

Financial Disclosure Management

6.0.2 Release Notes

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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 6.0.2:

6.0.2 Enhancements

Request Filer to Amend a Report

End Initial Review

Move Filer

Require Filer Category

Report Deletion

Report Review Success Score

Defects and Changes

Request Filer to Amend a Report

DAEOs, Senior Legal Counsels (SLCs), 450 Certifiers and their ECs may now request a filer amend their report on the Report's Review Status screen. FDM adds a report comment to the report once an amendment is requested. The reviewer can also add this comment as a Note to the report. This information then prepopulates into an e-mail the reviewer sends to the filer through the reviewer's e-mail application. Once the reviewer clicks Request Filer Amend, the report is only accessible on the Manage Exceptions page.

Note: Legal Reviewers can only request an amendment after the Filer has eSigned, while the report has a status of Under Review.

Figure 1. Review Status with Request Filer Amend

FDM TRAIN Test System
Financial Disclosure Management

My Info | My Reviews | Admin | Ethics Training | Management Reports | Resources

Filers | Remind Filers | Remind Supervisors | Review Reports | Manage Exceptions

Report Data | Attachments | Comments | Flags | Audit Trail | View/Print | Review Status | Previous

Under Review - Raine X. Storm, 2010 Annual OGE 450 Report
Review Status

450 Certifier [How Do I...]

Report Progress

Assigned: No [Assign]
 Filer Started: 10/04/2010
 Filer eSign and Submitted: 10/04/2010
 Amended:
 Completed:

Due Date & Extensions

Current Due Date: 02/16/2010
 [Extensions]
 [Extensions] recorded.

You can now request the Filer make an amendment directly from FDM.

Admin Close | Delete | **Request Filer Amend** | End Initial Review | eSign and Complete

Disclosure Report Reviews

Show Review Chain Controls | Review Chain Audit Trail

Reviewer Role	Currently Assigned Reviewer	Notify	Reviewer Type	End Initial Review Dates	eSigned/Signatures
Supervisor	Stormy X Sea	☑	Organization	10/04/2010 Sea, Stormy X. Supervisor	10/04/2010 Sea, Stormy X. Supervisor
Supervisor SLC	Brock X Lee	☑	Organization		
450 Certifier	Misty X Raine	☑	Organization		

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Figure 2. Amendment Request Comments & Notes Page

FDM TRAIN Test System
Financial Disclosure Management

My Info | My Reviews | Admin | Ethics Training | Management Reports | Resources | Log Out

Filers | Remind Filers | Remind Supervisors | Review Reports | Manage Exceptions

Report Data | Attachments | Comments | Flags | Audit Trail | View/Print | Review Status | Previous Reports | Notes

Request Filer Amend - Add Report Comment and Notes

Instructions: Request Filer Amend is a 3-step process. 1. Add a short comment about the amendment request. You may edit the initial text in the "Comment on Report" text box. 2. Add an eNote (may accept the default or expand it as needed). Reports with eNotes display on the My Reviews | Manage Exceptions tab (instead of the My Reviews | Review Reports Worklist view). 3. Email the Filer by clicking "Continue" below after composing your report comment and notes on this page. This action will open your email and include the text you entered in the Comment for further editing in the email.

Tips: To copy and paste all or part of your Comment text into the Notes box: 1. Place your cursor at the beginning of the text you want to copy 2. Hold down the LEFT mouse button while you drag/highlight across the text. 3. Click the RIGHT mouse button and select COPY from the menu. 4. Place your cursor in the Notes box. 5. Click the RIGHT mouse button and select PASTE from the menu.

Comment on Report: (Limit 500 characters)
Date: 10/04/2010 **Author:** Misty X. Raine

Report returned to filer for amendment. Please amend and add underlying assets to your retirement plan asset.

(392 Characters Remaining of 500)

Notes: (Limit 10,000 characters)

10/4/2010 by Raine, Misty X. - Report returned to filer for amendment. Please amend and add underlying assets to your retirement plan asset.

(9860 Characters Remaining of 10000)

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Figure 3. Review Status with Amendment Request Message

The screenshot shows a web application interface for reviewing reports. At the top, there are navigation tabs: My Info, My Reviews, Admin, Ethics Training, Management Reports, Resources, and Log Out. Below these are sub-tabs: Filers, Review Reports, and Manage Exceptions. The main content area is titled 'Under Review - Demo 278Filer5, 2010 Incup' and 'Review Status'. A callout box points to a yellow message: 'Amendment Request Completed'. Below this, there are two main sections: 'Report Progress' and 'Due Date & Extensions'. The 'Report Progress' section shows 'Assigned: Yes' with a 'Remove Assignment' button, and 'Filer Started: 10/07/2010' and 'Filer eSign and Submitted: 10/07/2010'. The 'Due Date & Extensions' section shows 'Current Due Date: 05/17/2010' and a 'View/Edit Due Date & Extensions' button. Below these sections are buttons for 'Admin Close', 'Delete', 'Request Filer Amend', and 'Submit to DAEO'. At the bottom, there is a 'Disclosure Report Reviews' table with columns for Reviewer Role, Currently Assigned Reviewer, Notify, Reviewer Type, End Initial Review Dates, and eSigned/Signatures.

Report Progress

Assigned: Yes

Filer Started: 10/07/2010

Filer eSign and Submitted: 10/07/2010

Amended:

Submitted for Certification:

Completed:

Due Date & Extensions

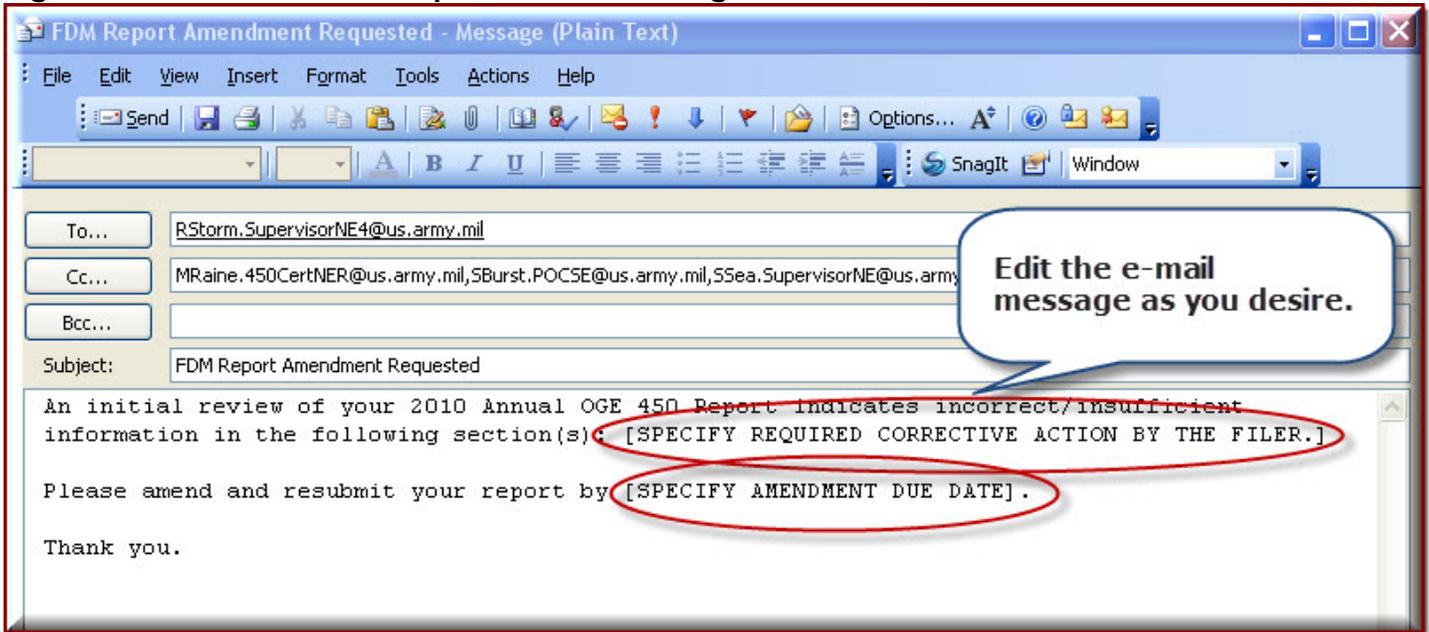
Current Due Date: 05/17/2010

No extensions have been recorded.

Disclosure Report Reviews

Reviewer Role	Currently Assigned Reviewer	Notify	Reviewer Type	End Initial Review Dates	eSigned/Signatures
Supervisor	Public X SupervisorPOC	<input checked="" type="checkbox"/>	Organization		
Supervisor SLC	Brock X Lee	<input checked="" type="checkbox"/>	Organization		
Senior Legal Counsel	Brock X Lee	<input checked="" type="checkbox"/>	Organization		
DAEO	DemoOGC X DAEO	<input checked="" type="checkbox"/>	Organization		

Figure 4. Amendment Request e-mail Message



Determining if an Amendment was Requested

The Notes column on the Manage Exceptions display of reports will reflect the most recent Note on a report. If that is the "amendment requested" note, you will see it as shown below. To determine if an amendment was requested for a specific report, go to **My Reviews | Manage Exceptions**. When viewing the report click the **Comments** tab to review the amendment request. The Notes Description shows a partial description of the Amendment Request if the request was the last Note for the Report.

Note: A report that has an Amendment Request will remain on the Manage Exceptions list until the report is certified complete in FDM.

Figure 5. Manage Exceptions with Amendment Request

The screenshot displays the 'Manage Exceptions' interface. At the top, there are navigation tabs: My Info, My Reviews, Admin, Ethics Training, Management Reports, Resources, Filers, Remind Filers, Remind Supervisors, Review Reports, and Manage Exceptions. Below the tabs is a search area with 'My Roles' set to '450 Certifier' and 'Year' set to '2010'. A callout bubble points to the 'Notes Description' column of a table row, stating: 'The Notes Description indicates that the Report was returned to the Filer for Amendment.' The table row shows: No, Storm, Raine X, North East Region, Sea, Stormy X, Burst, Starr X, 2010, Annual, Open Notes, 1. The Notes Description text is: '10/4/2010 by Raine, Misty X. - Report returned to'. The interface also shows 'Items per page: 100' and '1 to 1 of 1'.

Assigned	Filer	Org Unit	Supervisor	POC (s)	Year	Reporting Status	Exception Reason	Days in Review	Notes Description (partial)
No	Storm, Raine X	North East Region	Sea, Stormy X	Burst, Starr X	2010	Annual	Open Notes	1	10/4/2010 by Raine, Misty X. - Report returned to

Figure 6. Comments page with an Amendment Request

The screenshot displays a web application interface for reviewing reports. At the top, there is a navigation menu with tabs: My Info, My Reviews, Admin, Ethics Training, Management Reports, and Resources. Below this is a secondary menu with: Filers, Remind Filers, Remind Supervisors, Review Reports, and Manage Exceptions. A third menu contains: Report Data, Attachments, Comments, Flags, Audit Trail, View/Print, Review Status, and Previous Reports. The main heading reads "Under Review - Raine X. Storm, 2010 Annual OGE 450 Report".

The "Comments" section is titled "Comments" and is "(listed in reverse chronological order)". It contains a table with the following data:

Author	Author Role	Date	Comment On	Line Item	Category	Comment Text	
Raine, Misty X.	Reviewer	10/04/2010	Report			Report returned to filer for amendment. Please amend and add underlying assets to your retirement plan asset.	Edit Comment
Raine, Misty X.	Reviewer	10/04/2010	Report			Report returned to filer for amendment.	Edit Comment

Below the table is an "Add Report Comment" button. A callout box points to the first comment, stating: "The Comments Text indicates the report was returned to the Filer for Amendment." The text in the callout box is bolded. The text in the first comment is circled in red.

At the bottom of the page, there is a footer: "Security and Privacy Notice | Help | Accessibility | Developed by: CFCOM LCMC".

End Initial Review

The **End Review** button is renamed **End Initial Review**. Clicking **End Initial Review** now indicates that a reviewer has conducted an initial review of a financial disclosure report. Ending Initial Review is not the same as eSigning a report as it does not sign the report or change the report's status from Under Review. You can still add comments to the disclosure after you have ended your initial review.

The **End Initial Review** feature helps Ethics Officials demonstrate compliance with OGE's 60-day report review rule. See Joint Ethics Regulation 7-206c(7) (Department of Defense reviewers); 5 C.F.R. § 2634.605 Review of reports (OGE 450s).

End Initial Review confirms that you reviewed but are not ready to eSign this report (e.g., perhaps you want the Filer to provide more information or amend the report). **End Initial Review** is an optional feature that is unnecessary when the reviewer eSigns the report within 60 days after the Filer eFiles. Ethics Officials (e.g., Ethics Counselors and Assistants) should use this feature to comply with the Office of Government Ethics' 60-day review requirement for those reports that they are not ready to certify Complete within 60 days after the Filer eFiles. One Ethics Official assigned to review the report should **End Initial Review** within 60 days after the Filer eFiles if the report will not be certified "Complete" until over 60 days after the Filer eFiled. If the filer amends the report after you recorded your initial review, review the report again and either "End Initial Review" or eSign and Complete it.

Note: The Days in Review counter does not stop when a reviewer clicks the End Initial Review button. Days in Review only stops after a certifying authority eSigns and completes a report.

Figure 7. Review Status with End Initial Review button

FDM TRAIN Test System
Financial Disclosure Management

My Info | My Reviews | Admin | Ethics Training | Management Reports | Resources

Filers | Remind Filers | Remind Supervisors | Review Reports | Manage Exceptions

Report Data | Attachments | Comments | Flags | Audit Trail | View/Print | Review Status | Previous Report

Under Review - Raine X. Storm, 2010 Annual OGE 450 Report
Review Status

450 Certifier

How Do I ...

Report Progress

Assigned: No

Filer Started: 10/04/2010

Filer eSign and Submitted: 10/04/2010

Amended:

Completed:

Due Date & Extensions

Current Due Date: 02/16/2010

Click End Initial Review to signify that you conducted an initial review of a financial disclosure report.

Admin Close | Delete | Request Filer Amend | **End Initial Review** | eSign and Complete

Disclosure Report Reviews

Show Review Chain Controls | Review Chain Audit Trail

Reviewer Role	Currently Assigned Reviewer	Notify	Reviewer Type	End Initial Review Dates	eSigned/Signatures
Supervisor	Stormy X Sea	<input checked="" type="checkbox"/>	Organization	10/04/2010 Sea, Stormy X. Supervisor	10/04/2010 Sea, Stormy X. Supervisor
Supervisor SLC	Brock X Lee	<input checked="" type="checkbox"/>	Organization		
450 Certifier	Misty X Raine	<input checked="" type="checkbox"/>	Organization		

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Move Filer

FDM presumes that when you move a Filer you also want to move any Assigned, incomplete reports so FDM now defaults to “check” the **Move Report with Filer** checkbox when you move a Filer to a new Org Unit within your agency.

Note: For Filers being moved between FDM agencies: the losing agency needs to delete the assigned report so the gaining agency can assign one. If the Filer has already started a report, please contact the [FDM Webmaster](#) for assistance.

Figure 8. Confirm Move Filer

FDM TRAIN Test System
Financial Disclosure Management

My Info | My Reviews | Admin | Ethics Training | Management Reports | Resources | Log Out

Filers | POCs | Supervisors | Users | Org Units

Confirm Move OGE 450 Filer

Are you sure you want to move **Clark X. Barr** as a **OGE 450 Filer** from **South East Region** to **North East Region**?

Notes:

- This person is currently an OGE 450 Filer in Org Unit : **South East Region**

Move Reports option:

- This filer has the following reports that can be moved with this filer.

Move Report with Filer?	Year	Form Type	Reporting Status	Review Status	Assigning Org Unit
<input checked="" type="checkbox"/>	2010	OGE 450	New Entrant	Under Review	South East Region

Move Report with Filer selection box is now automatically checked now.

Confirm Cancel

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Require Filer to pick a Filer Category

SF 278 Filers must now select a Filer Category on the Getting Organized page. The Filer Category selection is a statistical requirement for the annual Agency report to the Office of Government Ethics and will be included on that annual report.

Figure 9. Getting Organized Page with Filer Category

FDM TRAIN Test System

Financial Disclosure Management

My Reports | My Info | Resources | Log Out

Reports List

Report Data | Attachments | Comments | Flags | Audit Trail | View/Print | Review Status

Getting Started | Assets | Other Income | Transactions | Gifts, etc | Liabilities | Agreements | Positions | Compensation | Wrap Up

Getting Organized

Are you a Special Government Employee?
 No Yes

Please Select a Filer Category:

- SELECT-
- PAS
- Non-Career SES
- Career SES
- Schedule C
- Military
- Other

Common Questions

- What information might help me prepare this report?
- How is the information that I report used?
- Do I report my spouses' assets if we are separated?
- How is my financial information protected?
- Who is a Special Government Employee (SGE)?
- What is my Filer category?
- Open a SF 278 Instructions**
- Open a blank SF 278**
- Glossary

Continue ▶

Report Deletion

DAEOs, 450 Certifiers and their ECs can delete or remove OGE 450 and SF 278 reports that are past the 6-year retention period, otherwise unneeded, erroneous, and/or "Admin Closed" from FDM. This feature allows you to get rid of abandoned Draft reports left in FDM after a Filer was deleted, as well as incomplete reports that will never be completed (e.g., perhaps because the Filer left the organization) and those reports that are "Admin Closed".

A report is eligible for deletion if:

- ❖ the report has a Review Status of Certified Complete and the date is six years after the last Filer eSign date.
- ❖ the report has a Review Status of Completed without signature and the date is six years after the report completion date.
- ❖ the report has a Review Status of Draft.
- ❖ the report has a Review Status of Under Review.

Note: Once a report is deleted from FDM, it cannot be recovered. ⚠ Exercise caution in deleting reports.

Figure 10. Review Status with Delete

FDM TRAIN Test System
Financial Disclosure Management

My Info | My Reviews | Admin | Ethics Training | Management Reports | Resources

Filers | Remind Filers | Remind Supervisors | Review Reports | Manage Exceptions

Report Data | Attachments | Comments | Flags | Audit Trail | View/Print | Review Status | Previous

Under Review - Raine X. Storm, 2010 Annual OGE 450 Report
Review Status

450 Certifier ? How Do I ...

Report Progress

Assigned: No Assign

File Started:

File eSign Submitted:

Amended:

Completed:

Due Date & Extensions

Current Due Date: 02/16/2010

View/Edit Due Date & Extensions

No extensions have been recorded.

Admin Close | **Delete** | Request Filer Amend | End Initial Review | eSign and Complete

Disclosure Report Reviews

Show Review Chain Controls Review Chain Audit Trail

Reviewer Role	Currently Assigned Reviewer	Notify	Reviewer Type	End Initial Review Dates	eSigned/Signatures
Supervisor	Stormy X Sea	<input checked="" type="checkbox"/>	Organization	10/04/2010 Sea, Stormy X. Supervisor	10/04/2010 Sea, Stormy X. Supervisor
Supervisor SLC	Brock X Lee	<input checked="" type="checkbox"/>	Organization		
450 Certifier	Misty X Raine	<input checked="" type="checkbox"/>	Organization		

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Figure 11. Delete Report Confirmation and Warning

The screenshot displays the FDM TRAIN Test System interface. At the top, the title "FDM TRAIN Test System" is overlaid in red. The main header is "Financial Disclosure Management" with the Department of the Army's seal on the right. A navigation bar includes tabs for "My Info", "My Reviews", "Admin", "Ethics Training", "Management Reports", and "Resources", with a "Log Out" link. Below this is a secondary navigation bar with "Filers", "Remind Filers", "Remind Supervisors", "Review Reports", and "Manage Exceptions". A third bar contains tabs for "Report Data", "Attachments", "Comments", "Flags", "Audit Trail", "View/Print", "Review Status", "Previous Reports", and "Notes".

The main content area shows the report title "Under Review - Raine X. Storm, 2010 Annual OGE 450 Report" and the sub-header "Confirm Permanent Report Deletion - Warning". A yellow warning icon is followed by the text: "Warning! You are about to permanently delete a report from FDM." Below this, it states "DELETED REPORTS CANNOT BE RECOVERED." and provides a link to "Review the retention rule in § 2634.604 Custody of and denial of public access to confidential reports before permanently deleting the report from FDM." A checkbox is present next to the text "Yes, permanently delete this report." At the bottom of the dialog are "Confirm" and "Cancel" buttons.

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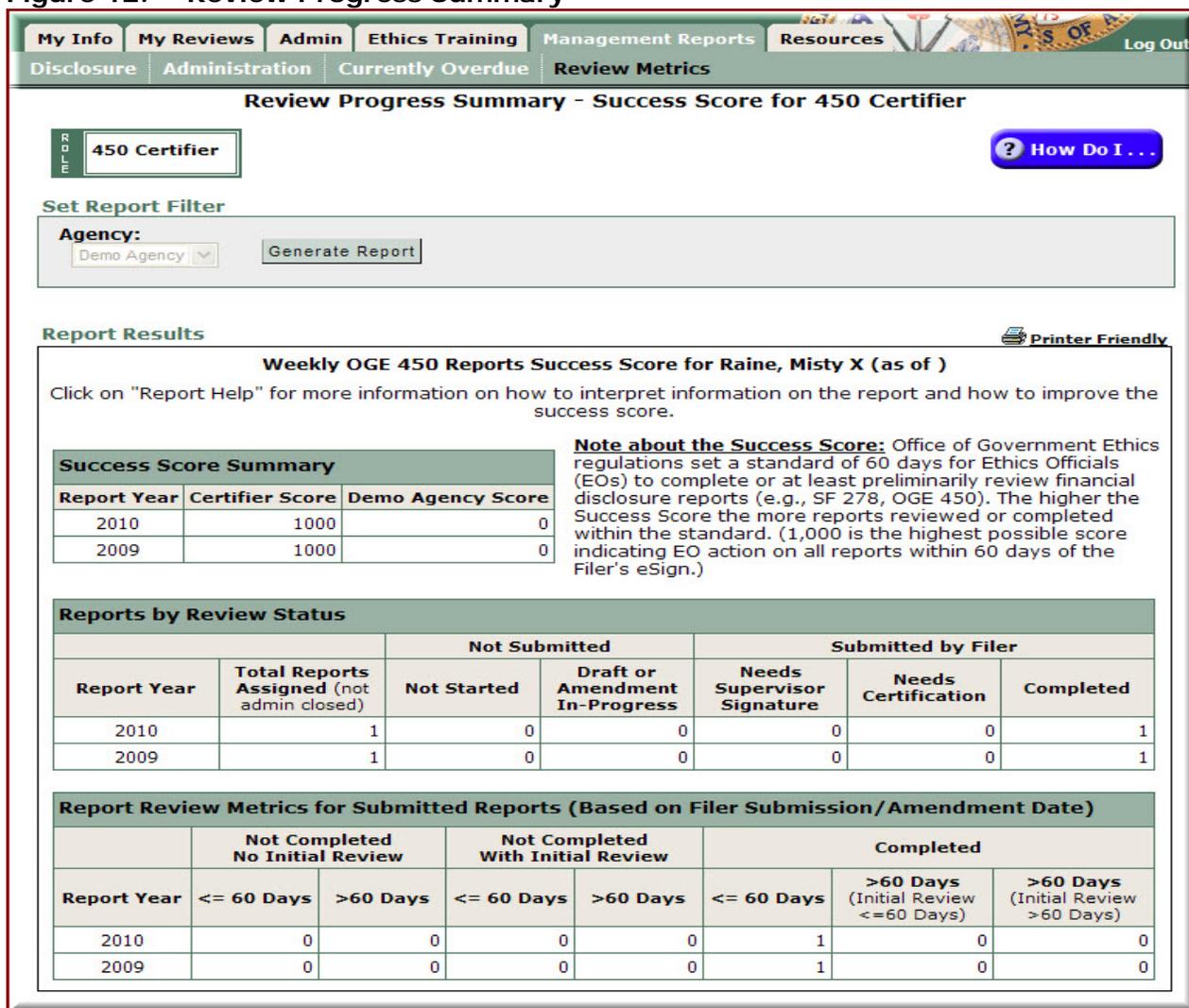
Report Progress Summary Score

A new management report, Report Progress Summary – Success Score for 450 Certifiers shows 450 Certifiers how they are doing in reviewing reports within the Office of Government Ethics 60-day review rule. FDM displays for 450 Certifiers a summary table and a Success Score. The Report Progress Summary is available under **Management Report | Review Metrics**.

- ❖ The FDM Success Score indicates how well an Ethics Official (i.e., 450 Certifier, SLC, or DAEO) is doing toward meeting the OGE 60-day report review standard.
- ❖ A score of 1,000 indicates the Ethics Official has initially reviewed or completed all reports within 60 days of Filer’s submission (eSign date).
- ❖ The higher the Success Score the closer the Ethics Official is to achieving the OGE review standard on all reports.
- ❖ The closer a score is to 0 the fewer reports being reviewed or completed within the OGE standard.

Note: The success score factors out reports that supervisors have not reviewed.

Figure 12. Review Progress Summary



Defects & Changes

The following updates were made in the 6.0.1 release of FDM.

SCR 5384 – The Review Report | Worklist now displays the assigning Org Unit Name instead of the current org unit for the Filer.

SCR 5386 – The SLC-220 Worksheet accounts for reports Completed w/o Signature.

SCR 5436 – The e-mail message that FDM automatically sends to POCs when the Filer reports a need to change the Supervisor on a report now contains more specific instructions on how to update the Filer's Supervisor.

SCR 5467 - The Filer's with no Disclosure Reports management report now excludes:

- ❖ Filers who have a prior year New Entrant report with an Appointment Date of 2 Nov - 31 December in the previous year.
- ❖ Filers who have a prior year report and who have indentified themselves as an SGE.

Note: This includes all OGE 450 New Entrant Reports and any SF 278 Reports

- ❖ Filers with prior year SF 278 New Entrant Report who have identified themselves as Reserved GO.

SCR 5571 – The following instructions have been added to the Non-Investment Income Yes/No screen, "Do not report: Veterans' benefits, Federal Government salary, Thrift Savings Plan (TSP), or Social Security benefits."

SCR 5597 - Users will be reminded to update their contact info on an annual basis.

SCR 5634 – A space was added between "than" and "60" on SF-278 New Entrant Reserve Component screen.