

Financial Disclosure Management



FDM POC Fall Cleanup Guide
Publication 1
September 2012

Table of Contents

| | |
|---|-----------|
| INTRODUCTION | 3 |
| Organize Filers Prior to December 31 | 3 |
| CHECK FOR OUTSTANDING REPORTS | 4 |
| Management Report Types | 4 |
| Disclosure Report Summary..... | 4 |
| Disclosure Detail Report..... | 4 |
| Filers with no Disclosure Report | 4 |
| GENERATING A MANAGEMENT REPORT | 4 |
| Including/Excluding additional Org Units in your View | 5 |
| Printing a Management Report | 5 |
| Export to Excel | 5 |
| MANAGING FILERS | 6 |
| REMOVING FILERS FROM YOUR LIST (Removing a Filer’s Role) | 6 |
| Check for Assigned Report(s) | 6 |
| Removing an Assigned Report..... | 6 |
| MOVING A FILER TO DIFFERENT ORG UNIT | 7 |
| Moving a Filer with a Draft or Under Review Report | 8 |
| Moving a Filer with a Completed Report or No Assigned Reports | 8 |
| ORG UNITS | 9 |
| ASSIGNING SUPERVISORS | 9 |
| ASSIGNING A POC | 10 |
| User Already has Selected Role with another Org Unit Add [Role] Warning | 10 |
| FILERS | 11 |
| REGISTERING A SINGLE FILER | 11 |
| Searching For a Filer | 11 |
| Selecting a Filer’s Role and Org Unit | 11 |
| Filer Belongs to Different Org Unit | 11 |
| VIEWING FILER(S) REPORT ASSIGNMENTS AND STATUS | 12 |
| View Report Assignments | 12 |
| View Report Status | 12 |
| REGISTERING MULTIPLE FILERS IN FDM | 13 |
| Adding Up To 25 OGE 450 Filers at a Time | 13 |
| Searching for Filers | 13 |
| Confirming Your Selection | 14 |
| Adding More Filers..... | 14 |

Introduction

Organize Filers Prior to December 31

As the POC, it is your responsibility to make the necessary corrections to the org units and filer lists in FDM. Supervisors should be able to help you identify employees who are required to file and OGE 450.

Automatic assignment of reports can create additional administrative work for POCs if your Filers are not organized properly before December 31. It is recommended POCs begin reviewing and updating their Filers in FDM no later than **November 1**. Everyone who is required to file an OGE 450 report and has been registered in FDM will be automatically assigned an Annual OGE 450 Report on December 31.

To ensure consistency, review the list of last year's filers and update to reflect both employees no longer working for you, and new employees who fit the filing criteria. Having said that, Managers/Supervisors should review that list, and make the final determination regarding who of their employees meet the OGE criteria, and are required to file.

For additional information, please see the [POC User Guide](#).

CLEANUP TIMELINE

| When | Who | What | Description |
|-----------------|------------------|---|---|
| October 1 | Ethics Officials | Identify POCs | Ethics Officials should contact their organizational POCs and request a positive response if they are still the financial disclosure form POC. If possible, a POC should provide an alternate name or replacement name when appropriate. |
| NLT October 15 | Ethics Officials | Inform and Train POCs | Ethics Officials should inform and train POCs on their new responsibilities within FDM. Note: During the initial year of FDM, the task of front-loading Filers and org units may be considerably time-consuming. It is recommended that POCs are notified and begin executing their FDM tasks several months in advance of the filing season |
| NLT October 31 | POC | Review/Update Filer Spreadsheet | Gather Filer, Review Chain and Org List information and enter into the Filer Tracking Spreadsheet . Notify Filers and Supervisors that the FDM registration process has begun for upcoming filing season. |
| NLT November 1 | POC | Update/Add Org Units & POCs/ Supervisors to FDM | Determine Filer to Org Unit Groupings. Categorize Filers into organizations or departments based on their need to file a disclosure report and by their supervisor. Org Units are simply an electronic version of your agency organization structure. You can create sub-Org Units to complete the organizational structure. Large agencies should plan on this task consuming a significant amount of time during its initial year of FDM, as each Org Unit has to be manually entered into FDM. For each subsequent year, information for Org Units need only be modified as appropriate, as the information will already be stored in FDM's database. |
| NLT December 31 | POC | Move/Add Filers | Once Filers are identified and grouped via the Filer spreadsheet and the Org Unit structure is established in FDM, begin adding Filers to FDM. You can add multiple OGE 450 Filers at the same time. |
| NLT December 31 | POC | Record Ethics Training | Record Initial or Annual Ethics Training in FDM throughout the year, as it occurs, to ensure your records are kept up to date. NLT 30 December, print out the list of Trained and Not Trained filers for future reference in preparing the SLC 220 report. |
| December 31 | FDM | Auto Assign | FDM automatically assigns everyone who is required to file an OGE 450 report and has been registered in FDM an Annual OGE 450 Report on December 31. |
| NLT January 15 | POC | Notify Filers to File | POCs should initially notify OGE 450 Annual Filers of their report assignment |

Check for Outstanding Reports

FDM Management Reports provide POCs with a tool for monitoring the filing and review progress of disclosure reports. Use the Management Reports in FDM to check if the filer has any assigned or incomplete reports before you move or delete any of your Filers.

If a Filer has an incomplete report with a Draft or Under Review status, notify:

- ◆ the Filer's supervisor if he/she has not signed yet.
- ◆ the Filer's 450 Certifier to complete the report or delete the report if it was filed erroneously.

If the Filer has a Not Started report but the Filer's role has been removed from FDM, go to Admin | Filers and Unassign the report so it will no longer display on your management report.

Management Report Types

You can choose between three standard Management Reports in FDM:

Disclosure Report Summary

The Disclosure Summary Report provides a summary of your current Filer's submission status by Form Type and Year. Use this report to track how many Filers for the current year have or have not submitted disclosure reports in FDM.

Disclosure Detail Report

The Disclosure Detail Report provides disclosure reporting and reviewing status detail by Filer, Form Type and Year. Use this report to track review progress of a disclosure report.

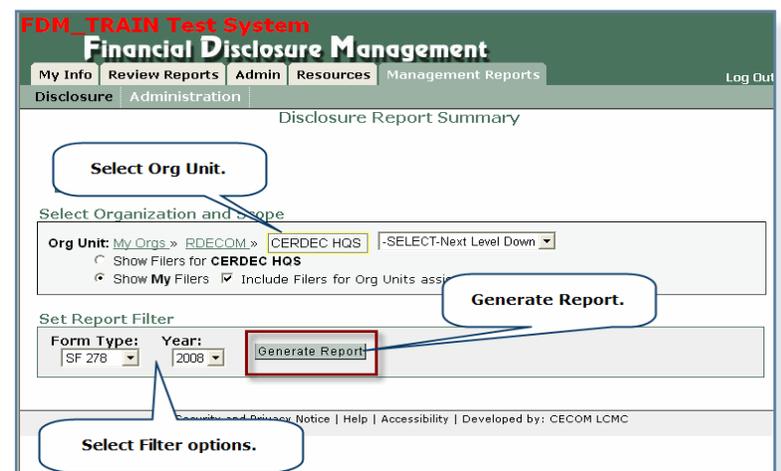
Filers with no Disclosure Report

Filer's with No Disclosure Report provides a detailed listing of Filers who have not filed a report in FDM by Year. Use this report to track delinquent Filers in FDM.

GENERATING A MANAGEMENT REPORT

To access Management Reports:

1. Click on **MANAGEMENT REPORTS | DISCLOSURE**.
2. Select the type of Management Report you wish to generate.
3. Select the Org Unit of the Filers whose disclosure filing or review status you wish to view.



Including/Excluding additional Org Units in your View

You can opt to include or exclude specific Org Units from your Management report by selecting one of the “views” beneath the Org Unit Breadcrumb trail.

4. The Report Filters on each report may differ. Select the appropriate Report Filters as follows:
 - a. **Disclosure Report Summary** - set the Form Type and Year.
 - b. **Disclosure Report Detail** - set the Form Type, Year, Reporting Status and Review Status.
 - c. **Filers with No Disclosure Reports** - set the Form Type and Year.
5. Once you have made your filter selections, click **Generate Report**.

Printing a Management Report

6. Once you have generated your management report, click **Printer Friendly**.
7. Click **Print** to print your report at your local printer.

Export to Excel

1. Highlight the text you want to copy by clicking and dragging over it with your mouse.
2. Hold down **CTRL** and **C** on your keyboard.
3. Open Excel, click in a cell and then hold down **CTRL** and **V** to paste the text into the desired cell on your spreadsheet.

Managing Filers

REMOVING FILERS FROM YOUR LIST (Removing a Filer's Role)

In FDM, you can remove multiple Filers from an Org Unit at the same time.

Deleting Filers should be completed prior to the December 31 Automatic report assignment to prevent Filers from starting reports in the incorrect org unit.

Check for Assigned Report(s)

Before removing a Filer, you should check that the Filer does not have any assigned or incomplete reports. If the Filer has an incomplete report, the Filer's 450 Certifier should be notified to either complete the report or delete the report if it was filed erroneously.

Note: You are not removing the person from the FDM system, but only the role that they hold in the Org Unit.

1. Select **ADMIN | FILERS**.
2. Select the Org Unit to which the Filer belongs.
3. Click on **SHOW MY FILER**.
4. Select the checkboxes beside the Filer(s) names you wish to remove.
5. Click **REMOVE OGE 450 FILER ROLE**.

Removing an Assigned Report

6. On the Confirmation page, a message is displayed asking to remove the report assignments for the selected Filers. The box is checked by default to remove the assigned report. **Uncheck the box if you want the report to remain assigned.**

NOTE: If you do not select the checkbox, the Filer role is removed and the report assignment is not removed. However, this will appear on a Management Report that the Filer role was removed but the assigned report was not.

7. Click on **CONFIRM**.

Common Issues

- ❖ You may remove a Filer from your org unit even if he/she still needs to create a report in FDM. If a Filer is deleted from an old org, but never added into a new org unit, the Filer will still be able to log in to FDM but won't see the My Reports tab. The Filer should then contact the POC or his/her new org unit and ask to be added back in to FDM.

The screenshot shows the FDM system interface. At the top, there are navigation tabs: My Info, My Reviews, Admin, Management Reports, and Resources. Below these are sub-tabs: Filers, POCs, Supervisors, and Org Units. A search section for filers is visible, with a dropdown for Org Unit (My Orgs > CERDEC HQS > CERDEC C2D) and a 'Show My Filers' button. A table lists filers with columns: Name, Filer Role, Org Unit, Current Reports, and Supervisor. Callouts highlight key actions: 'Select Admin / Filers.', 'Select the Org Unit.', 'Select Show My Filers.', 'Click on the Remove OGE 450 Filer Role button.', and 'Select the checkboxes next to the Filer(s) names.'

The screenshot shows the 'Confirm Remove OGE 450 Filer(s)' page. It asks 'Are you sure you want to remove the filer role for the following filers?' and lists 'Robin X Banks***' and 'Barbie X Dahl***'. A checkbox is checked, with a callout stating 'Select checkbox if you want to remove report assignment.' Below the list are 'Confirm' and 'Cancel' buttons, with a callout pointing to the 'Confirm' button saying 'Click Confirm.'

MOVING A FILER TO DIFFERENT ORG UNIT

It is very important to move your Filers to their new org units before the FDM automatic assignment on December 31. Once a Filer starts a report, a POC cannot move the report to a different org unit.

Common Issues

MOVE FILER TO ORG WITH DIFFERENT REVIEW CHAIN

- ❖ If you are moving Filers to an Org Unit with a different review chain and the Filer has a disclosure report that is Under Review, notify the current Review Chain members as they may have already started their review process.

PREVIOUS REPORT ASSIGNED OUTSIDE OF SOC

- ❖ Filer reports cannot be moved when the report is assigned outside of the POC's "span of control" in FDM. Notify the current POC and ask him/her to unassign the report. Once the report is unassigned you will then be able to move the Filer and report(s) together.

FILER CHANGES AGENCIES

- ❖ Filer reports cannot be moved across agencies. Contact FDM Customer Support before adding a Filer to your Agency if the Filer created reports in FDM under another agency. For example, if a Filer created reports in FDM while working in USARMY and now needs to create a report at VA, call FDM Customer Support and they will assist you with the move so the Filer will have access to all of their reports.

SUPERVISOR CANNOT SEE REPORTS

- ❖ Supervisors may not be able to see a Filer's report if the Filer is moved after Automatic Assignment because the report is still with the old org unit. To correct this problem, you will need to:
 - Move the Filer back to old org unit. (If you can't, you will have to get someone who can.)
 - Unassign the report
 - Move the Filer to the new org unit

DUAL ROLE FILER

- ❖ If you are trying to move a Filer who has both a 450 and 278 roles, you will get a message to contact the Help Desk as only DAEOs, DAEO ECs, SLCs and SLC Assistants have the authority to make this move.

Moving a Filer with a Draft or Under Review Report

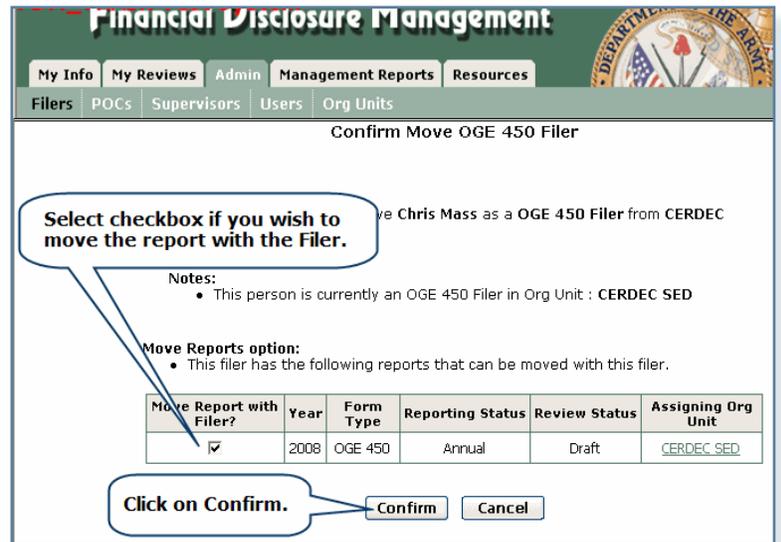
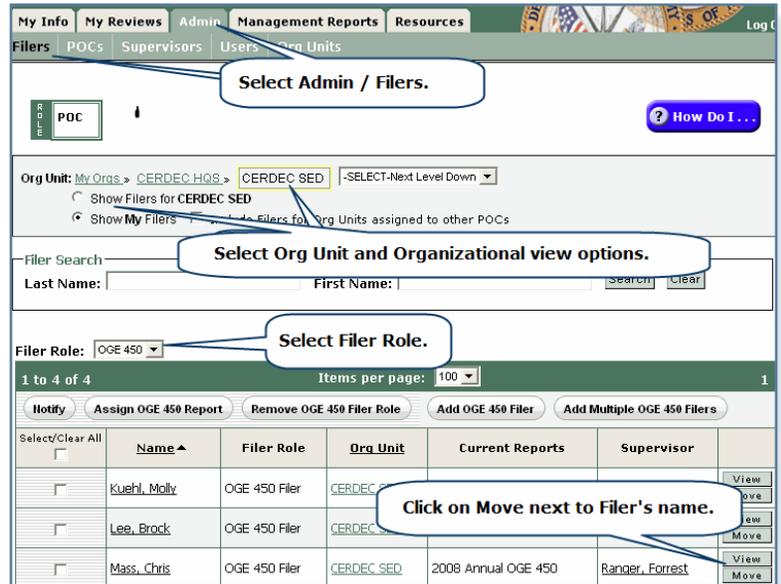
1. Select the ADMIN | FILERS tab (you can also select MY REVIEWS | FILERS). The My Filers page is displayed.
2. Select your Org Unit from the breadcrumb trail and select the Organizational view options.
3. Select 450 FILER under Filer Role. Click the MOVE button beside the Filer's name who is now reporting to a different Org Unit. The Move Filer page is displayed.
4. "Drill down" or click the down arrow beside any Org Unit Name to locate the appropriate Org Unit where the Filer is to be added.

Note: This move may cause the Filer's Review chain to change.

5. Click on Select beside the Org Unit to which you are moving the Filer.
6. A confirmation page is displayed indicating that this Filer has a report that can move with him. To move the report, leave the checkbox selected. If you want the report to stay with the review chain of the original Org Unit, deselect the checkbox.
7. Click CONFIRM.

Moving a Filer with a Completed Report or No Assigned Reports

To move a Filer with a completed report or no assigned reports is the same with the only difference being the Confirmation page on this type of move confirms the Filer's move to the selected Org Unit



Org Units

ASSIGNING SUPERVISORS

FDM automatically assigns the org unit role from the superior Org Unit as the acting org unit role until a different org unit role is assigned.

If the person is associated to all of the subordinate org units, there is no need to assign that person to each subordinate org unit. In fact, you may not need the subordinate Org Unit in that case.

1. Select the **ADMIN | ORG UNIT** tab. The Org Units page is displayed.
1. Click the **Edit** button beside the appropriate Org Unit on the Admin | Org Units page.

2. Click the **CHANGE** button beside the listed Supervisor.

Note: Only those roles that you have permission to change will display a Change button.

3. Type the new Supervisor's e-mail address in the e-mail starts with box.

Note: If you don't have the e-mail address, you can search by Last and First Name.

4. Select the appropriate Agency Directory from the drop-down list and then click **SEARCH**.

Note: The Search & Select New (FDM Role) search, searches within the selected agency's directory. Please select DoD if your Agency is USAF, USN, USMC, etc.

5. Click **SELECT** beside the Supervisor's name.

Note: The Search Results display. If more than one name is listed, be sure to check the e-mail address to ensure you are selecting the correct person.

It is EXTREMELY important you select the right person because selecting the wrong person could result in a Privacy Act violation.

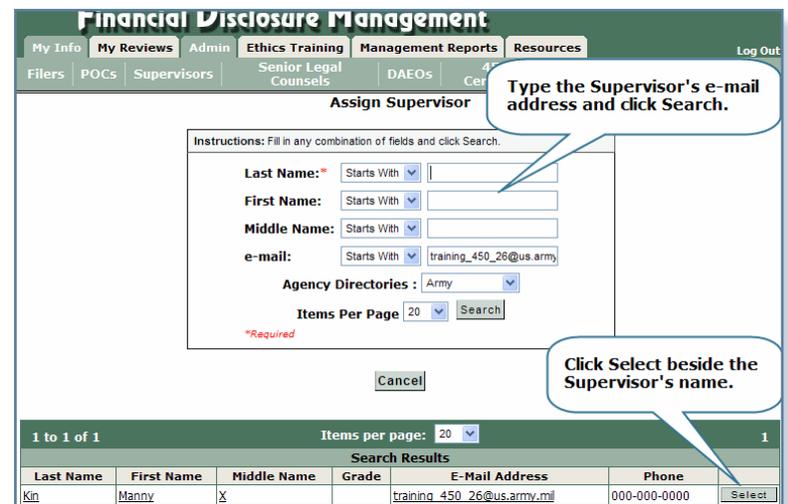
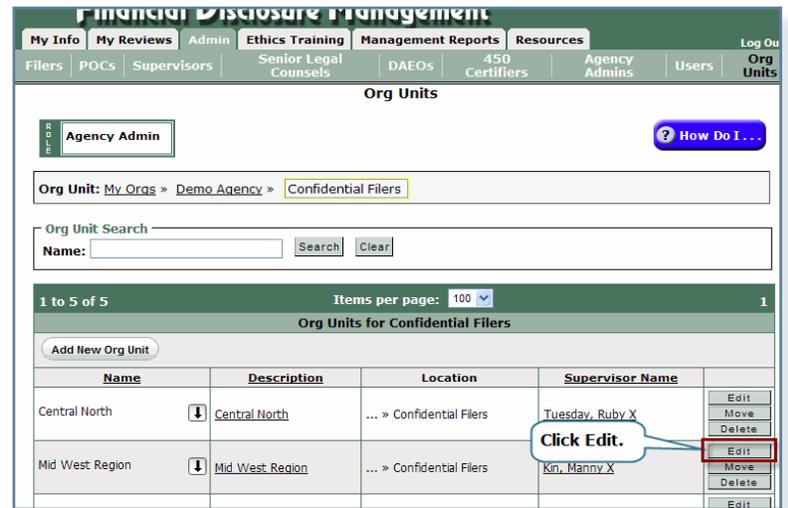
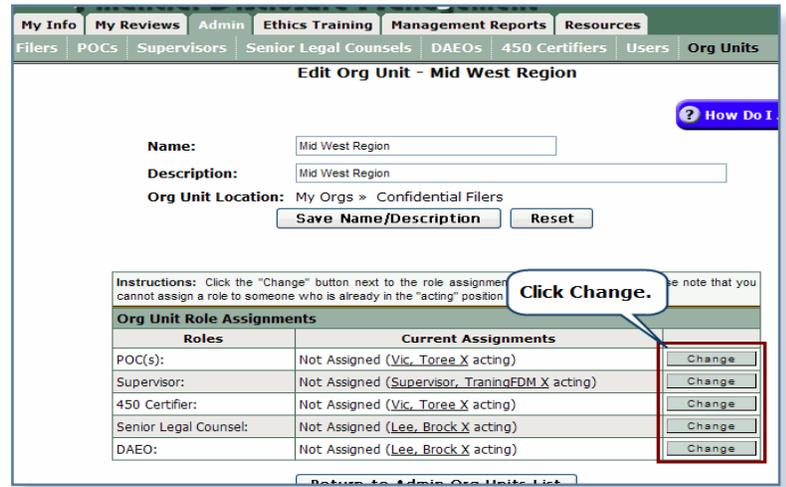
6. **CONFIRM** your selection. You return to the Edit Org Unit page and your newly added supervisor displays.

Note: If you want to change another role, depending on your permissions, click on the *Change* button for that role and repeat the above process.

7. Click **RETURN TO ADMIN ORG UNITS LIST**.

Common Issues

- ❖ Please keep in mind; Filers are assigned to an org unit with a specific supervisor in their review chain. If you move a Filer's after the automatic assignment, the Filer may be assigned the incorrect supervisor. The POC should move the Filer to the org unit with the correct Supervisor reviewer.



ASSIGNING A POC

If you are a POC at the top level of your organization hierarchy, and you have many Org Units and Filers, you can assign a POC to any of your sub Org Units in order to help you manage your Filers.

To add an additional POC to an Org Unit,

1. Click the **Edit** button beside the appropriate Org Unit on the Admin | Org Units page.
2. Click the **Change** button beside the assigned POC to add an additional POC.

Note: Two or more POCs can be added to the same org Unit.

3. Select the **Add a POC** option and then click **Continue**.

Note: You can add additional POCs to assist with the administration of this org unit.

4. Type the POC's e-mail address in the e-mail starts with box, select the appropriate Agency Directory and then click **SEARCH**. Please select DoD if your Agency is USAF, USN, USMC, etc.
5. Click **SELECT** beside the name of the POC you want to add.

Note: The Search Results display. If more than one name is listed, be sure to check the e-mail address to ensure you are selecting the correct person.

User Already has Selected Role with another Org Unit Add [Role] Warning

6. Select the **YES** to allow this person to hold the same role for multiple Org Units and then click **CONFIRM**.
7. **CONFIRM** your changes. You return to the Edit Org Unit page and the newly assigned user appears in the role you changed.
8. Click **SAVE** and then click **RETURN TO ADMIN ORG UNITS LIST**.

The screenshot shows the 'Org Units' page for 'Confidential Filers'. The table lists two org units: 'Central North' and 'Mid West Region'. The 'Mid West Region' row has a callout box pointing to the 'Edit' button in the 'Actions' column.

| Name | Description | Location | Supervisor Name | Actions |
|-----------------|-----------------|---------------------------|-----------------|--------------------|
| Central North | Central North | ... » Confidential Filers | Tuesday, Ruby X | Edit, Move, Delete |
| Mid West Region | Mid West Region | ... » Confidential Filers | Kn, Manny X | Edit, Move, Delete |

The screenshot shows the 'Edit Org Unit - Mid West Region' page. The 'Org Unit Role Assignments' table has a callout box pointing to the 'Change' button for the 'Supervisor' role.

| Roles | Current Assignments | Actions |
|-----------------------|------------------------------------|---------|
| Org Unit POC: | Day, Manny X | Change |
| Supervisor: | Kn, Manny X | Change |
| 450 Certifier: | Not Assigned (Vic, Toree X acting) | Change |
| Senior Legal Counsel: | Not Assigned (Lee, Brock X acting) | Change |
| DAEO: | Not Assigned (Lee, Brock X acting) | Change |

The screenshot shows the 'Change POC - Manny X Day' dialog box. A callout box points to the 'Add a POC' radio button.

What would you like to do?

Replace the current POC

Remove the current POC without assigning a replacement

Add a POC

Cancel Continue ▶

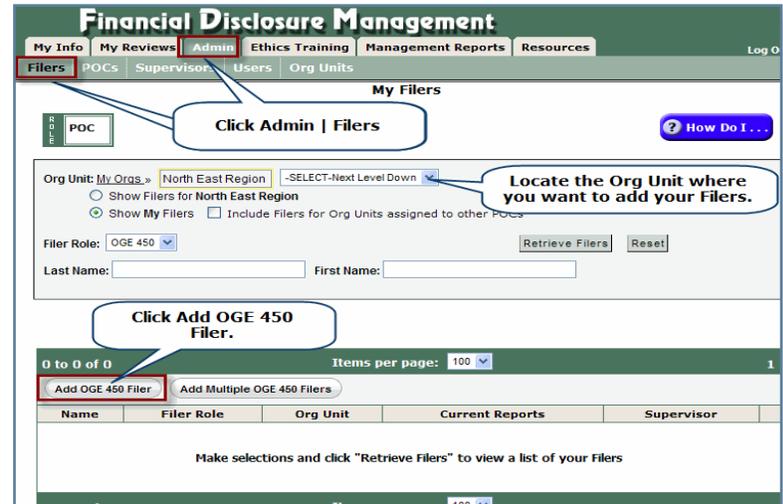
Filers

FDM automatically assigns every registered OGE 450 Filer in FDM an Annual Report on December 31. Automatic report assignment makes it important that POCs have their Org Units, Supervisors and Filers set up correctly in FDM before the end of the year.

REGISTERING A SINGLE FILER

If you used the “Add Multiple Filers” button and a Filer came back under the “will not be added” box, you can attempt to add the Filer using the “Add Filer” button. You can also use Add Filer when you only have one Filer to add to FDM instead of multiple Filers.

1. Select **ADMIN / FILERS**.
2. Select the Org Unit to which you wish to add the new Filers from the Next Level Down drop-down list.
3. Click **ADD OGE 450 FILER**.



Searching For a Filer

4. Type the new Filer’s e-mail address in the e-mail starts with box.

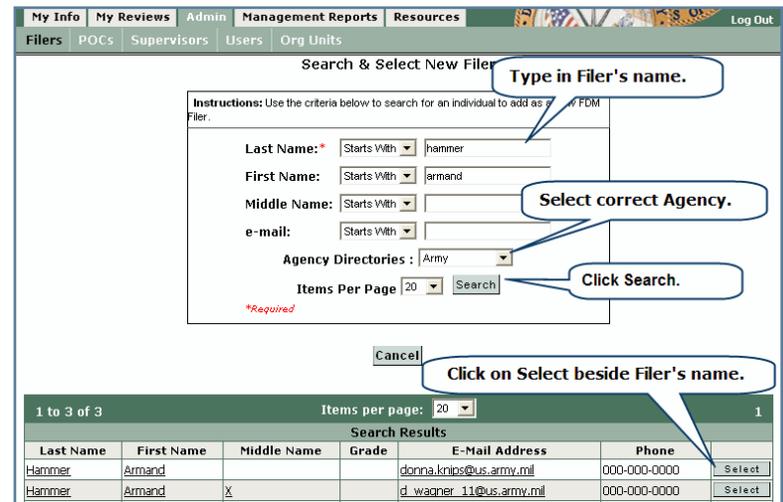
Note: If you don’t have the e-mail address, you can search by Last and First Name.

5. Select the appropriate Agency Directory from the drop-down list and then click **SEARCH**.

Note: The Search & Select New (FDM Role) search, searches within the selected agency’s directory. Please select DoD if your Agency is USAF, USN, USMC, etc.

6. Click **SELECT** beside the name of the person you want to add.

Note: The Search Results display. If more than one name is listed, be sure to check the e-mail address to ensure you are selecting the correct person.



Selecting a Filer’s Role and Org Unit

7. Click on **CONFIRM** to confirm the new Filer’s role and Org Unit.

Filer Belongs to Different Org Unit

If you are trying to add a Filer who is already a Filer in another Org Unit in FDM, you will see the Move Filer page. When this occurs, if the Filer is in an Org Unit that is assigned to you, you will have the option to select specific reports to move with the Filer to the new Org Unit if necessary.

- Click **RETURN TO FILERS LIST** if you do not want to assign a report to the new Filer and you will return to the Filers page.
- Click **ASSIGN OGE 450 FILER REPORT** if you want to assign a report to the new Filer.

NOTE: This option is typically used for New Entrant Filers. It is also used if the System Administrator did not initially assign the Filer a current year's report.

Viewing Filer(s) Report Assignments and Status

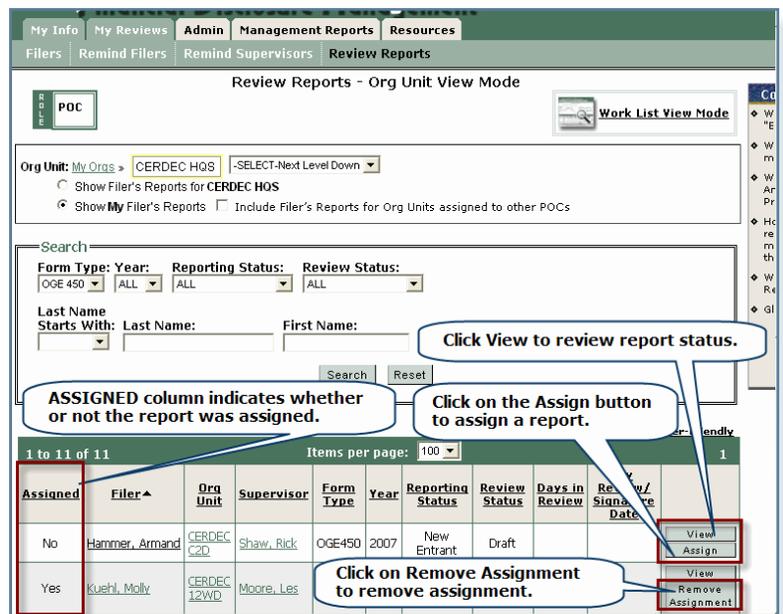
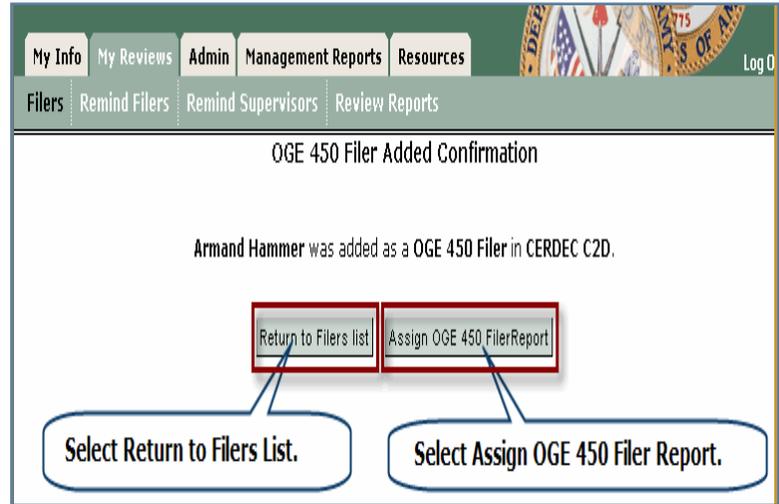
View Report Assignments

- Under the Assigned column, a POC can see whether or not the Filer has an assigned report.
- If the Filer's report has not been assigned, click on the **Assign** button beside the Filer's name.
- To remove a report assignment on any **NOT STARTED** report, click on the **REMOVE ASSIGNMENT** button.

NOTE: You can also remove the Report Assignment from the Review Status screen.

View Report Status

- To view the report status, click on the **VIEW** button beside Draft, Under Review or Completed reports. This will take you to the Review Status screen.
- Once you are on the Review Status screen, click on the Review Reports tab to return to Review Reports screen.



REGISTERING MULTIPLE FILERS IN FDM

FDM allows you to add Filers in groups of up to 25 at the same time in the same org unit with the same supervisor. However, you will need the correct e-mail address for each Filer to add each Filer grouping to the selected Org Unit.

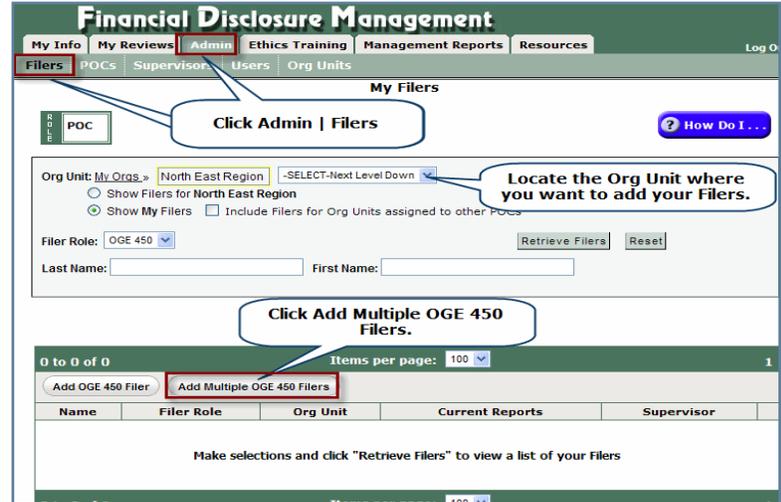
Adding Up To 25 OGE 450 Filers at a Time

1. Select ADMIN | FILERS.

Note: You can also access the Filers screen by selecting MY REVIEWS / FILERS.

2. Select the Org Unit to which you wish to add the new Filers from the Next Level Down drop-down list.

3. Click ADD MULTIPLE OGE 450 FILERS.



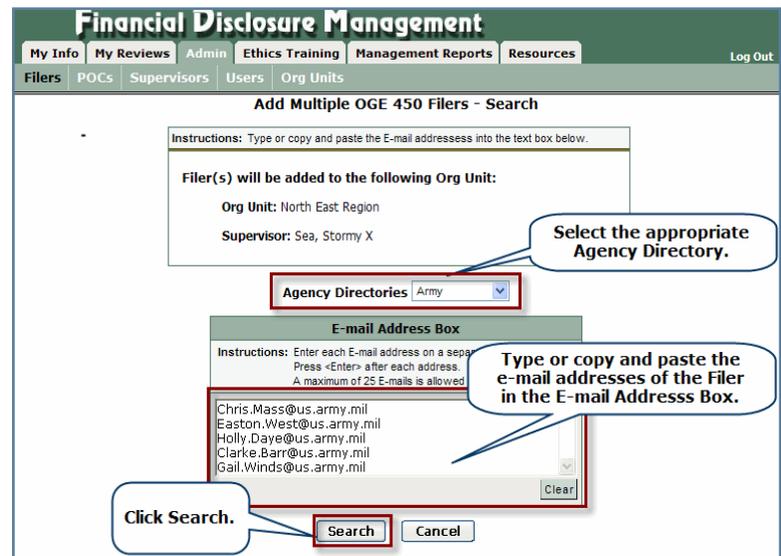
Searching for Filers

4. Select the appropriate AGENCY DIRECTORY from the drop-down list. Please select DoD if your Agency is USAF, USN, USMC, etc.

5. Type or copy and paste the e-mail addresses of the filers in the E-mail Address Box (up to 25 addresses allowed at a time and only one e-mail address per line).

6. When complete, click SEARCH.

Note: The Search may take longer depending on the number of names being searched.



Confirming Your Selection

7. Review the Filer listing. Click **CONFIRM**.
8. If Filers are listed in the "Will not be added" area, click **Cancel**, then update your Filer spreadsheet with their correct e-mail address and try again. However, if there are Filers listed in the "Filers to be Added" box and there are Filers in the "Will not be added" box, click the **Confirm** button to add those Filers and then go back and verify the address for those filers there were listed in the "Will not be added" box.

Adding More Filers

9. Click **ADD MULTIPLE OGE 450 FILERS** to add another set of OGE 450 filers to the same Org Unit.
10. Click **MY FILERS** to add Filers to a different Org Unit.

Common Issues

- ❖ If a person holds another role in FDM, for example, a Supervisor role, then that person cannot be included within adding a group of filers. This person must be added individually.
- ❖ If Filers are listed in the "Will not be added" area, click **Cancel**, and then go back and verify the address for those filers. Update your Filer spreadsheet with their correct e-mail address and try again.

