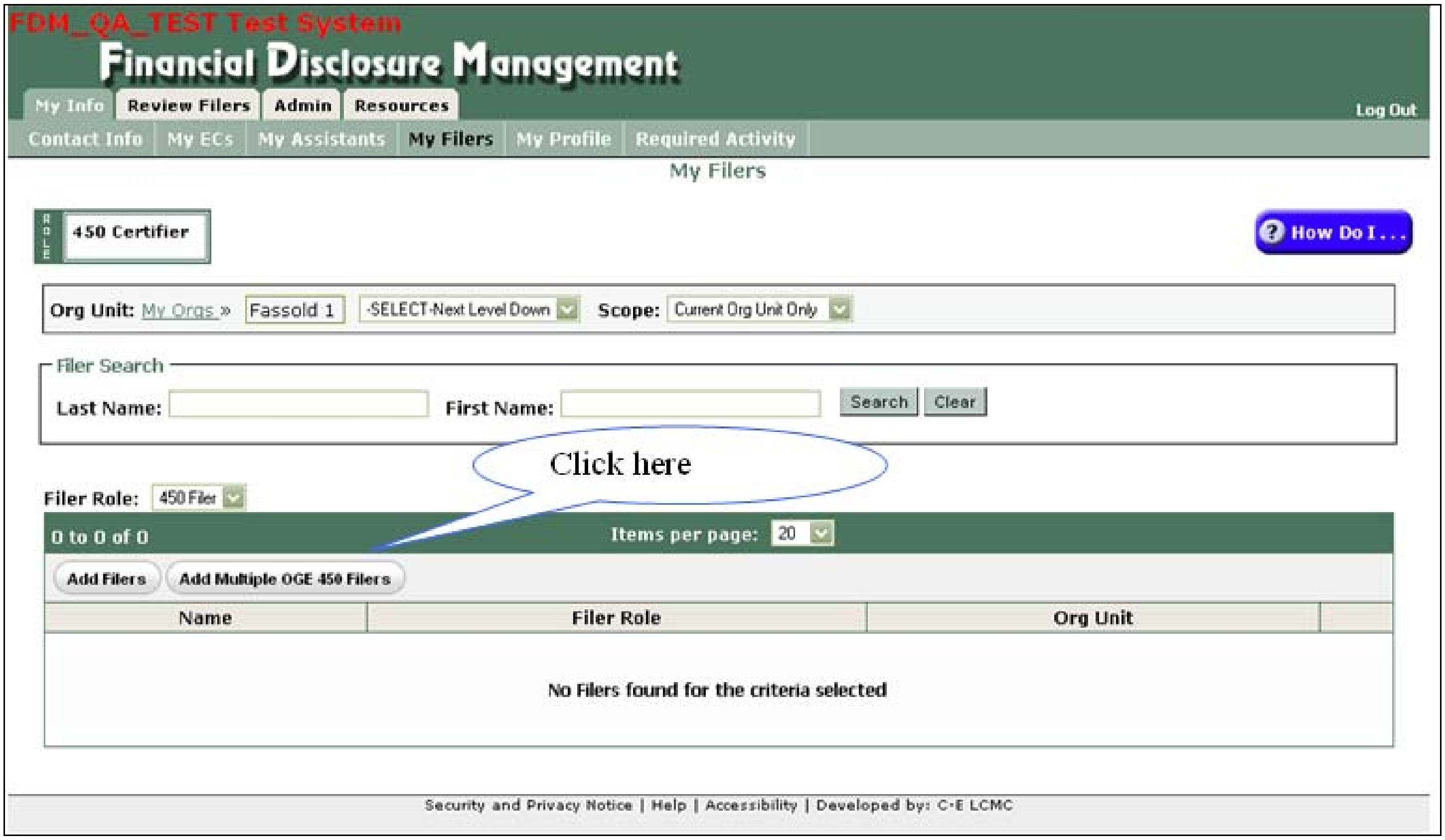
## New Filer Notification Feature

Once a Filer has been added to FDM, you can send a personalized message notifying the person that he/she has been added to FDM using the "Notify" feature found on My Info | My Filers. A partially drafted message appears in the "Notify Filers" screen.



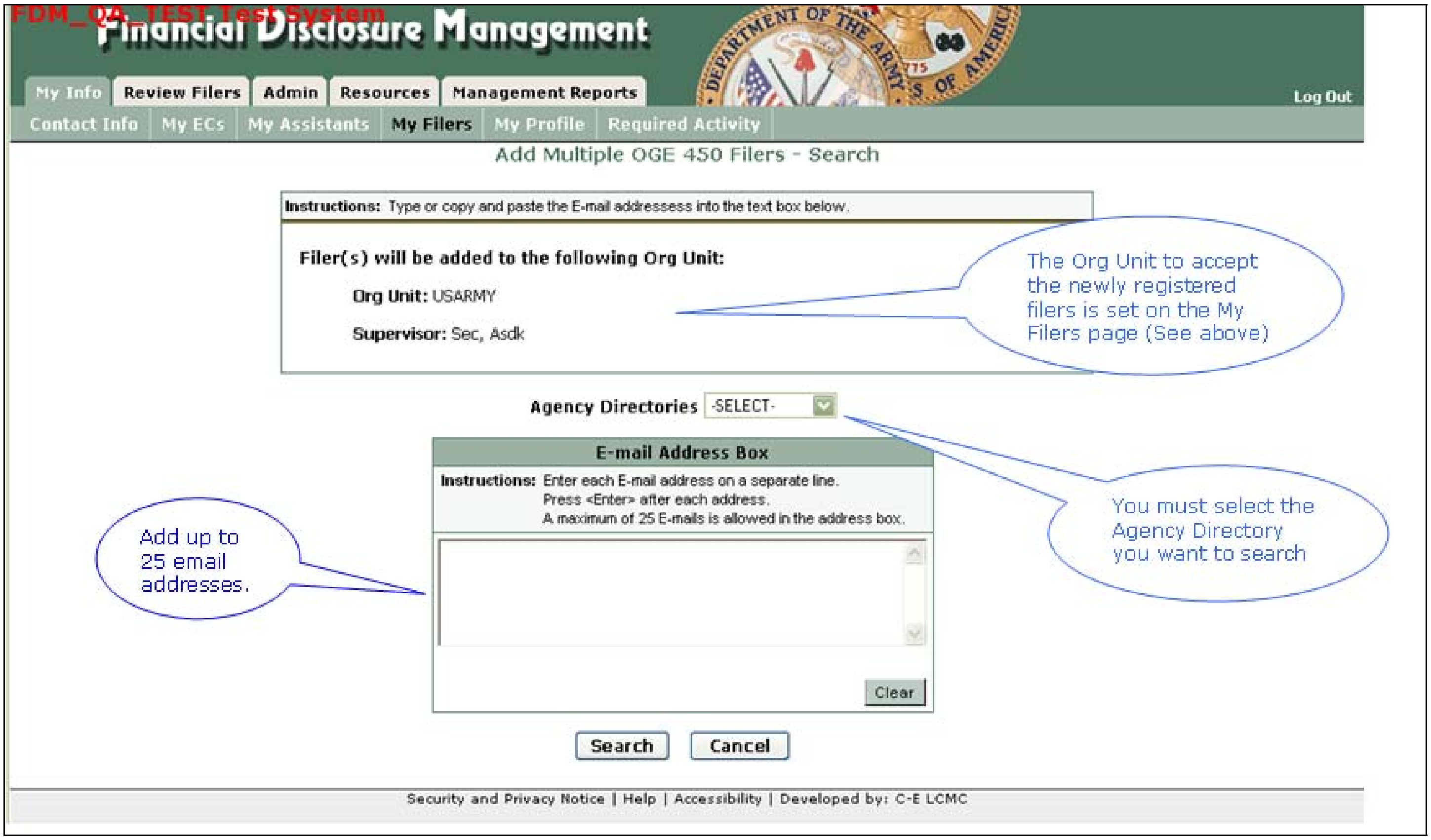

## Adding Multiple OGE450 Filers (Bulk Registration)

A new menu item was added to the My Info | My Filers page: "Add Multiple OGE 450 Filers". This feature allows an administrative user to register up to 25 OGE 450 filers at one time. This replaces the self-registration feature offered in FDM release 3.1. See sample of the My Filers page below and note the location of the new "Add Multiple OGE 450 Filers" button:

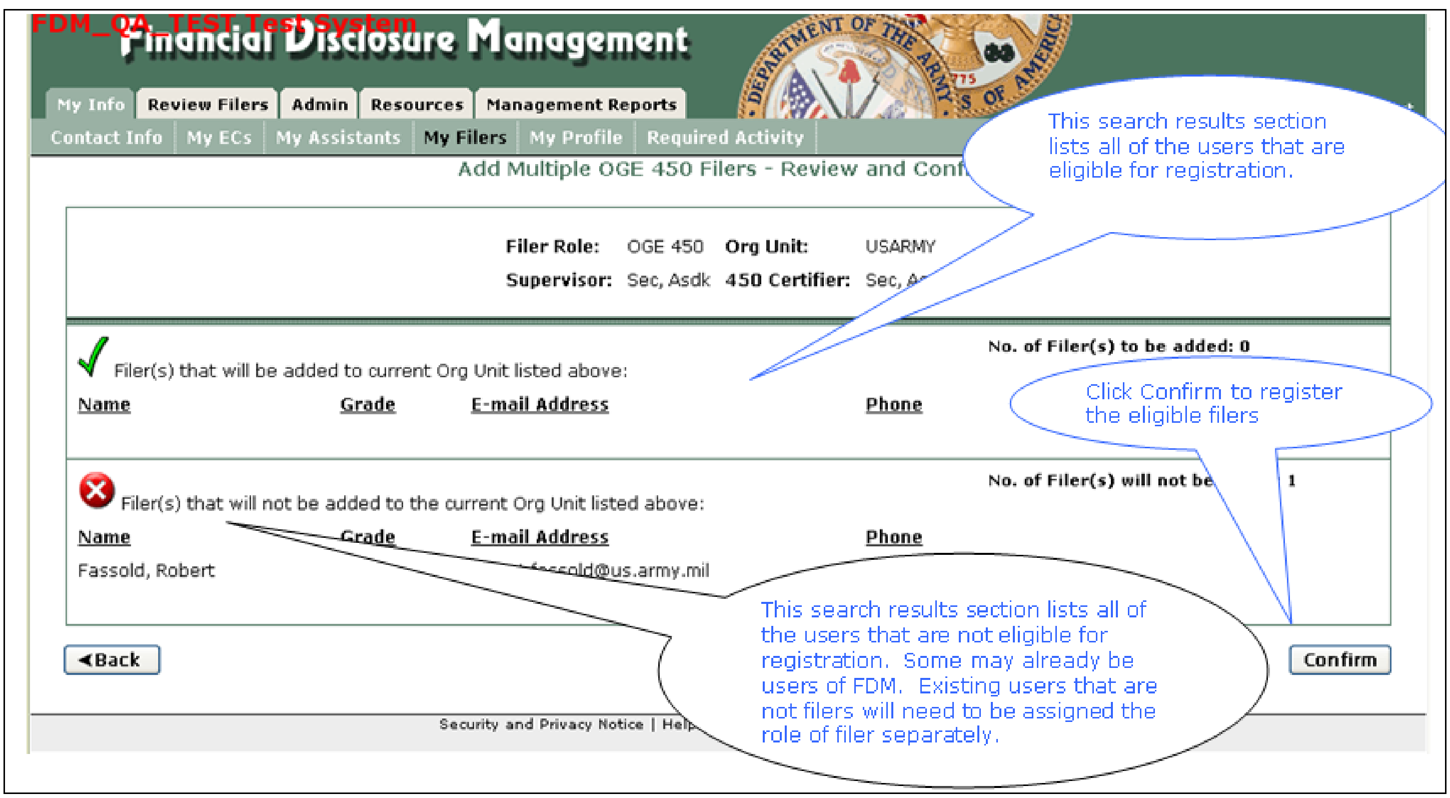



## Navigating the new Add Multiple OGE 450 Filers pages

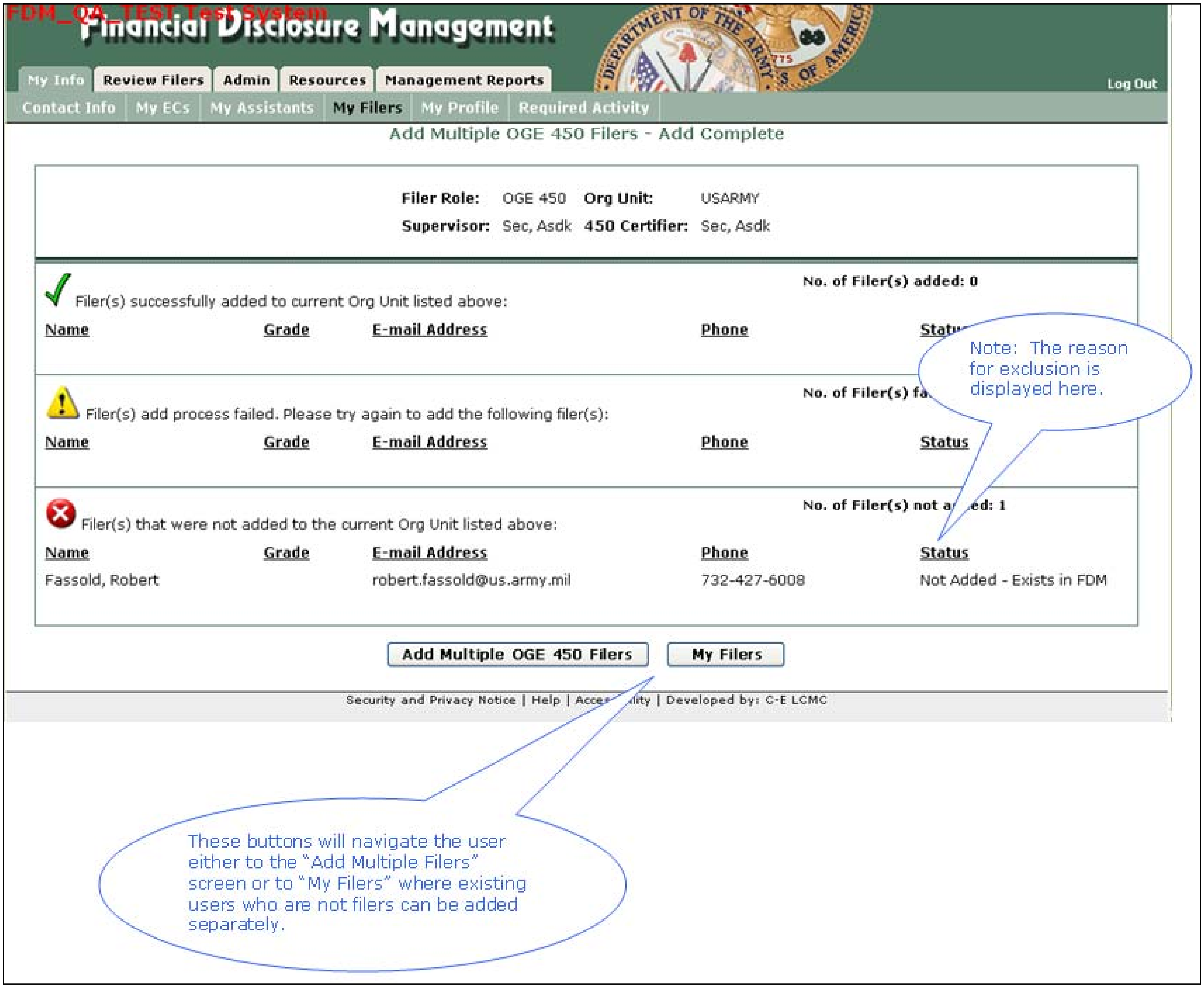
Upon clicking **Add Multiple OGE 450 Filers**, the new bulk registration feature displays an email address box where up to 25 Email addresses are entered or copied from an outside source (e.g., a 450 filer tracking spreadsheet (available at https://www.fdm.army.mil/Documents/450TrackingSpreadsheet.xls, a tool for organizing OGE 450 filers). The Agency Directory selected will be searched to both verify the accuracy of the email addresses entered and to obtain authentication information for use by FDM during a user's login. See a sample of the Search screen below:




Upon clicking **Search** FDM displays the search results screen for review and confirmation. See sample search results screen below:



Upon confirmation FDM offers two options to proceed: Go back to Add Multiple Filers and proceed to “My Filers” where the new registered filers can be assigned a required activity. See Summary screen below:

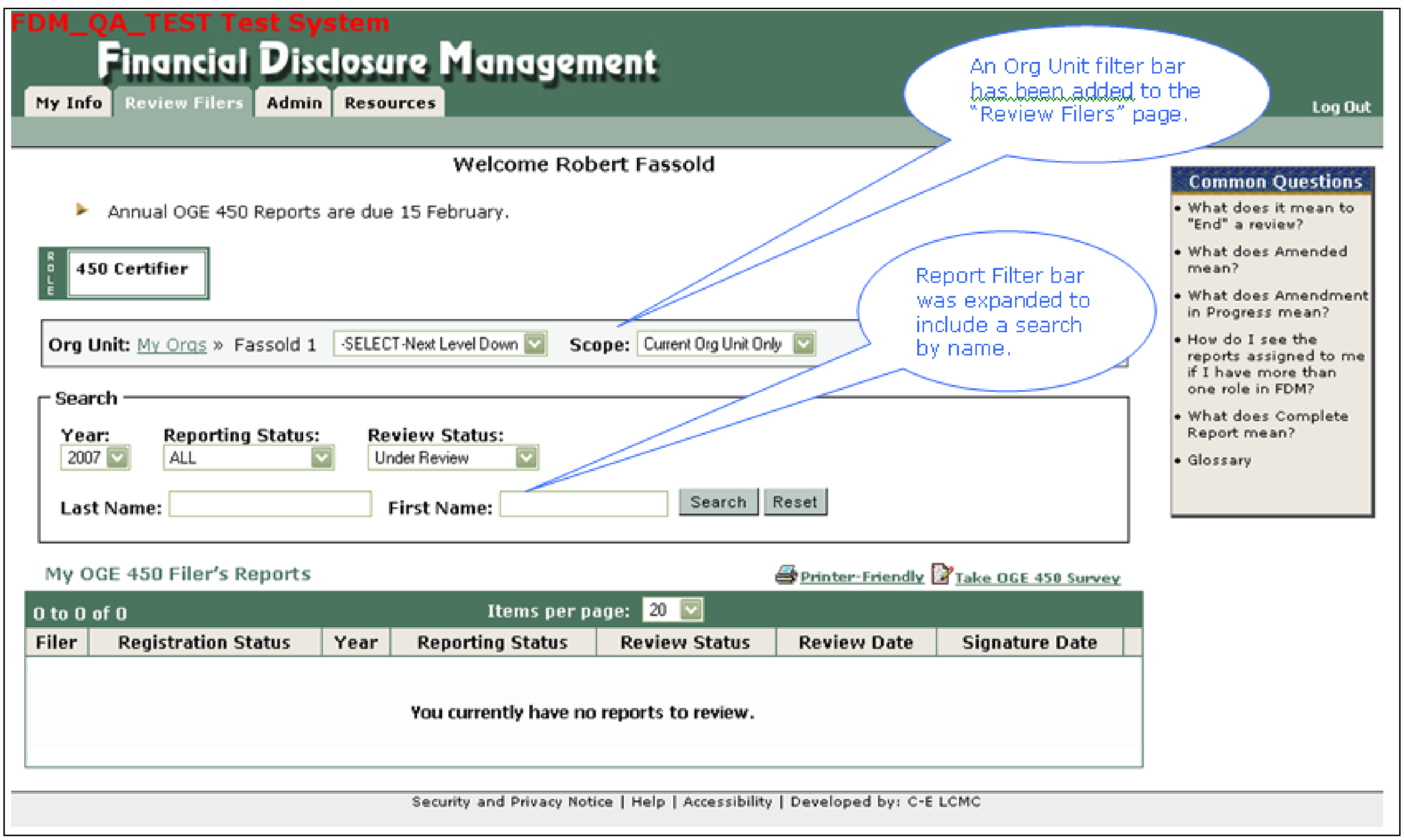


# My Reports/Review Filers

Two new features have been added to the Report List page: Alphabetic searching by Name and filtering for Org Unit. Filtering by Org Unit requires you to set scope. Scope is defined as follows:

| Scope | Description |
|---|---|
| **Span of Control** | Allows you to view and manage all Org Units listed on the Org Units page. For example, a Senior Legal Counsel can manage users within their own Org Units and subordinate Org Units even if the subordinate Org Unit has a different Senior Legal Counsel. |
| **Span of Responsibility** | This scope limits your view to those Org Units that do not have another user with your same FDM role. For example, a Senior Legal Counsel can act as a Senior Legal Counsel to their Org Unit and all subordinate Org Units unless the sub Org Unit has different Senior Legal Counsel. |
| **Current Org Units Only** | This scope limits your view to the subordinate Org Units for the selected Org Unit. |

These two features always work in conjunction with each other. Searching will occur within the Org Unit scope setting.



# Management Reports

Only application and system administrators have access to the management reports tab.

## Features Removed

– Management Reports