

Financial Disclosure Management

7.0.2.2 Release Notes

Publication 1.0
September 24, 2015

1 Introduction

The changes to the Financial Disclosure Management (FDM) application described herein were deployed to the production environment on September 20, 2015. The modifications include a major update of the OGE278 filing form to accommodate Office of the General Counsel (OGC) program advisory PA-15-01 outlining new financial reporting requirements for OGE278 filers. System Change Request (SCR) FDM 654 introduces these updates for the OGE278e filing form.

SCR FDM 670 corrects a known bug on the **Position** tab of the legacy OGE278 form. SCR FDM 661 corrects the problem of Filer Amend Requests not appropriately generating and sending notifications to a filer when a supervisor requested an amendment to the report. Supervisors requesting report amendments will now also be returned to the previous page instead of a blank page after they send the notification.

Previous release notes are posted on the FDM website at the following location:

<https://www.fdm.army.mil/helpSupport/releaseNotes.htm>

2 7.0.2.2 Enhancements

2.1 SCR FDM 654—OGE278e Updates Overview

On March 1, 2015, OGE released program advisory PA-15-01, which mandated the use of the new OGE278e form starting on January 1, 2016. These release notes describe the updates to FDM resulting from the OGE278e effort and provide instructions for the filers/reviewers.

The changes affect documentation and the following functionality:

- OGE278e wizard Asset tab (Summary and Add/Edit)
- OGE278e wizard Income tab (Add/Edit)
- OGE278e report output
- OGE278e Wizard Common Questions and instructions

2.1.1 OGE278e Wizard Assets Summary Form

Figure 1 shows the only changes from the legacy form—the removal of Asset Type and the addition of Excepted Investment Fund (EIF) in the table.

Asset #	Asset Name	EIT	Owner	Asset Value	Type of Income	Asset Income
1	MSFT	Y	Self	\$100,001-\$250,000	Dividends	\$1,001-\$15,000
2	WEL	N	Spouse	\$50,001-\$100,000		No Income (or less than \$20)
3	MSD	Y	Dependent Child	\$100,001-\$250,000	Other investment inc.	\$10000
4	Transtech Fund	N	Dependent Child	\$50,001-\$100,000		No Income (or less than \$20)
4.1	20th Century 2 Underlying asset of 4)	N/A	Dependent Child	\$15,001-\$50,000		No Income (or less than \$20)

Figure 1. Assets Summary Form

2.1.2 OGE278e Wizard Add/Edit Assets Form

Figure 2 shows the new Add/Edit Assets form. Adding or editing an asset is simplified from the legacy form.

Add Asset

Reporting Period: Calendar Year 2014.

Asset Name: [Dropdown menu]

Is This Asset Employment Related?
 The filer will only check "Yes" if the Asset is related to the filer's or the filer's spouse's business, employment, or other income-generating activities that ended the reporting period with a value greater than \$1000 (i.e., equity in a business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents). If the Asset is not employment related, check "No". Do not report assets from US Government employment or assets that were acquired exclusively from the filer's or the spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). The type of income for the employment related asset is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

Yes No

Asset Owner:
 Self Spouse

Asset Income Information:
 No Reportable Income (or less than \$20)
 Investment Income
 Dividends
 Capital Gains
 Interest
 Asset or Dividend Amount: [Dropdown menu]
 Other Investment Income
 Description: [Text field]
 Actual Amount: \$ [Text field]

Asset Value: [Dropdown menu]

Underlying Asset:
 This is an underlying asset.

Excepted Investment Fund (EIF):
 [Dropdown menu]

Buttons: Save and Add Another, Save, Cancel

Figure 2. New Add/Edit Assets Form

2.1.2.1 Major Changes

- Is this Asset Employment Related?

A set of instructions is provided to guide you through answering this question.

- Removal of Asset Type

The type of asset is no longer required; however, feel free to provide details in the Asset name for clarification purposes.
- Removal of Asset location

The location of assets is no longer collected data in the new OGE 278e.
- Asset Owner selection updates:
 - When Employment Related selection is **Yes**:
 - i. Asset Owner selection is required.
 - ii. Choices are Self or Spouse.
 - When Employment Related selection is **No**:
 - i. Asset Owner selection is optional.
 - ii. Choices are the following:
 - Self
 - Joint
 - Spouse
 - Dependent Child
- EIF is separated from Asset Type.
- When adding an asset or changing the value of a current asset for Incumbent reports, the Add/Update transaction prompt appears.

2.1.3 OGE278e Wizard Add/Edit Income Form

Figure 3 shows the new Add/Edit Income form. Adding or editing an income is simplified from the legacy form.

The screenshot shows the 'Add Other Earned or Non-Investment Income' form. At the top, there are navigation tabs: 'Getting Started', 'Assets', 'Income', 'Transactions', 'EIFs, etc.', 'Utilities', 'Agreements', 'Positions', and 'Help'. The main heading is 'Add Other Earned or Non-Investment Income'. Below this is a 'Reporting Period: Calendar Year 2014' section. The 'Income Name' field contains '(1) 2014 - (2) 2014' and '(3) 2014 - (4) 2014'. The 'Is This Income Employment Related?' section has a 'Yes' radio button selected. The 'Income Owner' section has 'Self' selected. The 'Type of Income' section has 'Salary (other than Federal Government)' selected. The 'Amount of Income' section has 'Actual Amount: \$ [] [000]'. A 'Current Questions' sidebar on the right lists several questions related to reporting income.

Figure 3. New Add/Edit Income Form

Major Differences

- Is this Income Employment Related?
A set of instructions is provided to guide you through answering this question.
- Income Owner selection updates:
 - When Employment Related selection is **Yes**:
 - i. Income Owner selection is required.
 - ii. Choices are Self or Spouse.
 - When Employment Related selection is **No**:
 - i. Income Owner selection is optional.
 - ii. Choices are the following:
 - Self
 - Joint
 - Spouse
 - Dependent Child

2.1.4 OGE278e Sample Report Output

Figure 4 shows a sample report output.

Executive Branch Personnel Public Financial Disclosure Report (OGE Form 278e)						
Filer's Information						
Fidelity, Scott W. 60 Form 278e, 60 OGE, Department of the Army Date of appointment: 11/11/2011						
Other Federal Government Positions Held During the Reporting Period: None						
Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.						
I agree, Ethics Officer's Opinion - On the basis of information contained in this report, I conclude that the Filer is in compliance with applicable laws and regulations (subject to any comments below).						
Other notes included by:						
U.S. Office of Government Ethics Certifications						
1. Filer's Positions Held Outside United States Government						
A	NAME	CITY, STATE	JOB TYPE	POSITION	FROM	TO
1	Other Position #1	WDC, DC, USA	Business Enterprise	Consultant	08/2011	Present
2. Filer's Employment Assets and Income						
A	DESCRIPTION	DF	VALUE	INCOME TYPE	INCOME AMOUNT	
1	RGPT	Yes	\$10,000 - \$20,000	Dividend	\$1,000 - \$3,000	
2	Filer's IRA	N/A		None	\$0.00	
3. Filer Employment Agreements and Arrangements						
A	NAME AND OTHER PARTY TO AGREEMENT	CITY, STATE	EXPIRE DATE	DATE		
1	Agreement Example #1	WDC, DC, USA	Business Enterprise agreement	08/2011		
4. Filer's Sources of Compensation Exceeding \$5,000 in a Year (This report has to report Compensation Exceeding \$5,000)						
5. Spouse's Employment Assets and Income						
A	DESCRIPTION	DF	VALUE	INCOME TYPE	INCOME AMOUNT	
1	IRA	No	\$50,000 - \$100,000	None	(or less than \$200)	
6. Other Assets and Income						
A	DESCRIPTION	DF	VALUE	INCOME TYPE	INCOME AMOUNT	
1	CD	Yes	\$100,000 - \$200,000	Other investment inc	\$0.00	
2	Taxable Cash	Yes	\$0.00 - \$50,000	None	(or less than \$200)	
3	CD - Certificate	No	\$10,000 - \$50,000	None	(or less than \$200)	
4	Non-Retiree Income	No		Commissions	\$0.00	
5	Spouse other income	No		Fees	\$0.00	
7. Transactions						
A	DESCRIPTION	TYPE	DATE	AMOUNT		
1	Transaction Example #1	purchase	08/11/2011	\$15,000 - \$50,000		
8. Liabilities						
A	CREATOR NAME	TYPE OF LIABILITY	AMOUNT	YEAR INCURRED	INTEREST RATE	TERM
1	Student loan	loan	\$15,000 - \$50,000	2011	5.0%	7 years years
9. Gifts and Travel Reimbursements						
A	SOURCE NAME	CITY, STATE	EMP. DESCRIPTION	YEAR		
1	Gift Example #1	WDC, DC	(if and how relevant - Description of Gift Example #1)	2011		

Figure 4. Sample Report Output

2.1.5 OGE278e Wizard Common Questions and Instructions

The Common Questions located on the right side of each OGE278e form are updated. The primary updates occurred on the Assets and Income tabs. The inline instructions for the Assets and Income tabs are also updated to better assist filers.

Instructions for filers with incomplete reports at the time of transition from the legacy 278 to the new 278e follow:

- Changes occurred in the Asset and Income input forms and the 278e output report. No data was lost during this transition. A filer can simply leave the data as it is, and the report will be properly generated. If you choose or are directed to update your data, just edit each existing Asset and Income entry, and update the information based on the new questions.
- If you choose not to update your legacy data in the Asset and Income forms, the entries for Employment Related will default to **No**. This results in all Assets and Incomes being placed in Section 6, “Other Assets and Incomes,” in the output report. This should be acceptable by the reviewers based on OGE direction.
- If a report was submitted for review but is not complete, the reviewers will see a difference in the report output. The data has not changed, however, and the existing signatures are still valid.
- All workflow options in the application remain.

2.1.5.1 278e Examples

- Creation of a filer’s employment related asset and its placement in the OGE278e report (Figure 5)

The screenshot shows a web form for creating an asset. The 'Asset Name' field contains 'Example Filer Employment Related Asset'. Below this is a question 'Is This Asset Employment Related?' with a 'Yes' radio button selected. The 'Asset Owner' section has 'Self' selected. The 'Asset Income Information' section has 'No Reportable Income (or less than \$200)' selected. The 'Asset Value' dropdown is set to '\$100,001-\$250,000'. The 'Underlying Asset' section has 'This is an underlying asset.' selected. The 'Excepted Investment Fund(EIF)' dropdown is set to 'N = Fund is not an EIF'.

Figure 5. Example Filer’s Employment Related Asset Creation

The OGE278e report output from the asset creation in Figure 5 will cause the asset to display in Section 2, “Filer’s Employment Related Assets and Income,” as Figure 6 shows.

Executive Branch Personnel Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Tobias, Scott H.
 Air Force COS, 85 CES, Department of the Army
 Date of Appointment: 01/01/2013

Other Federal Government Positions Held During the Preceding 12 Months: None

Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).

Other review conducted by

U.S. Office of Government Ethics Certification

1. Filer's Positions Held Outside United States Government
 This report has no reported Positions Held Outside United States Gov.

2. Filer's Employment Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Example Filer Employment Related Asset	No	\$100,001 - \$250,000		None (or less than \$20)

3. Filer Employment Agreements and Arrangements
 This report has no reported Agreements and Arrangements

4. Filer's Sources of Compensation Exceeding \$5,000 in a Year
 This report has no reported Compensation Exceeding \$5,000

5. Spouse's Employment Assets and Income
 This report has no reported Assets

6. Other Assets and Income
 This report has no reported Assets

7. Transactions
 This report has no reported Transactions

8. Liabilities
 This report has no reported Liabilities

9. Gifts and Travel Reimbursements
 This report has no reported Gifts and Reimbursements

Figure 6. Example Filer's Employment Related Assets and Income Placement

- Creation of a spouse's employment related asset and its placement in the OGE278e report (Figure 7)

Asset Name:
 (Limit 256 characters)
 Example Spouse Employment related asset
 (217 Characters Remaining of 256)

Is This Asset Employment Related?
 The filer will only check "Yes" if the Asset is related to the filer's or the filer's spouse's business, employment, or other income-generating activities that ended the reporting period with a value greater than \$1000 (e.g., equity in a business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents). If the Asset is not employment related, check "no". Do not report assets from US Government employment or assets that were acquired separately from the filer's or the spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). The type of income for the employment related asset is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

Yes No

Asset Owner:
 Self Spouse

Asset Income Information:

No Reportable Income (or less than \$20)

Investment Income

- Dividend
- Capital Gains
- Interest
- Rent or Royalties

Asset: [SELECT]

Other Investment Income

Description: []
 Actual Amount: \$ []

Asset Value:
 \$250,001-\$500,000

Underlying Asset:
 This is an underlying asset.

Excepted Investment Fund (EIF):
 N/A - NOT AN INVESTMENT FUND

* The "Over \$1,000,000" category applies only if the asset/income is solely that of the filer's spouse or dependent children. If the asset/income is either that of the filer or jointly held by the filer with the spouse or dependent children, select the other higher categories of value, as appropriate.

Figure 7. Example Spouse's Employment Related Asset Creation

The OGE278e report output from the above asset creation will cause the asset to display in Section 5, "Spouse's Employment Related Assets and Income," as Figure 8 shows.

Executive Branch Personnel Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Tobias, Scott M.
 Air Force CDS, 89 CES, Department of the Army
 Date of Appointment: 01/01/2013

Other Federal Government Positions Held During the Preceding 12 Months: None

Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the Filer is in compliance with applicable laws and regulations (Subject to any comments below).

Other review conducted by:

U.S. Office of Government Ethics Certification:

1. Filer's Positions Held Outside United States Government
 This report has no reported Positions Held Outside United States Gov.

2. Filer's Employment Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Example Filer Employment Related Asset	No	\$100,000 - \$250,000		None (or less than \$201)

3. Filer Employment Agreements and Arrangements
 This report has no reported Agreements and Arrangements

4. Filer's Sources of Compensation Exceeding \$5,000 in a Year
 This report has no reported Compensation Exceeding \$5,000

5. Spouse's Employment Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Example Spouse Employment related asset	N/A	\$250,001 - \$500,000		None (or less than \$201)

6. Other Assets and Income
 This report has no reported Assets

7. Transactions
 This report has no reported Transactions

8. Liabilities
 This report has no reported Liabilities

9. Gifts and Travel Reimbursements
 This report has no reported Gifts and Reimbursements

Figure 8. Example Spouse's Employment Related Assets and Income Placement

- Creation of an other asset and its placement in the OGE278e report (Figure 9)

Asset Name:
 (Limit 256 characters)
 Example of Other Asset
 (234 Characters Remaining of 256)

Is This Asset Employment Related?
 The filer will only check "Yes" if the Asset is related to the filer's or the filer's spouse's business, employment, or other income-generating activities that ended the reporting period with a value greater than \$1000 (e.g., equity in a business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents). **If the Asset is not employment related, check "no".** Do not report assets from US Government employment or assets that were acquired separately from the filer's or the spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). **The type of income for the employment related asset is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).**

Yes No

Asset Owner:
 Self Joint Spouse Dependent Child

Asset Income Information:

No Reportable Income (or less than \$201)

Investment Income

Dividends

Capital Gains

Interest

Rent or Royalties

Amount: \$ (SELECT)

Other Investment Income

Description: _____

Actual Amount: \$ _____

Asset Value:
 \$100,001-\$250,000

Underlying Assets:
 This is an underlying asset.

Excepted Investment Fund(EIF):
 N/A = Not an Investment Fund

* The "Over \$1,000,000" category applies only if the asset/income is solely that of the filer's spouse or dependent children. If the asset/income is either that of the filer or jointly held by the filer with the spouse or dependent children, select the other higher categories of value, as appropriate.

Figure 9. Example Other Asset Creation

The OGE278e report output from the above asset creation will cause the asset to display in Section 6, "Other Assets and Income," as Figure 10 shows.

Filer's Information

Tobias, Scott M.
 Air Force COS, 39 CES, Department of the Army
 Date of Appointment: 03/03/2013

Other Federal Government Positions Held During the Preceding 12 Months: Name

Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (Subject to any comments below).

Other review conducted by:

U.S. Office of Government Ethics Certification

1. Filer's Positions Held Outside United States Government
 This report has no reported Positions Held Outside United State Gov.

2. Filer's Employment Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Example Filer Employment Related Asset	No.	\$100,001 - \$200,000		None (or less than \$201)

3. Filer Employment Agreements and Arrangements
 This report has no reported Agreements and Arrangements

4. Filer's Sources of Compensation Exceeding \$5,000 in a Year
 This report has no reported Compensation Exceeding \$5,000

5. Spouse's Employment Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Example Spouse Employment related asset	N/A	\$250,001 - \$500,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Example of Other Asset	N/A	\$100,001 - \$200,000		None (or less than \$201)

7. Transactions
 This report has no reported Transactions

8. Liabilities
 This report has no reported Liabilities

9. Gifts and Travel Reimbursements

Figure 10. Example Other Asset Placement

Additional Information

- Using the examples in Figure 5 through Figure 10, the creation of an Income follows the same pattern. If **Yes** is clicked for Employment Related, the entry is placed in either Section 2 or Section 5, depending on the owner selection (Filer or Spouse). If **No** is clicked for Employment Related, the entry will be placed in Section 6.
- If an Asset or Income is determine to be in the wrong section on the report output, simply changing response to the Employment Related question or the Owner question will change its section placement.
- If prepopulating data from a legacy OGE278 report, all Assets and Income will, by default, be placed in Section 6, "Other Assets and Income." The filer will have the ability to edit these Assets and Incomes to properly assign them the correct values and subsequently enable them to populate correctly in the OGE278e report output.

3 7.0.2.2 Defects and Changes

3.1 SCR FDM 670—OGE278 Positions Tab Date Correction

FDM v7.0.2.2 corrects a bug identified in the OGE278 **Positions** tab. In the legacy OGE 278 filing report, when users entered dates ranges for employment held outside the U.S. Government, the application did not validate the date range entered. For example, a user could enter a **From-To** date range of **From 01/2015** and **To 01/2014**, as Figure 11 shows.

The screenshot shows a web form for filing a report. The title is "Draft - Alica M. Brerley, 2015 Decendent OGE 278 Report". The form is for "Positions Held Outside U.S. Government" for the reporting period from 12/31/2013 through year ending data. The "From" date is set to 12/31/2013 and the "To" date is set to 12/31/2014. A red circle highlights the date selection area, indicating that these dates are non-validated.

Figure 11. Non-validated From-To Dates in Legacy OGE 278 Filing Report

Figure 12 is an example of the report that was generated with incorrect **From-To** date entries.

The screenshot shows the summary page of the report. The title is "Draft - Alica M. Brerley, 2015 Decendent OGE 278 Report". The table below shows the positions held. A red circle highlights the "From" and "To" date columns, which contain the values 12/31/2013 and 12/31/2014 respectively.

Organization	Educational Institution	Type of Organization	Position Held	From	To
Task Force on National Security		Consultant	Consultant	12/31/2013	12/31/2014

Figure 12. Report Generated from Figure 11 Entries in Legacy OGE 278 Filing Report

This release corrects this problem by validating the **From** and **To** entries for chronological logic—i.e., **From** date entered precedes the **To** date entered. When a user enters inappropriate values in the **From** and **To** boxes, the user is not taken to the summary page as in Figure 12.

Now, an error message displays instructing the user to correct the entries; Figure 13 shows this message.

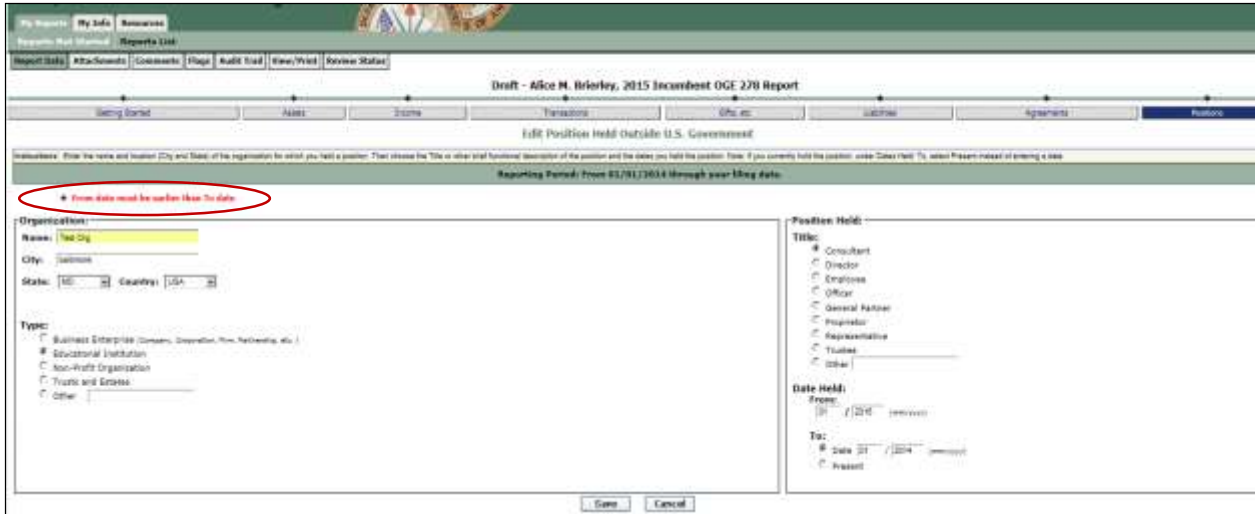


Figure 13. New Error Message Generated

3.2 SCR FDM 661- OGE450 Request Filer Amend

FDM v7.0.2.2 corrects two errors that occurred when a 450 certifier attempted to request that a filer amend a report. The first error is that the request notification was not sent to the filer in question. Second, when the supervisor finishes sending the request and clicked the Continue button, he was not returned to the previous screen but saw a blank screen instead. With this release, the amendment request is sent to the filer when the supervisor requests a report amendment, and the supervisor is returned to the previous screen after he submits the filer amendment.

The corrected process is illustrated below:

1. Certifier selects the **Request Filer Amend** button.



Figure 14. Request Filer Amend Button

2. Certifier completes the amendment request and clicks **Continue**.

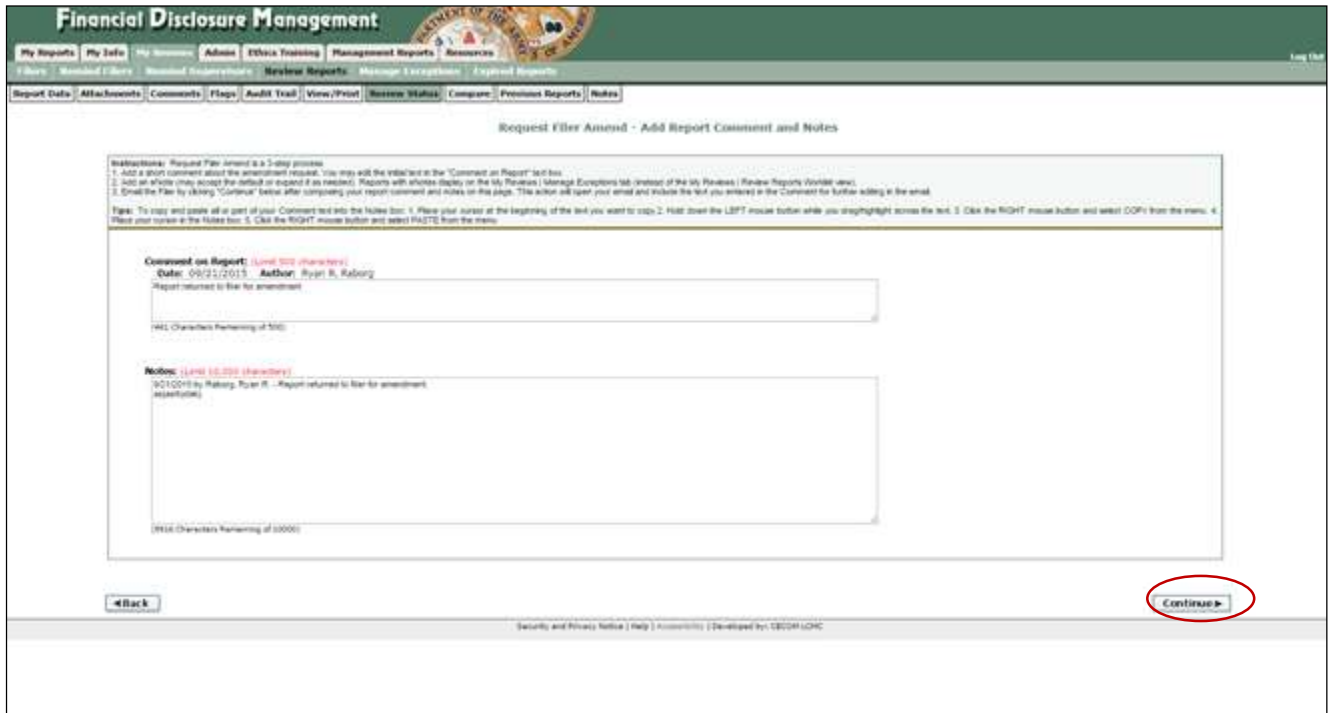


Figure 15. Continue Button

3. The certifier is returned to the Review Status page, and an **Amendment Request Complete** message displays highlighted in yellow.



Figure 16. Amendment Request Complete Message

4. An email is sent to the filer with the amendment request.

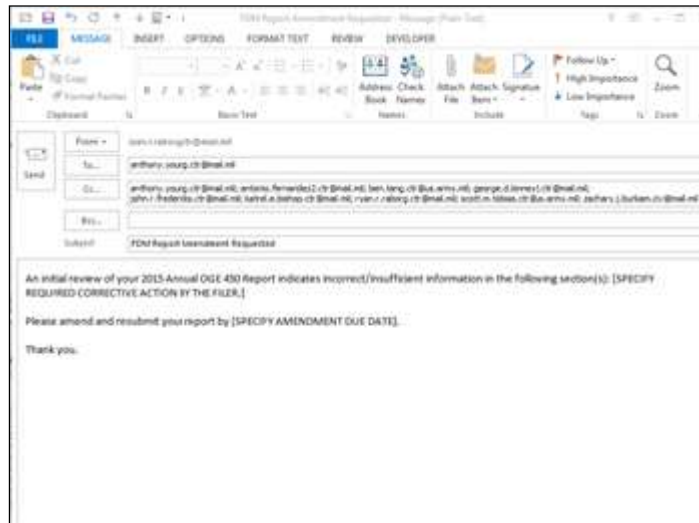


Figure 17. *Email to Filer with Amendment Request*