

Financial Disclosure Management

8.1.0.9 Release Notes

INTRODUCTION	1
FDM 8.1.0.9 ENHANCEMENTS.....	1
MANAGEMENT REPORTS	2
NEW PILOT PROGRAM! MANAGEMENT REPORTS.....	2
Key Change from Release 8.0.2.2	2
Who can access the New Pilot Program! Management Reports?	2
Current Management Reports	3
Pilot Program! Management Reports Menus	4
Pilot Program! Management Report Filters	5
Show Assigned/Show Unassigned Reports	5
PILOT PROGRAM! PERIODIC MANAGEMENT REPORTS	6
Review Progress Summary	6
Due Date Tracking	7
Daily Extension Tracking	8
Ethics Training Tracking	9
Reports Ready to be Purged	10
PILOT PROGRAM! OGE AGENCY REPORTS.....	11
Timely Filing & Certification Metrics	11
Annual Extension Tracking	12
Annual Ethics Training Report	13
2016 FDM SLC-220 Worksheet.....	14
2016 FDM DAEO-220 Worksheet.....	15
EXPORTING DATA INTO EXCEL OR .CSV FILE	16
Filtering and Sorting Data in Excel.....	16
Sort Exported Data in Excel	18

Introduction

New management reports added to FDM to support the management of the disclosure process and to adhere to OGE reporting requirements.

Previous Release Notes are available on the FDM website at the following link:
<https://www.fdm.army.mil/helpSupport/releaseNotes.htm>.

FDM 8.1.0.9 Enhancements

Pilot Program! Periodic Management Reports

- ❖ Review Progress Summary
- ❖ Due Date Tracking
- ❖ Daily Extension Tracking
- ❖ Ethics Training Tracking
- ❖ Reports Ready to be Purged

Pilot Program! OGE Agency Management Reports

- ❖ Timely Filing & Certification Metrics
- ❖ Annual Extension Tracking
- ❖ Annual Ethics Training Report
- ❖ 2016 FDM SLC-220 Worksheet (SLC Only)
- ❖ 2016 FDM DAEO-220 Worksheet (DAEO Only)

Management Reports

New Pilot Program! Management Reports

As part of the continued FDM modernization process, we are introducing 10 new management reports under the New Pilot Program! Management Reports tabs. These new reports consolidate and improve the existing management reports.

Key Change from Release 8.0.2.2

- ❖ Initial chart view
- ❖ Scope - Show My and Show All
- ❖ Ability to download report details into Excel or a .csv file
- ❖ View Assigned or Unassigned report information

Who can access the New Pilot Program! Management Reports?

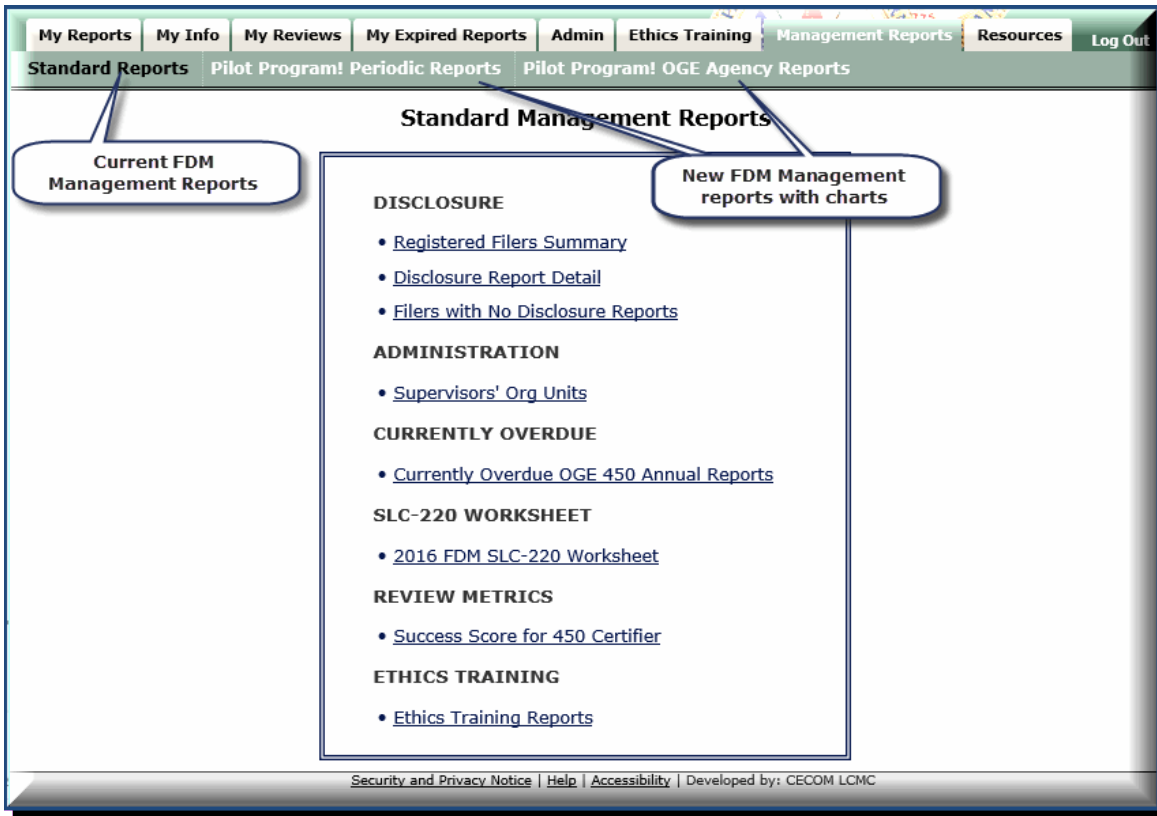
All FDM roles can access the New Pilot Program management reports except for Filers and Filer Assistants.

Note: The management reports introduced in FDM release 5.1 are now located under Standard Reports tab and include the following reports: Registered Filers Summary, Disclosure Report Detail, Filers with No Disclosure Reports, Supervisors' Org Units and Ethics Training Reports.

Current Management Reports

The current FDM Management Reports are now located under the Standard Reports tab.

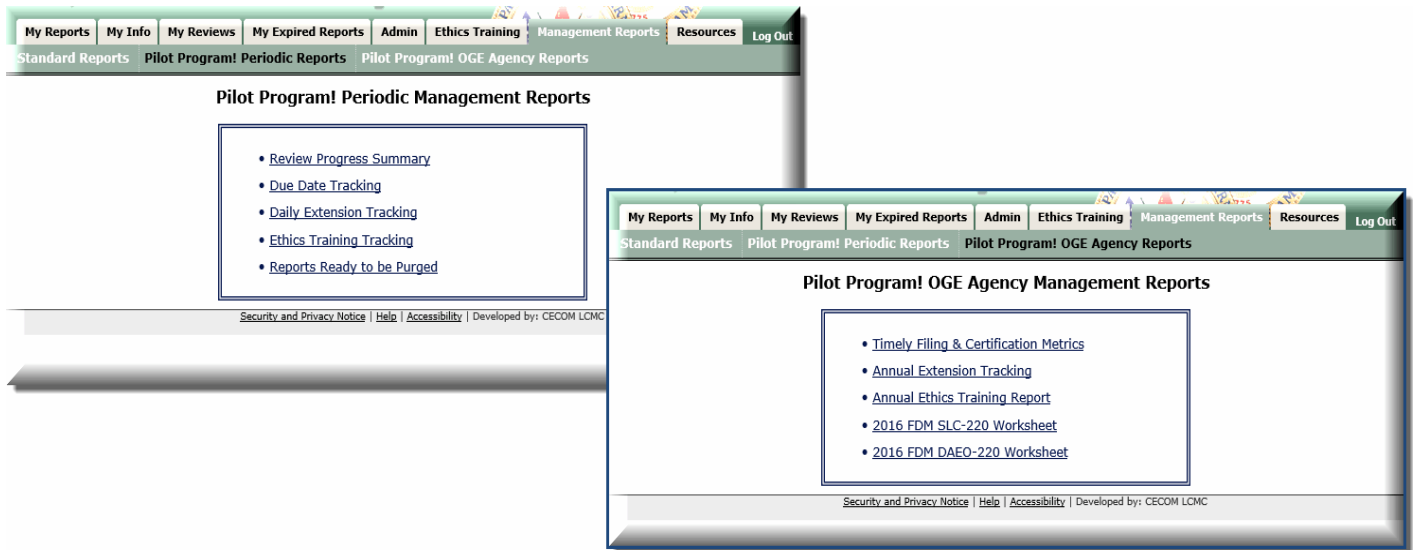
Figure 1: Management Reports Menu



Pilot Program! Management Reports Menus

There are two new tabs under Management Reports: Periodic reports and OGE Agency Reports. Periodic Management Reports provide a detailed view of how reports are progressing through the submission and review process. FDM Administrators and Ethics Officials can use the OGE Agency Reports to view information that is required for the Annual OGE Agency reports.

Figure 2: Pilot Program! Management Reports Menus



Management Report Filters

The following report filters are available:

- ❖ Ability to change FDM role and re-generate report
- ❖ Scope allows you to include or exclude specific information from your management report by selecting one of the “scopes” within Set Report Filter.

Show My Filer's	Limits your management report to listing information relevant to the org units for which you are responsible.
Show All	Allows you to view all of the relevant information for the Org Units that are assigned to you and other FDM users with the same or lesser role as you.

- ❖ View specific report Form types
- ❖ View specific historical information by year. Current year is the default.
- ❖ View Assigned and Unassigned report information

Figure 3: Pilot Program! Management Report Filers

The screenshot shows the 'Review Progress Summary' interface. At the top, there are navigation tabs: My Reports, My Info, My Reviews, My Expired Reports, Admin, Ethics Training, Management Reports, and Resources. Below these are sub-tabs: Standard Reports, Pilot Program! Periodic Reports, and Pilot Program! OGE Agency Reports. The main content area is titled 'Review Progress Summary' and includes a role selection dropdown (DAEO), a description field, and a 'Set Report Filter' section with radio buttons for 'Show MY Filers' reports' and 'Show ALL Filers' reports'. There is also a 'Form Type' dropdown (OGE 278, OGE 450) and a 'Year' dropdown (2017-2011). Callouts highlight: 'Change role is now a drop-down selection.', 'Select to view information for org units you are administering.', 'Select to view all information for org units within your control', and 'Click to view Assigned/ Unassigned report information'.

Show Assigned/Show Unassigned Reports

Some of the new Management Reports allow you to filter by Assigned or Unassigned Reports. Assigned reports are reports assigned by a POC or Ethics Official (450 certifier, SLC, DAEO) Unassigned reports are reports self-started by a filer who has not received a report assignment.

Pilot Program! Periodic Management Reports

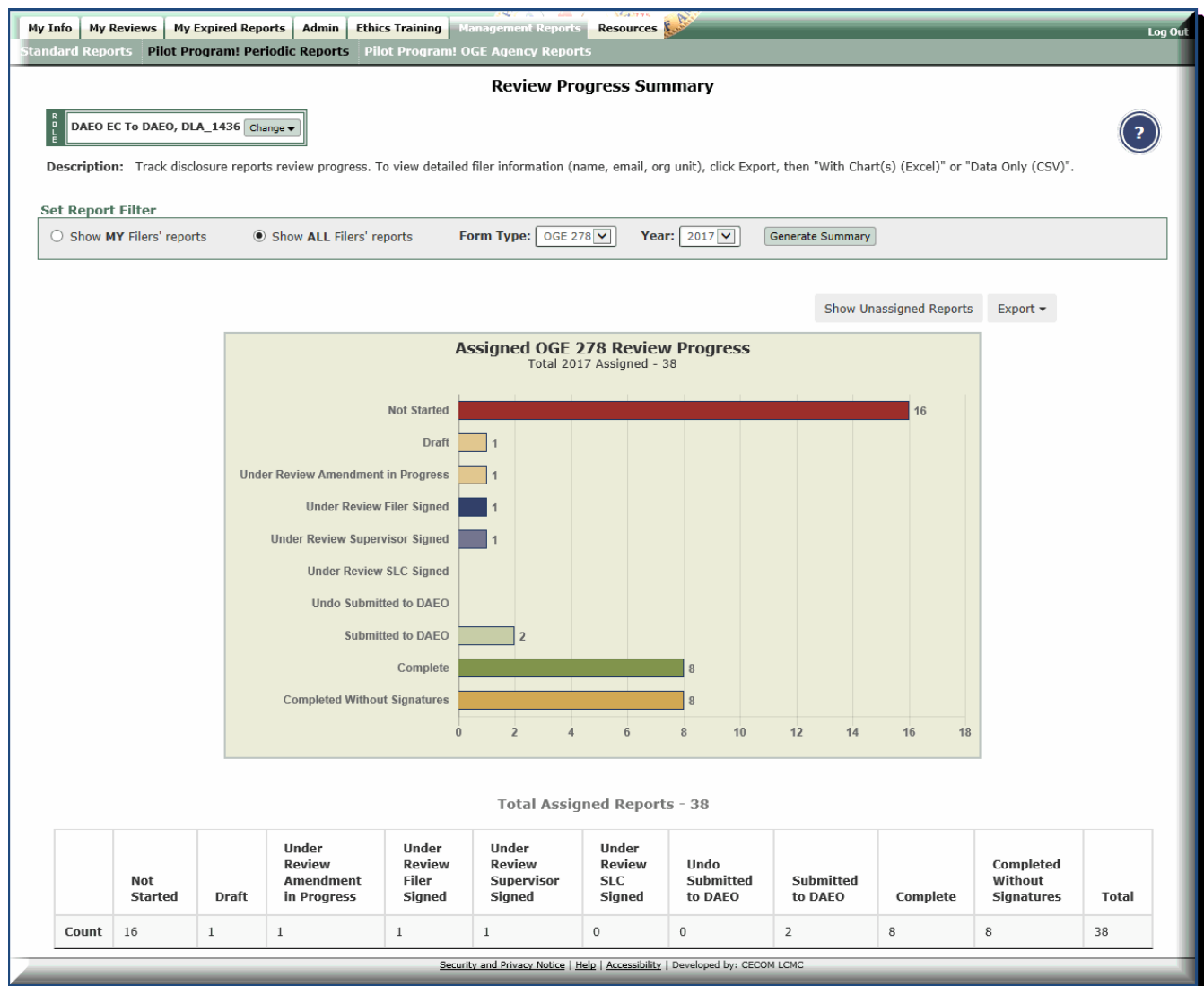
The five Periodic Management Reports are:

- ❖ Review Progress Summary
- ❖ Due Date Tracking
- ❖ Daily Extension Tracking
- ❖ Ethics Training Tracking
- ❖ Report Ready to be Purged

Review Progress Summary

Review Progress Summary consolidates and combines information from the current *Registered Filer Summary* and *Disclosure Detail Report*. It provides a single report that displays submission and review status metrics for disclosures in FDM.

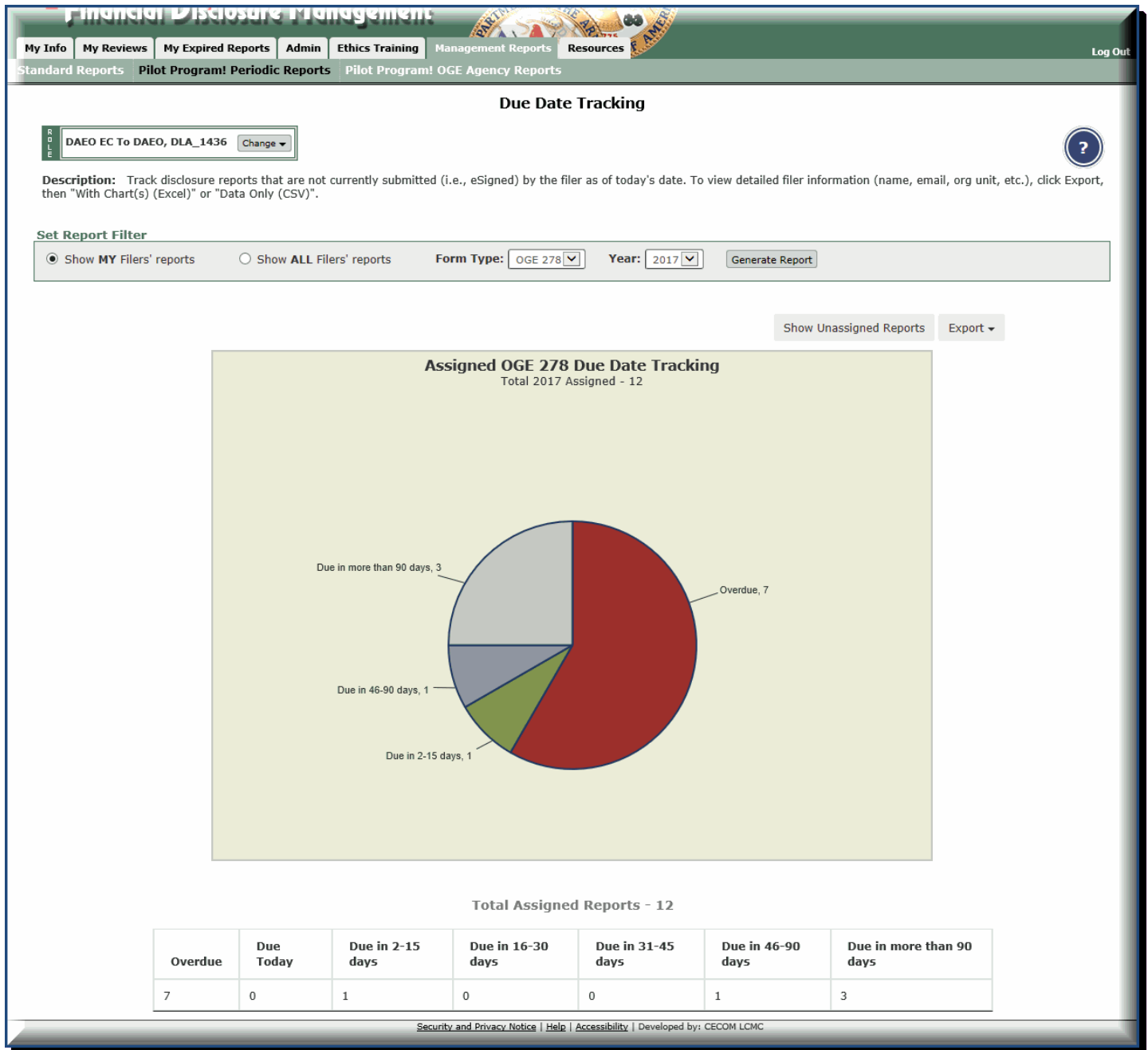
Figure 4: Review Progress Summary



Due Date Tracking

The Due Date Tracking report updates the *Currently Overdue* reports. Use this report to track disclosures as they near the due date or are simply overdue.

Figure 5: Due Date Tracking Report

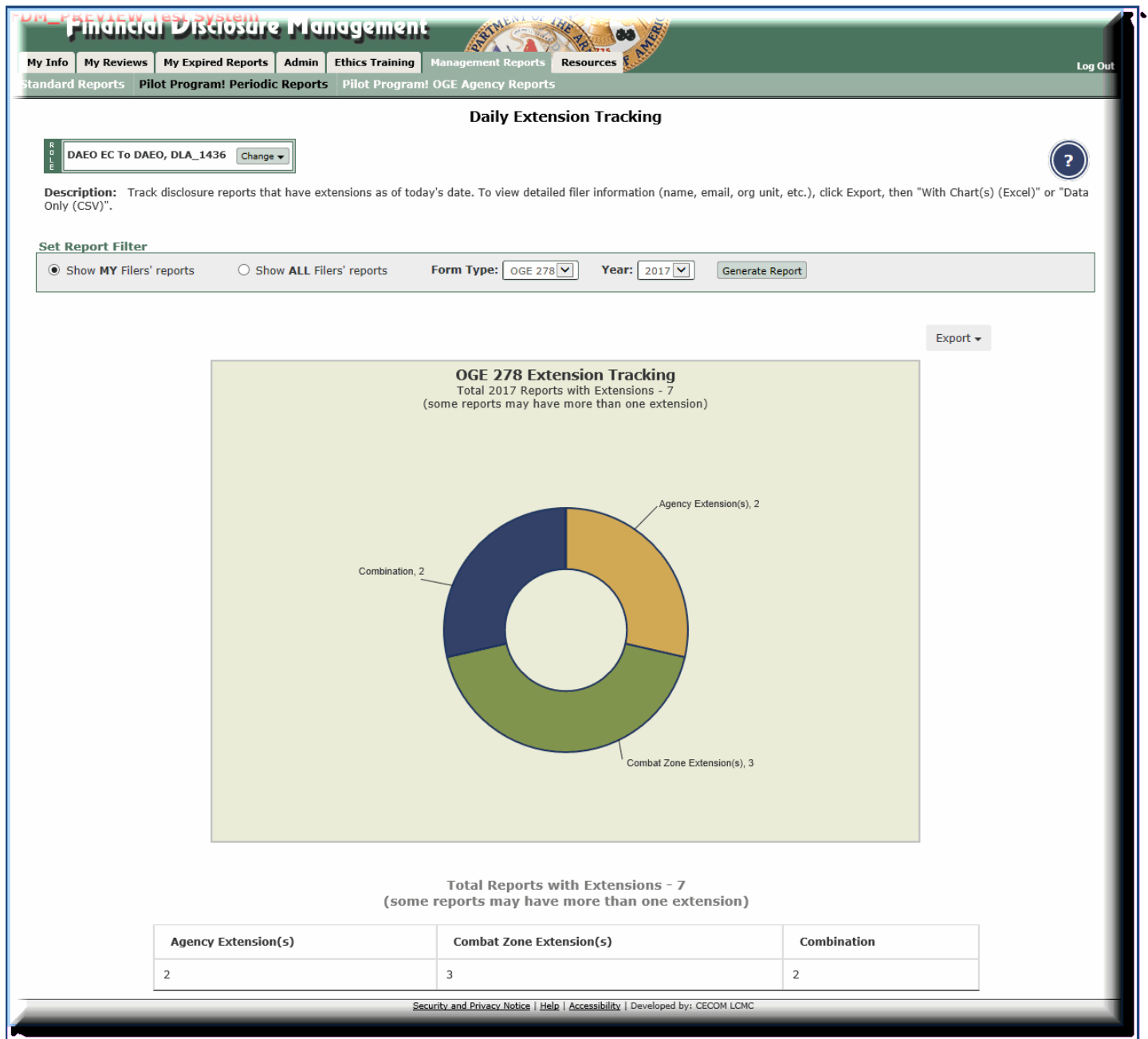


Daily Extension Tracking

This report tracks the number of specific extension types (Agency, Combat Zone, and Combination) that have been granted.

Note: Some reports may have more than one extension associated to it. If the report count and extension count are not equal, then multiple extensions may have been given for the same report.

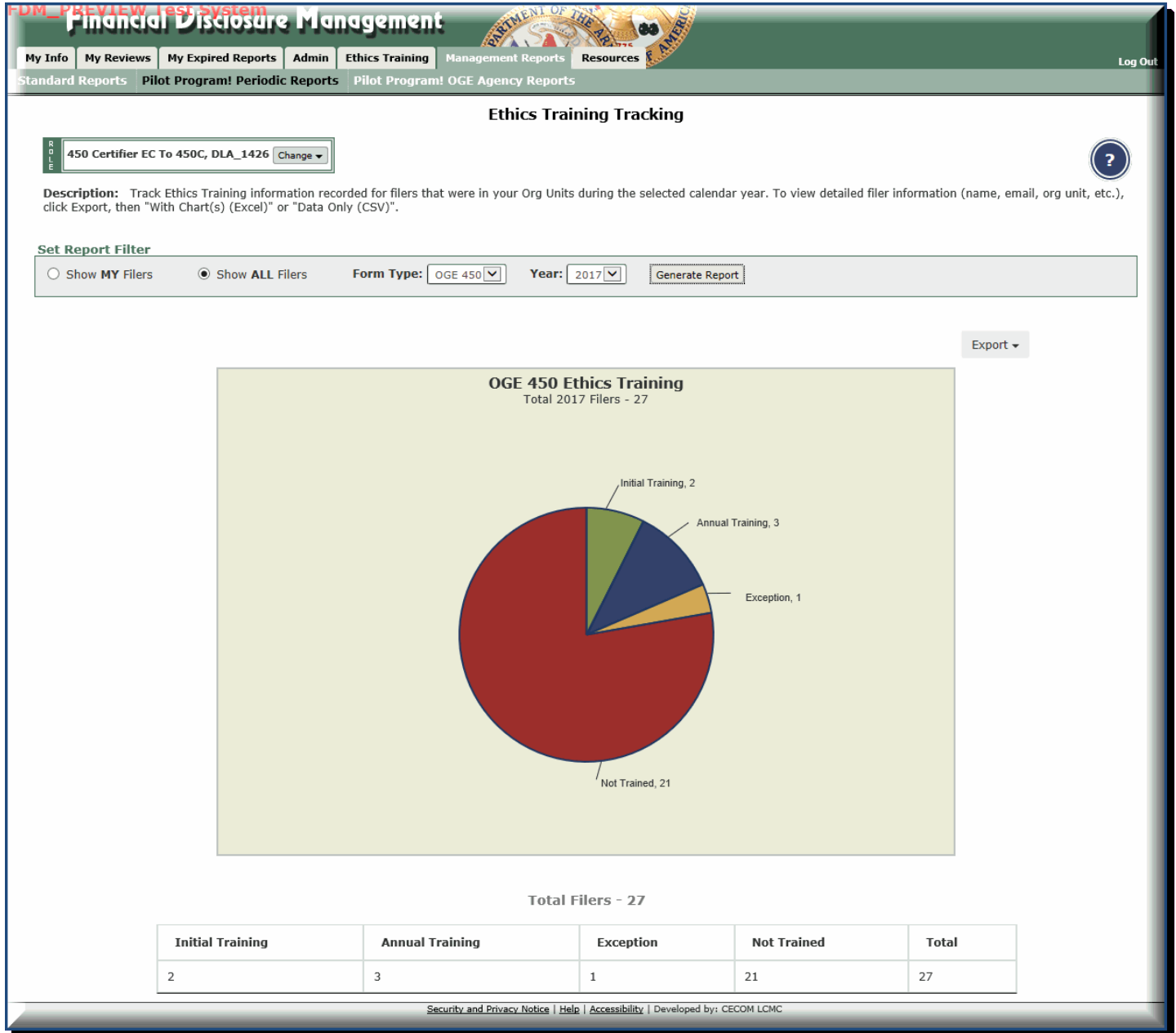
Figure 6: Daily Extension Tracking



Ethics Training Tracking

This report counts the specific Ethics Training types, (Annual or Initial) recorded for Filers that are currently, as of report generation, in the Org Units you administer during the selected calendar year.

Figure 7: Ethics Training Tracking

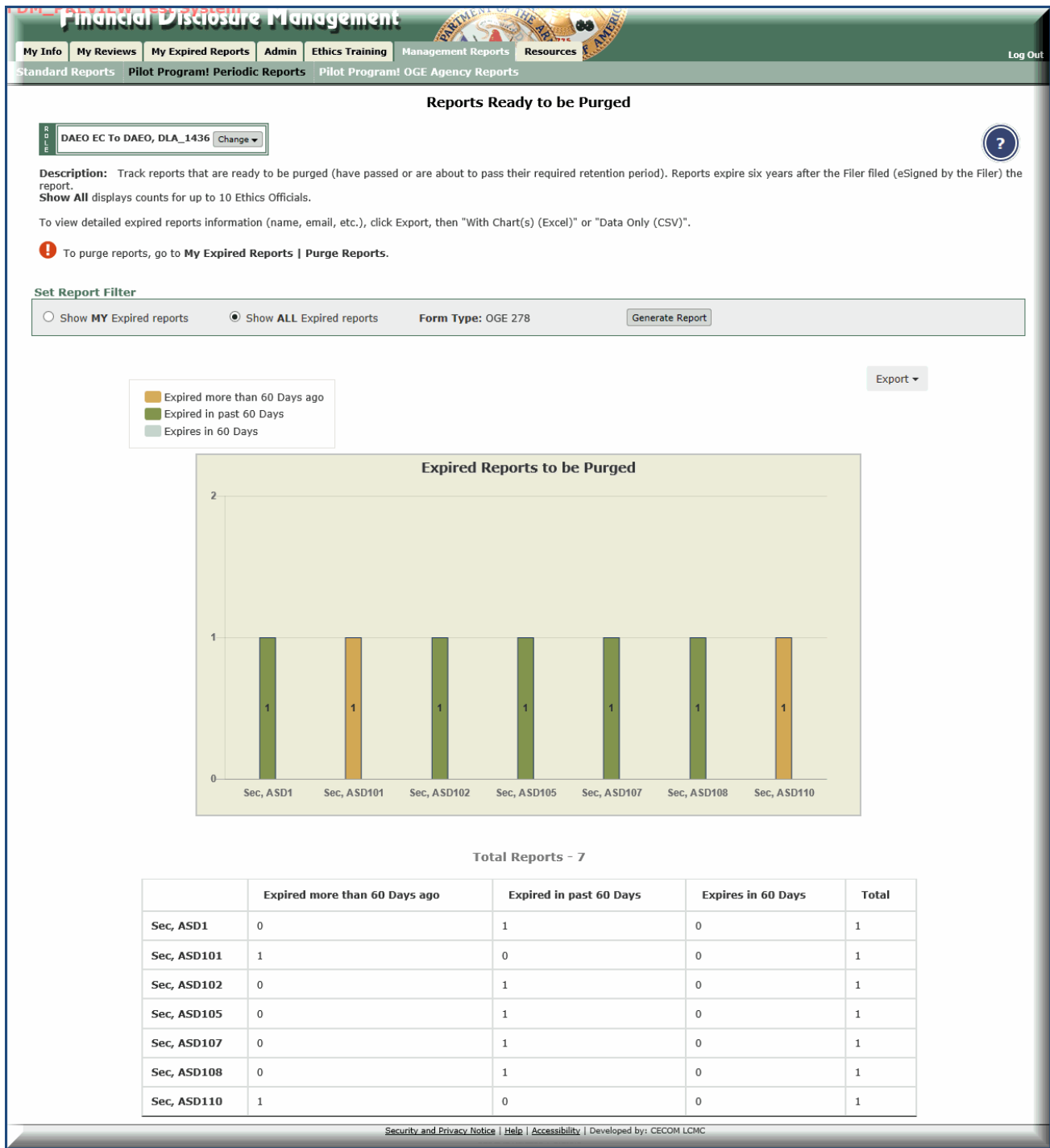


Reports Ready to be Purged

This report tracks reports that are ready to be purged (have passed or are about to pass their required retention period). **Show My** displays reports that need to be purged for the person generating the report. **Show All** displays counts for up to 10 Ethics Officials. The Excel Export includes reports for all other FDM users with the same or lesser role as you within your org unit structure.

Note: Reports expire six years after the Filer filed (eSigned by the Filer) the report.

Figure 8: Reports Ready to be Purged



Pilot Program! OGE Agency Reports

The five OGE Agency Management Reports are:

- ❖ Timely Filing & Certification Metrics
- ❖ Annual Extension Tracking
- ❖ Annual Ethics Training Report
- ❖ 2016 FDM SLC 220 Worksheet
- ❖ 2016 FDM DAEL-220 Worksheet

Timely Filing & Certification Metrics

This report updates the 450 Certifier Success Score report. Use this report to determine the count of disclosures that were filed and certified in a timely manner in accordance with OGE requirements.

Note: Timely filing is defined as the filer eSigning the disclosure prior to or on the due date, plus any extension. Timely certification is defined as: the disclosure is certified on or before 60 days after the filer's last signature.

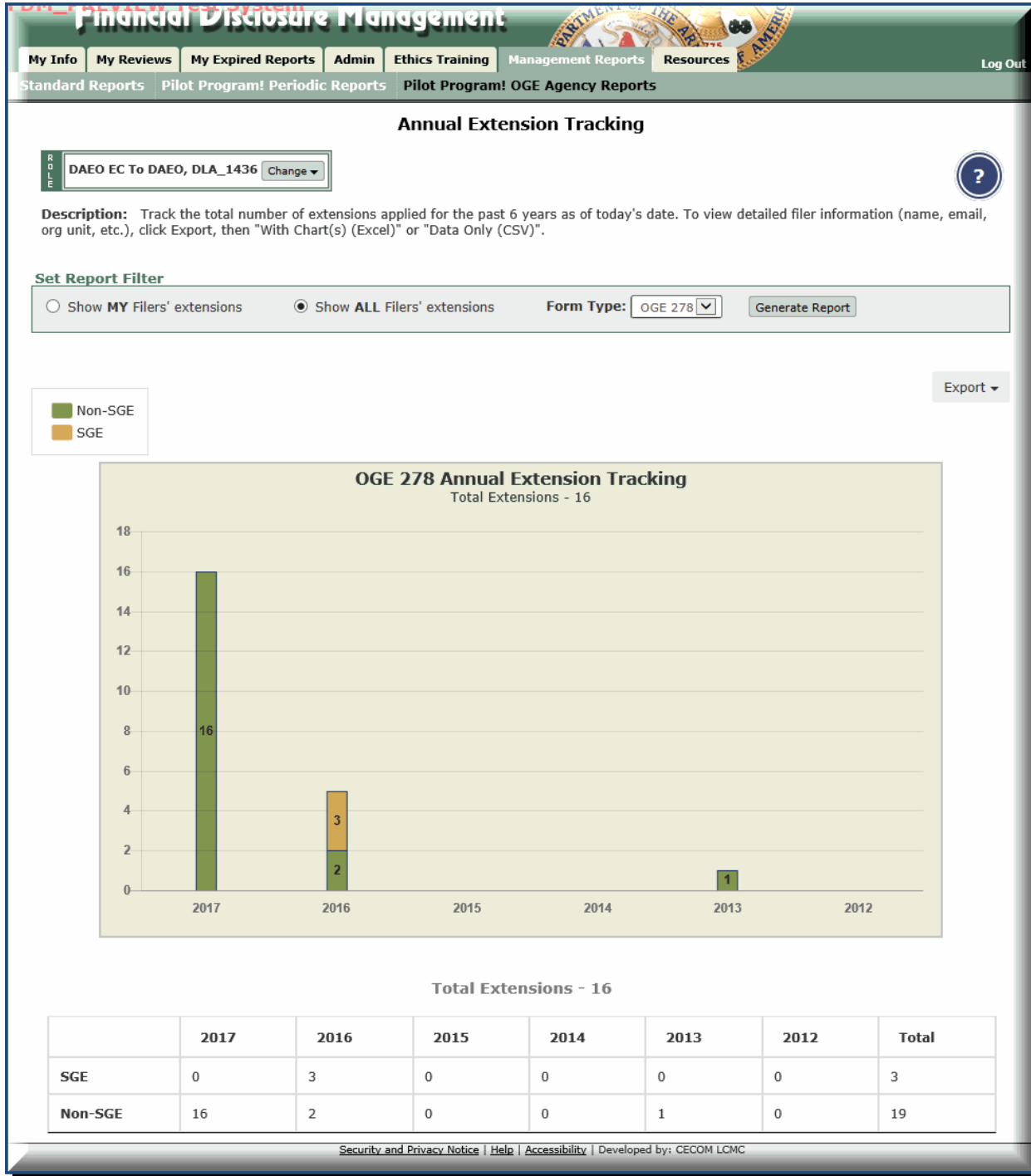
Figure 9: Timely Filing and Certification Metrics



Annual Extension Tracking

This report tracks the total number of extensions provided for OGE 450 and OGE 278 reports in FDM over the past 6 years in FDM.

Figure 10: Annual Extension Tracking Report

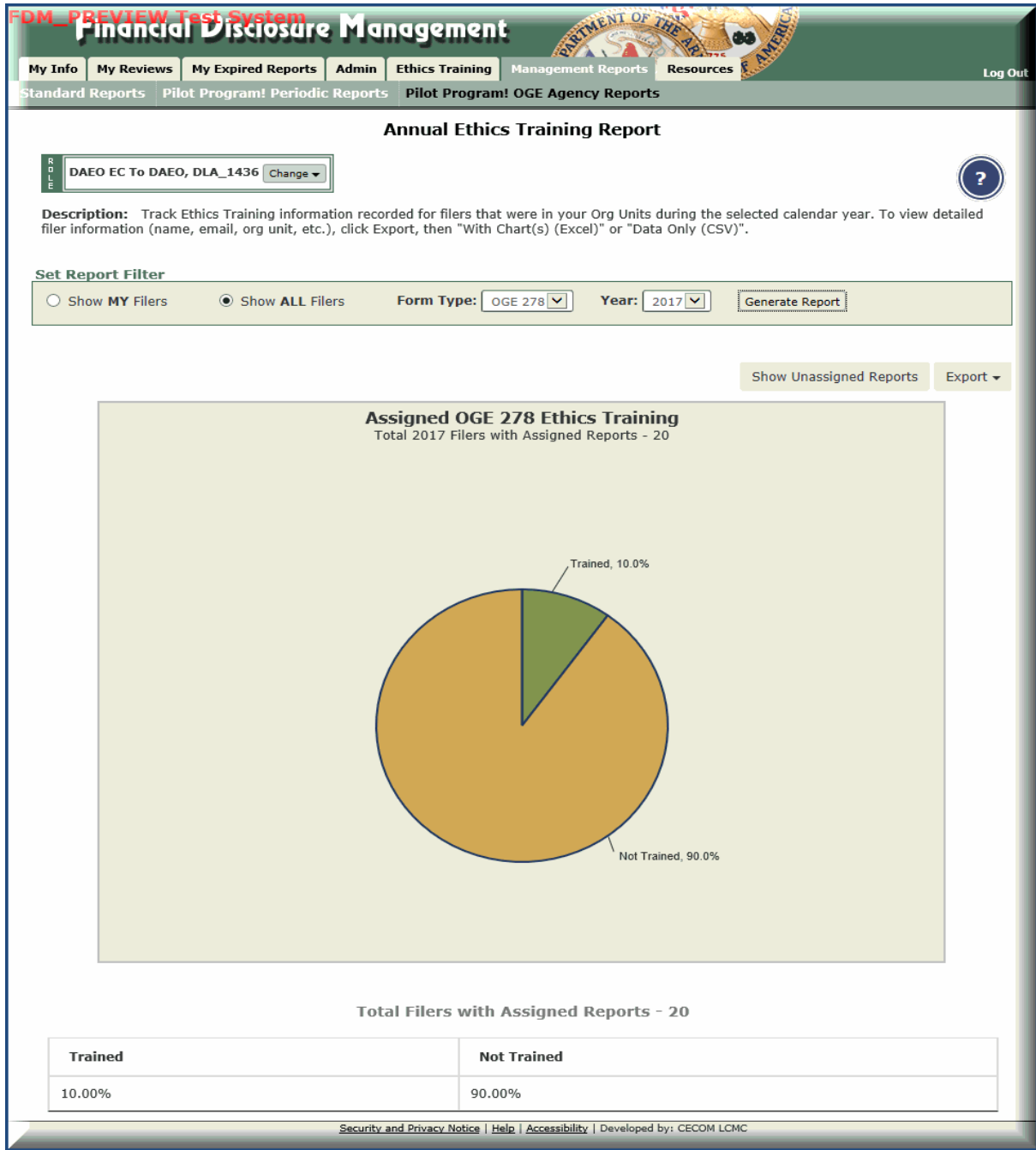


Annual Ethics Training Report

This report tracks ethics training recorded for filers who were assigned reports in your Org Units during the selected calendar year.

Note: The Excel Export of this report ties the filer's ethics training record to a disclosure report.

Figure 11: Annual Ethics Training Report



2016 FDM SLC-220 Worksheet

This worksheet shows information available in FDM regarding disclosure reports (i.e., OGE 278, OGE 450), ethics training recorded for Filers you support, and Filers in the Org Units/Subordinate Org Units where you are the SLC. It will aid you in filling out part of the annual agency report to OGE. You will need to supplement this worksheet when preparing your part of the annual agency ethics report. Army will be using an online submission, and separate instructions will include a link.

Figure 12: 2016 FDM SLC-220 worksheet

2016 FDM SLC-220 Worksheet

Senior Legal Counsel

Instructions for the Legal Office Senior Legal Counsel (SLC): 1) This worksheet shows information available in FDM on disclosure reports (i.e., OGE 278, OGE 450), ethics training recorded for Filers you support, and Filers in the Org Units/Subordinate Org Units where you are the SLC. It should aid you in filling out part of the annual agency report to OGE. 2) You will need to supplement this worksheet when preparing your part of the annual agency ethics report. Army will be using an online submission and separate instructions will include a link to that site.

[View Ethics Training Details:](#)
Click here to view detailed lists of filers counted as required to receive and actually received ethics training in Part 3 Education and Training questions.

Worksheet covers the following Org Units where ALL Roles, Sys_1450 X is Legal Office SLC:
Note: Report only shows portions for which FDM has answers.

Part Question Question Text and Response

1. ORGANIZATION/RESOURCES
Number of Special Government Employees (SGE) shown in FDM for reports during 2016 as of December 31, 2016:

3. EDUCATION AND TRAINING (Click [View Ethics Training Details](#) link in the Instructions section above to view filers list.)
From the FDM Ethics Training tab, number of Filers shown who **actually received** initial ethics orientation:
From the FDM Ethics Training tab, number of Filers shown who were required to receive, and Filers who actually received annual ethics training:

	Required to Receive Annual Ethics Training		Actually Receive Annual Ethics Training	
	Required	Filed	Required	Filed
Public Filers (OGE 278) - non-PAS	0	0	0	0
Confidential Filers (OGE Form 450)	3	0	0	0

3. Training methods used for your ethics training:

Distribution of written materials

Video presentation

Satellite broadcast/Videoconferencing

Classroom instruction

Individual briefings

Computer/web-based training

Other

4. Training materials used for your ethics training:

Copies of the Standards of Conduct and or agency supplemental regulations

Summaries of the Standards of Conduct

Pamphlets/Brochures

Newsletters

Posters

Case studies

Videos

Message from Agency Leadership

Other

6. PUBLIC FINANCIAL DISCLOSURE
By Filer category, the number of public financial disclosure reports (OGE 278) required to be filed in 2016, excluding SGEs, and the number of reports actually filed.

	Nominee/New Entrant		Incumbent		Termination		Incumbent and Termination	
	Required	Filed	Required	Filed	Required	Filed	Required	Filed
PAS	0	0	0	0	0	0	0	0
Non-Career SES	0	0	0	0	0	0	0	0
Career SES	0	0	0	0	0	0	0	0
Schedule C	0	0	0	0	0	0	0	0
Other	0	0	0	0	0	0	0	0

2. Number of public financial disclosure (OGE 278) filers with reports in FDM showing filing extensions:

7. CONFIDENTIAL FINANCIAL DISCLOSURE
The number of confidential financial disclosure reports (OGE Form 450) shown in FDM as required to be filed by permanent full-time employees in 2016, excluding SGEs, and the number of OGE Form 450s actually filed in FDM.

	Confidential Reports		Filed
	Required	Filed	
OGE Form 450	3	0	Not Available
OGE Form 450A	Not Available	0	Not Available
Alternate OGE approved form	Not Available	0	0

2. Number of confidential financial disclosure (OGE 450) filers with reports in FDM showing filing extensions:

8. ADVISORY COMMITTEES/SPECIAL GOVERNMENT EMPLOYEES
In FDM the number of SGEs (as shown on the Filer's Contact Information screen when preparing the report) who served as advisory committee members or as experts/consultants and who were required to file financial disclosure reports in 2016 and the total number who actually filed.

	Confidential Reports		Public Reports	
	Required	Filed	Required	Filed
Advisory Committee Members (FACA & Non-FACA)	0	0	0	0
Experts/Consultants	0	0	0	0
Board Members	0	0	0	0
Commissioners	0	0	0	0
Senior Mentors (SMs)	Not Applicable	0	0	0
Other (except for SMs)	0	0	0	0

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2016 FDM DAEO-220 Worksheet

This worksheet shows information available in FDM regarding disclosure reports (i.e., OGE 278, OGE 450), ethics training recorded for Filers you support, and Filers in the Org Units/Subordinate Org Units where you are the DAEO. It will aid you in filling out part of the annual agency report to OGE. You will need to supplement this worksheet when preparing your part of the annual agency ethics report. Army will be using an online submission, and separate instructions will include a link.

Figure 13: 2016 FDM DAEO 220 Worksheet

2016 FDM DAEO-220 Worksheet

DAEO EC To DAEO, DLA_1436

Instructions for the DAEO: 1) This worksheet shows information available in FDM on disclosure reports (i.e., OGE 278, OGE 450), ethics training recorded for Filers you support, and Filers in the Org Units/Subordinate Org Units where you are the DAEO. It should aid you in filling out part of the annual agency report to OGE. 2) You will need to supplement this worksheet when preparing your part of the annual agency ethics report. Army will be using an online submission and separate instructions will include a link to that site.

View Ethics Training Details:
[Click here](#) to view detailed lists of filers counted as required to receive and actually received ethics training in Part 3 Education and Training questions.

Worksheet covers the following Org Units where DAEO, DLA_1436 is Legal Office DAEO: 3
 Note: Report only shows portions for which FDM has answers.

Part Question Question Text and Response

1. ORGANIZATION/RESOURCES

1. Number of Special Government Employees (SGE) shown in FDM for reports during 2016 as of December 31, 2016: 12

3. EDUCATION AND TRAINING (Click [View Ethics Training Details](#) link in the Instructions section above to view filers list.)

1. From the FDM Ethics Training tab, number of Filers shown who **actually received** initial ethics orientation: 2

2. From the FDM Ethics Training tab, number of Filers shown who were required to receive, and Filers who actually received annual ethics training:

	Required to Receive Annual Ethics Training	Actually Receive Annual Ethics Training
Public Filers (OGE 278) - non-PAS	17	0
Confidential Filers (OGE Form 450)	14	0

3. Training methods used for your ethics training:

- Distribution of written materials
- Video presentation
- Satellite broadcast/Videoconferencing
- Classroom instruction
- Individual briefings
- Computer/web-based training
- Other (Includes Training Methods and Materials): **Self-study manual**

4. Training materials used for your ethics training:

- Copies of the Standards of Conduct and or agency supplemental regulations
- Summaries of the Standards of Conduct
- Pamphlets/Brochures
- Newsletters
- Posters
- Case studies
- Videos
- Message from Agency Leadership
- Other (See "Other" in Training Methods above for the complete list of Other Methods and Materials)

6. PUBLIC FINANCIAL DISCLOSURE

1. By Filer category, the number of public financial disclosure reports (OGE 278) required to be filed in 2016, **excluding** SGEs, and the number of reports actually filed.

	Nominee/New Entrant		Incumbent		Termination		Incumbent and Termination	
	Required	Filed	Required	Filed	Required	Filed	Required	Filed
PAS	0	0	1	0	0	0	0	0
Non-Career SES	0	0	2	3	1	0	0	0
Career SES	0	0	0	1	1	1	0	0
Schedule C	0	0	1	0	0	0	0	0
Other	1	1	2	2	0	0	0	0

We could not tell which Filer category (i.e., PAS, Non-Career SES, Career SES, Schedule C, or Other) for the following OGE 278 Filer(s): Incumbent reports required to be filed; Dinsmore, Eve; experts consultants, 278_25; Naughton, Patrick E; not started, 278_26; Sec. Asst; Sherida, Mike; Turk, Randi; Warth, Chris

2. Number of public financial disclosure (OGE 278) filers with reports in FDM showing filing extensions: 0

7. CONFIDENTIAL FINANCIAL DISCLOSURE

1. The number of confidential financial disclosure reports (OGE Form 450) shown in FDM as required to be filed by permanent full-time employees in 2016, **excluding** SGEs, and the number of OGE Form 450s actually filed in FDM.

	Confidential Reports	
	Required	Filed
OGE Form 450	22	Not Available
OGE Form 450A	Not Available	Not Available
Alternate OGE approved form	Not Available	Not Available
	7	

2. Number of confidential financial disclosure (OGE 450) filers with reports in FDM showing filing extensions: 0

8. ADVISORY COMMITTEES/SPECIAL GOVERNMENT EMPLOYEES

1. In FDM the number of SGEs (as shown on the Filer's Contact Information screen when preparing the report) who served as advisory committee members or as experts/consultants and who were required to file financial disclosure reports in 2016 and the total number who actually filed.

	Confidential Reports		Public Reports	
	Required	Filed	Required	Filed
Advisory Committee Members (FACA & non-FACA)	1	0	1	0
Experts/Consultants	1	0	1	0
Board Members	1	0	1	0
Commissioners	1	0	2	1
Senior Mentors (SMs)	Not Applicable	Not Applicable	1	0
Other (except for SMs)	1	0	1	0

Exporting Data into Excel or .csv file

Use the Export feature to view the underlying detailed information of any FDM Management report. You can export the management report data into an Excel Spreadsheet or a CSV (Comma Separated Value) file. Exporting a report into Excel allows you to filter data by Filer name, Filer email address, Org Unit, report status, review status, assigned or unassigned status as well as report amendment status.

Note: Exports to excel include information for both Assigned and Unassigned reports on the Data tab for some management reports.

Note: The .csv files, or comma separated values files, can be used in Excel or other data management applications.

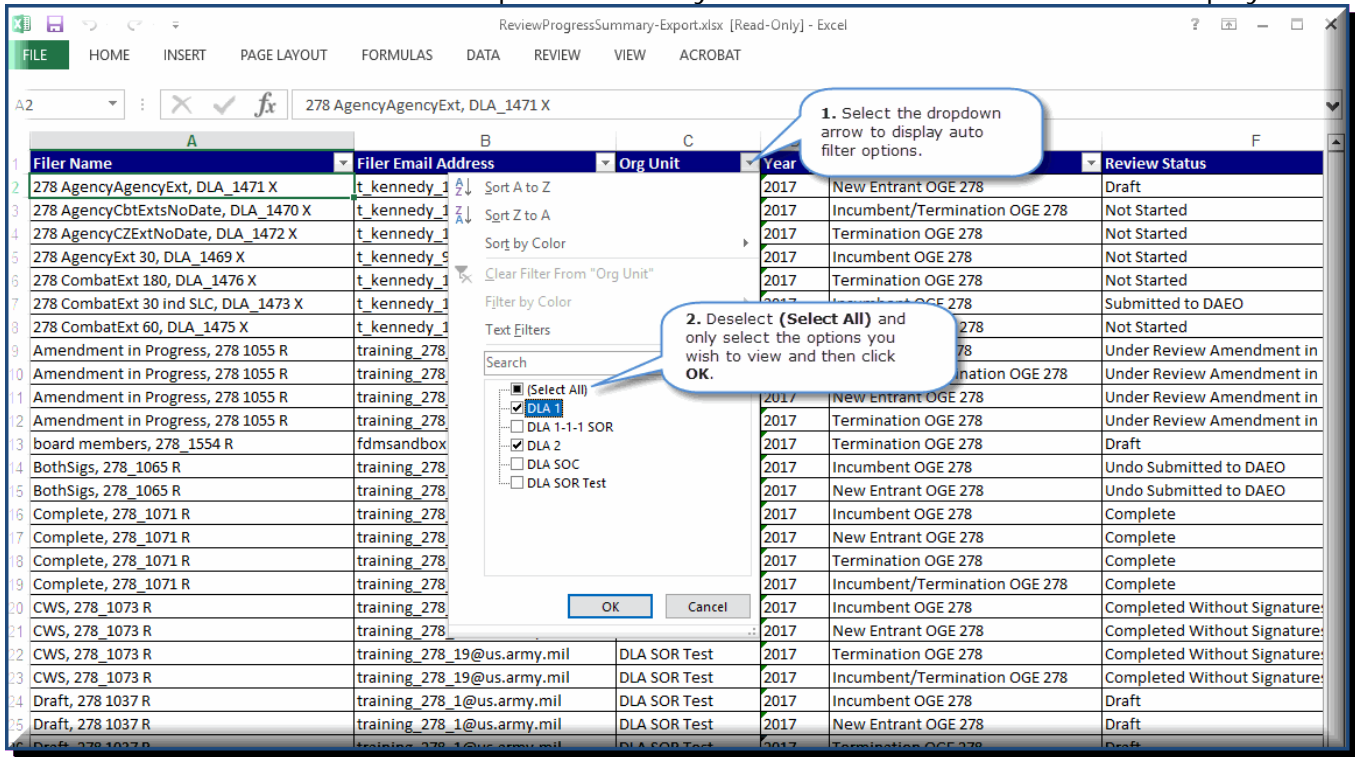
Filtering and Sorting Data in Excel

You can easily reorganize exported data by using the filtering and sorting functions in Excel. Sorting data rearranges your data based on particular defined criteria. You can filter exported management reports in Excel to see the data they way you want and to find information quickly. Each FDM Data tab is organized into different columns identified by header cells with drop down arrows beside each column header.

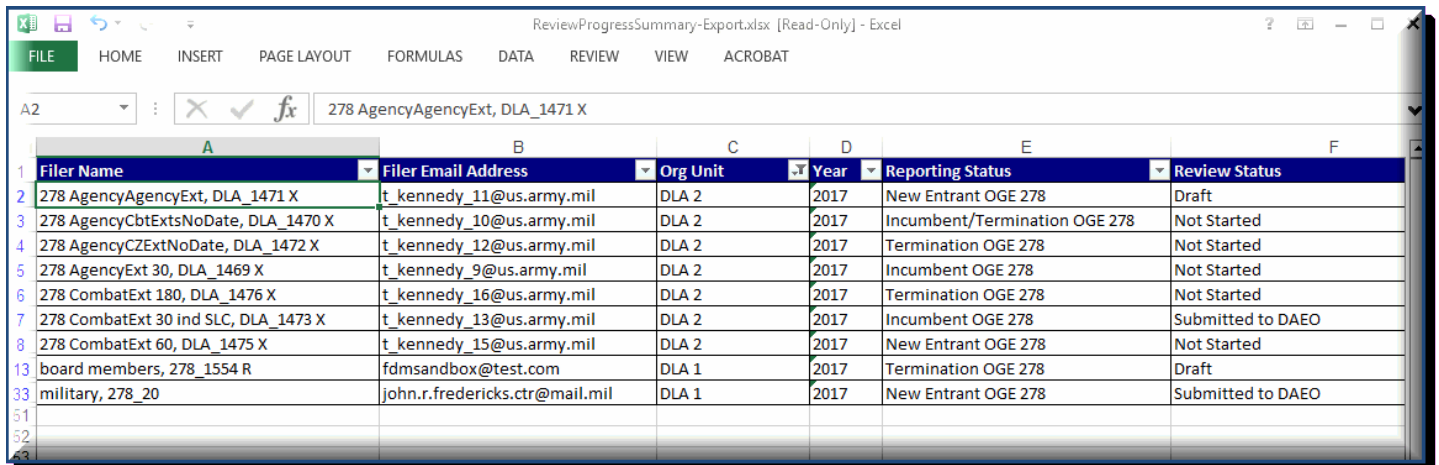
Note: Filtered results can be cleared at any time to re-display all rows that the filtering temporarily suppressed.

To filter an exported report:

1. Click **Enable Editing** button at the top of the Excel page.
2. Select the column header drop-down arrow you wish to filter. The Filter menu displays.



3. Uncheck the box beside **Select All** to deselect all data.
4. Check the boxes beside the data you want to filter and then click **OK**. The data will be filtered, temporarily hiding any content that does not match the selected criteria.



Note: You can also access filtering options from the Sort & Filter command on the Home tab in Excel.

You can apply multiple filters by selecting the dropdown arrow in multiple columns and deselecting/selecting specific data in the column to display.

Defects and Changes

FDM 712 – The filer role removal notification message has been updated to direct filers to contact their legal advisor if they still require access to FDM

FDM 721 – The Application Error message has been updated to include instructions to close and re-open the browser.

FDM 811 – New filers are no longer listed as untrained in previous year on the Ethics Training Not Trained list.

FDM 1491- On the Remind Supervisor page, "Show Filer's Reports for My Orgs" was replaced with "Show Supervisor's for My Orgs."

FDM 1865 – The Incorrect Certifier Assistant message removed from Worklist/Org Unit View.

FDM 1928 – The links to FDM Tutorials in the Report Ready for Your Review Notification have been updated.

FDM 1976 – The link to the OGE 450 form was updated to Getting Started Common Questions.

FDM 1984 – Confirmation message now displays when a user tries to remove report assignment.

FDM 1955 - OGE 450 instructions were updated to reflect verbiage changes in the new OGE 450 form.