Financial Disclosure Management

5.4 Release Notes

Publication 1.0

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Introduction

Previous Release Notes are posted on the FDM website:
https://www.fdm.army.mil/helpSupport/releaseNotes.htm.

The following enhancements have been implemented in FDM for Release 5.4:

5.4 Enhancements

Reviewers

- Notes
- Manage Exceptions(Watch List)
- Admin Close a Report
- Ethics Training Tracking

Management Reports

- Filers with No Disclosures
- Currently Overdue Reports
- Registered Filer Summary

Extensions

- SLC can record extensions
- Unknown Due Date for Combat Zone/National Emergency extensions

Filing SF 278 Report

- eSign Button now visible
- Active Duty Date
- Change Reporting Period
- Combined Incumbent/Termination Reports
- Reporting Status (SF278)

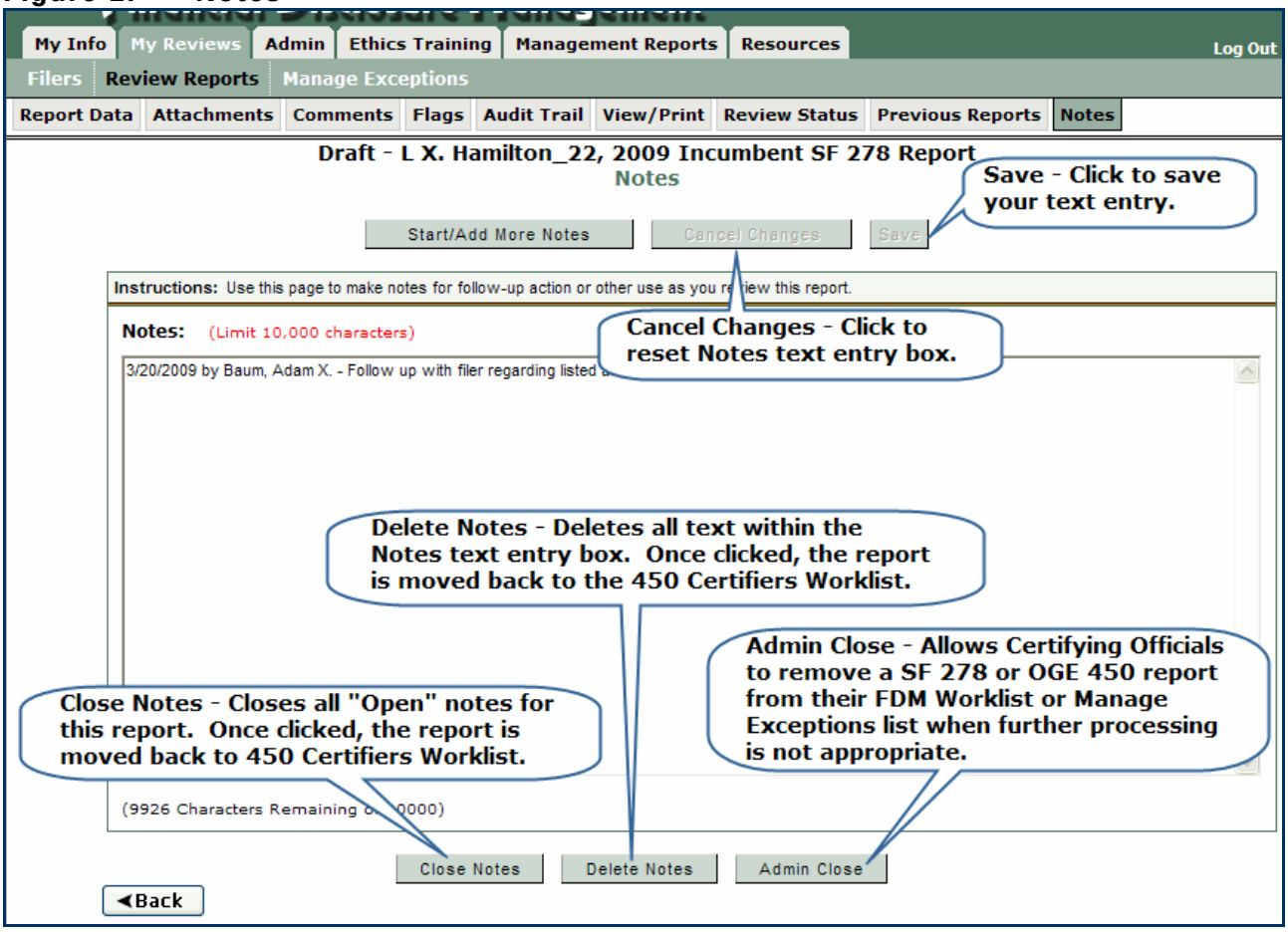
Report Comments

User Interface Improvements

Notes

FDM now offers DAEOs, Senior Legal Counsels and their ECs and Assistants Notes, an online, electronic "post-it" note to indicate that there are items within the Filer's report that require a follow up before the report can be certified. A DAEO or SLC can add a report Note at any time within the report review process. Once a Note is added, FDM shifts the report from the My Reviews | Worklist view to the Manage Exceptions (Watch list). Reports with Notes will remain on the Manage Exceptions list until the report Note is Closed or Deleted. Supervisors will still see the report within their My Reviews | Review Reports - Worklist and can still review and eSign reports that have report Notes.

Figure 1. Notes



Important Information

- The Notes feature is intended to help DAEOs, Senior Legal Counsels, ECs and Assistants share information on a particular report's readiness for approval, jog a memory of why it was not approved upon initial review, and eliminate the need to keep a paper record for processing purposes. Notes opened within 60 days of report submission also satisfy the OGE "60-day" review rule.
- Notes are not considered "official comments" and do not print on the SF 278.
- Once the report is eSigned by the DAEO, any outstanding Notes are automatically closed.
- Filers do not see report Notes.

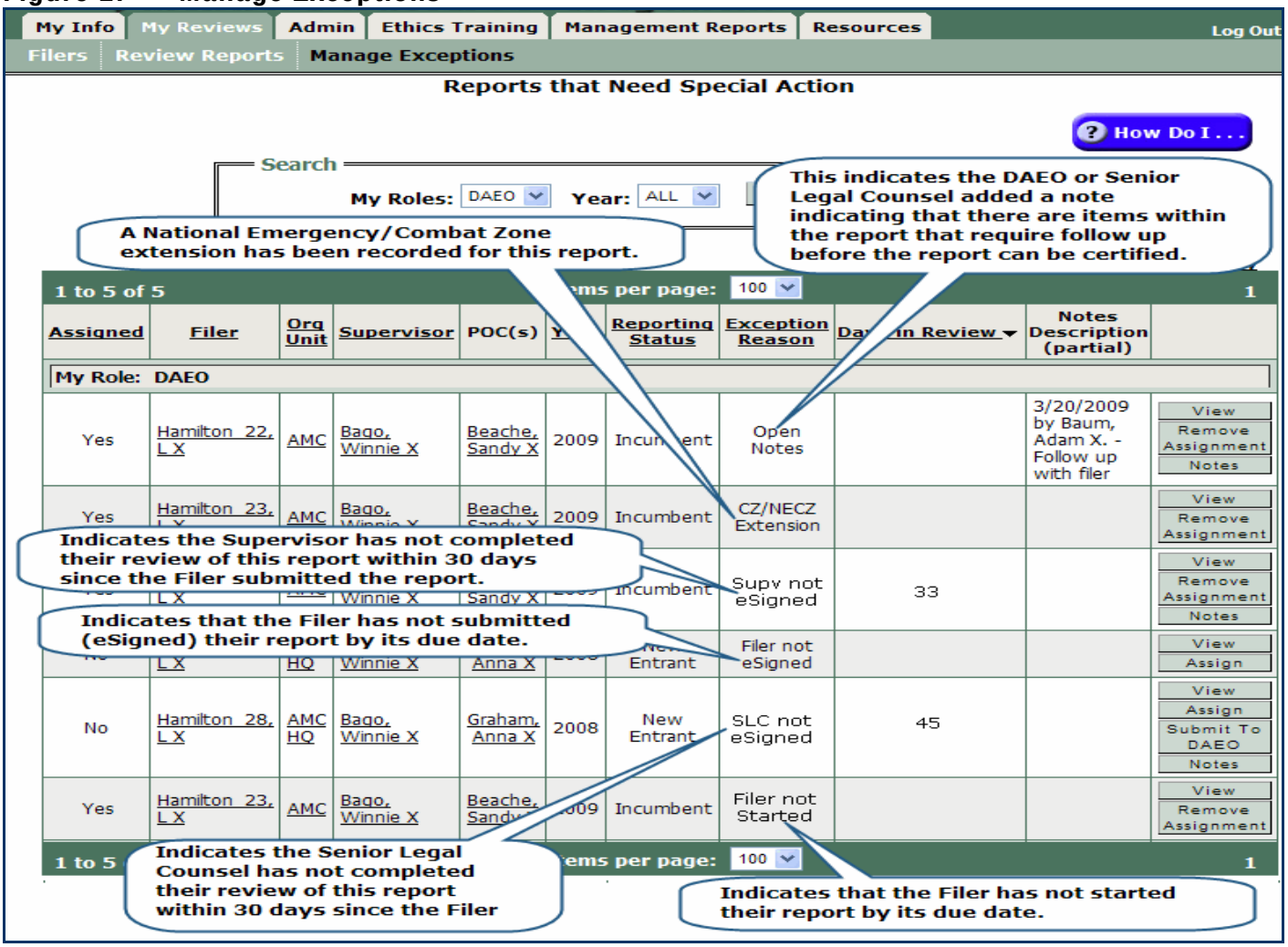
SF 278 - Manage Exceptions (Watch List)

A new DAEO and Senior Legal Counsel reviewing tool, Manage Exceptions, helps Certifying Officials track (or watch) Filer, Supervisor Reviewer and Senior Legal Counsel compliance and manage reports that require any special action(s) or more information in one convenient location without cluttering the Worklist view of reports that are ready for approval. Reports remain in the Manage Exceptions list until the report issue is resolved.

Reports display on the Manage Exceptions list if:

- **OPEN NOTES -** The Report has existing Notes that are not "Closed."
- **CZ / NECZ Extension –** A National Emergency/Combat Zone extension has been recorded for the report.
- **Filer not eSigned -** The Filer has not submitted the report in FDM by the report's due date.
- **Supv not eSigned -** More than 30 days have passed since the Filer has submitted (or re-submitted if their report in FDM) and the Supervisor has not eSigned.
- **SLC not eSigned -** More than 30 days have passed since the Filer has submitted (or re-submitted if their report in FDM) and the SLC has not eSigned.
- **Filer not Started –** The Filer has not started entering data into their report by the report's due date.

Figure 2. Manage Exceptions



Administratively Closing a Report

A new tool, Admin Close, has been added to FDM that allows Certifying Officials to remove a SF 278 or OGE 450 report from their FDM Worklist or Manage Exceptions list when further processing is not appropriate. Only DAEOs, DAEO ECs, DAEO Assistants, 450 Certifiers, 450 Certifier ECs and 450 Certifier Assistants can administratively close a report in FDM. Once a report is administratively closed, the report will not be counted on FDM statistical reports (Management Reports).

A report can be administratively closed at any time during the report review process. You may want to administratively close reports where a Filer mistakenly started an SF 278 or OGE 450 but left the agency before finishing and then was removed from FDM as a Filer.

Administratively closed reports are not permanently deleted from FDM. Reviewers will be able to view administratively closed reports from the Review Reports – Org Unit View list. In addition, once a report is administratively closed a Filer and/or a reviewer can still take action (edit, submit, amend, and recertify) on the report. If a Filer or Certifying Official eSigns an administratively closed report, the report Review Status will change from Admin Closed to either Under Review or Complete and will again be available on the reviewer's Worklist.

> **Note:** FDM allows for "certification" of SF 278s and OGE 450s where part of the review was completed outside FDM. This is different from Administratively Closing a report that was either mistakenly assigned or erroneously started by a Filer but not appropriate for processing. A Filer may delete a draft report, but cannot delete an Under Review SF 278 or OGE 450. "Admin Close" allows for handling those SF 278s/OGE 450s that are Under Review and cannot be directly deleted.

Locating Reports to Administratively Close

FDM has three Report List views Org Unit, Worklist and Manage Exceptions. The majority of the reports that should be Administratively Closed will appear on the Manage Exceptions List.

Using the Manage Exceptions List

1. Select the **My Reviews | Manage Exceptions** tabs.
2. Set the search criteria to the appropriate Role and Year, and then click on the **Search** button.

Continue to the Administratively Closing a Report section.

Using the Worklist

1. Click **My Reviews | Review Reports**.
2. In the Search area select the following and click **Search.**

   ROLE – 450 Certifier or DAEO (ECs and Assistants)
   FORM TYPE - OGE 450 or SF 278
   REPORTING STATUS- All
   REVIEW STATUS - All
   ACTION - All

Continue to the Administratively Closing a Report section.

Administratively Closing a Report

3. Click on **View** beside the report you wish to close. The Getting Organized page is displayed.

4. Click on the **Review Status** tab.

5. On the Review Status page, click on the **Admin Close** button. The Confirm Administratively Closing this Report page is displayed.

6. Enter a reason for closing the report in the Reason text box.

Include Report in Compliance Reporting

7. If the report should be counted as an assigned report for compliance purposes, select the Yes radio button. In most cases, No would be selected and is the default.

8. Click on the **Confirm** button. A message displays confirming that you wish to close this report.

9. Click **OK**. You return to the Review Status page. The report has been administratively closed.

Note: Although the report is removed from the **My Reviews | Work List** view, this report will continue to display under My Reviews | Review Report in the **Org Unit View mode.**

Ethics Training

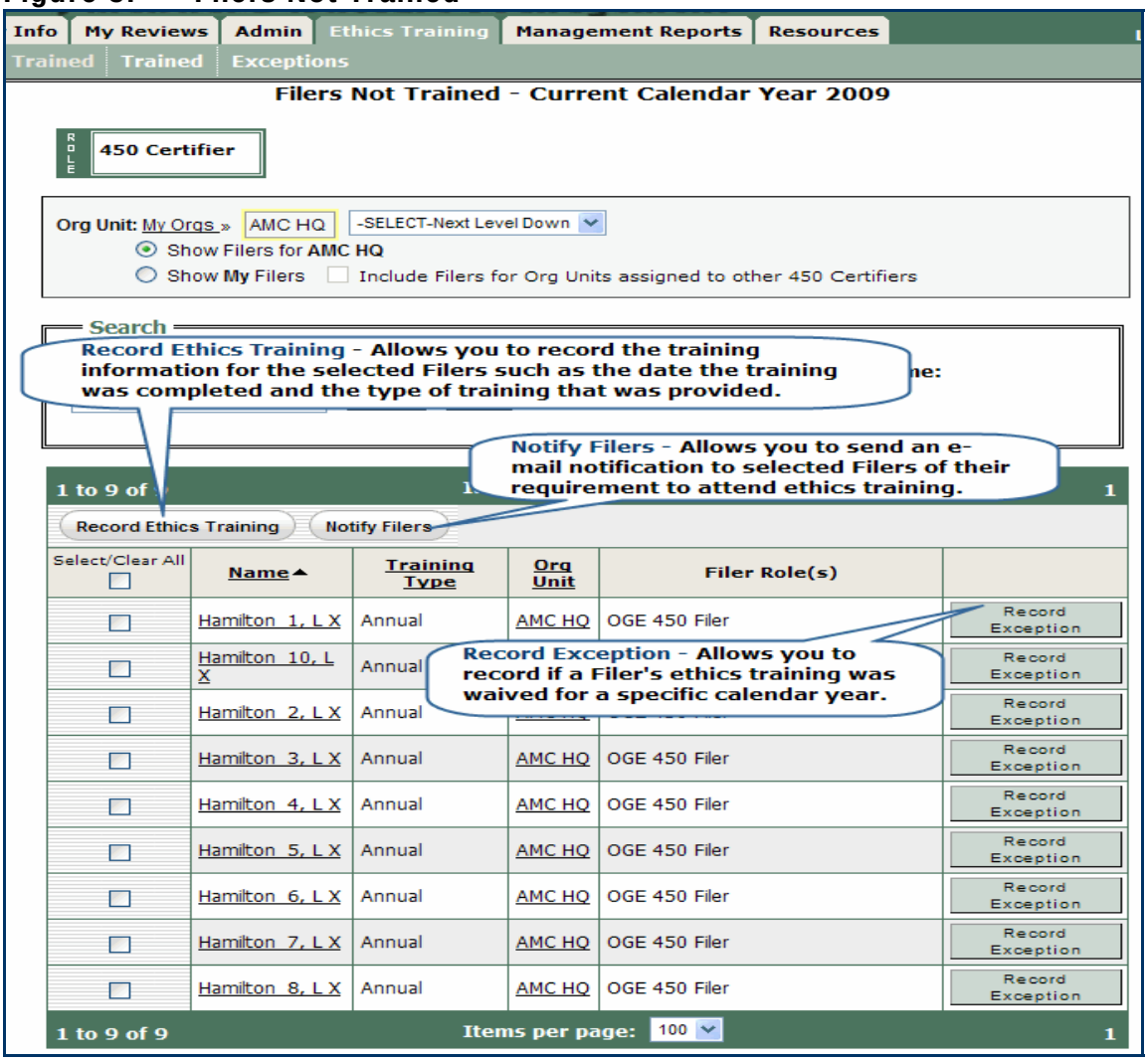
A new tool, Ethics Training, has been added to FDM that allows Ethics Officials track and record ethics training for FDM-registered OGE 450 and SF 278 Filers. The recorded information can later be compiled for the agency's annual ethics report to OGE. All FDM roles, except Filers have access to Ethics Training. A training recorder may create, view or update a Filer's training record only for Filers within their organization.

In the Department of Defense, any individual who is required to file a Financial Disclosure Report is required to attend annual ethics training. New Department employees receive Initial ethics training when (or within 90 days of) assuming a position that requires filing either an SF 278 (Public Financial Disclosure Report) or an OGE 450 (Confidential Financial Disclosure Report).

Filers Not Trained

On the Filers Not Trained page, you can notify Filers of where and when ethics training will be held and record that a Filer has completed their ethics training. You can send out an e-mail to multiple Filers if they are to attend the same ethics training. In addition, if multiple Filers took the same ethics training course, you can enter the information for all the Filers at one time. If a Filer's ethics training is waived for a calendar year, and this is generally very rare, the exception can also be recorded from this page.

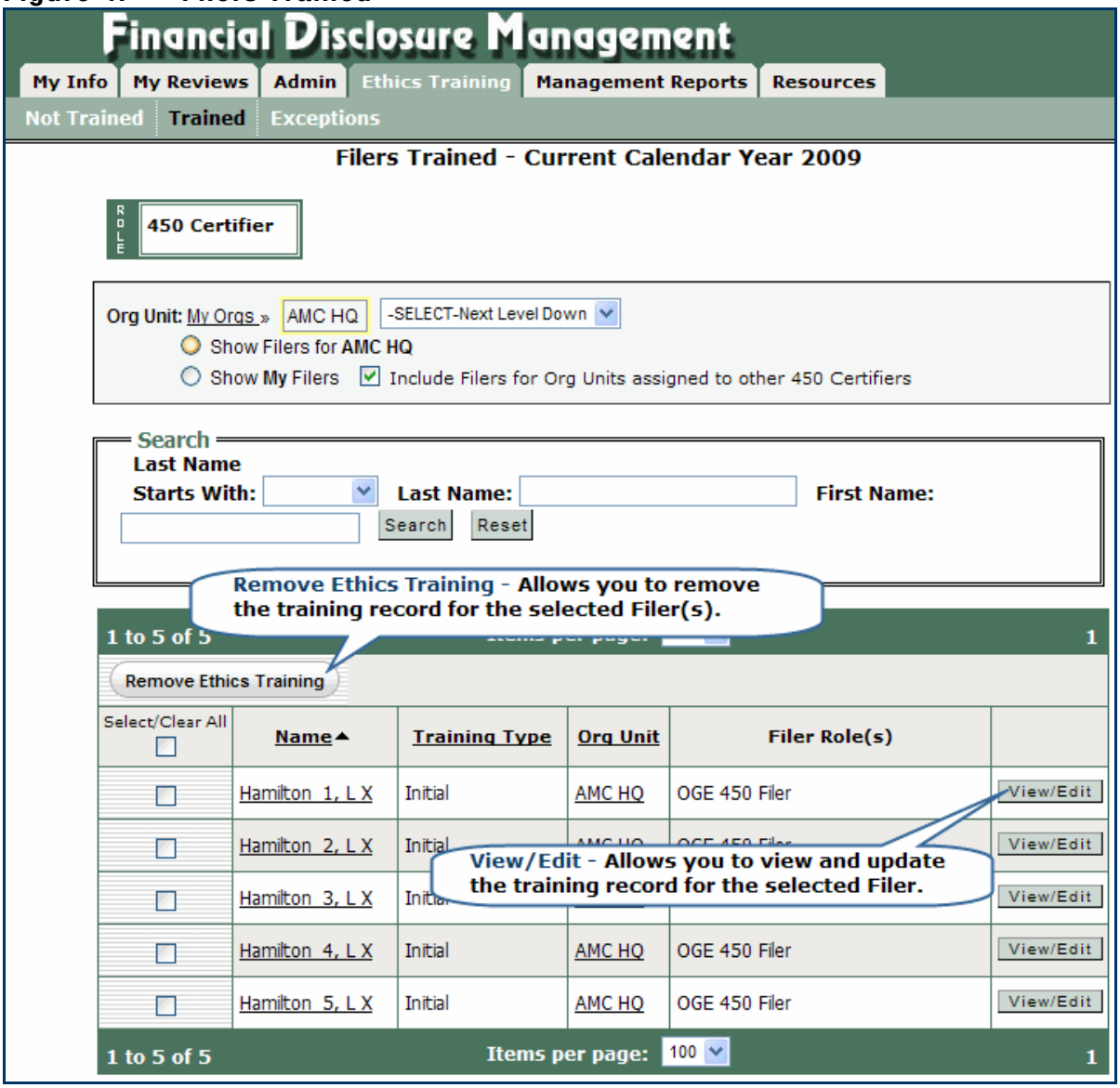
Figure 3. Filers Not Trained



Filers Trained

After the Filer's ethics training information has been recorded, the Filer's name moves from the Not Trained to the Trained page for the current year. On this page, you can view or edit a Filer's training record. You can also remove a Filer's ethics training record. If this is done, then the Filer's name is moved back to the Not Trained page.

Figure 4. Filers Trained



Ethics Training Exceptions

Although it is rare that an exception is granted because of the many different ways to access ethics training, some exceptions may be granted. If an exception is recorded for a Filer, the Filer's name will display on the Exceptions list. From the Ethics Training Exceptions page, you can view or edit a Filer's exception record. Should the Filer receive ethics training for that year, you can remove the exception from the Filer on the Exceptions list. The Filer's name will then move back to the Not Trained page where you can record the Filer's training information.

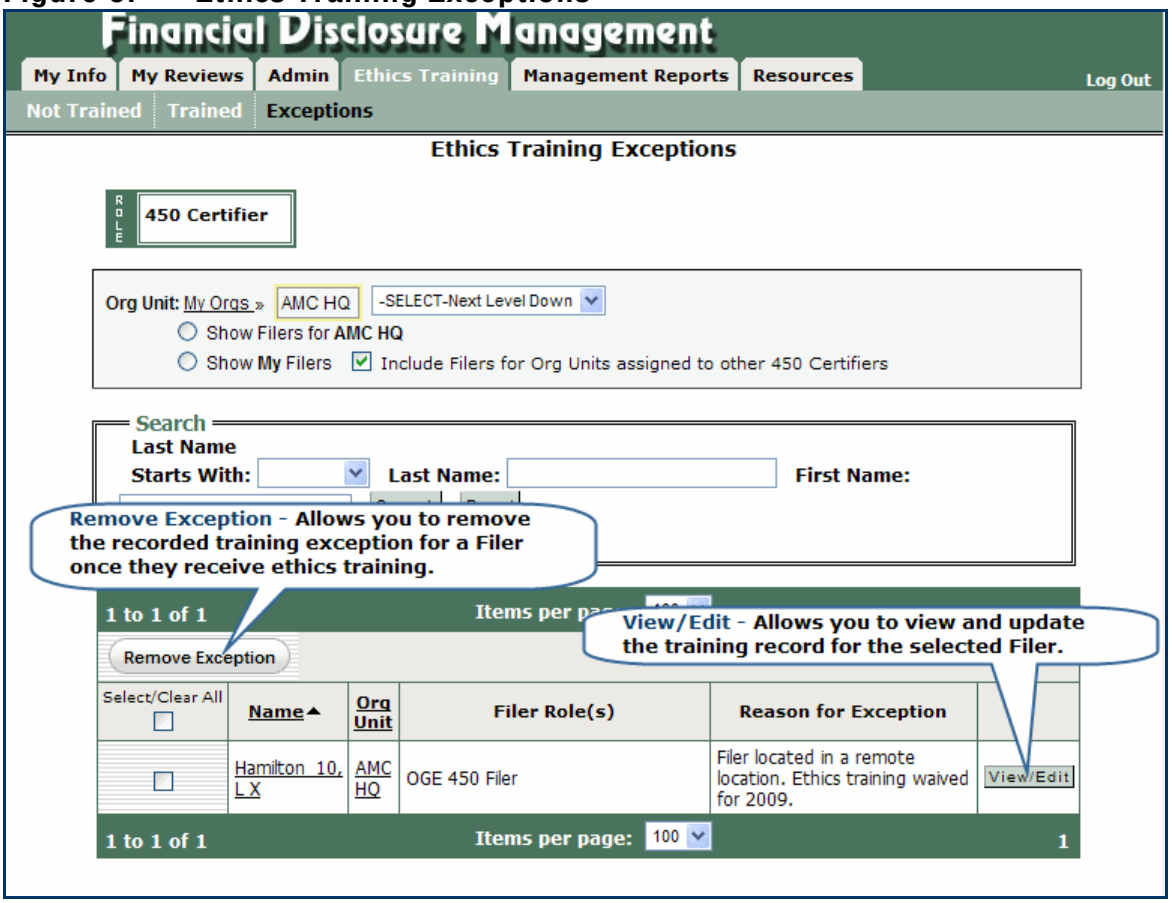
Exceptions for SF 278 Filers:

- Verbal training without a qualified instructor available or written training prepared by a qualified instructor will satisfy the verbal training requirement for a public filer (or group of public filers) if one hour of official duty time is provided for the training; and
- The designated agency ethics official (or his or her designee) makes a written determination that it would be impractical to provide verbal training with a qualified instructor available; or
- The employee is a special Government employee.

Exceptions for OGE 450 Filers:

- Written ethics training prepared by a qualified instructor will satisfy the verbal training requirement for a covered employee (or group of covered employees) if sufficient official duty time is provided for the training; and
- The designated agency ethics official (or his or her designee) makes a written determination that verbal training would be impractical;
- The employee is a special Government employee expected to work 60 or fewer days in a calendar year; or
- The employee is an officer in the uniformed services serving on active duty for 30 or fewer consecutive days.

Figure 5. Ethics Training Exceptions

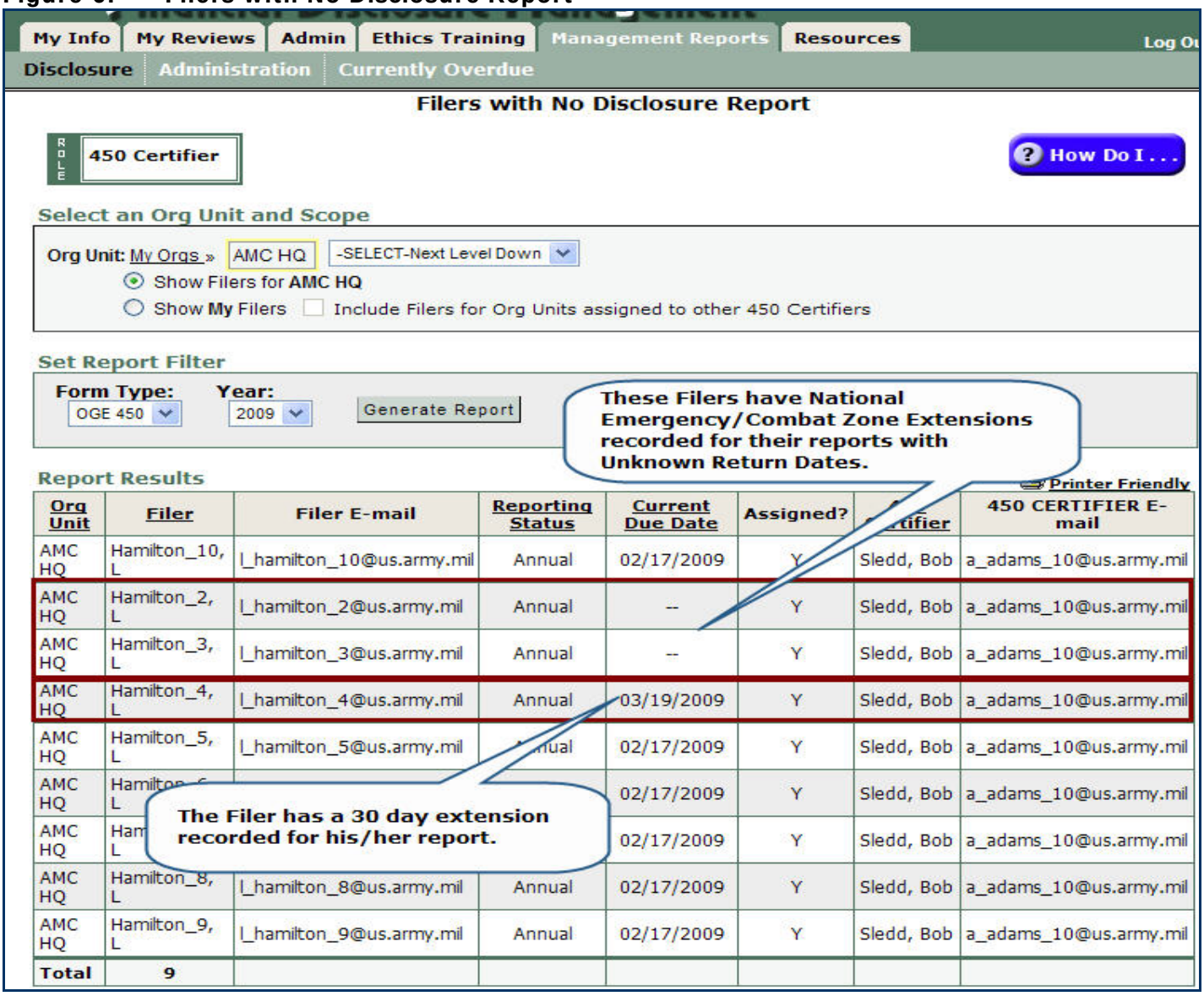


Management Reports

Filers with No Disclosure Report

The Current Due Date column on the Filers with No Disclosure Reports Management Report now reflects the correct due date when an extension is recorded for a Filer's report.

Figure 6. Filers with No Disclosure Report

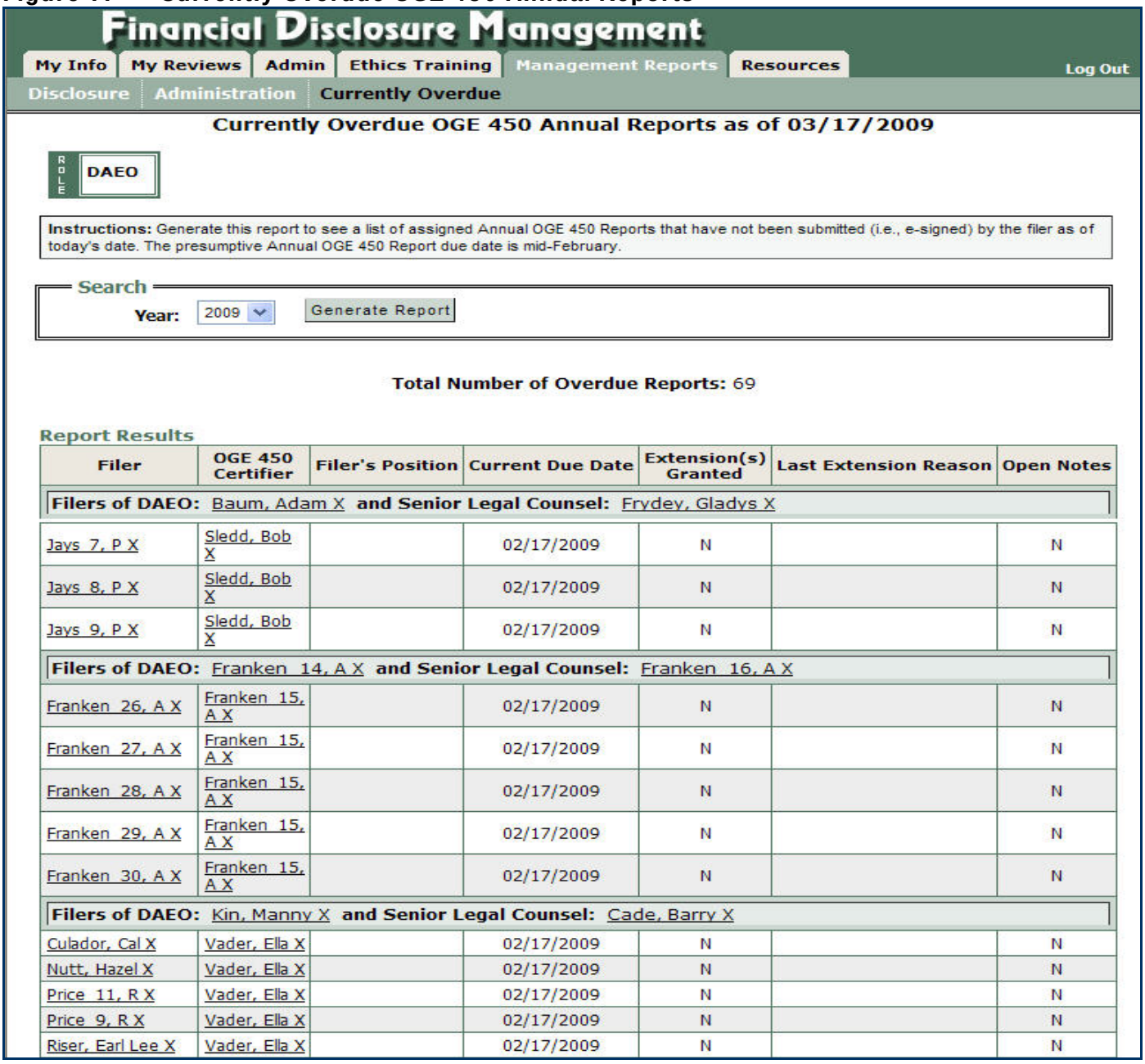


Org Unit	Filer	Filer E-mail	Reporting Status	Current Due Date	Assigned?	450 Certifier	450 CERTIFIER E-mail
AMC HQ	Hamilton_10, L	l_hamilton_10@us.army.mil	Annual	02/17/2009	Y	Sledd, Bob	a_adams_10@us.army.mil
AMC HQ	Hamilton_2, L	l_hamilton_2@us.army.mil	Annual	--	Y	Sledd, Bob	a_adams_10@us.army.mil
AMC HQ	Hamilton_3, L	l_hamilton_3@us.army.mil	Annual	--	Y	Sledd, Bob	a_adams_10@us.army.mil
AMC HQ	Hamilton_4, L	l_hamilton_4@us.army.mil	Annual	03/19/2009	Y	Sledd, Bob	a_adams_10@us.army.mil
AMC HQ	Hamilton_5, L	l_hamilton_5@us.army.mil	Annual	02/17/2009	Y	Sledd, Bob	a_adams_10@us.army.mil
AMC HQ	Hamilton_6, L			02/17/2009	Y	Sledd, Bob	a_adams_10@us.army.mil
AMC HQ	Ham L			02/17/2009	Y	Sledd, Bob	a_adams_10@us.army.mil
AMC HQ	Hamilton_8, L	l_hamilton_8@us.army.mil	Annual	02/17/2009	Y	Sledd, Bob	a_adams_10@us.army.mil
AMC HQ	Hamilton_9, L	l_hamilton_9@us.army.mil	Annual	02/17/2009	Y	Sledd, Bob	a_adams_10@us.army.mil
Total	9						

Currently Overdue Report

A new management report, Currently Overdue OGE 450 Annual Reports has been added to FDM. This report will allow DDAEOS, Senior Legal Counsels and 450 Certifiers to view data about late annual reports for the current year. A report will display if it was assigned, has a Review Status of Not Started or draft, and the reporting due date already occurred.

Figure 7. Currently Overdue OGE 450 Annual Reports

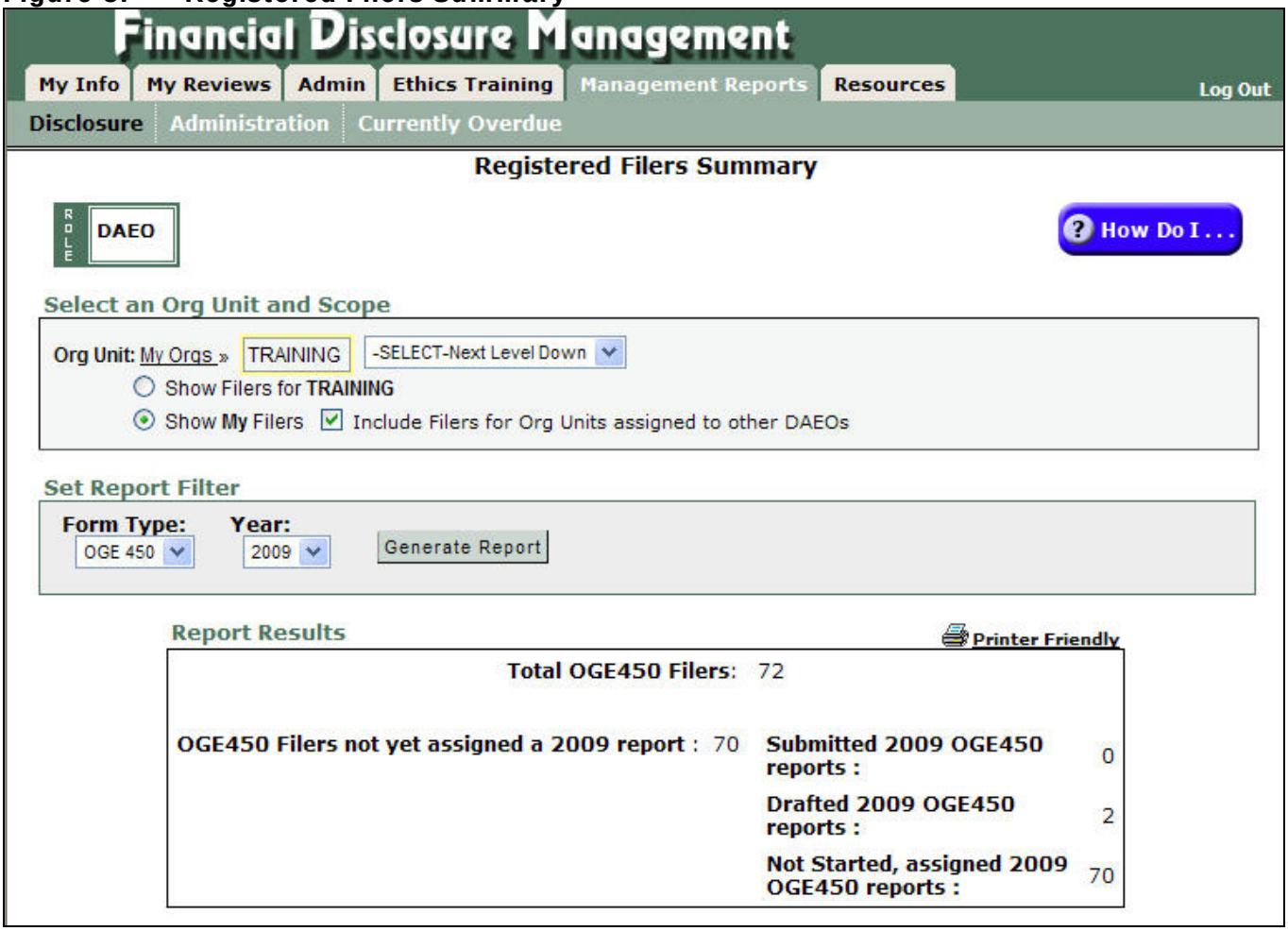


Filer	OGE 450 Certifier	Filer's Position	Current Due Date	Extension(s) Granted	Last Extension Reason	Open Notes
Filers of DAEO: Baum, Adam X **and Senior Legal Counsel:** Frydey, Gladys X						
Jays 7, P X	Sledd, Bob X		02/17/2009	N		N
Jays 8, P X	Sledd, Bob X		02/17/2009	N		N
Jays 9, P X	Sledd, Bob X		02/17/2009	N		N
Filers of DAEO: Franken 14, A X **and Senior Legal Counsel:** Franken 16, A X						
Franken 26, A X	Franken 15, A X		02/17/2009	N		N
Franken 27, A X	Franken 15, A X		02/17/2009	N		N
Franken 28, A X	Franken 15, A X		02/17/2009	N		N
Franken 29, A X	Franken 15, A X		02/17/2009	N		N
Franken 30, A X	Franken 15, A X		02/17/2009	N		N
Filers of DAEO: Kin, Manny X **and Senior Legal Counsel:** Cade, Barry X						
Culador, Cal X	Vader, Ella X		02/17/2009	N		N
Nutt, Hazel X	Vader, Ella X		02/17/2009	N		N
Price 11, R X	Vader, Ella X		02/17/2009	N		N
Price 9, R X	Vader, Ella X		02/17/2009	N		N
Riser, Earl Lee X	Vader, Ella X		02/17/2009	N		N

Registered Filer Summary

The Disclosure Report Summary management report has been renamed to Registered Filer Summary. This report shows summary information based on the selected report type, OGE 450 or SF 278 and the specified year.

Figure 8. Registered Filers Summary



SF278 Reports

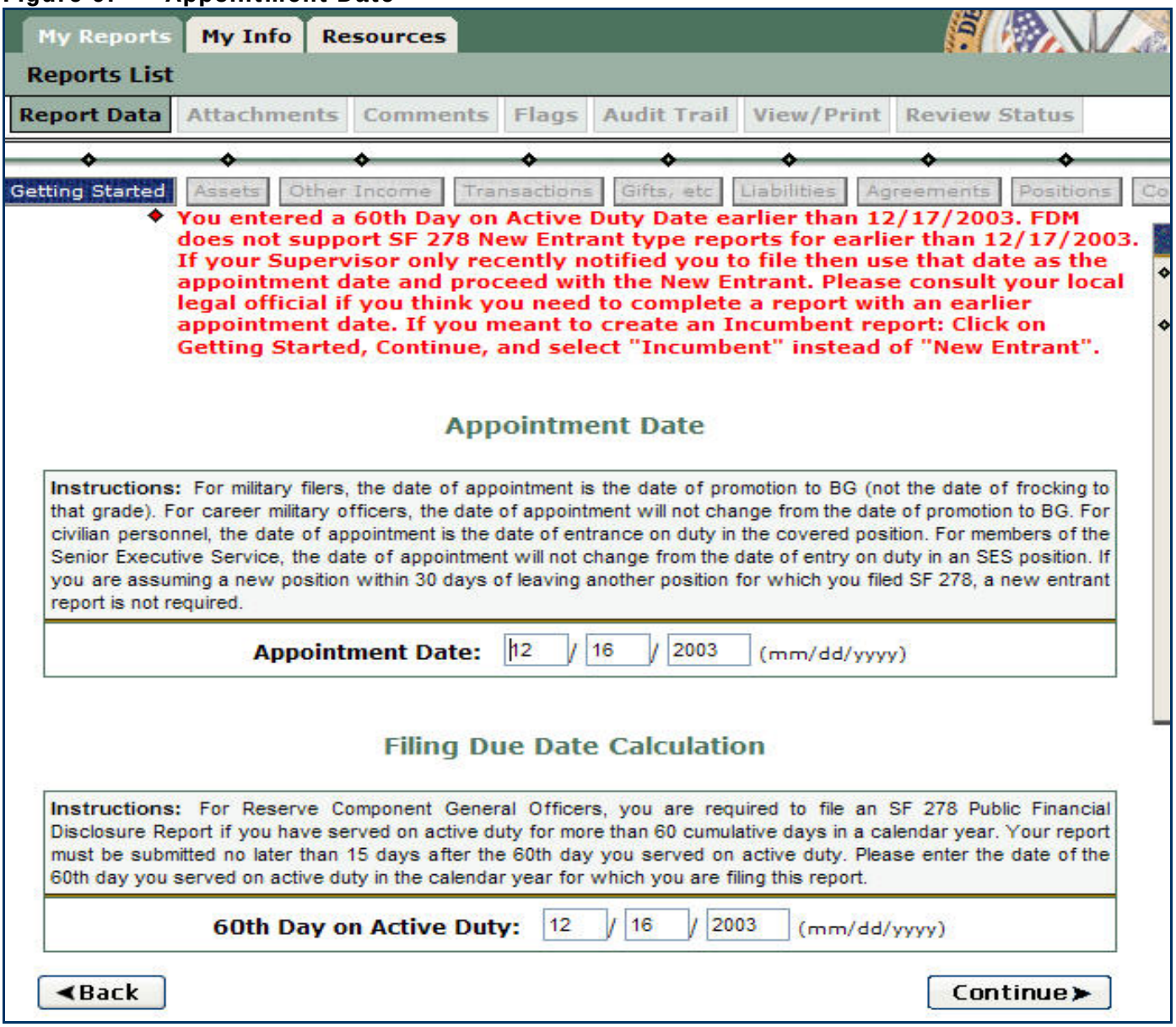
eSign Button

Previously, the eSign button did not display until at least the listed Supervisor or Senior Legal Counsel was selected on the eSign page. The eSign button now displays at all times on the SF 278 Wrap-up page.

Active Duty Date

FDM does not allow SF 278 New Entrant filers to enter a 60th Day on Active Duty Date that is earlier than 12/17/2003 on the Appointment Date page. A Filer, who enters a date that is earlier than the allowed date, is instructed to use the date notified to file this report or contact the local legal official.

Figure 9. Appointment Date



Reporting Period

SF 278 Filers can now change the reporting period for a report with a Review Status of Draft or Under Review. However, the Reporting Period cannot be changed for reports that were assigned to be completed in FDM.

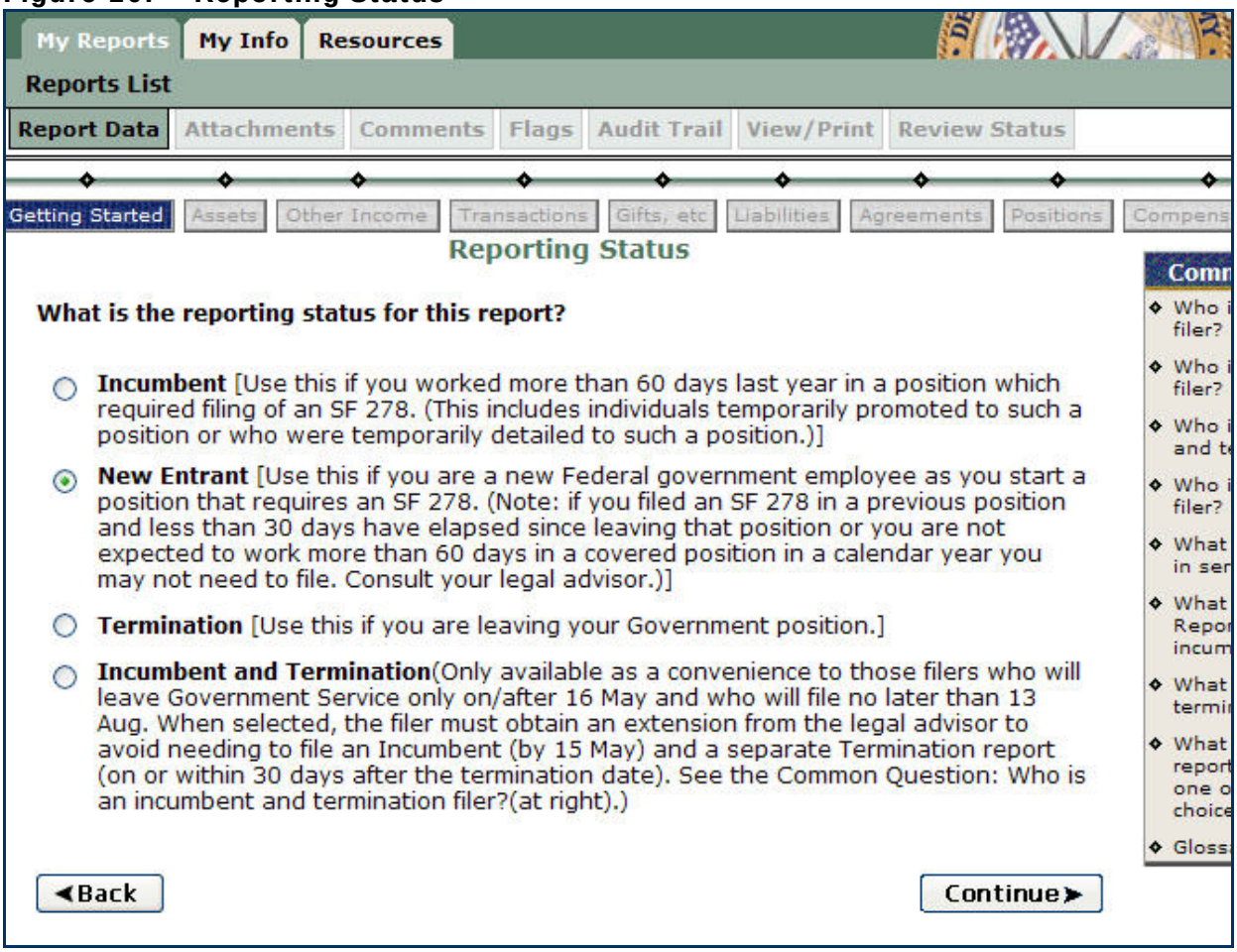
Combined Incumbent/Termination Reports

Filers are now prevented from submitting a combined SF278 Incumbent/Termination report if the entered termination date is May 15 or earlier of a given year. The Filer should return to the Reporting Status page and select Termination.

Reporting Status

To help new, first-time FDM users pick the correct reporting status, the Reporting Status page now includes detailed instructions regarding the different report options in FDM.

Figure 10. Reporting Status

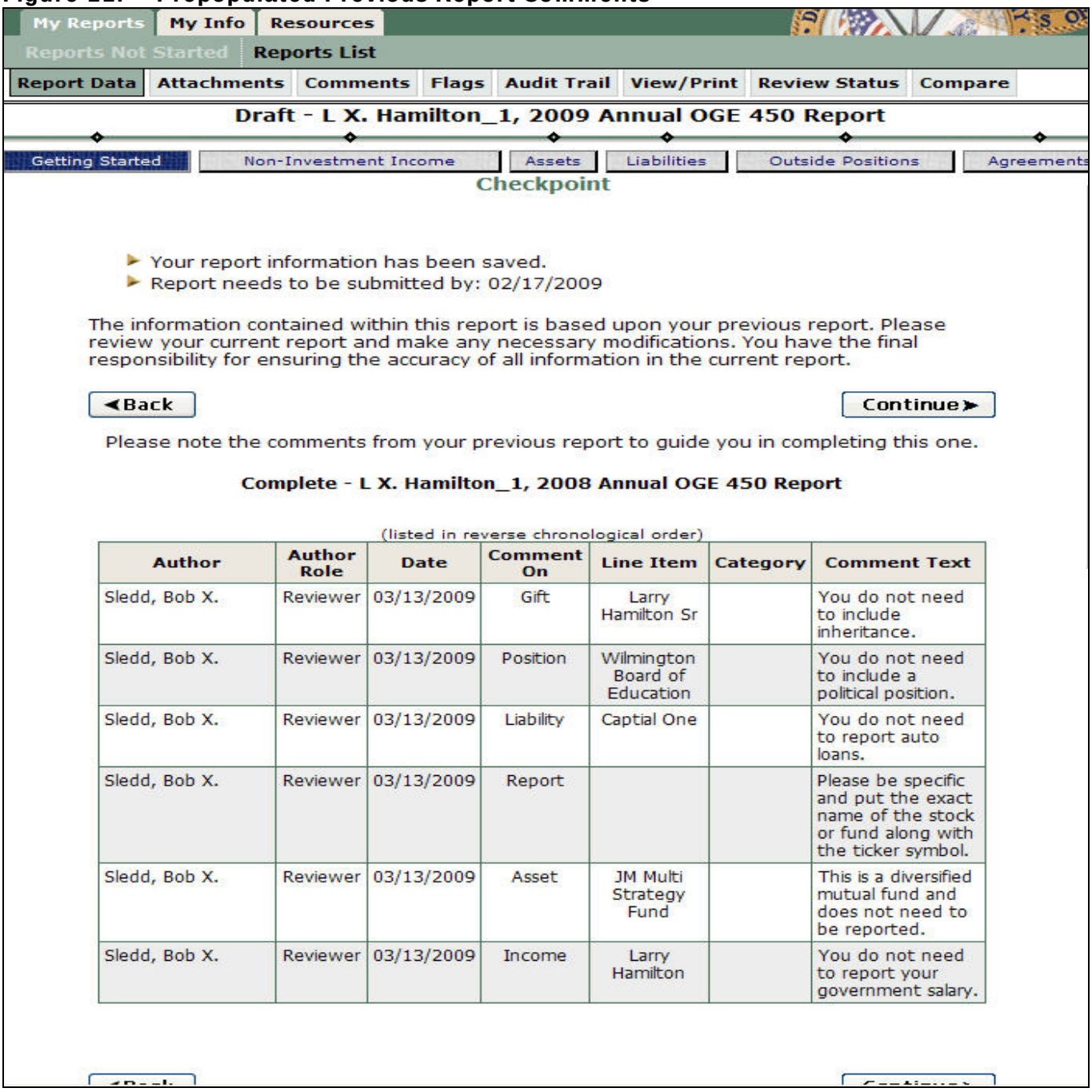


Report Comments

Previous Report Comments Prepopulate

The Checkpoint page now displays any previous report comments, Filer or Reviewer, when the Filer opts to prepopulate a report. This allows Filers to view any comments on the previous report. It will also help Filers avoid similar mistakes when creating the new report.

Figure 11. Prepopulated Previous Report Comments



Author	Author Role	Date	Comment On	Line Item	Category	Comment Text
Sledd, Bob X.	Reviewer	03/13/2009	Gift	Larry Hamilton Sr		You do not need to include inheritance.
Sledd, Bob X.	Reviewer	03/13/2009	Position	Wilmington Board of Education		You do not need to include a political position.
Sledd, Bob X.	Reviewer	03/13/2009	Liability	Captial One		You do not need to report auto loans.
Sledd, Bob X.	Reviewer	03/13/2009	Report			Please be specific and put the exact name of the stock or fund along with the ticker symbol.
Sledd, Bob X.	Reviewer	03/13/2009	Asset	JM Multi Strategy Fund		This is a diversified mutual fund and does not need to be reported.
Sledd, Bob X.	Reviewer	03/13/2009	Income	Larry Hamilton		You do not need to report your government salary.

Extensions

Senior Legal Counsels Able to Record Extensions

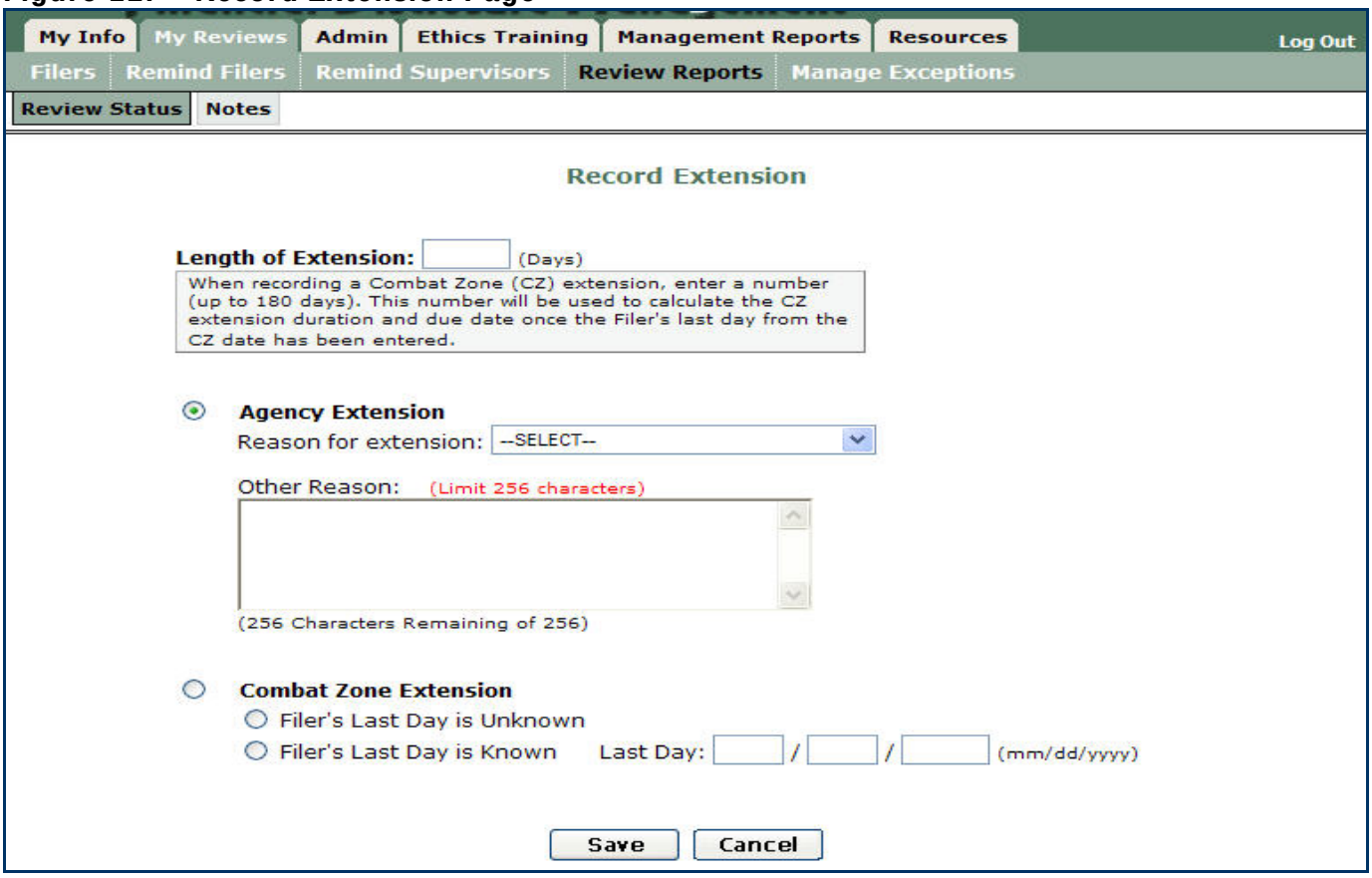
FDM now allows Senior Legal Counsels to record extensions for an SF 278. Extensions are managed on a Filer's report Review Status page via the **View / Edit Report Due Date & Extension** button.

Combat Zone/National Emergency Combat Zone Extensions

FDM now allows certifying authorities and their ECs to input an unknown due date when recording a Combat Zone/National Emergency Combat Zone Extension in FDM. Once the extension is recorded, the report's due date is "suspended" until the filer returns from the deployment. A report assignment with Combat Zone/National Emergency Combat Zone extensions recorded reside on the certifying authority's Manage Exceptions list until the filer returns and enters the return date in FDM.

When the filer begins a report in FDM, (s)he must input the date s/he returned, and a new due date for the report is then established. The report's current due date is determined by adding the number of extension days to the filer's return date.

Figure 12. Record Extension Page



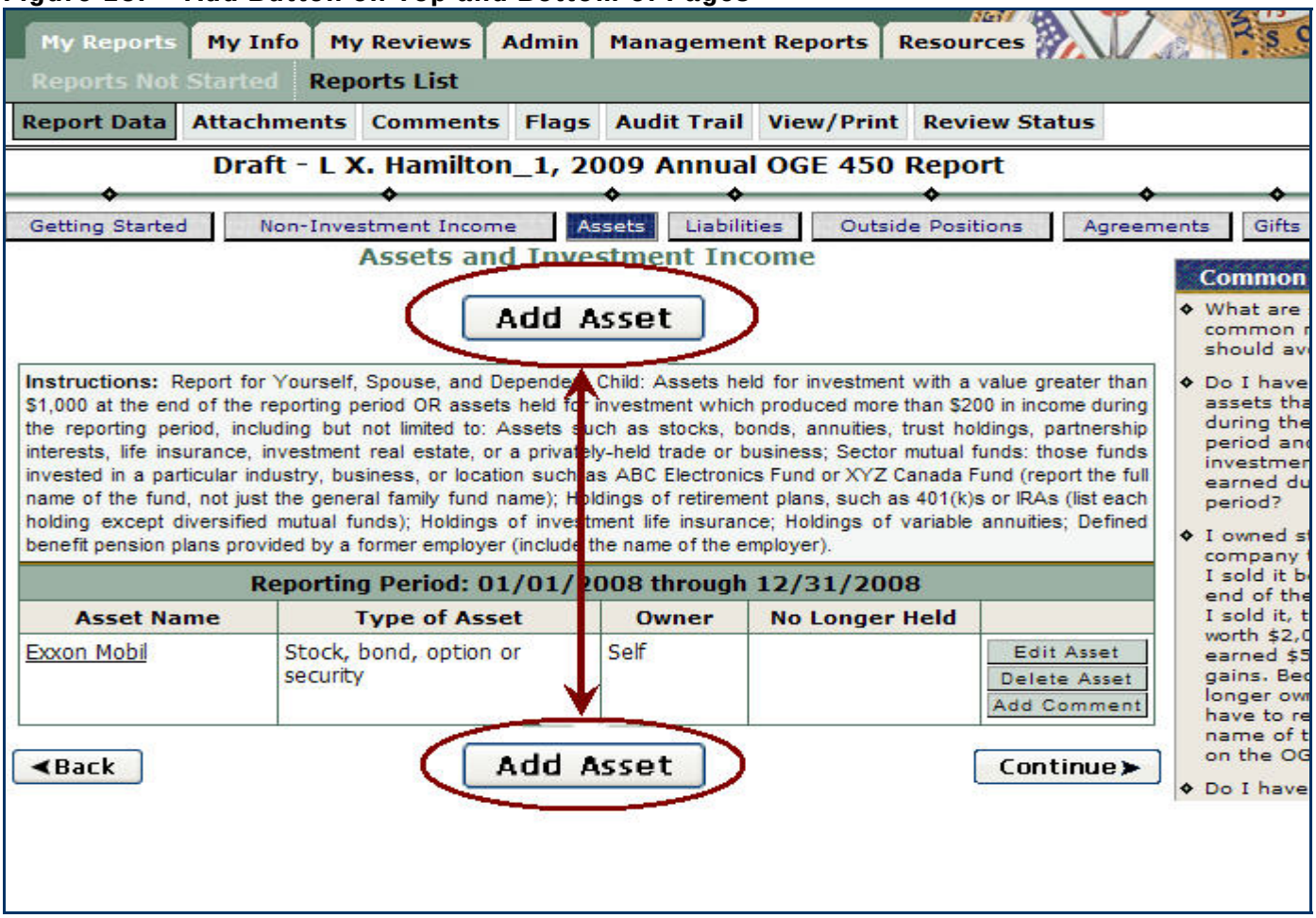
User Interface Improvements

Add Button Added at Top and Bottom of Pages

The following screens now have the Add button at the top of the page and the bottom to make inputting data into FDM easier:

- SF 278 Assets
- SF 278 Other Income
- SF 278 Transactions
- SF 278 Liabilities
- OGE 450 Non-Investment Income
- OGE 450 Assets
- OGE 450 Liabilities

Figure 13. Add Button on Top and Bottom of Pages

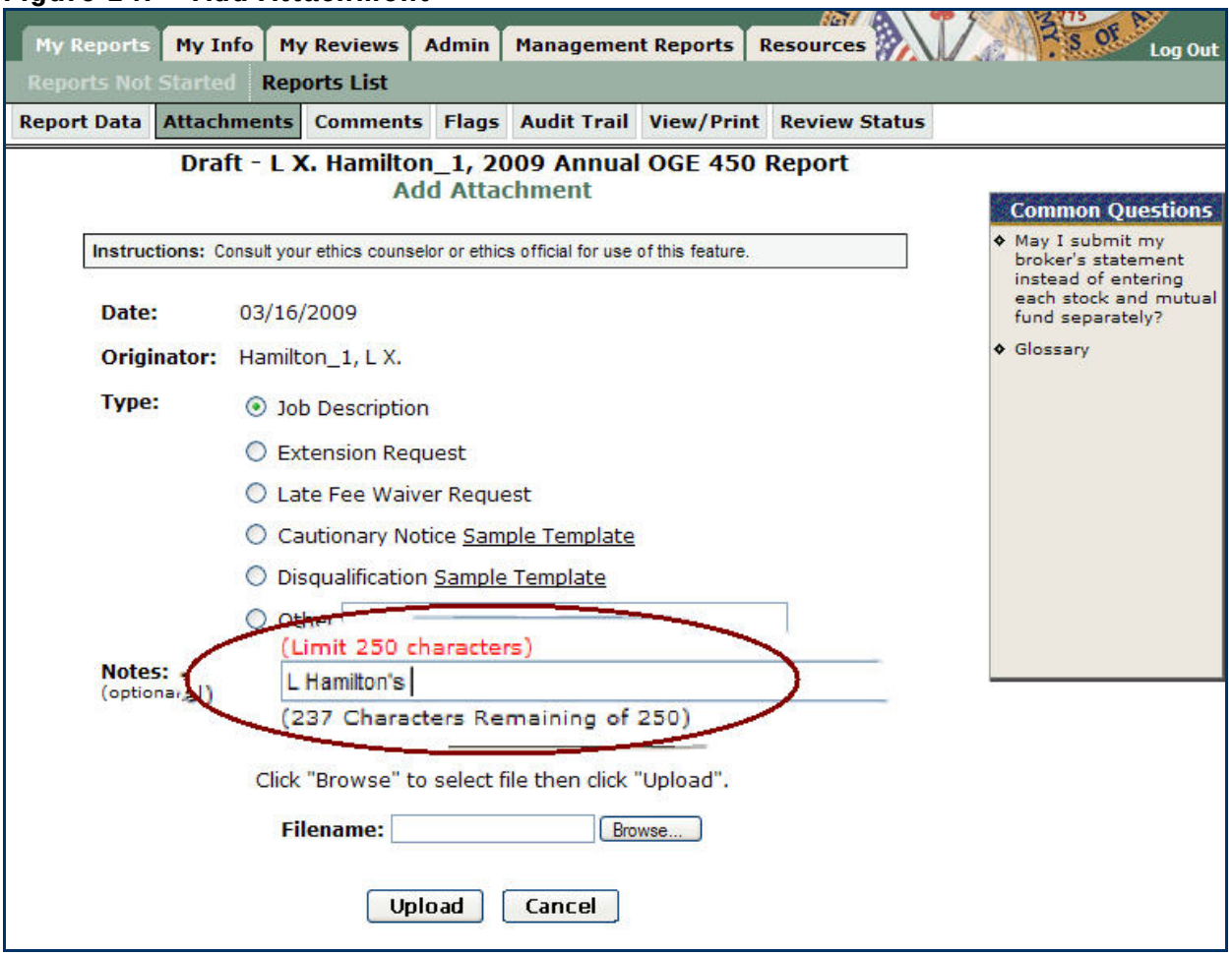


Text Input Fields

The following text input fields now indicate the character limit and number of characters left.

- SF278 Assets (Add/Edit) - Asset Name
- SF278 Transactions (Add/Edit) - Asset Name, Exchange
- SF278 Agreements (Add/Edit) - Status and Terms
- SF278 Compensation (Add/Edit) - Brief Description of Duties
- SF278 Gifts (Add/Edit) - Brief Description
- OGE450 Agreements (Add/Edit) - Status and Terms
- OGE450 Gifts (Add/Edit) - Description
- Attachments (Add/Edit) - Notes
- Comments (Add/Edit) - Comment on Report
- My Info-Required Activity (Add/Edit) -Record Extension-Add/Edit extension: Reason Text
- Flex Review Chain-Change a Review (Add/Edit) -Explanation Text
- Notes field on Notes tab (Add/Edit)

Figure 14. Add Attachment

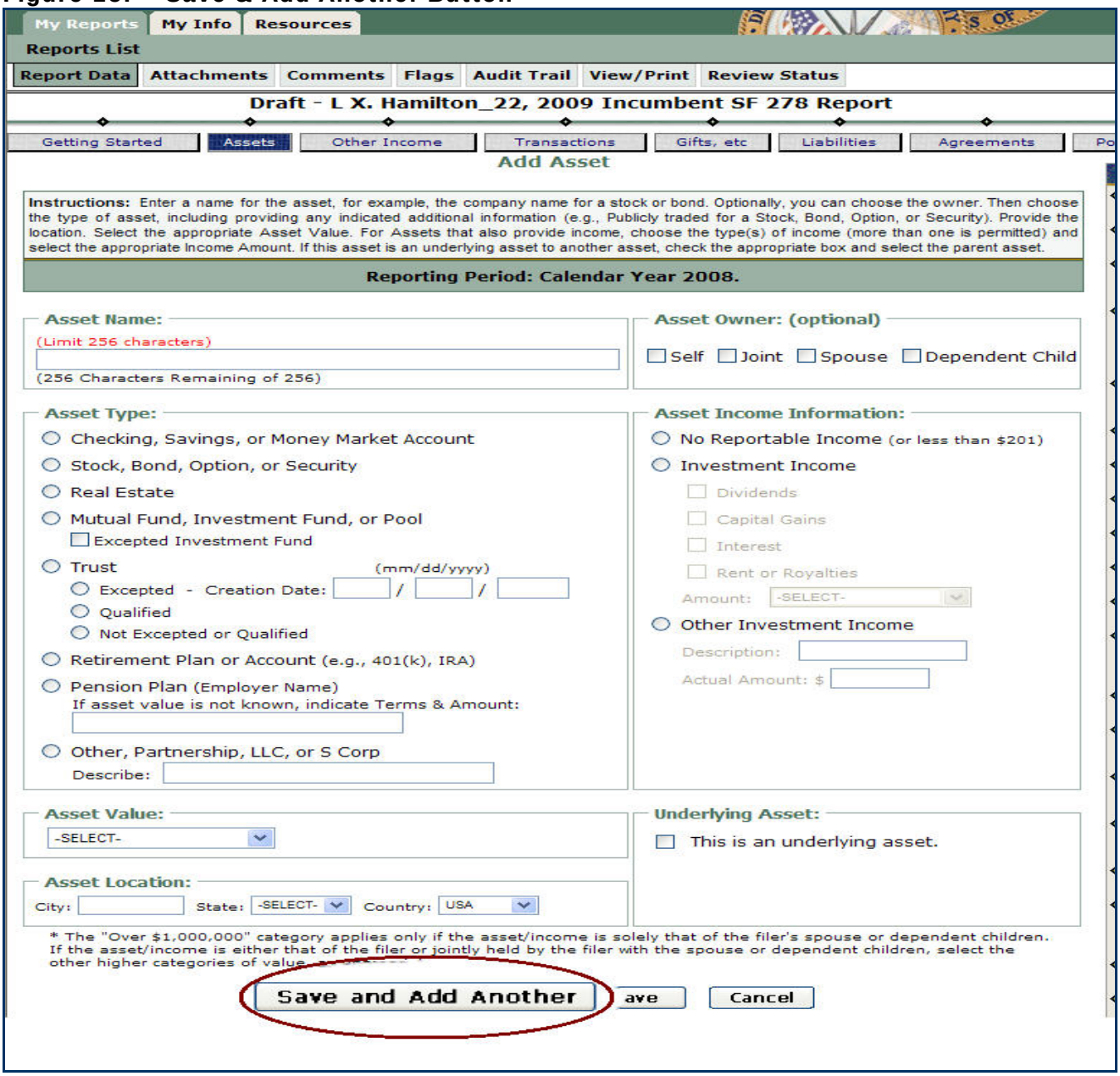


Save & Add Another Button

The following screens now have a Save and Add Another button on the bottom of the page to make inputting data into FDM easier and faster:

- SF 278 Add Asset
- SF 278 Transaction

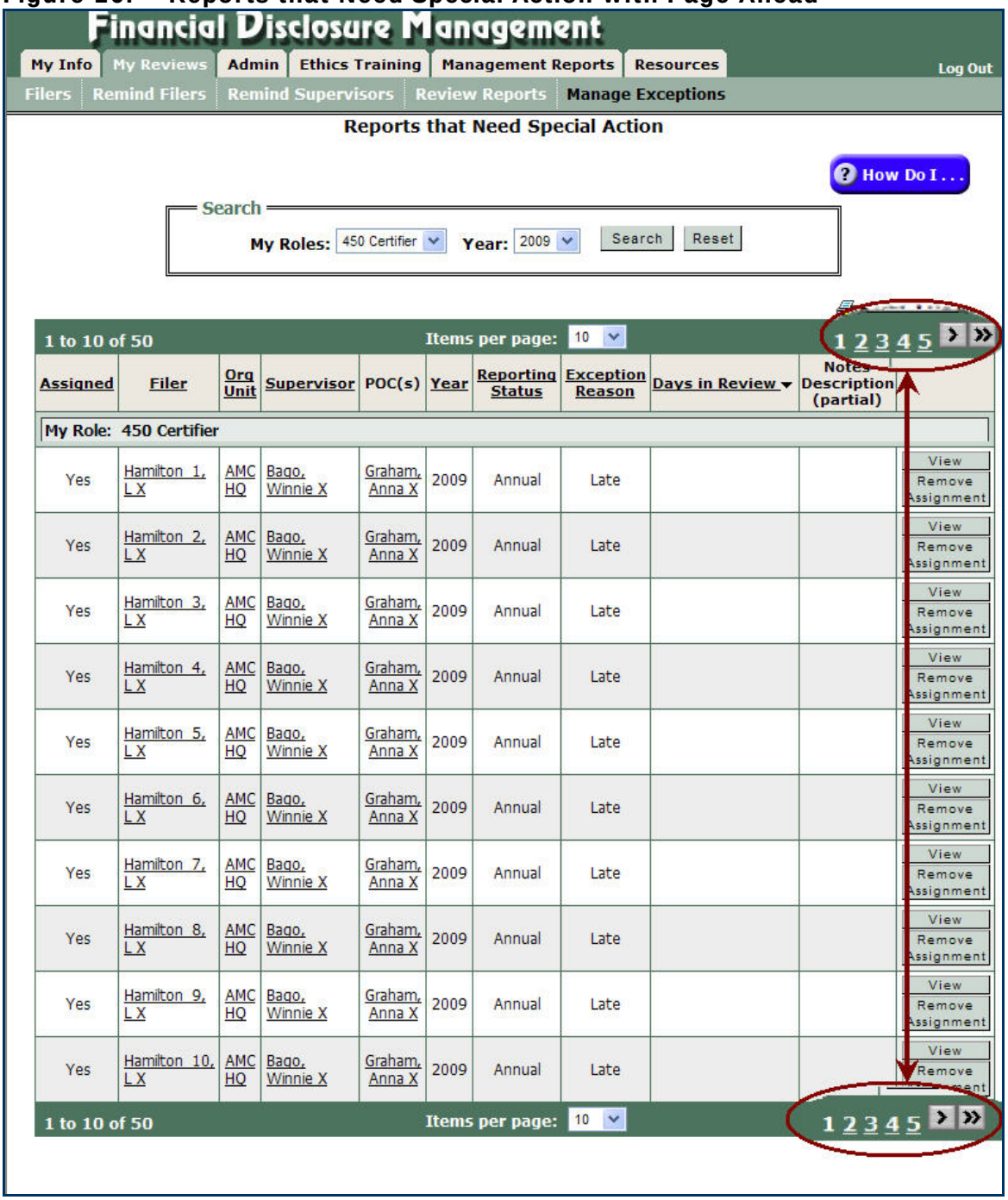
Figure 15. Save & Add Another Button



Page Ahead for List Pages

The page ahead tool now displays at the top of any FDM list pages as well as at the bottom.

Figure 16. Reports that Need Special Action with Page Ahead



Defects & Changes

Additional changes the 5.4 release of FDM.

SCR 3044 – A warning message now displays when trying to assign the same “acting” person to an org unit.

SCR 3471 – The radio button beside the Other Field on the Add Liability page is now automatically selected when a filer begins typing in the Other text field.

SCR 3498 – The message “Please wait, generating report.” now displays indicating that the PDF file is generating when a user elects to View/Print a report from FDM.

SCR 3710 – A new pop-up warning message displays when a DAEO clicks the Submit to DAEO button when the intermediate reviewer’s signatures are missing.

SCR 4203 – The Supervisor is no longer copied on the automatic notification when a SF 278 or OGE 450 filer role is removed.

SCR 4222 –The Back button now works on the Appointment Date page of a New Entrant.

SCR 4229 –No Reviewer information displays in the reviewer signature box when a reviewer is bypassed.

SCR 4299 –FDM now displays the actual sender of the notification.

SCR 4338 - The Previous Reports function has been updated to allow FDM Reviewers to view a copy of a Filer’s report without first sending an e-mail request.

SCR 4513 – The Add your optional text here box was now displays character count when text is pasted into the box

SCR 4617 – Country Code reference link has been added to the Common Questions section of the Contact Info pages for OGE 450 and SF 278 reports in FDM.

SCR 4618 – The Assign report pop-up message was corrected.

SCR 4620 – The message that displays when moving a Filer to the same/current org unit was corrected.

SCR 4623 – The Assign Report Audit Even Text has been corrected.

SCR 4658 – FDM will now truncate any phone numbers longer than 40 characters in length.

SCR 4706 - A Completed report with an open note now displays on the Reviewers Worklist.

SCR 4716 – The popup message wording message when decreasing an Asset Value has been updated.

SCR 4723 – The numbering in an Outside Positions Common Question has been corrected.

SCR 4726 – The New Entrant Reporting Status now displays only once in the dropdown list on the Worklist.

SCR 4742 –The word Different is now spelled correctly on the Report Not Started tab.

SCR 4760 –When a 450 Filer edits or amends a New Entrant report, an audit event is recorded to reflect the filer changing the appointment date.

SCR 4835 - Disclosure Detail Summary Results Table now includes a disclaimer “does not include assigned, not started.”

SCR 4861 – The Remind Filers list no longer includes reports with extensions recorded, so FDM no longer sends an erroneous reminder message to a Filer with the extension to start or complete the report.