FINANCIAL DISCLOSURE MANAGEMENT

May 2020
FDM 8.5.6.7

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Introduction

Your Role as a Point of Contact (POC)

Many organizations have an established network of POCs who are responsible for managing OGE 450 financial disclosure filing activities. As a POC for an organization, command, or activity, you have very important responsibilities in FDM.

In FDM, POCs are responsible for a variety of tasks but primarily managing OGE 450 Filers and Organizational data and keeping OGE 450 Filers and their Supervisors aware of the filing season and deadlines.

POCs have the ability to:

- Add or delete subordinate Org Units
- Add new Filers who enter the organization and remove Filers who leave the organization
- Assign and/or change Supervisors to your subordinate Org Units
- Assign reports to Filers
- Generate management reports

Organize Filers Prior to December 31

It is recommended that POCs begin reviewing and updating their Filers in FDM no later than November 1. Everyone who is registered and required to file an OGE 450 report will automatically be assigned an Annual OGE 450 Report on December 31. Failure to properly organize Filers and Supervisors prior to his date can create additional administrative work for POCs during the filing season.

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.

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.

POC Cleanup Time Line

When	Who	What	Description
NLT October 15	POC	Request FDM Training	Contact your local ethics officials and request training on new FDM features or processes.
NLT October 31	POC	Review/ Update Filer Spreadsheet	Go to Admin Center in FDM. Review and update your Filer list and Org structure. You may export your list of Filers from FDM to assist with the update process.
NLT November 18	POC	Add/update Org Units, POCs and Supervisors	Determine Filer-to-Org Unit-Groupings. Categorize Filers into organizations or departments based on their need to file a disclosure report and who supervises them. Org Units are simply an electronic version of your agency organization structure. You can create subordinate Org Units to complete the organizational structure.
NLT December 31	POC	Move/Add Filers	Once Filers are identified and the Org Unit structure is established, begin adding Filers to FDM.
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 December 31	FDM	Auto Assign	FDM automatically assigns everyone who is registered and required to file an OGE 450 report an December 31.
NLT January 15	POC	Notify Filers to File	POCs should send initial notifications to OGE 450 Annual Filers regarding their report assignment
NLT February 15	POC	Notify Filers to submit reports	POCs should notify OGE 450 Filers (annual/new entrant) of their need to submit their report in FDM.

Managing Filers

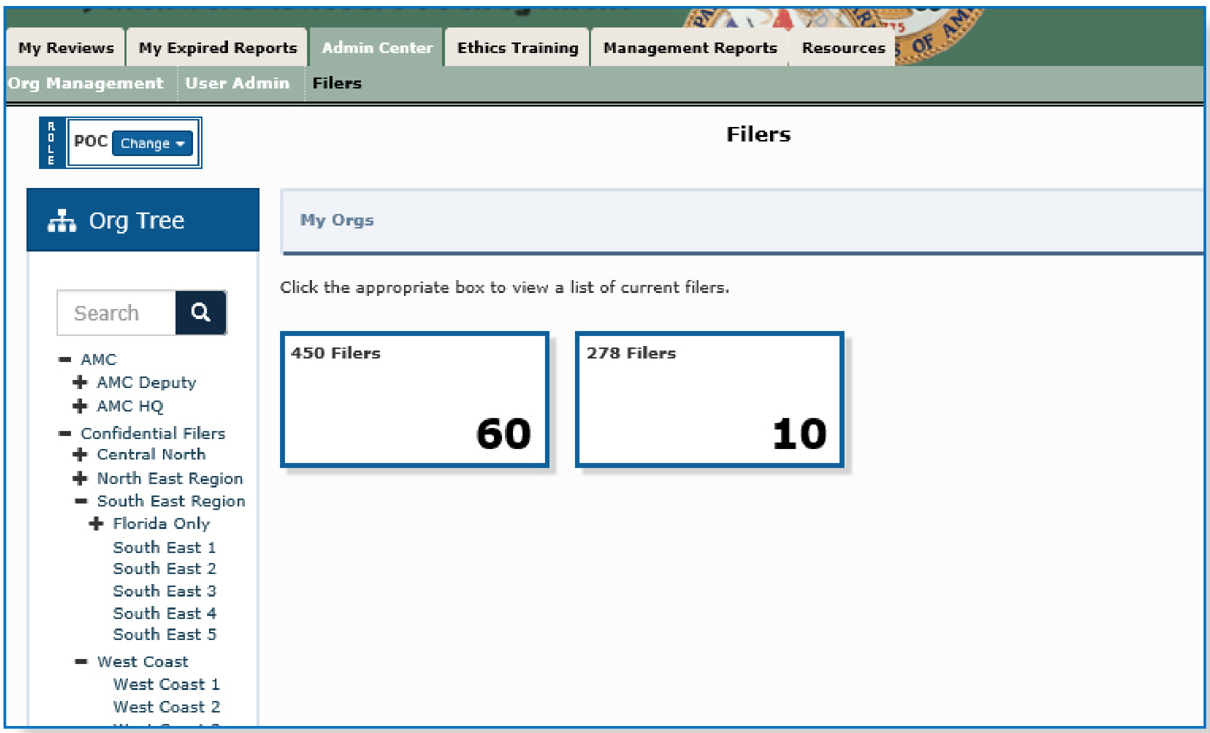
Viewing and Managing a List of all of Your Filers

Admin Center | Filers

Use the Admin Center | Filers page to review and update your Filer list prior to filing season.

To view a list of your Filers:

1. Go to **Admin Center | Filers**.
2. Select the **450 Filers** panel.



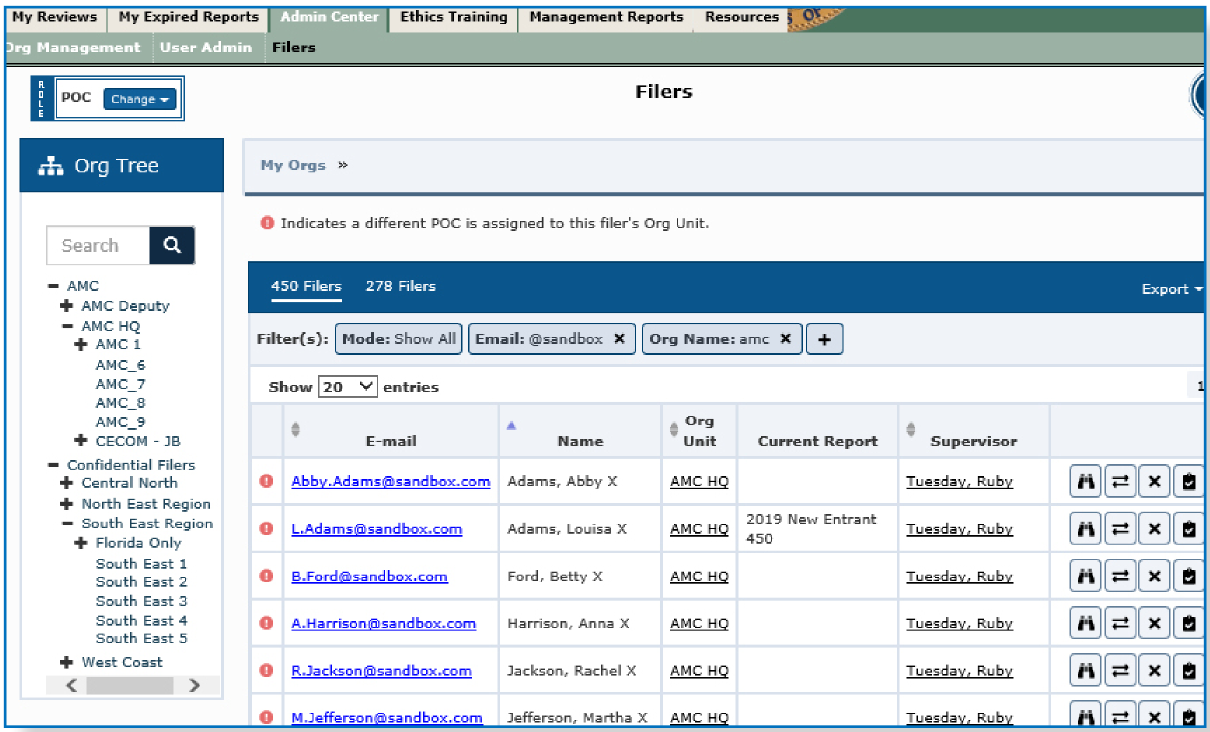
Filtering and Sorting

Filtering and sorting allows you to quickly view and group your Filers by specific criteria.

3. In the Org Tree, navigate to your highest level Org Unit.
4. Select **Show All** to list all of the Filers in the Org units assigned to you and other FDM users with the same role as POC.

Filter Options when searching for a specific Filer

5. To search for a specific Filer, click **Add Filter (+)** and select any of the available filter options.
6. Click **Apply Filters.** Only the records containing the selected filter information are displayed. Filter Option to locate Filer’s with no Current Reports



Filter Option to locate Filers with no Current Reports

To help determine which Filers may need to be removed from FDM, use the No Current Report filter to limit your list of results to Filers who do not have a currently assigned report in FDM.

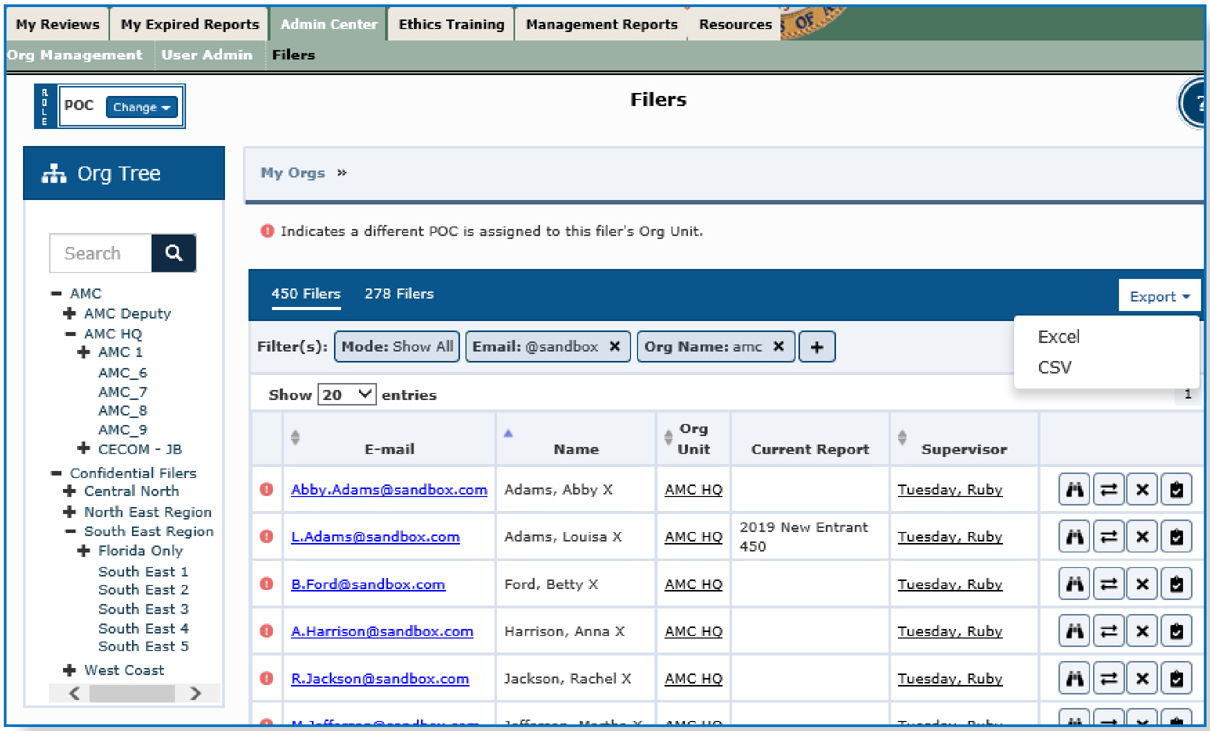
Sorting

7. Click on any column sort arrows to rearrange your list as needed.

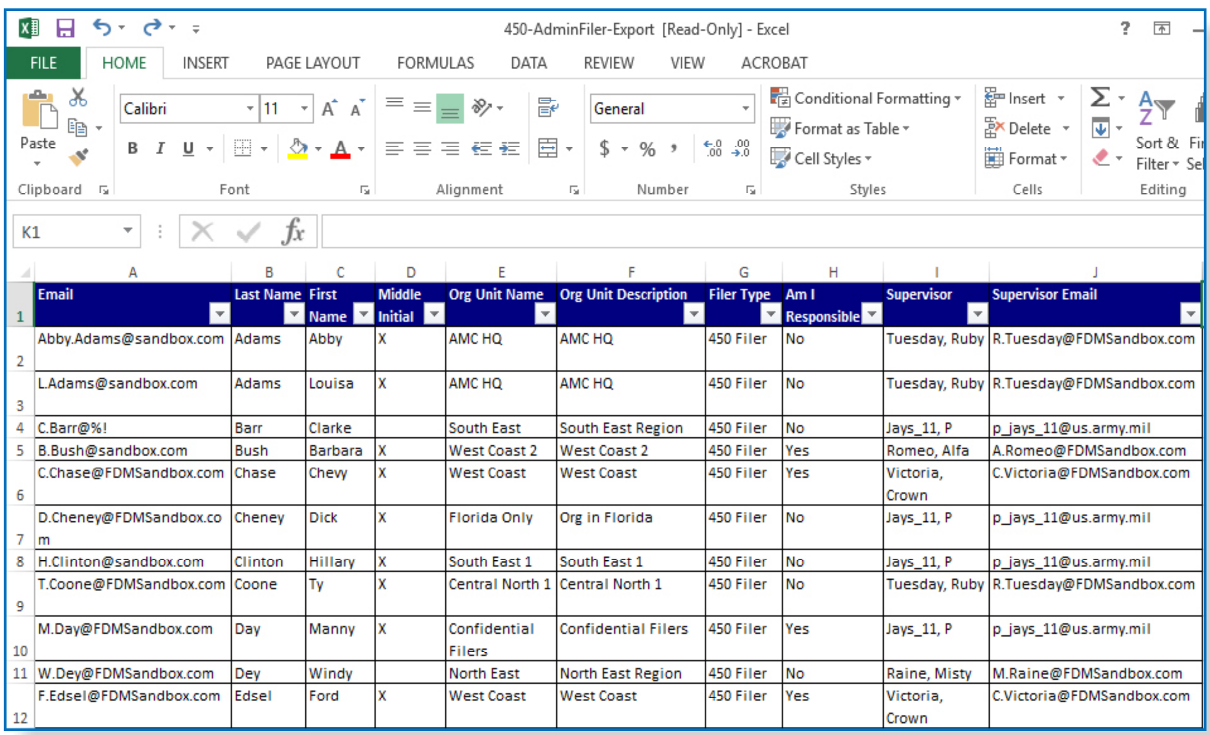
Exporting Your Filer List

To export a list of your Filers:

8. Click **Export** then select **Excel** or **CSV**.



9. In Excel, click **Enable Editing** then select the **DATA** tab to sort and filter the data.



Email	Last Name	First Name	Middle Initial	Org Unit Name	Org Unit Description	Filer Type	Am I Responsible	Supervisor	Supervisor Email
Abby.Adams@sandbox.com	Adams	Abby	X	AMC HQ	AMC HQ	450 Filer	No	Tuesday, Ruby	R.Tuesday@FDMSandbox.com
L.Adams@sandbox.com	Adams	Louisa	X	AMC HQ	AMC HQ	450 Filer	No	Tuesday, Ruby	R.Tuesday@FDMSandbox.com
C.Barr@%!	Barr	Clarke		South East	South East Region	450 Filer	No	Jays_11, P	p_jays_11@us.army.mil
B.Bush@sandbox.com	Bush	Barbara	X	West Coast 2	West Coast 2	450 Filer	Yes	Romeo, Alfa	A.Romeo@FDMSandbox.com
C.Chase@FDMSandbox.com	Chase	Chevy	X	West Coast	West Coast	450 Filer	Yes	Victoria, Crown	C.Victoria@FDMSandbox.com
D.Cheney@FDMSandbox.com	Cheney	Dick	X	Florida Only	Org in Florida	450 Filer	No	Jays_11, P	p_jays_11@us.army.mil
H.Clinton@sandbox.com	Clinton	Hillary	X	South East 1	South East 1	450 Filer	No	Jays_11, P	p_jays_11@us.army.mil
T.Coone@FDMSandbox.com	Coone	Ty	X	Central North 1	Central North 1	450 Filer	No	Tuesday, Ruby	R.Tuesday@FDMSandbox.com
M.Day@FDMSandbox.com	Day	Manny	X	Confidential Filers	Confidential Filers	450 Filer	Yes	Jays_11, P	p_jays_11@us.army.mil
W.Dey@FDMSandbox.com	Dey	Windy		North East	North East Region	450 Filer	No	Raine, Misty	M.Raine@FDMSandbox.com
F.Edsel@FDMSandbox.com	Edsel	Ford	X	West Coast	West Coast	450 Filer	Yes	Victoria, Crown	C.Victoria@FDMSandbox.com

10. Once you and the Org Unit Supervisors have completed your reviews, return to **Admin Center | Org Management** to make any changes to Filer lists.

Adding Filers to Org Units

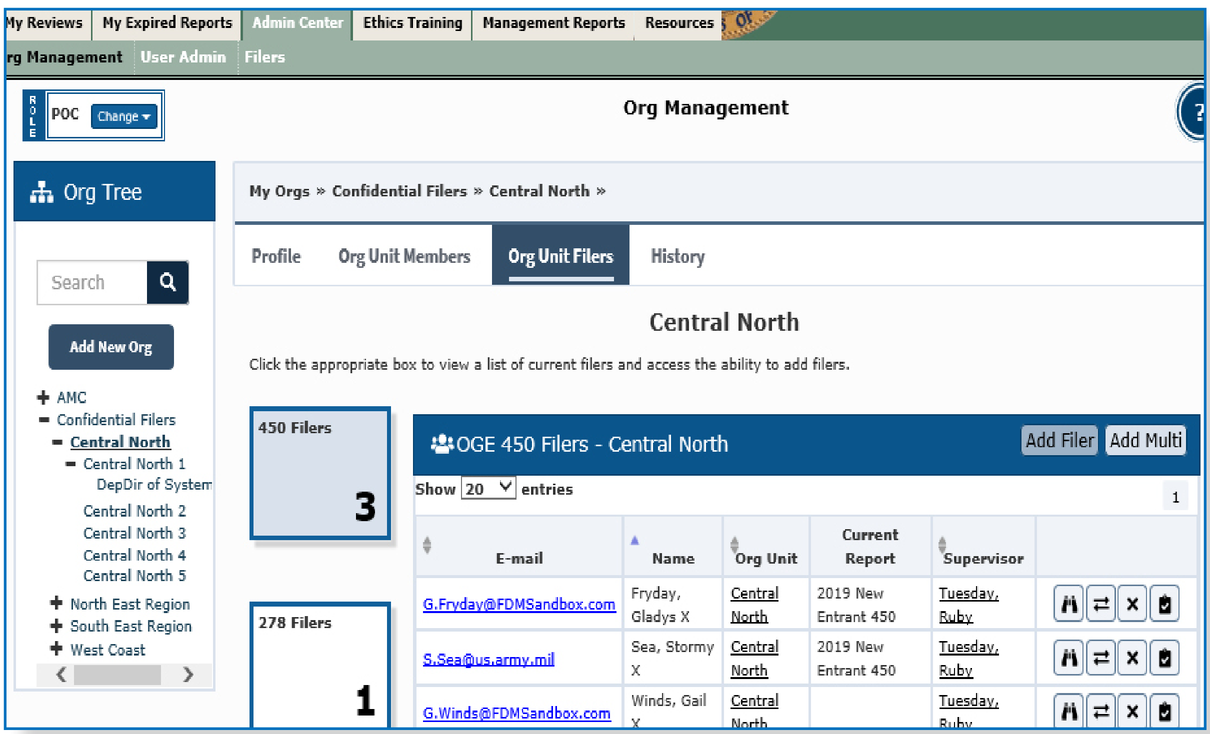
Org Unit Filers

Use the Org Management| Org Units Filers page to add individual or groups of Filers to any Org Unit you are associated to in FDM. Group Filers into separate Org Units by Supervisor. Agencies that do not have supervisory review should assign a paralegal or legal clerk in the Supervisor role to perform a screening of a disclosure report's completeness.

FDM automatically assigns every registered OGE 450 Filer in FDM an Annual Report on December 31. Automatic report assignment requires that POCs have their Org Units, Supervisors and Filers set up correctly in FDM before the beginning of filing season.

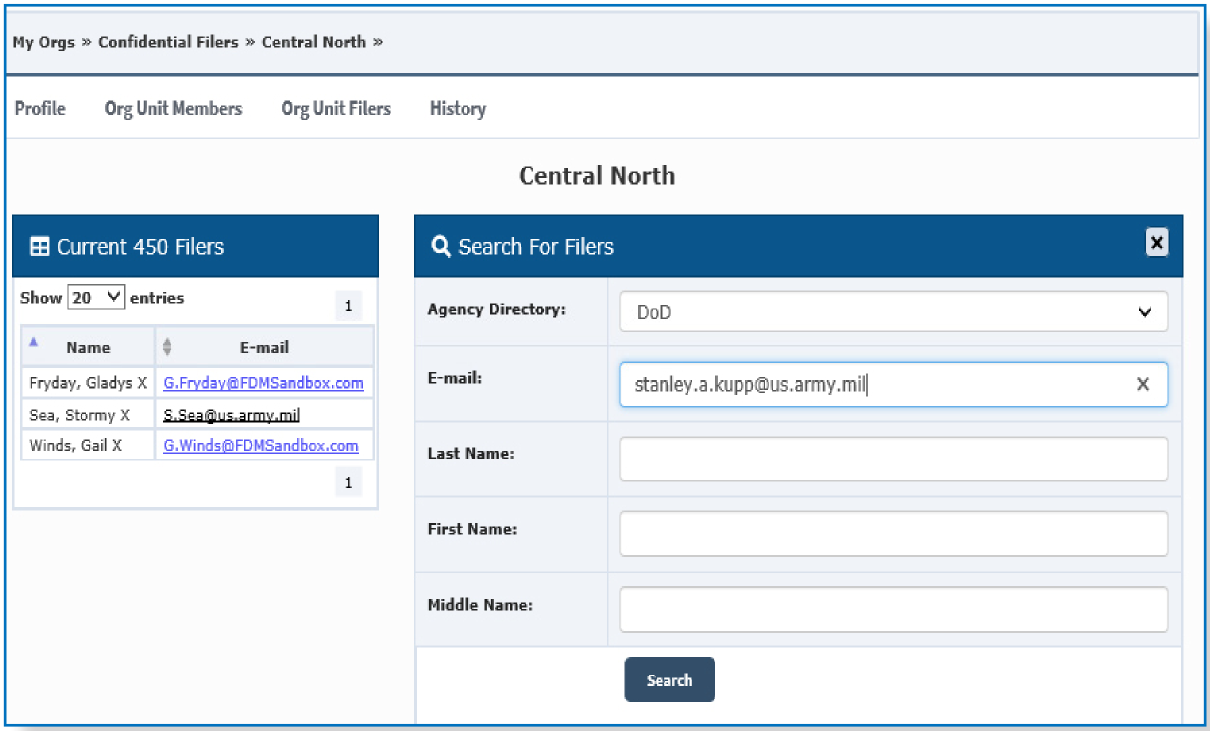
Registering a Single Filer

1. From any point in FDM, click the **Admin Center** tab.
2. Click **Org Management** then, via the Org Tree, select where the new Filer should be added.
3. Click the **Org Unit Filers** tab within the selected Org Unit.
4. Select the **450 Filers** panel. A list of Filers already associated with the selected Org Unit is displayed.



Searching for a Filer

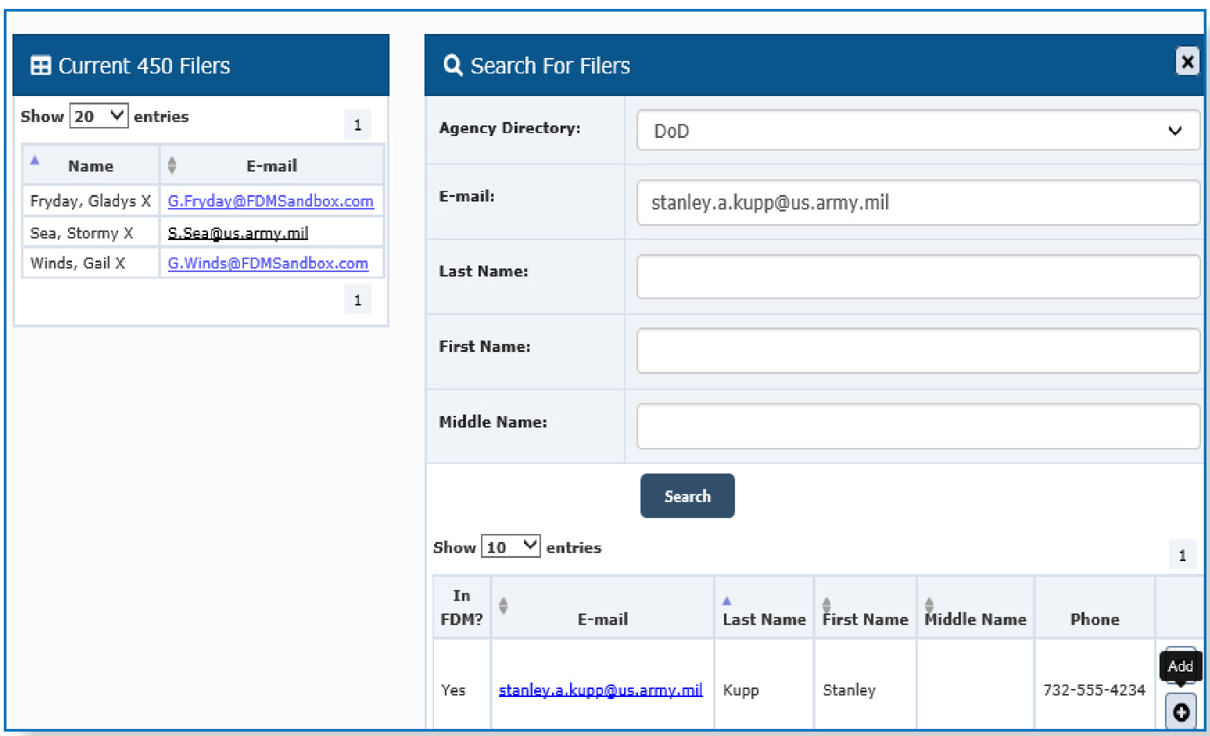
5. Click **Add Filer**. The search box on the right side of your screen prompts you to search for a new Org Member.



6. Select the appropriate Agency Directory from the drop-down list.

Note: The best way to return a result for someone is to search by e-mail address. Searching by last, first, and middle name will return more results.

7. Type the new Filer's e-mail address in the e-mail field and then click **Search**.



8. In the search results list, select the individual whom you wish to add by clicking the **plus (+) sign** beside their name. The Filer list redisplays with the newly added Filer.

   Note: The 'In FDM' field in the search results will display 'Yes' for an individual if they are a current FDM user. Search for the user in **Admin Center | User Admin** and view their user profile to see all of their roles in FDM. Click on the Show Directory Details icon to view that person's contact and organizational information, as well as their Filer category.

9. 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.

10. 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; annual Filers will be automatically assigned an OGE 450 report on December 31.

If you have a large amount of Filers who need to be added to the same Org Unit, please see the Adding Multiple 450 Filers section of this guide.

Removing a Filer Role

Deletion of Filer roles should be completed prior to the **December 31** to prevent Filers from starting reports in the incorrect Org Unit for the next filing season. Only one Filer role can be removed at a time.

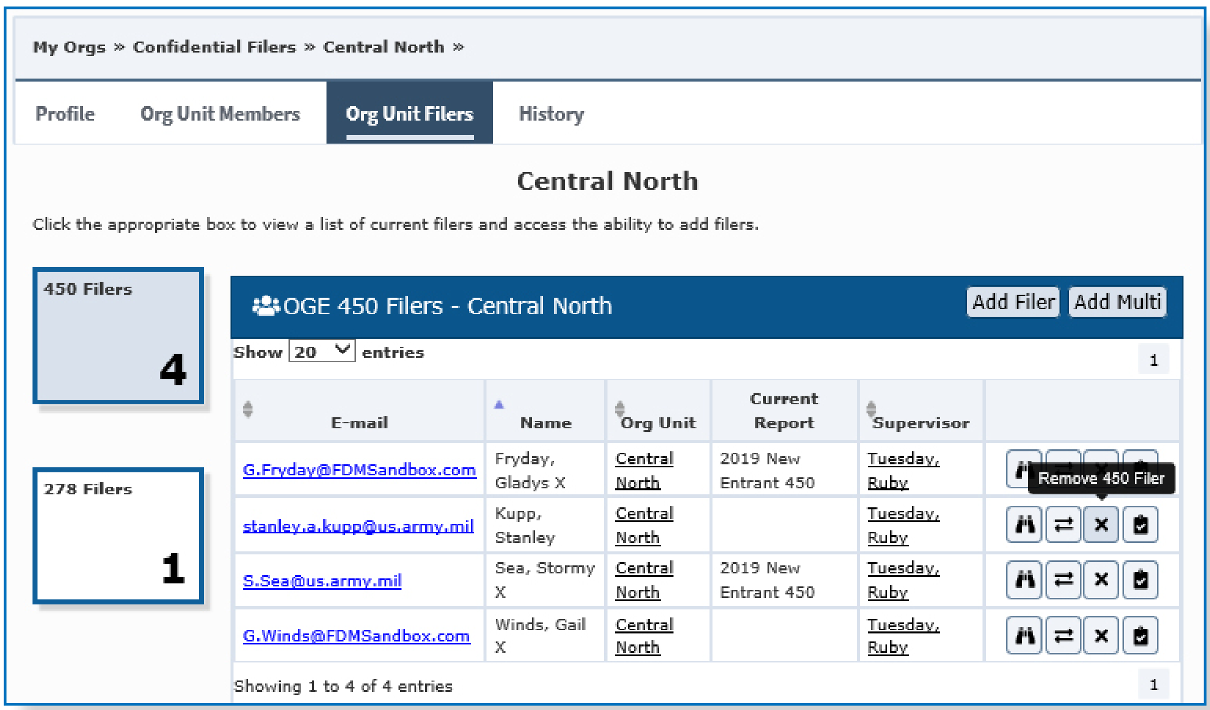
Before removing a Filer, you should check that the Filer does not have any assigned or incomplete reports. If the Filer has an incomplete report, the Filer's 450 Certifier should be advised to certify or delete the report. Deleting the report is the best option if it was filed erroneously.

> **Note:** Removing a Filer does not result in the individual's account removal in FDM - only the Filer role that they hold in the specific Org Unit.

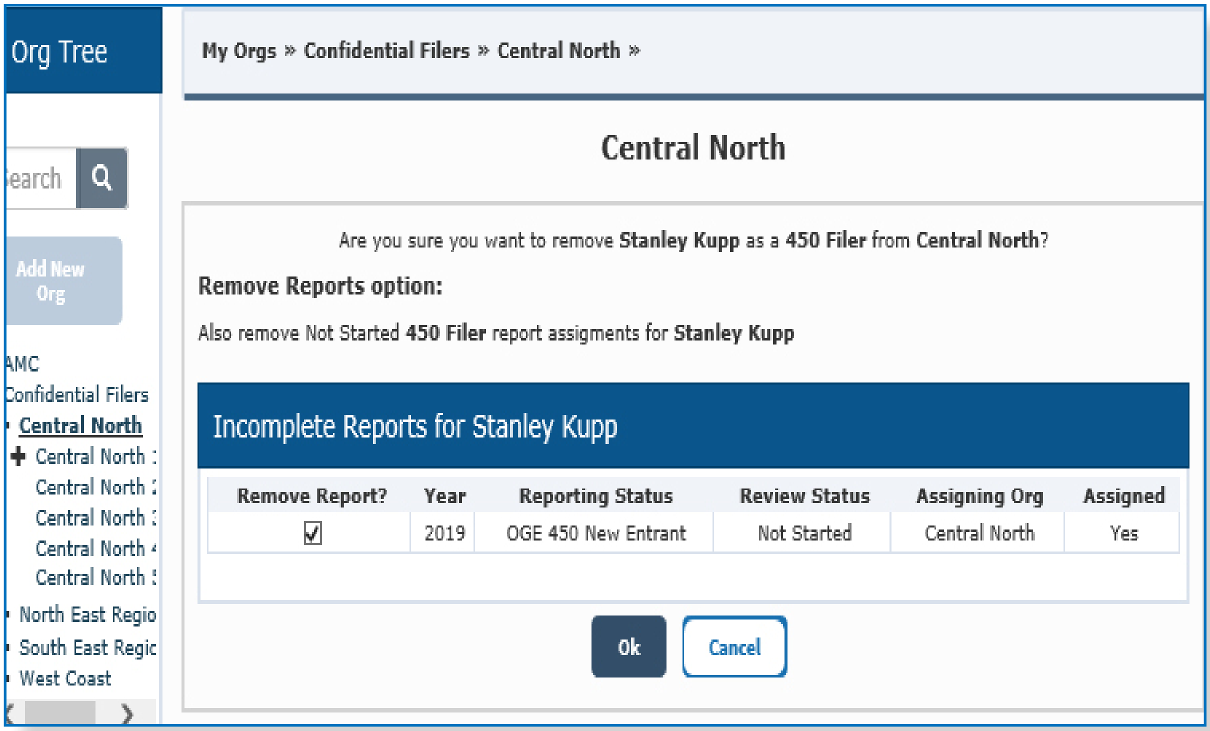
Filter Option to locate Filer's with No Current Reports

To help determine which Filers may need to be removed from FDM, use the No Current Report filter to limit your list of results to Filers who do not have a currently assigned report in FDM.

1. Go to **Admin Center | Org Management**.
2. Select an Org Unit from the Org Tree that contains the Filer who you want to remove.
3. Click on the **Org Unit Filers** tab.
4. Select the **450 Filers** panel. A list of Filers already associated with the selected Org Unit is displayed.



5. Click on the Remove **450 Filer (X)** button in the actions column beside the appropriate Filer. The Remove Reports Options page is displayed.



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 the report yet
- The Filer's 450 Certifier to complete 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. This will prevent the report from showing up in any generated management reports.

Removing an Assigned Report

Deleting a Filer's role does not delete any started reports (e.g. Draft, Under Review and Complete). The checkbox is checked by default to remove the assigned report.

To remove a report with the Filer role, leave the checkbox selected beside a report and then click **OK**. If you want a report to stay with the review chain of the original Org Unit, deselect the checkbox and select **OK.**

> **Note:** If you do not select the checkbox, the Filer role is removed and the report assignment is not removed

Moving a Filer to a Different Org Unit

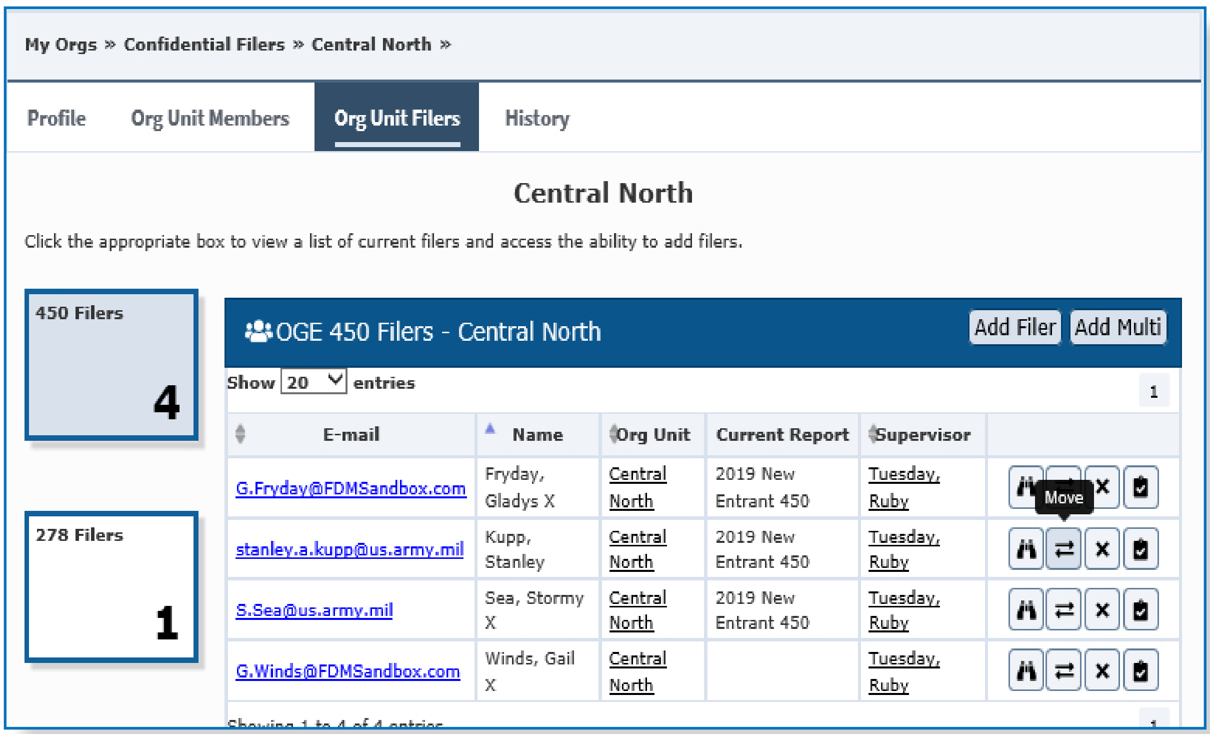
It is very important to move your Filers to their new Org Units before the FDM automatic assignments are generated on **December 31**. Only some Filers' reports are eligible to be moved to a different Org Unit.

When you are updating your Filer list, some of your Filers may have made lateral transfers and therefore need to be moved to different Org Units within FDM. You can only move a Filer to an Org Unit that is located in your organizational view.

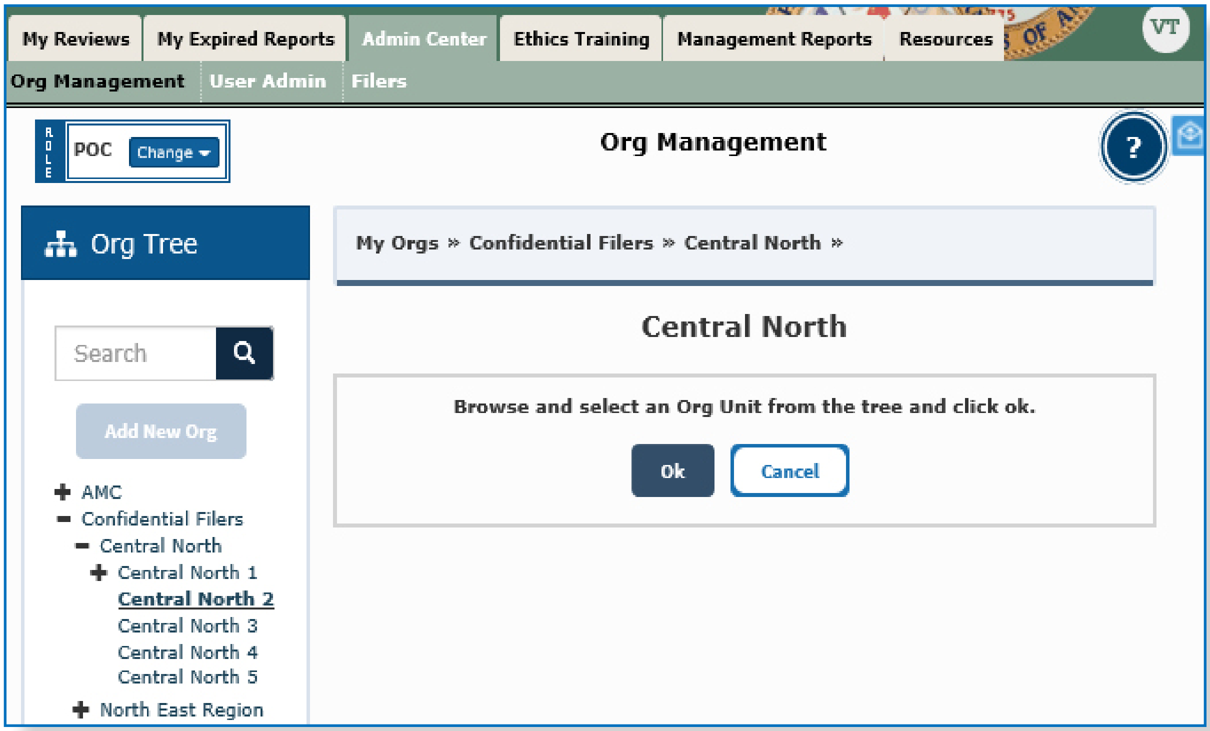
> **Note**: Moving Filers to a new Org Unit may change the Filer's review chain. If the Filer has a disclosure report that is Under Review, you may want to notify the current review chain members as they may have already started their review process. To view the review chain members, click the Org Unit name link listed beside the Filer's name.

Moving a Filer with a Draft or Under Review Report

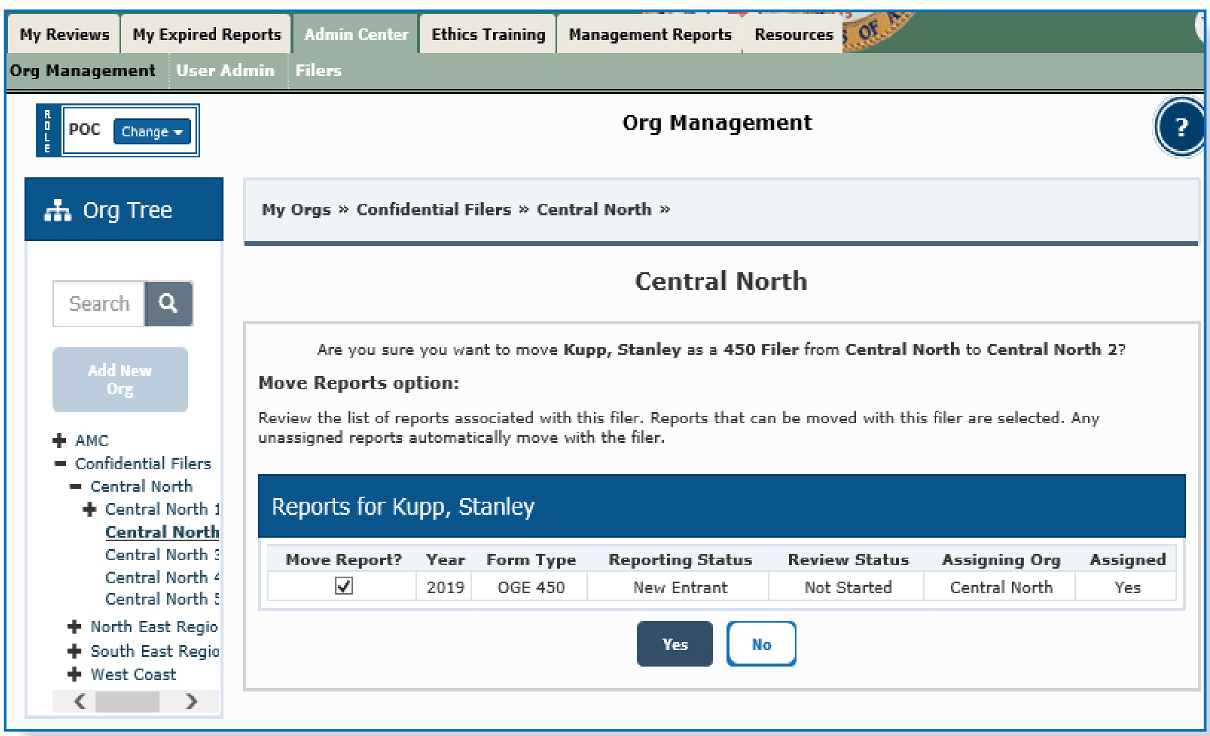
1. Go to **Admin Center | Org Management**.
2. Select an Org Unit from the Org Tree panel that contains the Filer that you plan to move to a different Org Unit.
3. Click the **Org Unit Filers** tab then select the **450 Filers** Panel. A list of Filers already associated with the selected Org Unit is displayed.



4. Click **Move** in the actions column beside the appropriate Filer.



5. Browse and select an Org Unit from the Org Tree to locate the appropriate Org Unit where the Filer is to be added, then click **OK**.



Note: If your Filer has past reports in FDM, the **Move Reports option** screen may display.

6. To move a report with the Filer, leave the checkbox selected beside a report then click **OK**. If you want a report to stay with the review chain of the original Org Unit, deselect the checkbox before clicking **OK**.

7. Click **Yes**. The Filer and their selected reports are moved to the new Org Unit.

Moving Filers: Common Issues

Filer's report was assigned in a different Org Unit (or, new Org Unit review chain can't find report)

The most common issue for POCs during filing season occurs when a Filer is successfully added to a new Org Unit yet their report assignment is with the previous Org Unit. This sometimes occurs when Filers are added to an Org Unit after reports are automatically assigned for the upcoming filing season. To correct this problem:

1. Have the Filer moved back to their old Org Unit. If you cannot move the Filer back, you may need to contact the POC from the previous Org Unit and request that they add the Filer back.

   Note: If possible, move the Filer back yourself. Your capability or incapability to move the Filer back is based off of your authority in the Filer's old Org Unit.

2. Request that the old Org Unit unassign the report. Or if you have the proper permissions, unassign the report yourself.
3. Once the report assignment is removed, move or add the Filer to the new Org Unit and assign the report.

Filer's New Org Unit has Different Reviewers

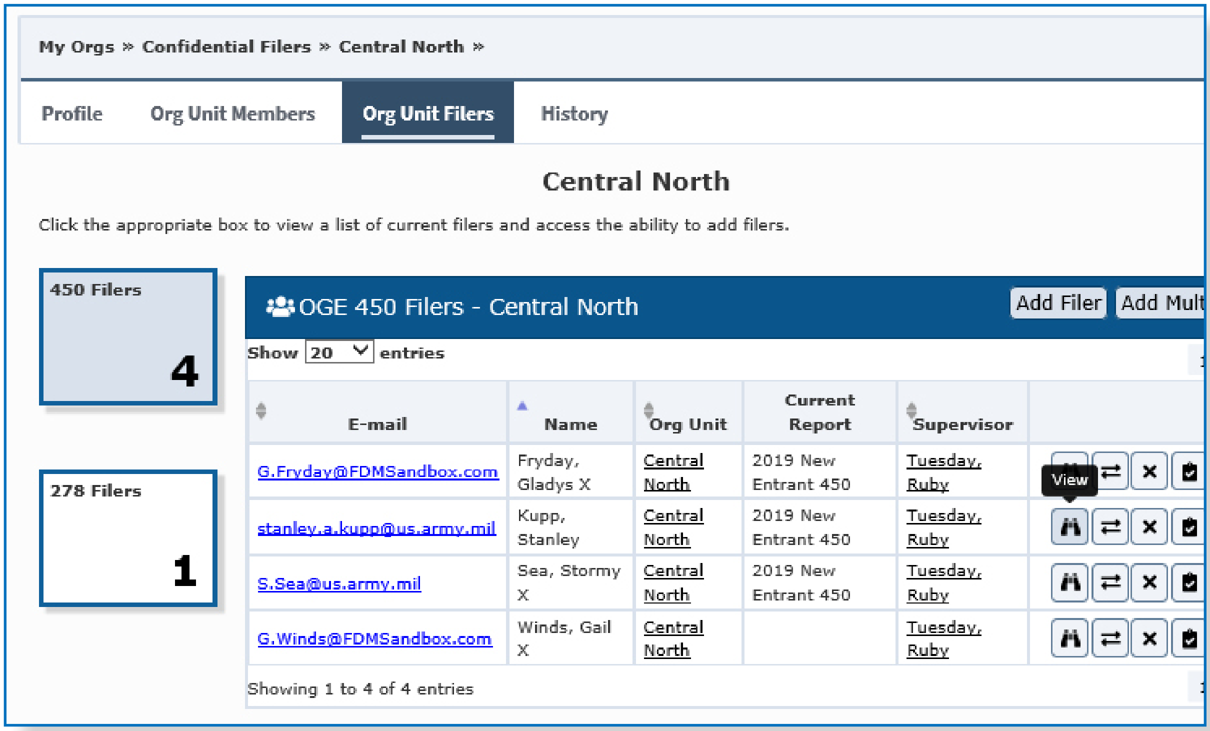
If you are moving Filers to an Org Unit with different reviewers and the Filer has a disclosure report that is Under Review, notify the current reviewers as they may have already begun the review process.

Moving a Filer with a Completed Report or Unassigned reports

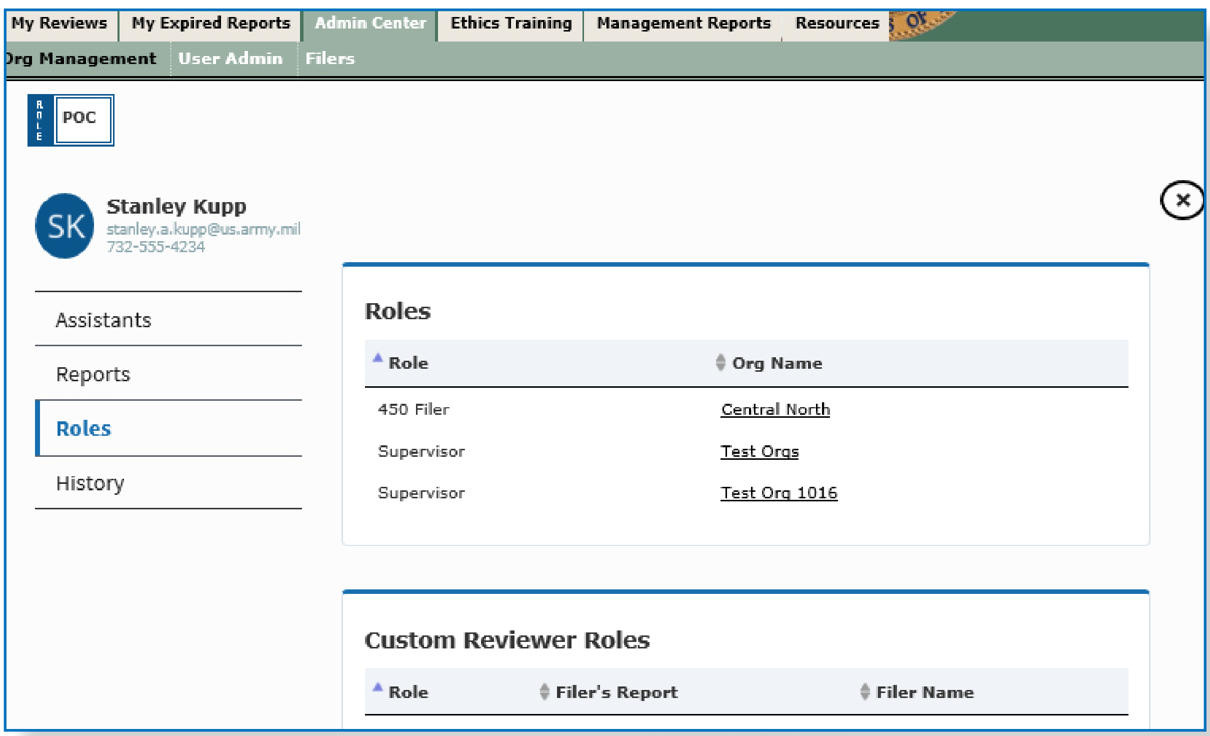
Completed or Unassigned reports will not move with the Filer to the arriving Org Unit.

Viewing Filer(s) Report Assignments and Status

Viewing Report Assignments

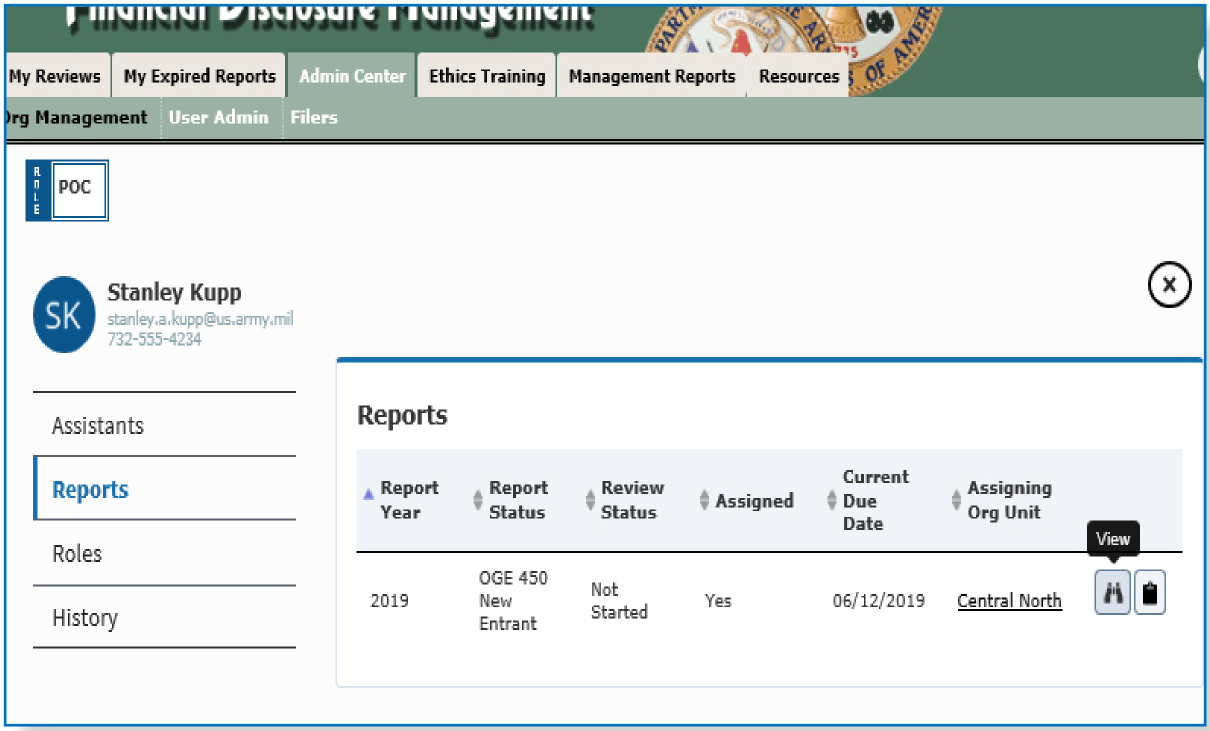


1. On the Org Unit Filers tab, click **View** beside the Filer. The Filer profile is displayed.



2. Click the Reports tab in the Filer's profile.

3. If the Filer's report has not been assigned, click **Assign** beside the Filer's name.



Note: In the Assigned column, it will display 'Yes' if the report is Assigned.

4. To remove a report assignment on any Not Started report, click **Remove Assignment**.
5. To view a particular report, click **View** beside a report.

Assigning a Report to a Filer

Annual Filers

Since a System Administrator assigns Annual reports, it is very important that POCs have their organization set up properly before **December 31**.

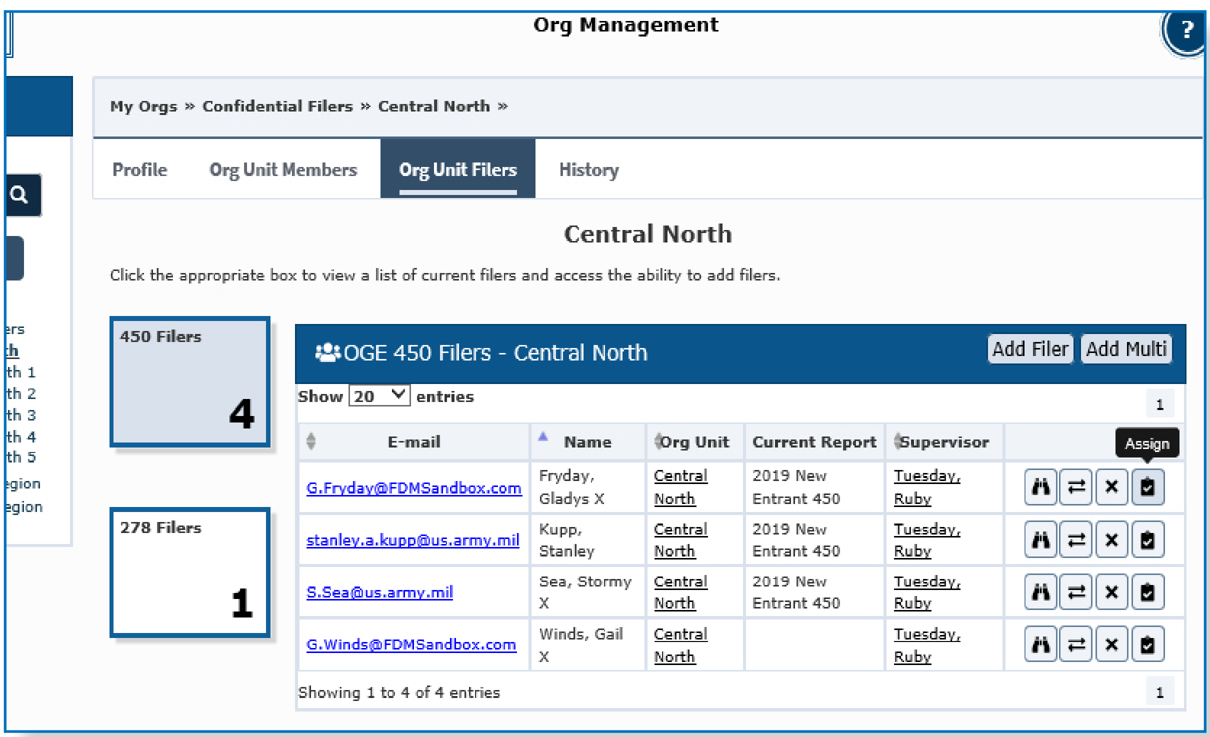
Everyone who is required to file a report will be assigned an Annual OGE 450 Report to file in FDM automatically. If a Filer has been added to your organization after the initial notification, you or another POC will have to assign a report to that Filer.

New Entrant Filers

When a new Filer is added to your organization and they have not previously filed an OGE 450 report, they should be assigned to file a New Entrant report in FDM. When assigning a New Entrant activity, you will need to know the Filer's start date or the date the Filer was informed they should file a report.

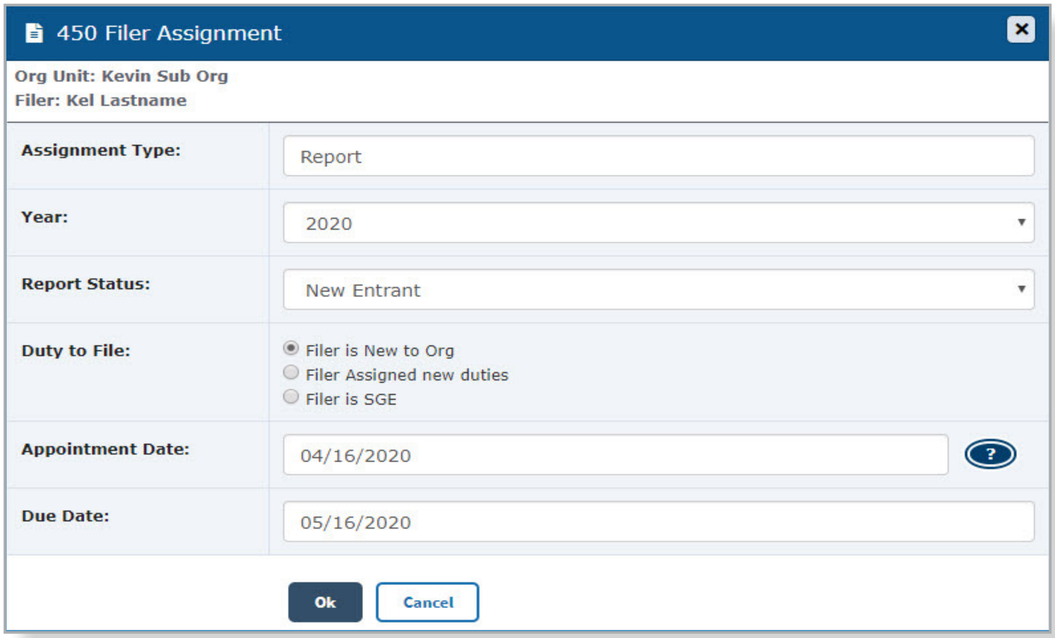
Assigning a Report to a Filer:

1. Go to **Admin Center | Org Management**.
2. Locate and select the Filer's Org Unit in the Org Tree.
3. Click the **Org Unit Filers** tab and then select the **450 Filers** panel. A list of Filers already associated with the selected Org Unit is displayed.



4. Click **Assign** beside the appropriate Filer. The Filer Assignment page is displayed.

Entering the Report Information



Field	Description
Year	Report year; the report year defaults to the current year.
Report Status	Indicate the type of report, OGE 450 (New Entrant or Annual) OGE 278 (New Entrant, Incumbent, Incumbent/Termination, or Termination) a ileFr is required to file in FDM.
Due Date	The date that the report is due.
Duty to File	Indicate the reason why the Filer is required to file a report.
Filer is New to Org	For New Entrants, indicate if the Filer is a new employee who is required to File an OGE 450. This selection prompts the required entry of an Appointment Date.
Appointment Date	The date that the Filer was appointed to the job that is requiring them to file an OGE 450.
Filer Assigned new duties	For New Entrants, indicate if the Filer is an existing employee who assumed new duties that trigger the requirement to file an OGE 450. This selection prompts the required entry of an Assumptions of Duties Date.
Assumption of Duties Date	The date that the Filer assumed the duties that require them to file an OGE 450.
Filer is SGE	For New Entrants, indicate if a Filer is a Special Government Employee (SGE). This selection prompts the required entry of a Begin In-Process Date.
Begin In-Process Date	The date entered should be calculated to provide for submission at least 30 days prior to the SGE's expected appointment or assumption of duties date.
Due Date	The date that the report is due.

5. Select the report criteria then click **OK.**
   - 450 Annual Report Due Date defaults to the statutory Due Date
   - 450 New Entrant Report Due Date calculates to 30 days from the date of assignment
   - Assignment Date is the collective term for the Appointment Date, Assigned to Duties Date, or Begin In-Process Date. This term is found on the Report Due Date Information via the Review Status page.
6. A confirmation message is displayed confirming that you successfully assigned a report. The Report Assignment Notification page is displayed.

Notifying a Filer

7. Click **Send** to notify the Filer of their requirement to file or Cancel to notify later.

POCs are responsible for ensuring that Filers submit their reports on time. Use the Remind Filers tool to identify, monitor, and remind Filers to start and submit assigned reports. Once reports are assigned, go to Remind Filers and select one of the options to view a list of Filers and their report progress and then send a notification reminding Filer's to submit assigned reports.

> **Note**: FDM automatically assigns annual reports to current Filers, POCs should send an initial notification to assigned Filers.

Annual Reminder Notification

- **OGE 450 Filers who need an Initial Notification to file** - Initial notification is only for those Filers who have been assigned a current year report. Use this option to locate Filers who are assigned an Annual OGE 450 Report and send a notification to remind them of their annual requirement to file.

> **Note**: This message can only be sent once for annual assignments. Once sent, Filers no longer list under this option.

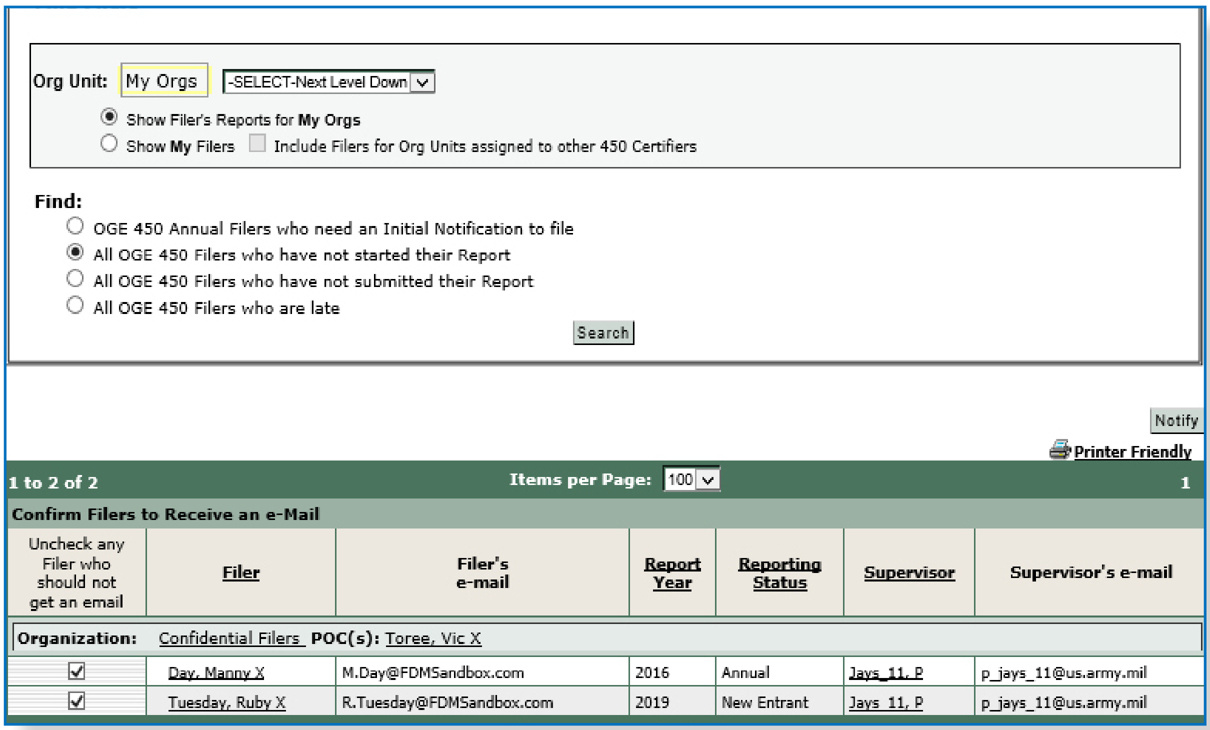
Monitor Report Progress and Notify

- **All OGE 450 Filers who have not yet started their reports** - Use this option to locate Filers who have not started their report.
- **All OGE 450 Filers who have not yet submitted their reports** - Use this option to locate Filers who have not eSigned their report.
- **All OGE 450 Filers who are late** - Use this option to locate Filers who are delinquent in eSigning their report.

Remind Filers

Sending an E-mail Reminder

1. Select **My Reviews | Remind Filers.**
2. Select the Org Unit from the Org Unit drop-down and the appropriate View.
3. Select the appropriate option and click **Search.** A list of Filers who have not completed their selected task is displayed. You can deselect a checkbox if you do not want to send an e-mail to a specific Filer.

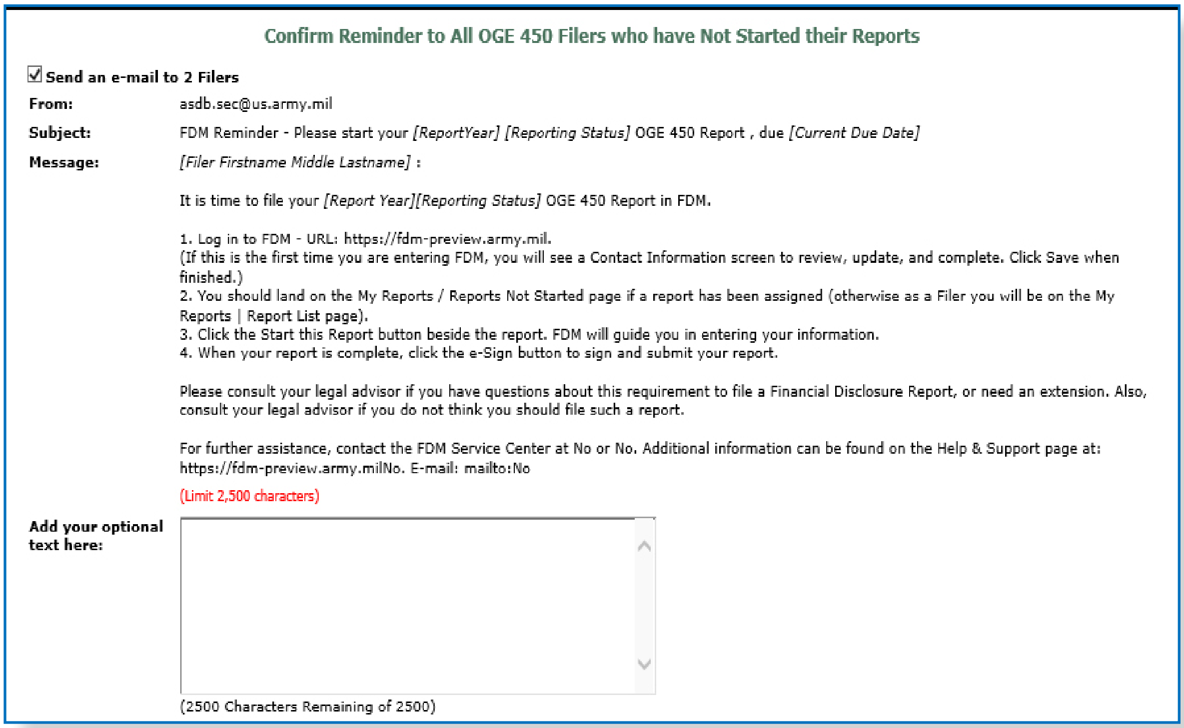


Note: Filers who have completed their tasks will not appear on the Remind Filers list.

4. Review the list of Filers and then click **Notify.** The Confirm Reminder to OGE 450 Filers page is displayed.

Review E-Mail Message

The Confirm Reminder page is used to notify a Filer that they have been assigned a report to file in FDM and lists the type of report that should be filed along with the due date.



Confirm Reminder to All OGE 450 Filers who have Not Started their Reports

☑ **Send an e-mail to 2 Filers**

From: asdb.sec@us.army.mil

Subject: FDM Reminder - Please start your *[ReportYear] [Reporting Status]* OGE 450 Report , due *[Current Due Date]*

Message: *[Filer Firstname Middle Lastname]* :

It is time to file your *[Report Year][Reporting Status]* OGE 450 Report in FDM.

1. Log in to FDM - URL: https://fdm-preview.army.mil.
(If this is the first time you are entering FDM, you will see a Contact Information screen to review, update, and complete. Click Save when finished.)
2. You should land on the My Reports / Reports Not Started page if a report has been assigned (otherwise as a Filer you will be on the My Reports | Report List page).
3. Click the Start this Report button beside the report. FDM will guide you in entering your information.
4. When your report is complete, click the e-Sign button to sign and submit your report.

Please consult your legal advisor if you have questions about this requirement to file a Financial Disclosure Report, or need an extension. Also, consult your legal advisor if you do not think you should file such a report.

For further assistance, contact the FDM Service Center at No or No. Additional information can be found on the Help & Support page at: https://fdm-preview.army.milNo. E-mail: mailto:No

(Limit 2,500 characters)

Add your optional text here:

(2500 Characters Remaining of 2500)

Customize Message

5. Type any additional text to add to your message and then click **Send.** The Remind OGE 450 Filers page is displayed with a message summary.

   Note: You can also send a copy of this message to any associated POCs and Supervisors from this page.

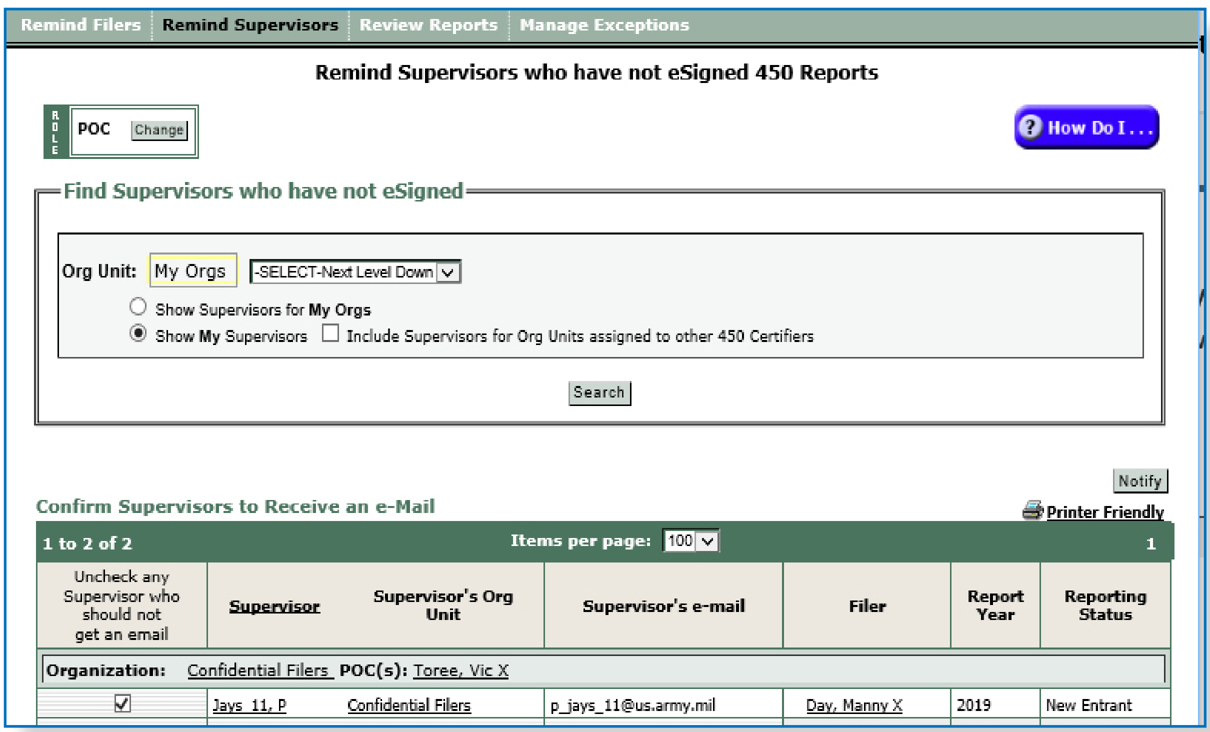
Remind Supervisors

After your Filers have eSigned their OGE 450 reports, you can use Remind Supervisors to monitor Supervisors' review progress. POCs, Supervisors and 450 Certifiers can use this tool to identify and then notify Supervisors that they must begin their review of Filers' reports in FDM.

Sending an E-mail Reminder

To send a reminder to a Supervisor (or a group of Supervisors) to review OGE 450 reports:

1. Select **My Reviews | Remind Supervisors**. The Remind Supervisors Who Have Not eSigned page is displayed.
2. Select the Org Unit from the Org Uni**t** drop-down list and select Show My Supervisors or Show Supervisors for My Orgs**.**
3. Click **Search**. Results are displayed at the bottom of the page matching the selected option.



4. Review the list then click **Notify**. The Confirm Supervisors to Receive an e-mail page is displayed.

Review E-Mail Message

The Confirm Reminder page is used to review the notification being sent to the Supervisor.

☑ **Send an e-mail to 1 Supervisors**

From: V.Toree@FDMSandbox.com

Subject: FDM Alert - Please eSign OGE 450 Reports submitted by your Filers

Message: *[Supervisor Firstname Middle Lastname]* :

Filers in the Org Units you supervise have eSigned and submitted their OGE 450 Reports in FDM. They are ready for your eSignature. To review:

1. Go to FDM - URL: https://fdm-preview.army.mil, click on "Login to FDM" and click "OK" on the DoD banner Popup. On the right side, choose to login with your CAC/PIN (DoD users) or Login with User Name/Password (as appropriate) (non-DoD users (Army may also use AKO user name/password)).
(If this is the first time you are entering FDM, you will see a Contact Information screen to review, update, and complete. Click Save when finished.)
2. Go to the My Reviews / Review Reports tab, Worklist View.
3. Type a Filer's Name in the Search Fields.
4. Click Search.
5. Click View beside the Filer's report to begin your review.
6. When your review is complete, click the e-Sign button to sign the report.

[Supervisor's Org Unit Name 1]
[Filer1 Lastname, Firstname Middle] - *[Report Year] [Reporting Status]* OGE 450 Report
[Filer2 Lastname, Firstname Middle] - *[Report Year] [Reporting Status]* OGE 450 Report
"

[Supervisor's Org Name 2]
[Filer1 Lastname, Firstname Middle] - *[Report Year] [Reporting Status]* OGE 450 Report
[Filer2 Lastname, Firstname Middle] - *[Report Year] [Reporting Status]* OGE 450 Report
"

The FDM Learning Center, {FDMURL}/learningCenter/learningCenter.htm, includes a short video tutorial on reviewing an OGE 450 and a Quick Reference on the same subject.

For further assistance, contact the FDM Service Center at No or No. Additional information can be found on the Help & Support page at: https://fdm-preview.army.milNo. E-mail: mailto:No

(Limit 2,500 characters)

Add your optional text here:

Customize Message

5. Add any optional text in the blank field then click **Send**. The Remind Supervisors page is displayed with a message summary.

   Note: Be careful when pasting text copied from a Microsoft Word document as the text may not appear as intended.

Managing Org Units

Adding Subordinate Org Units

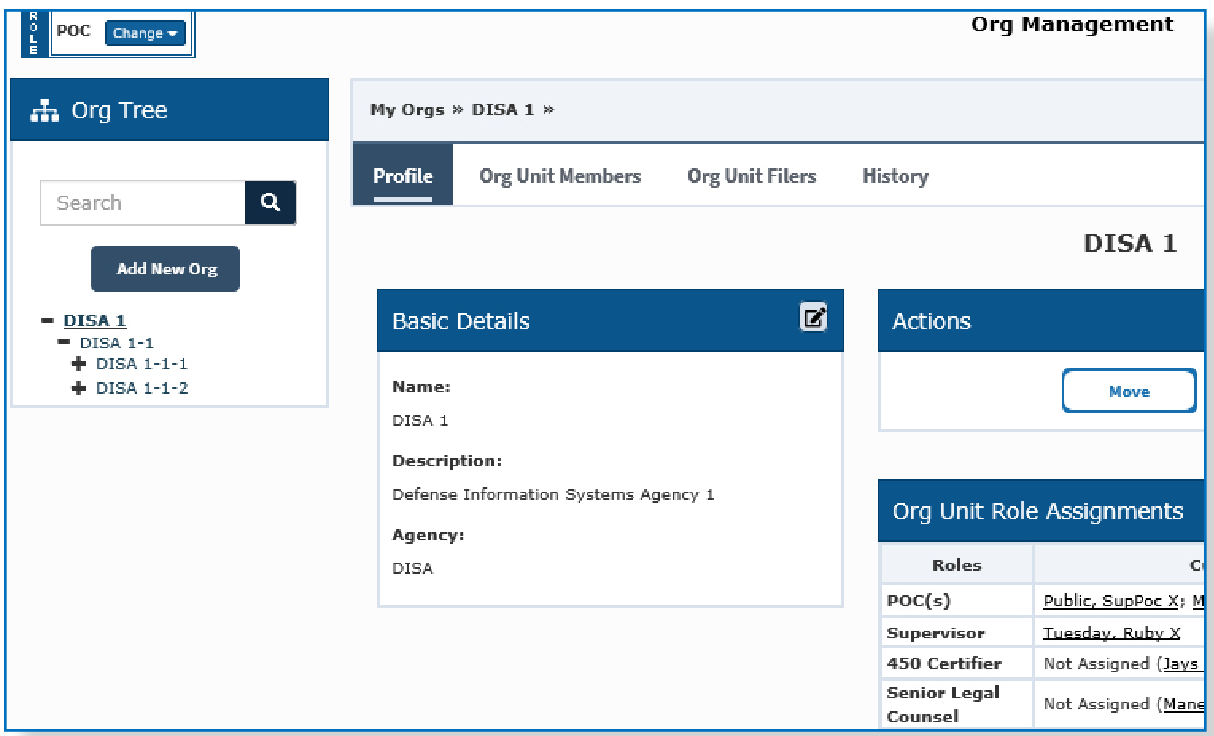
Additional or Subordinate Org Units are necessary when you need different or separate groupings of Filers and review chain participants.

All new Org Units are added as a subordinate Org Unit to the currently selected Org Unit selected in the Org Tree.

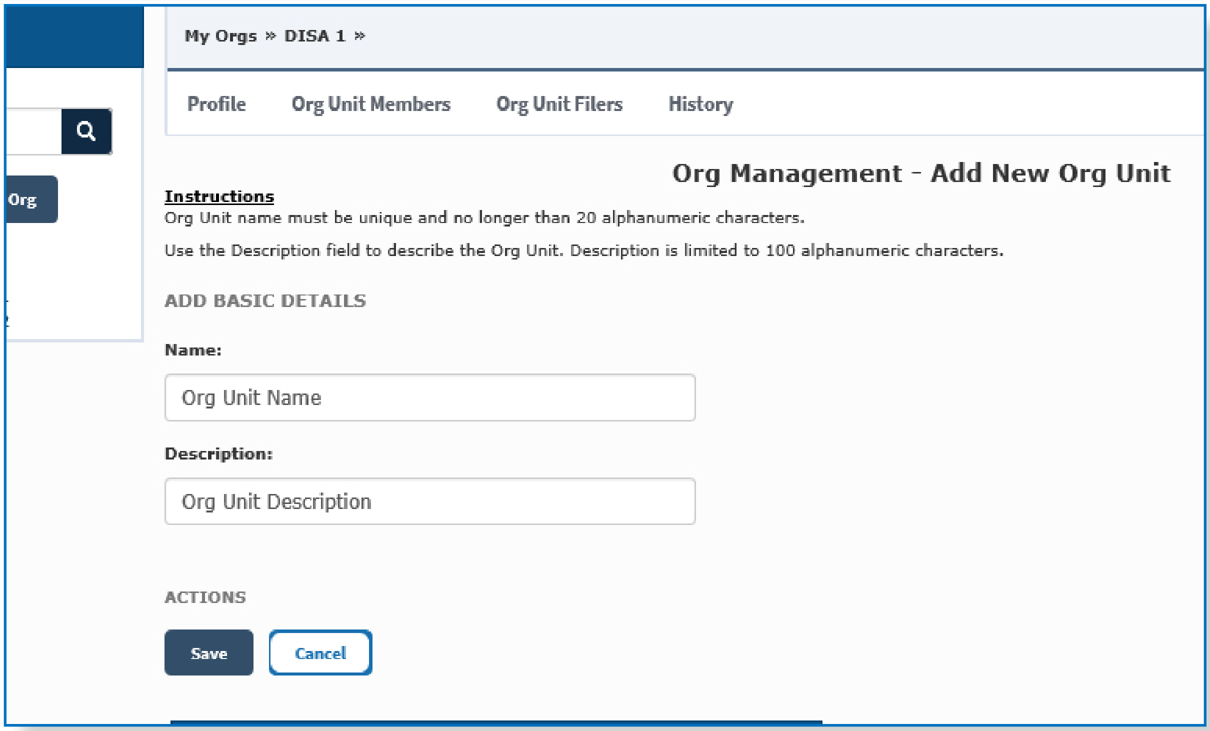
> **Note**: A new Org Unit is not required when a successor Supervisor replaces an incumbent one. In that case, simply delete the departed Supervisor and assign a new one.

You can add a new Org Unit and any associated Org Unit Members to FDM in the Admin Center.

1. From any point in FDM, click the **Admin Center** tab.
2. Click **Org Management** then select the Org Unit in the Org Tree where the new Org Unit will be added.



3. Click **Add New Org**, located above the Org Tree panel.



4. Type the appropriate Name and Description for the new Org Unit.

Org Unit Name and Description

- The Org Unit name must be unique; duplicate names are not permitted at the same level within n Org Unit. It is recommended that you keep the Org Unit name short and specific, e.g. use of abbreviation of the organization name to which the Filers and legal reviewers belong. FDM does not prohibit you from naming Org Units whatever you like, but it is advised that you follow a standardized Org Unit naming convention.
- Use the description field to further describe the Org Unit. This way, you can easily distinguish the Org Unit from others that may have a similar name. The Org Unit description is limited to 100 alphanumeric characters.

5. When complete, click **Save** and then **OK** to confirm the addition of the new Org Unit.

Acting and Assigned Org Unit Roles

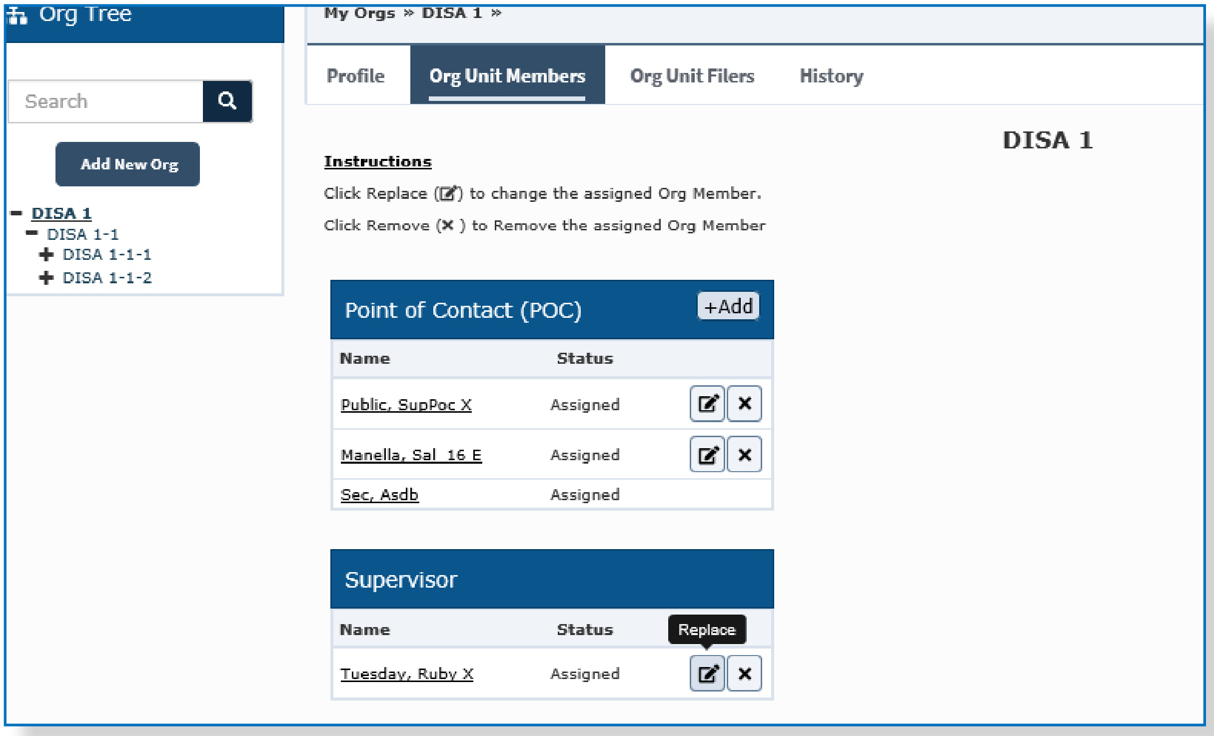
Each Org Unit inherits the review chain participants from the Agency Org Unit until a different legal reviewer is associated to the subordinate Org Unit. When an Org Unit does not have an assigned Review Chain Participant or POC, FDM automatically assigns the person as acting in that role from the superior Org Unit.

Assigning Supervisors

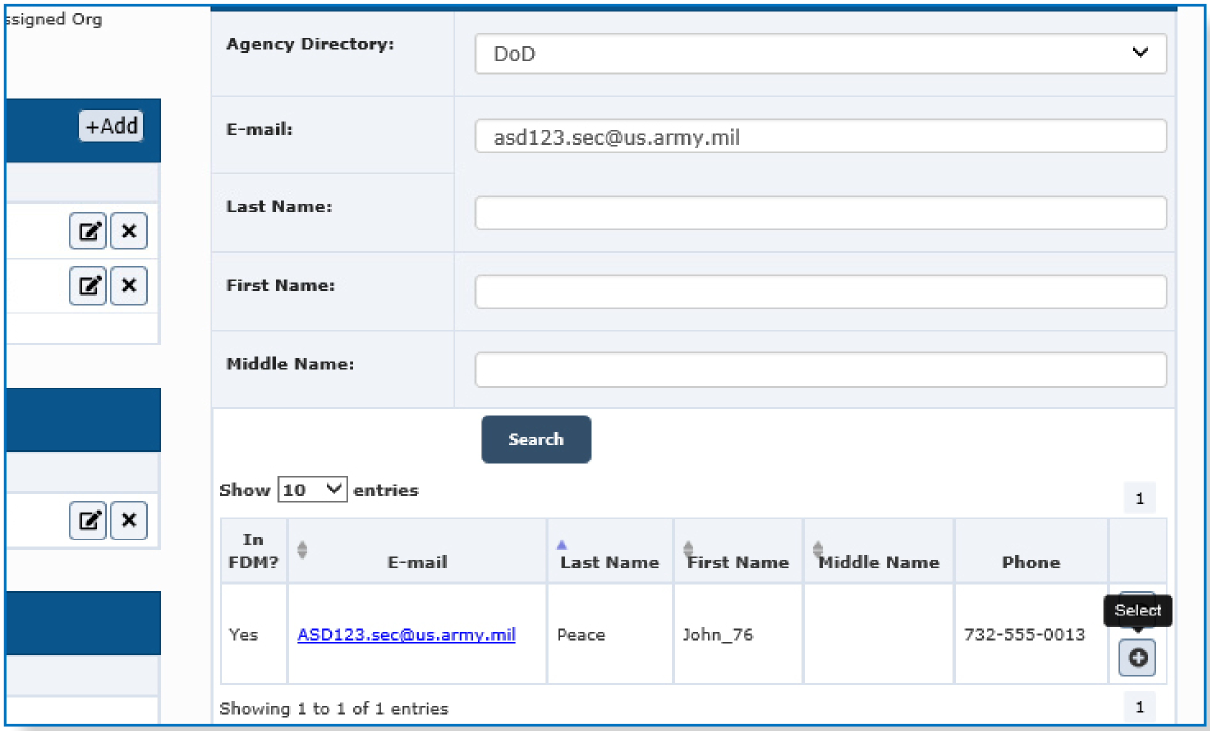
FDM automatically assigns the Org Unit role from the superior Org Unit as the acting Org Unit role until a different Org Unit role is assigned.

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. From any point in FDM, click the **Admin Center** tab.
2. Click **Org Management** then select an Org Unit in the Org Tree where the new Org Member will be added.
3. Click the **Org Unit Members** tab within the selected Org Unit.



4. Click **+Assign** or **Replace** in the Supervisor panel to assign or replace someone as a Supervisor. The search box is displayed on the right
5. Select the appropriate Agency Directory from the drop-down list.
6. Type the new Supervisor's e-mail address in the e-mail field then click **Search**.



7. In the search results list, select the individual whom you wish to add by clicking the **plus (+) sign** beside their name. Your newly added Supervisor is listed beside the selected role.

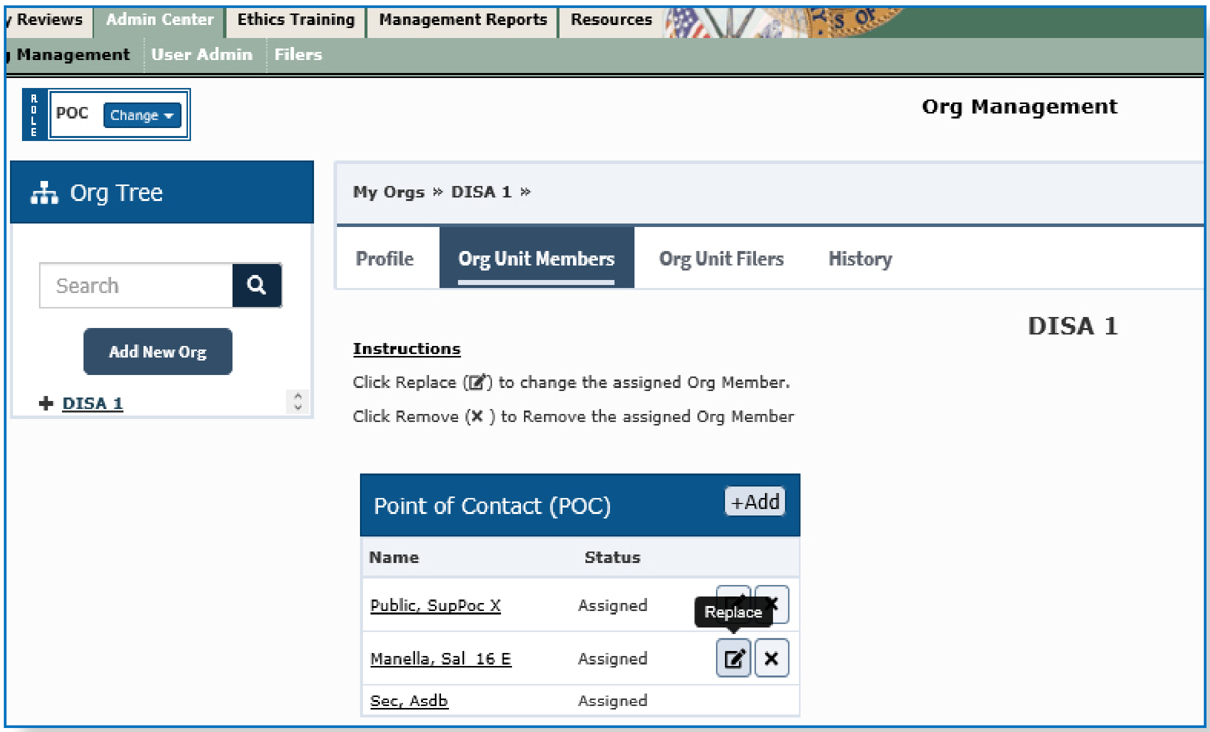
   Note: The best way to return a result for someone is to search by e-mail address. Searching by last, first, and middle name will return more results.

Assigning POCs

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

To add an additional POC to an Org Unit:

1. From any point in FDM, click the **Admin Center** tab.
2. Click **Org Management** then select an Org Unit in the Org Tree where the new POC will be added.
3. Click the **Org Unit Members** tab within the selected Org Unit.



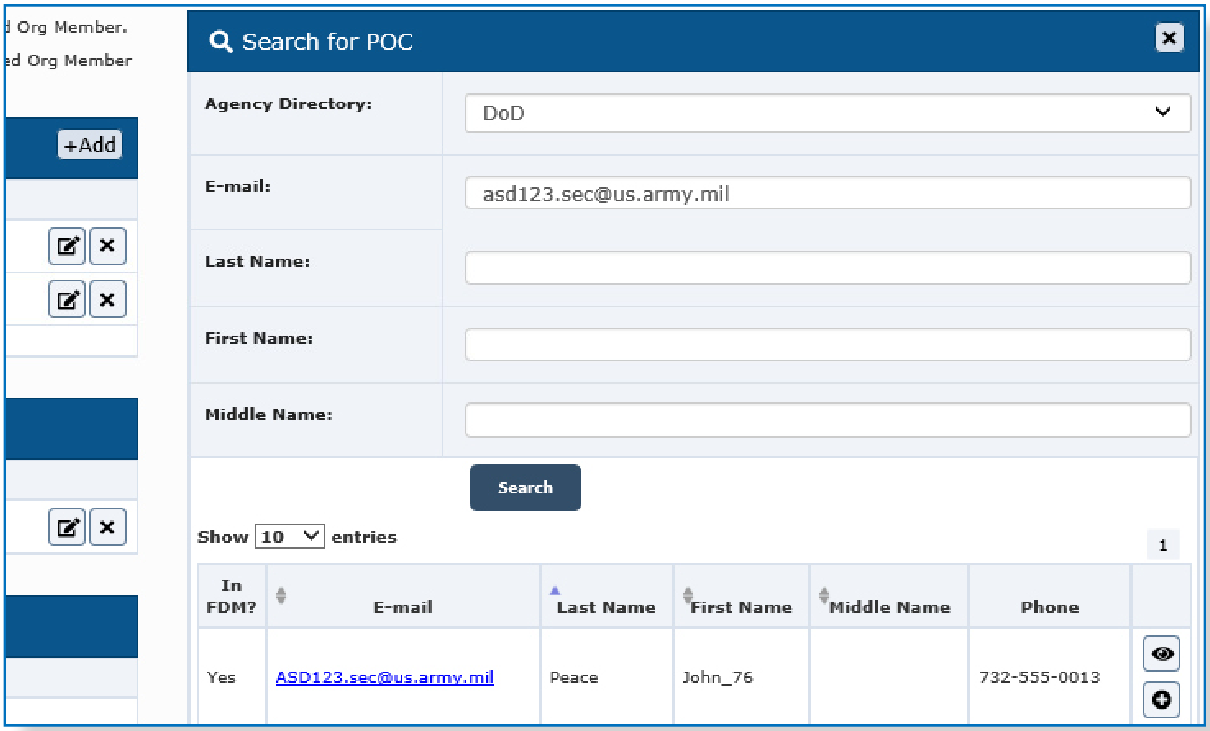
4. Click **+Add** or **Replace** in the Point of Contact (POC) panel.

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

5. Click **Replace** beside the assigned POC to replace a POC.

   Note: You can add additional POCs to assist with the administration of this Org Unit.

6. Select the appropriate Agency Directory from the drop-down list.
7. Type the new POC's e-mail address in the e-mail field then click **Search**.

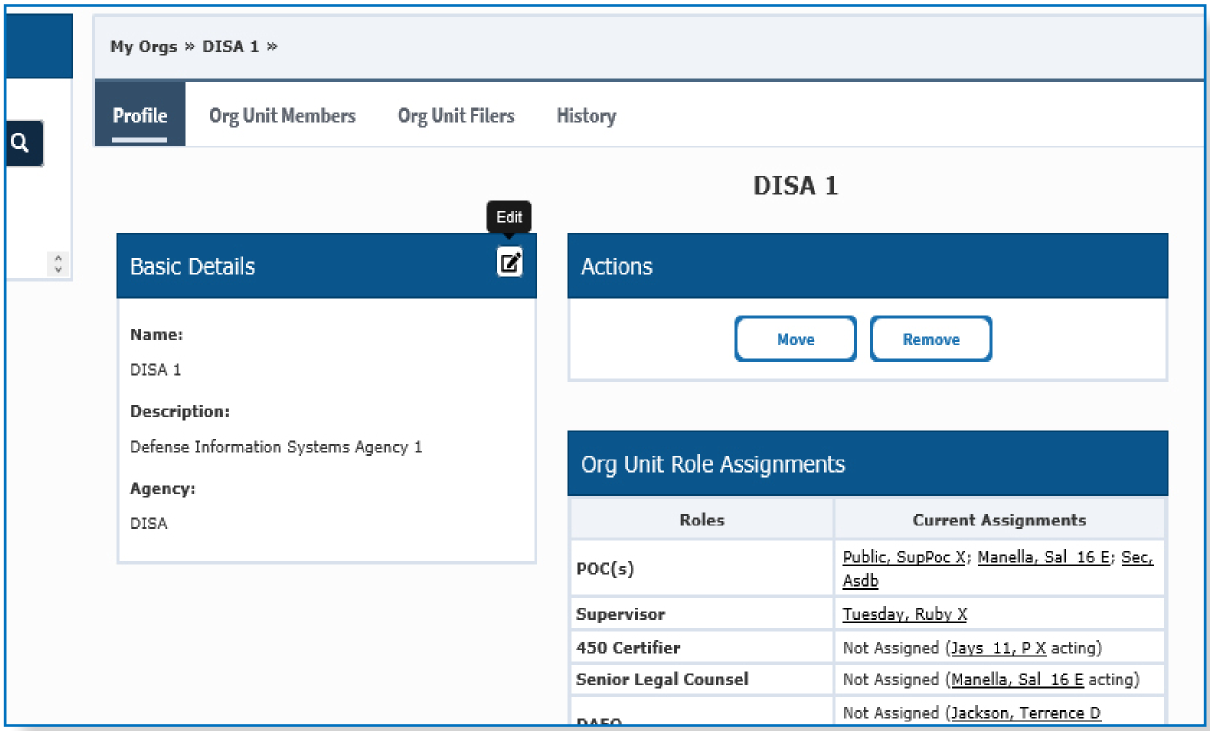


8. In the search results list, select the individual whom you wish to add by clicking the **plus (+) sign** beside their name. Your newly added POC is listed beside the selected role.
9. If prompted, select **Yes** to allow this person to hold the same role for multiple Org Units, then confirm the selection.

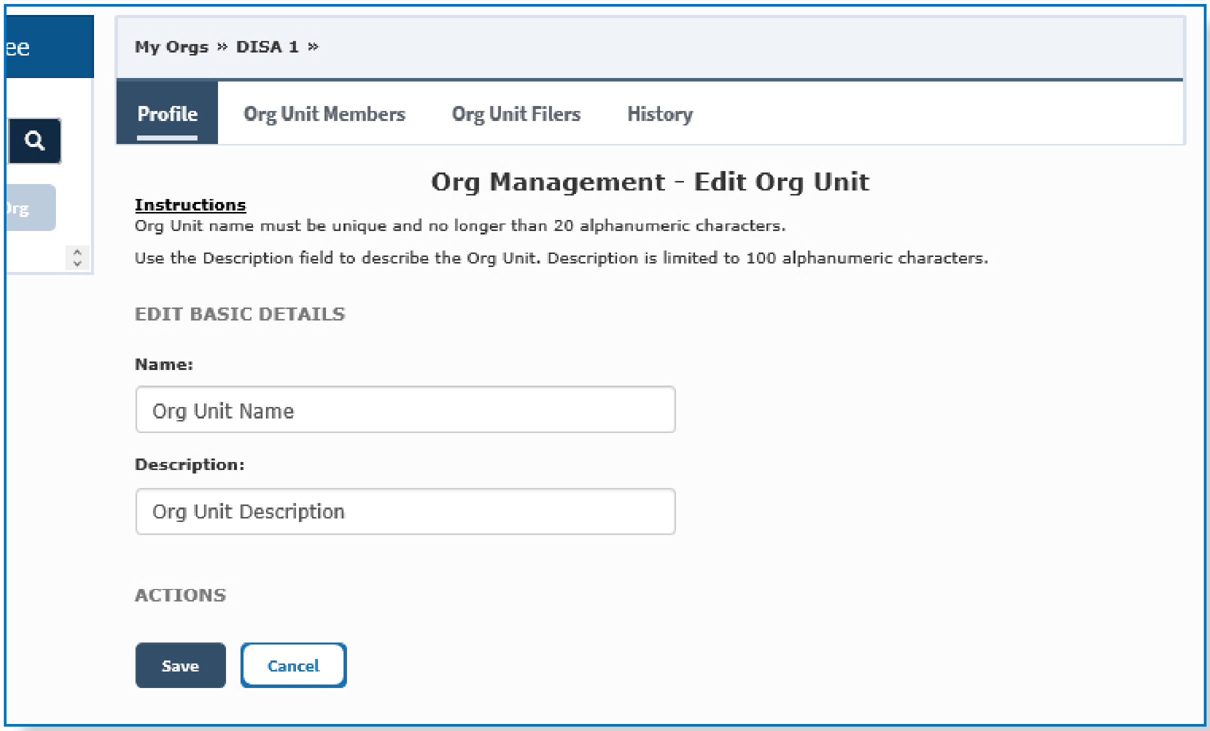
Editing an Org Unit

Org Units can be updated at any time in FDM. It is advised that you update an Org Unit while your Agency is undergoing a period of transition or reorganization. You may also find the need to edit your Org Unit's Org Members (Review Chain) after creating an Org Unit so that you can tailor its proper Review Chain to the group of Filers.

1. From any point in FDM, click the **Admin Center** tab.
2. Click **Org Management** then select the Org Unit in the Org Tree that you wish to edit.



3. To update the Org Unit's Name and Description, click **Edit** in the Org Profile Basic Details on the right.

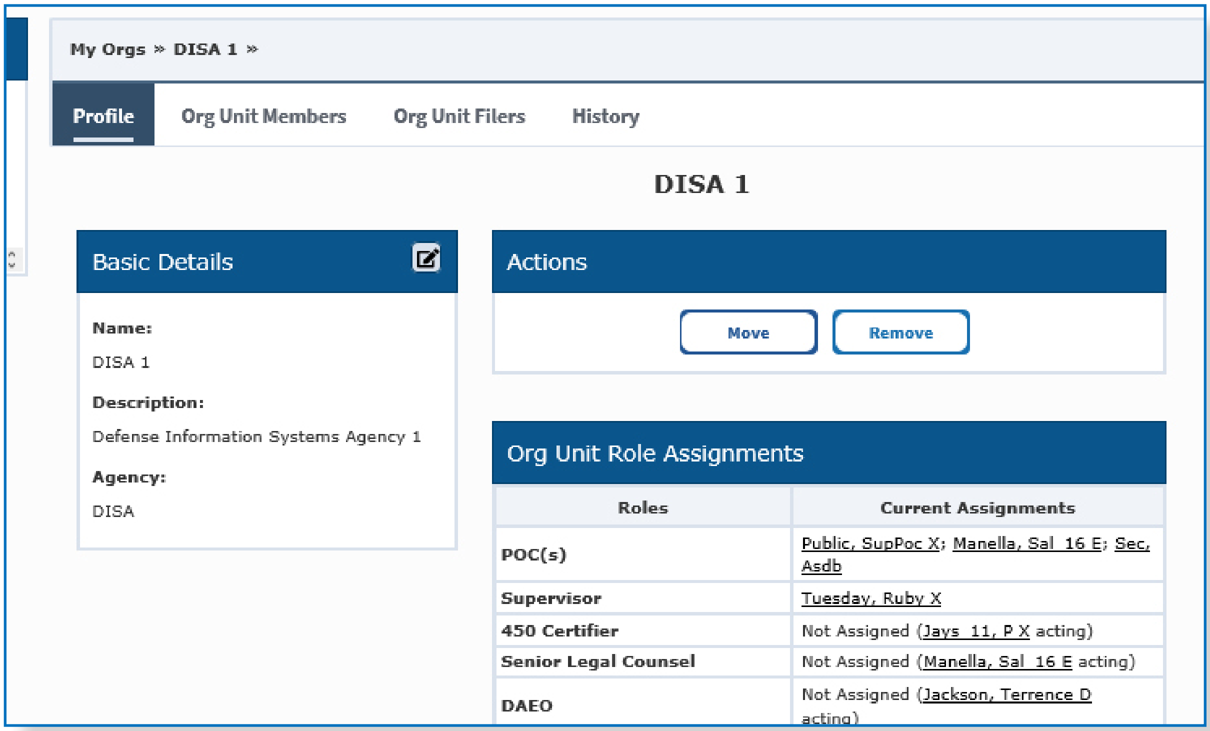


4. Update the Org Unit Name or Description as needed.
5. Click **Save**.

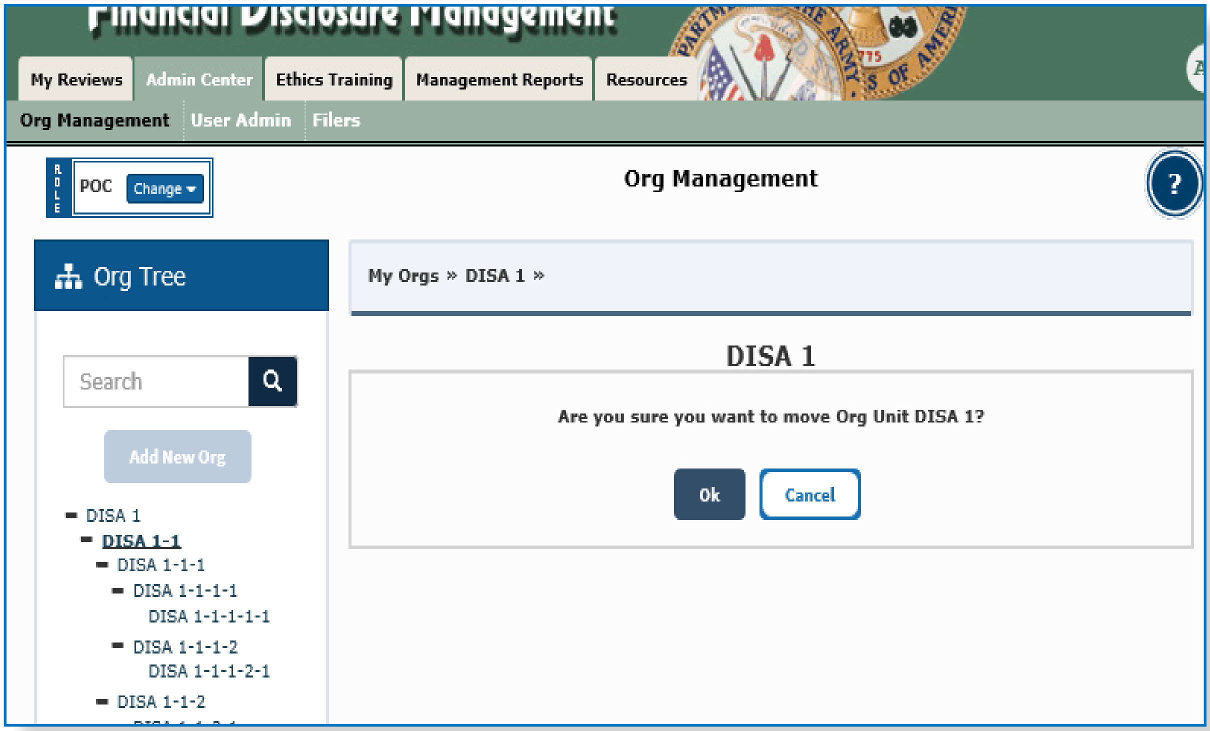
Moving Org Units

You can move an Org Unit to align the Filers and review chain participants appropriately after a transformation within your agency. Click **Move** on the Org Unit profile page to transfer the Org Unit and all of its Filers to a new location in FDM. Selected user roles may only move Org Units to another FDM location within their authority.

1. From any point in FDM, click the **Admin Center** tab.
2. Click **Org Management** then select the Org Unit in the Org Tree that you wish to move. The Org Unit Profile is displayed.



3. Click **Move** in the Actions column of the Org Unit profile.



4. Browse and select an Org Unit from the Org Tree that you want the moving Org Unit to fall under. The Org Unit that you select here will hierarchically be above the moving Org Unit.

   Note: If a Filer in a moving Org Unit has assigned incomplete reports, those reports will remain with the Filer's departing Org Unit.

5. Click **OK** to confirm.

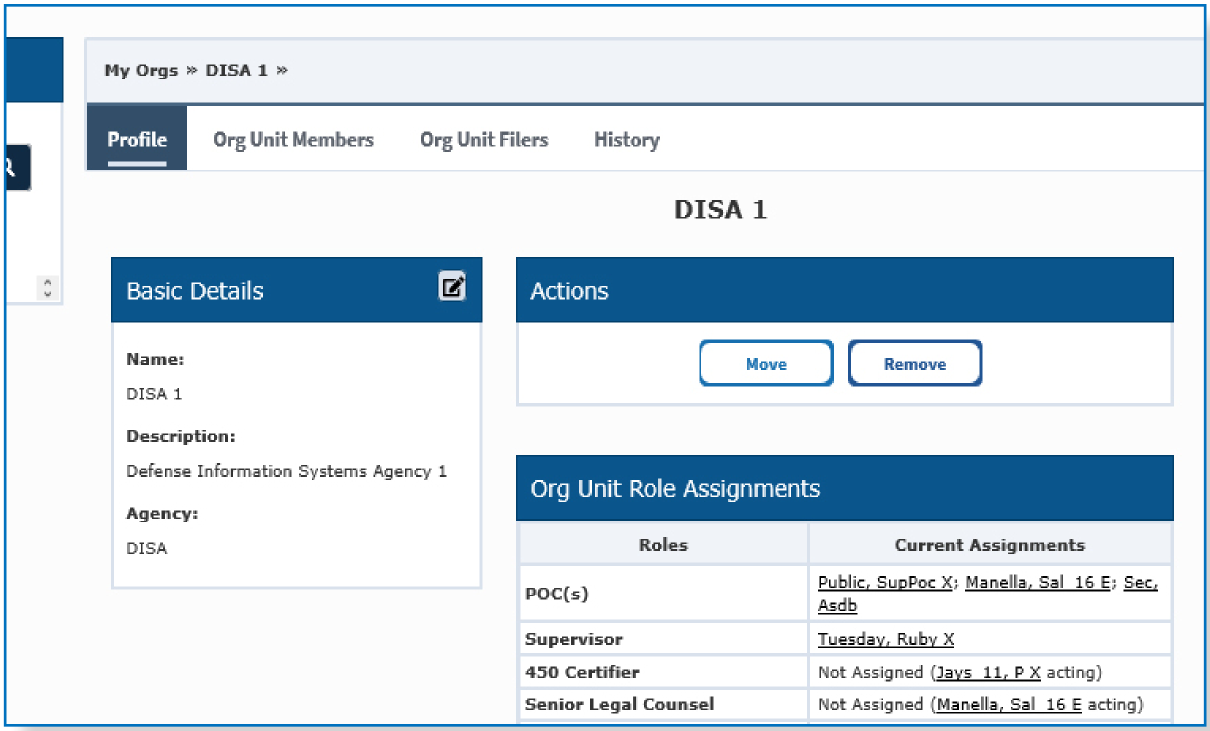
Removing Org Units

Important Information

Before you can delete an Org Unit, move any associated Filers to another Org Unit or remove the Filer's role if they are no longer Filers. See the Move Filers or Remove Filers sections for further information. If the Org Unit has subordinate Org Units, move or delete them.

Removing an Org Unit:

1. From any point in FDM, click the **Admin Center** tab.
2. Click **Org Management** then select the Org Unit in the Org Tree that you wish to move. The Org Unit Profile is displayed.



3. Click **Remove** in the Actions section of the Org Unit profile.
4. Click **OK** to confirm.

Management Reports

FDM Management Reports provide a visual overview of the report submission and review process for the Orgs you manage. FDM POCs, Supervisors, and Ethics officials can generate management reports to monitor if and when reports are submitted and reviewed on time. Export any report to Excel worksheet to view, sort and filter the data into a customized view.

Periodic Reports

As a POC, it is recommended that you generate the FDM Periodic reports regularly, throughout the year to ensure that your Filers are submitting their reports on time.

Review Progress Summary

The Review Progress chart provides a quick view of reports and their review progress within the Orgs you manage. Generate this report on a weekly basis during the filing season to ensure the timely completion of reports by the Filers that you manage.

Due Date Tracking

The Due Date Tracking chart counts the number of reports as they near or pass their due date. Generate this report on a regular basis to monitor delinquent Filers in the Org units that you manage. Export this report to view the exact due date of the report and the specific Filers who are delinquent in submitting their reports.

Daily Extension Tracking

The Daily Extension Tracking Report tracks extensions given to reports in FDM. Export this report to determine which reports have an extension and what type of extension was applied to the report.

Ethics Training Tracking

The Ethics Training Tracking counts the number of Filers who were and were not recorded as having received ethics training. Note that this report tracks Ethics Training information recorded for Filers who were in your Org Units during the selected calendar year.

OGE Agency Reports

POCs also have access to the Agency Reports. These reports can be generated periodically to check overall report submission and review progress.

Generating a Management Report

1. Click **Management Reports** and then select one of the Management Reports tabs.
2. Select the appropriate report filter(s).
3. Click **Generate Report.**
4. After you have generated your management report, click **Export** then select **Export to Excel** or **Export to CSV.**

Working in Excel

1. Click **Open** to open the file in Excel.
2. Click the **Enable Editing** and then select the **DATA** tab to sort and filter the data.

   Note: You can use any of Excel's features/tools to sort and filter your data.

Filtering Data in Excel

3. Click the arrow in the table header of the column you wish to filter.
4. Select the items you wish to filter on.

Sorting Data in Excel

5. Select the column header drop-down arrow that you wish to sort on. The Filter menu is displayed.
6. Select **Sort A to Z** then click **OK**. The data is sorted by the selected column.

Printing a Report

1. Generate a report then **Export to Excel.**
2. Select **File** then **Print Report**.

Saving a Report

1. Generate a report then **Export to Excel.**
2. Select **Save.**

Ethics Training Tracking

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

FDM provides an Ethics Training tab for POCs to notify Filers about ethics training and record who attended training. The recorded information can later be compiled for the agency's annual ethics report to OGE.

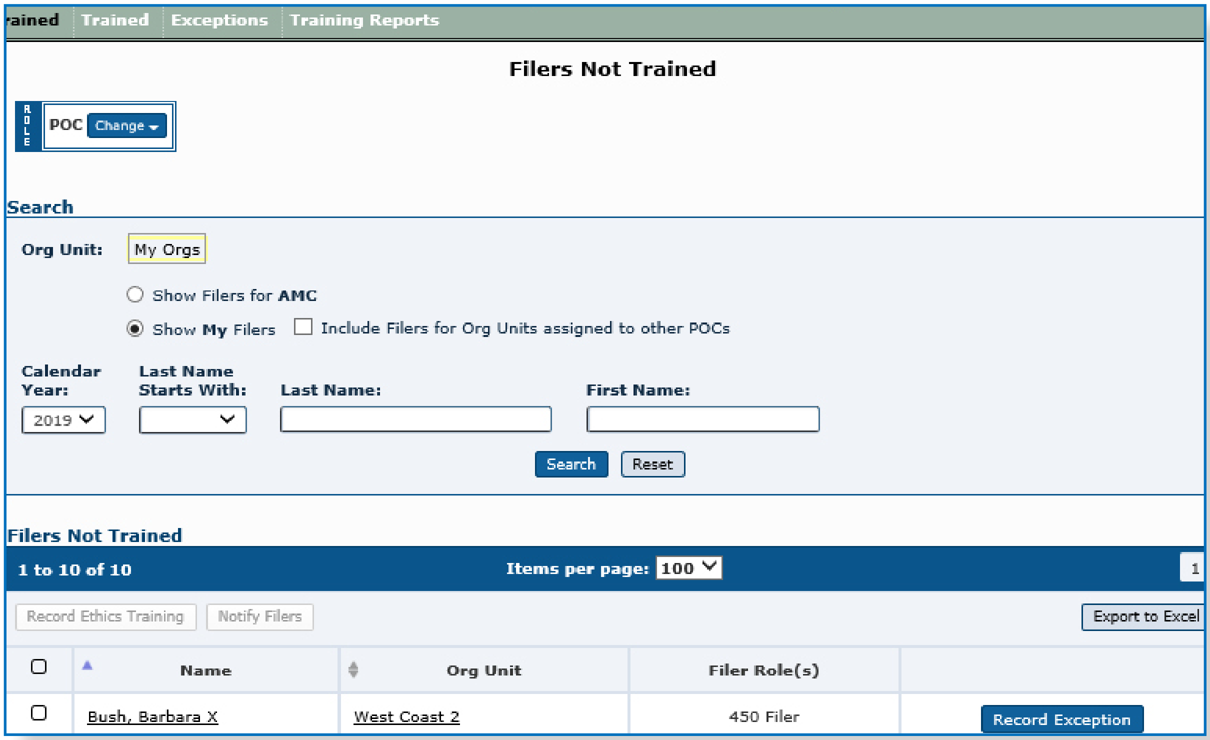
> **Note:** Ethics training must be recorded in the year presented, i.e., ethics training completed in 2018 must be recorded in FDM on the Ethics Training tab NLT 31 Dec 2018.

Notifying Filers of Ethics Training Requirement

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

To notify Filers of their requirement to attend ethics training:

1. In FDM, go to **Ethics Training | Not Trained.**
2. On the breadcrumb trail, select the Org Unit of the Filers you wish to notify, or



select **Show My Filers /Include Filers for Org Units assigned to other** to display a list of all Filers**.**

3. Click on the checkboxes beside the Filers you wish to notify.
4. Click **Notify Filers**. The Notify Filers screen is displayed.

5. Enter a **Subject** and **Message** and then click **Notify**. An e-mail message is sent to all selected Filers of their requirement to attend annual Ethics Training.

   NOTE: You can only advise multiple Filers for annual training.

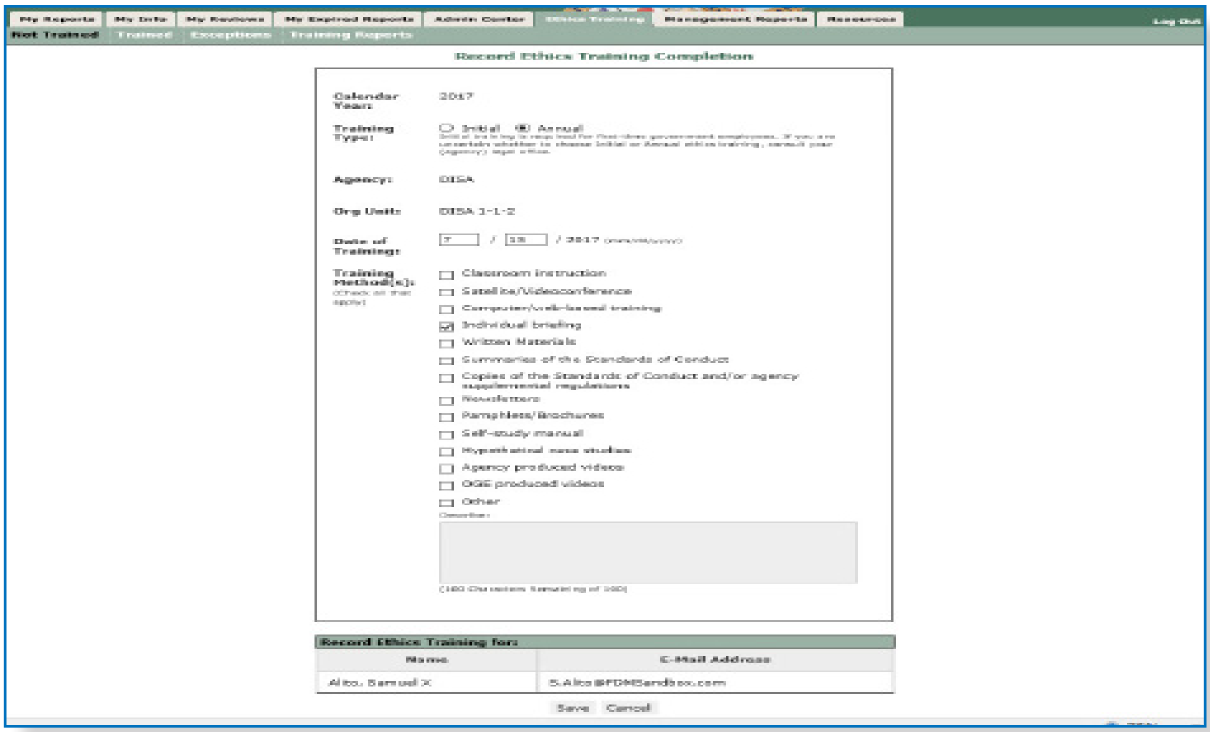
Recording Ethics Training Completion

Once your Filers have taken their Ethics Training, you can record this in FDM.

1. Select the **Ethics Training | Not Trained** tabs.
2. Click on the checkbox next to each Filer who has received training.

   NOTE: In order to enter a group of Filers at one time, training would have to be Annual training occurring on the same day with the same training type. Initial training has to be entered for one Filer at a time.

3. Click **Record Ethics Training.** The Record Ethics Training Completion screen is displayed. Enter the date of training.



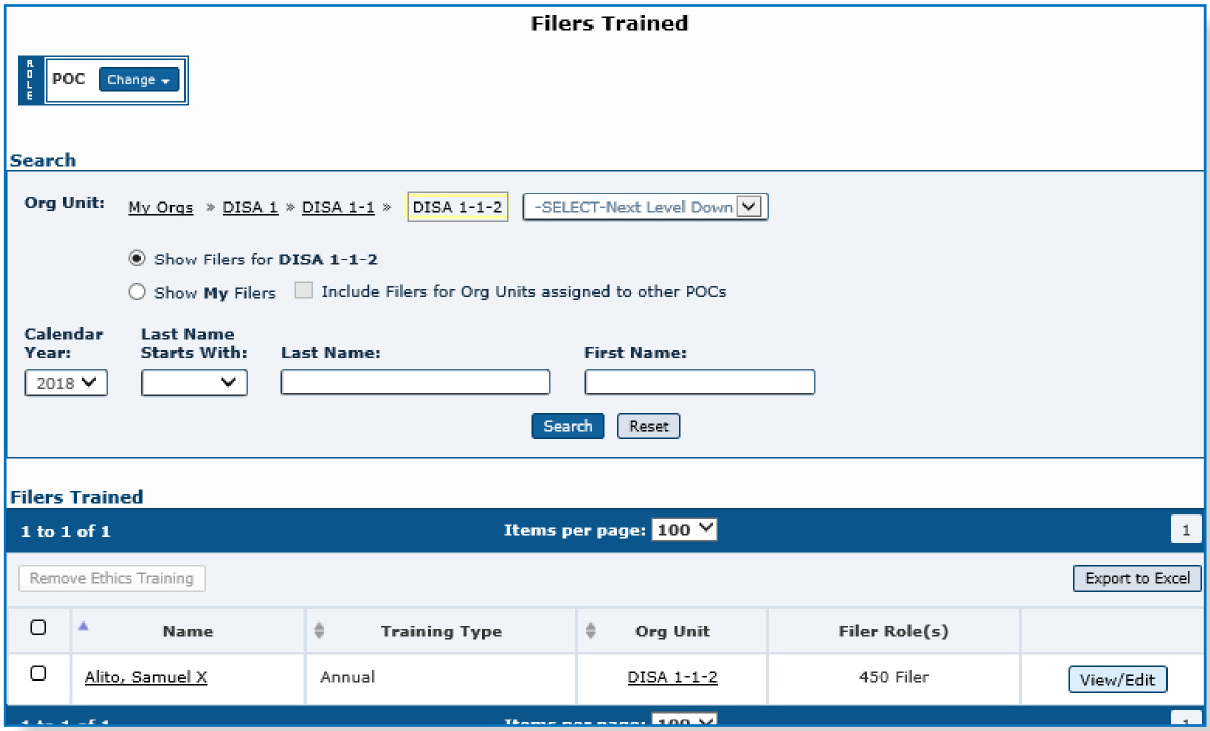
4. Select the method of training (more than one checkbox can be selected).
5. When complete, click **Save.** You are returned to the Not Trained screen; Filers' names are removed from this screen and display on the Filers Trained page.

View or Change a Training Record

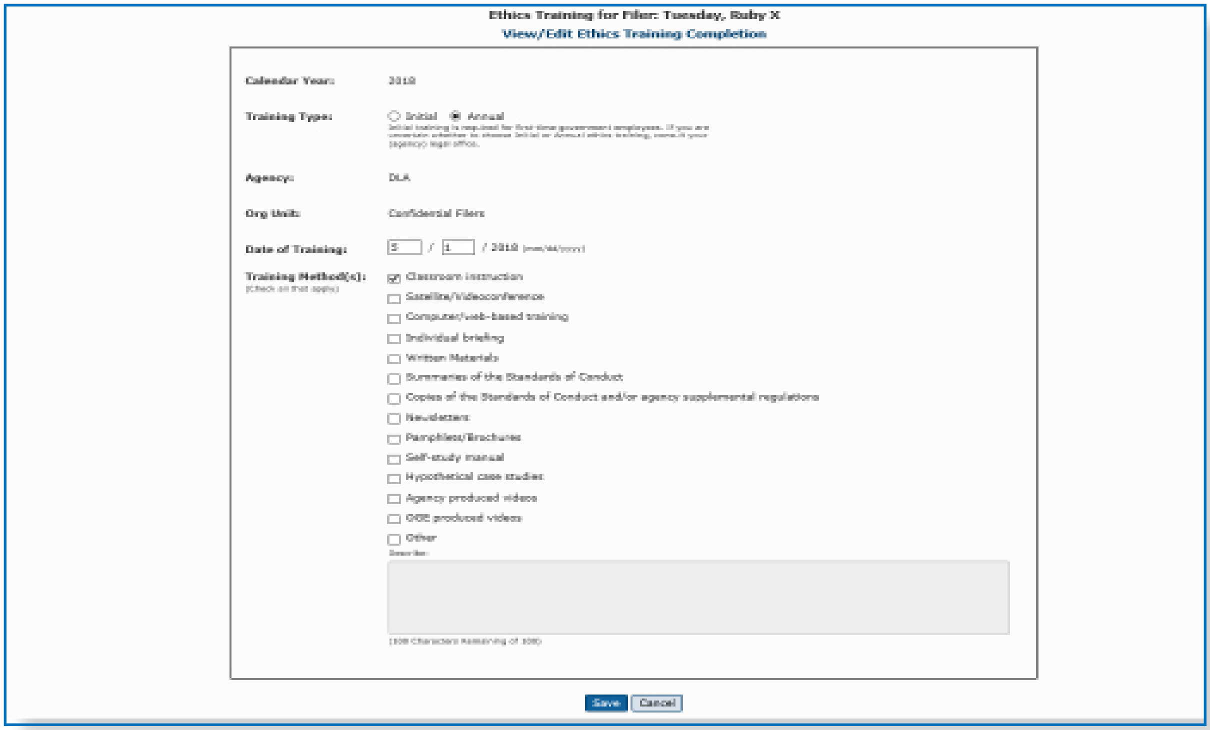
After you have recorded training for your Filers, you can view, edit or remove a training record of a Filer.

To view or change a training record:

1. Select the **Ethics Training | Trained** tab. The Filers Trained page is displayed.



2. Click **Record Ethics Training**. The Record Ethics Training Completion screen is displayed. Click Record Ethics Training.

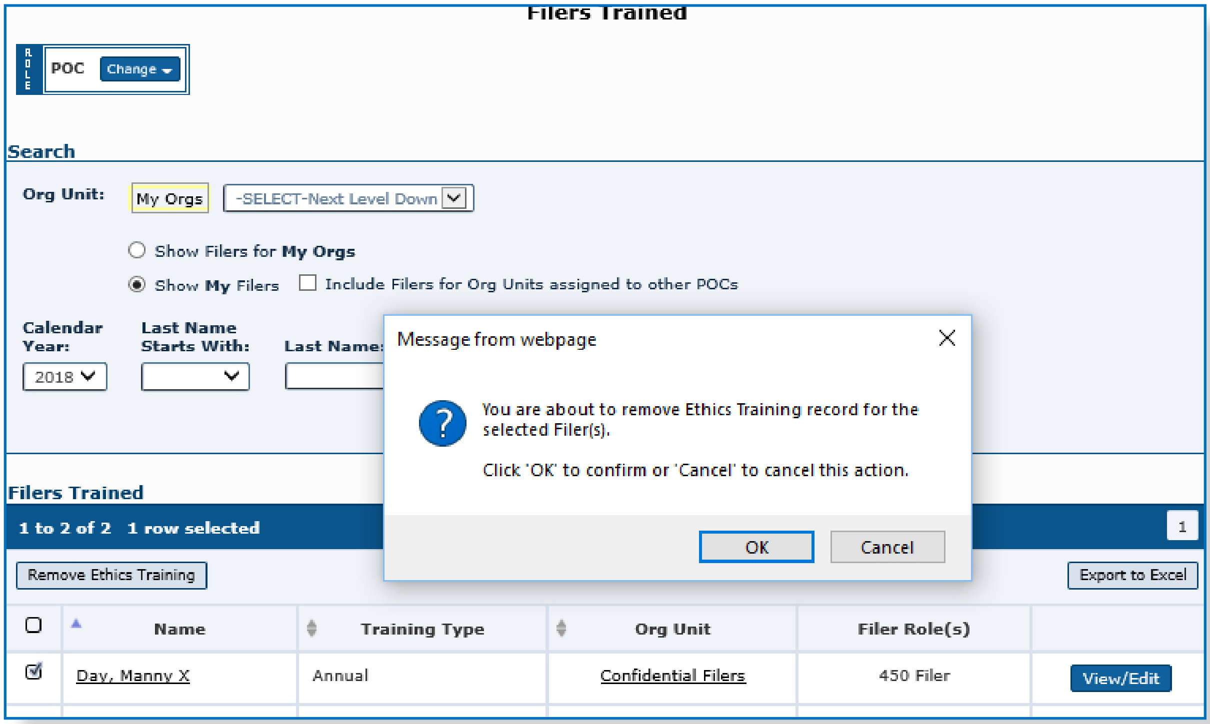


3. When complete, click on **Save.**

Removing a Training Record

To remove a training record:

1. Select the **Ethics Training | Trained** tab.
2. Click on the checkbox next to the Filer whose training record you wish to remove (more than one can be selected at a time).
3. Click **Remove Ethics Training**. A confirmation message is displayed.



4. Click **OK**. The Filer's name is removed from the Trained List and returned to the Not Trained List.

Training Exceptions

An exception to annual or initial Ethics Training is extremely rare. However, there are instances where training in a particular year may be waived. As described in the previous section, the exception is recorded from the Not Trained page. All recorded exceptions are displayed on the Exceptions page.

Recording an Exception to Ethics Training

There are particular circumstances when a Filer's requirement to undergo ethics training can be waived:

Exceptions for OGE278 Filers:

- Verbal or written training by a qualified instructor will satisfy the verbal training requirement for a public Filer (or group of public Filers) if one hour of official duty time is provided for the training; and
- The Designated Agency Ethics Official (or his/her designee) makes a written determination that it would be impractical to provide verbal training with a qualified instructor available; or
- The employee is a special Government employee.

Exceptions for OGE 450 Filers:

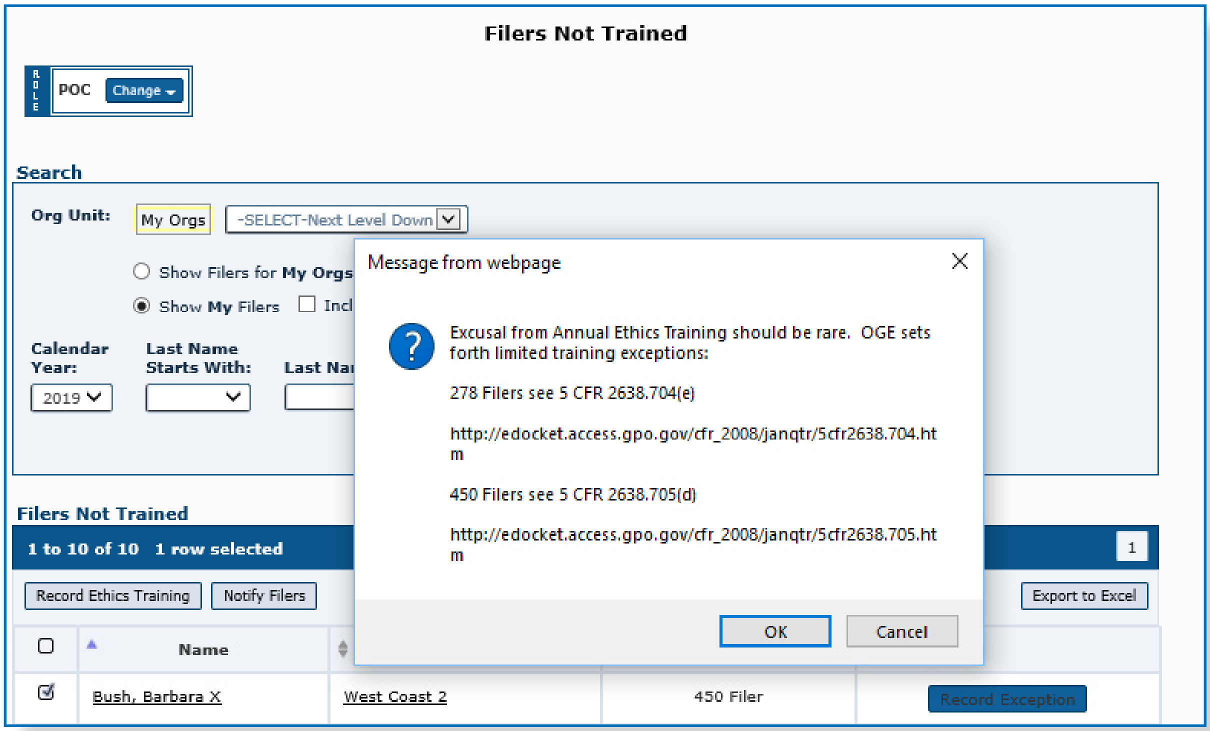
- Written ethics training prepared by a qualified instructor will satisfy the verbal training requirement for a covered employee (or group of covered employees) if sufficient official duty time is provided for the training; and
- The Designated Agency Ethics Official (or his/her designee) makes a written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

> **Note**: For more information for OGE 278 Filers, click on the following link: http://edocket.access.gpo.gov/cfr_2002/janqtr/5cfr2638.704.htm

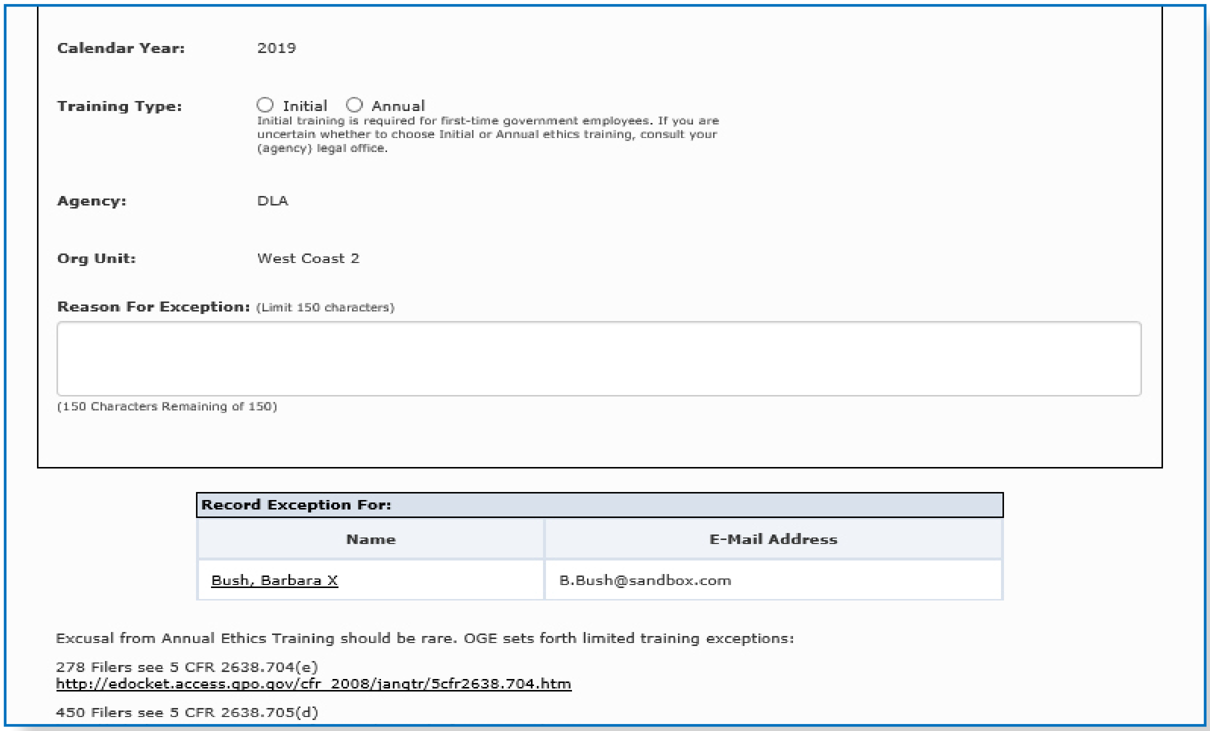
> **Note**: For more information for OGE 450 Filers, click on the following link: http://edocket.access.gpo.gov/cfr_2002/janqtr/5cfr2638.705.htm

To record an exception:

1. Select the **Ethics Training | Not Trained** tabs.
2. Click on the checkbox next to the Filer's name to which an exception will be issued.
3. Click **Record Exception** next to the Filer's line item. A message is displayed citing the links giving more detailed information regarding exceptions.



4. Click **OK**. The Record Ethics Training Exception screen is displayed.



Calendar Year: 2019

Training Type: ○ Initial ○ Annual
Initial training is required for first-time government employees. If you are uncertain whether to choose Initial or Annual ethics training, consult your (agency) legal office.

Agency: DLA

Org Unit: West Coast 2

Reason For Exception: (Limit 150 characters)

(150 Characters Remaining of 150)

Record Exception For:	
Name	**E-Mail Address**
Bush, Barbara X	B.Bush@sandbox.com

Excusal from Annual Ethics Training should be rare. OGE sets forth limited training exceptions:

278 Filers see 5 CFR 2638.704(e)
http://edocket.access.gpo.gov/cfr_2008/janqtr/5cfr2638.704.htm

450 Filers see 5 CFR 2638.705(d)

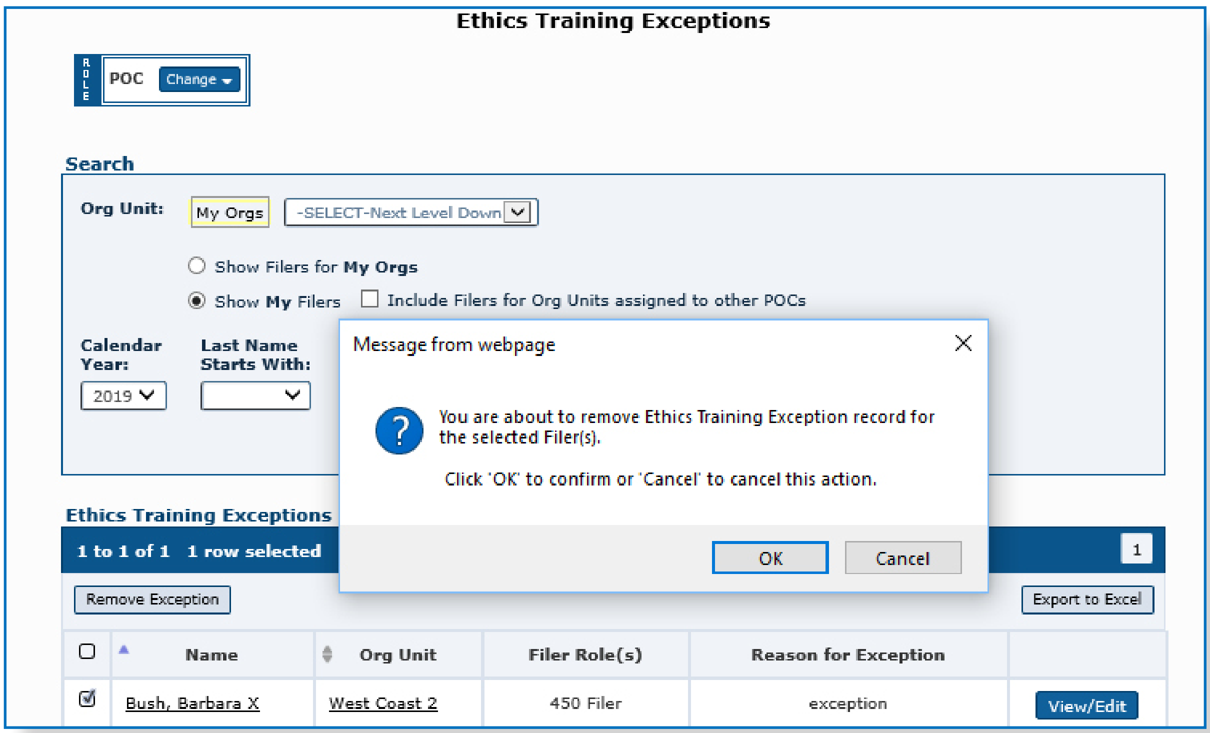
5. Select the radio button next to the type of training the Filer was to receive.
6. Enter a reason for the exception in the **Reason for Exception** text box.
7. Click **Save**. You are returned to the Not Trained screen and the Filer who received the exception is removed from this list and now displays on the Exception List.

Removing an Exception to Training

To remove an exception to training:

1. Select the **Ethics Training | Exceptions** tabs. The Exceptions page is displayed.
2. Click on the checkbox next to the Filer whose exception you wish to remove (more than one can be selected at a time).

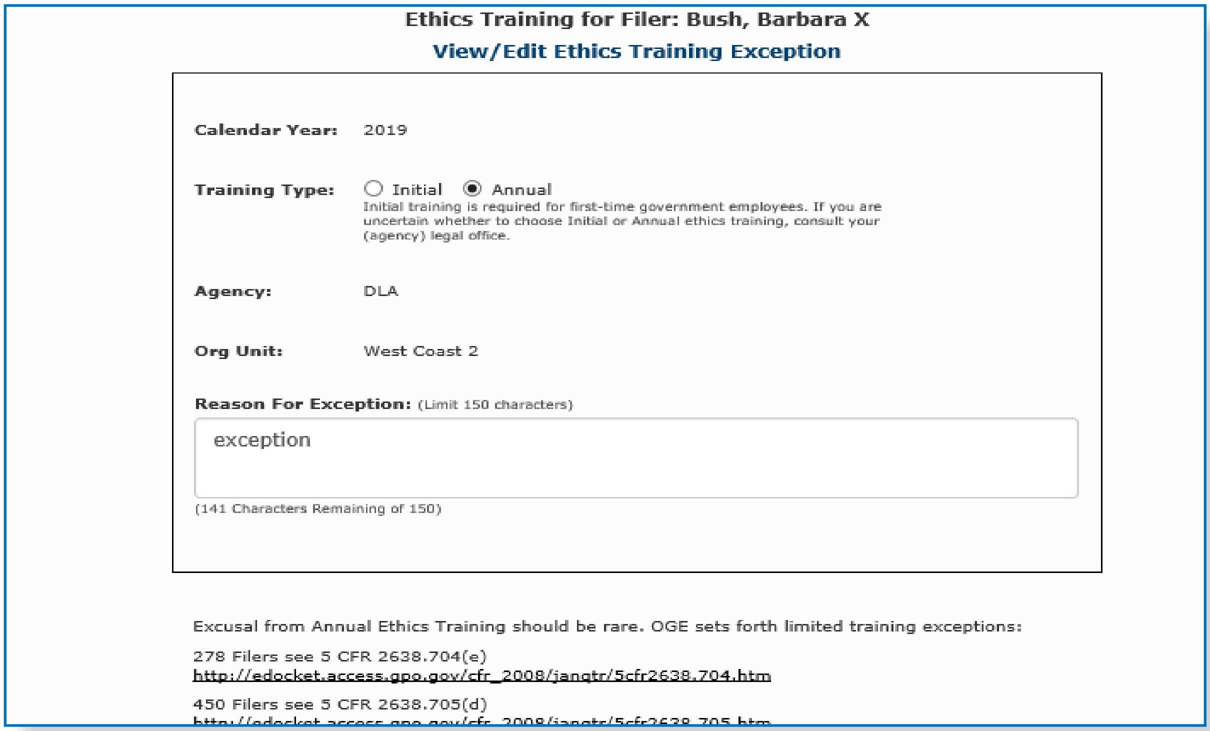
3. Click **Remove Exception**. A message is displayed confirming that you wish to remove the exception from this Filer.



4. Click **OK**. The Record Ethics Training Exception screen is displayed.

Changing or Viewing an Exception

1. Select the **Ethics Training | Exception** tabs.
2. Locate the Filer whose record you wish to view/change, and then click **View/Edit** located next to the Filer's name.



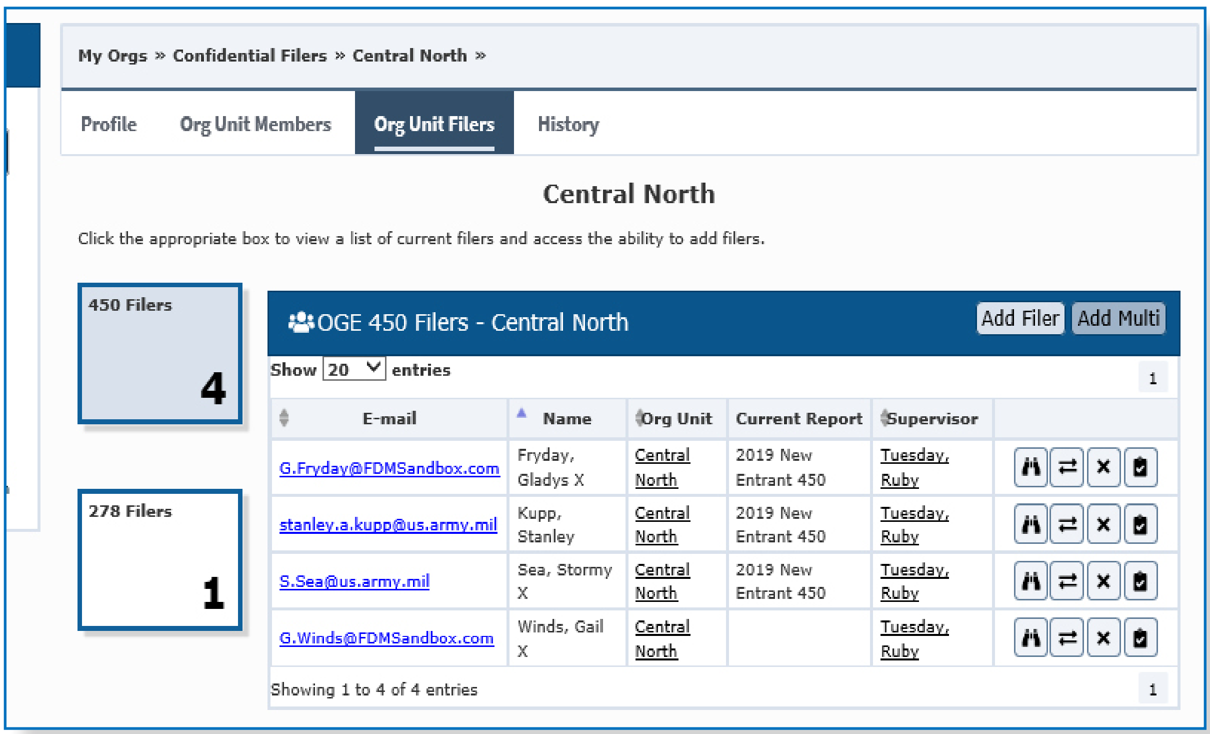
3. If applicable, change the Reason for Exception if you wish.
4. If changes were made, click **Save**. You return to the Exceptions page and any changes made are saved.

Adding Multiple 450 Filers

FDM allows you to add 450 Filers in groups of up to 100 at a time in the same Org Unit with the same Supervisor. However, you will need the correct e-mail address for each Filer to add them successfully.

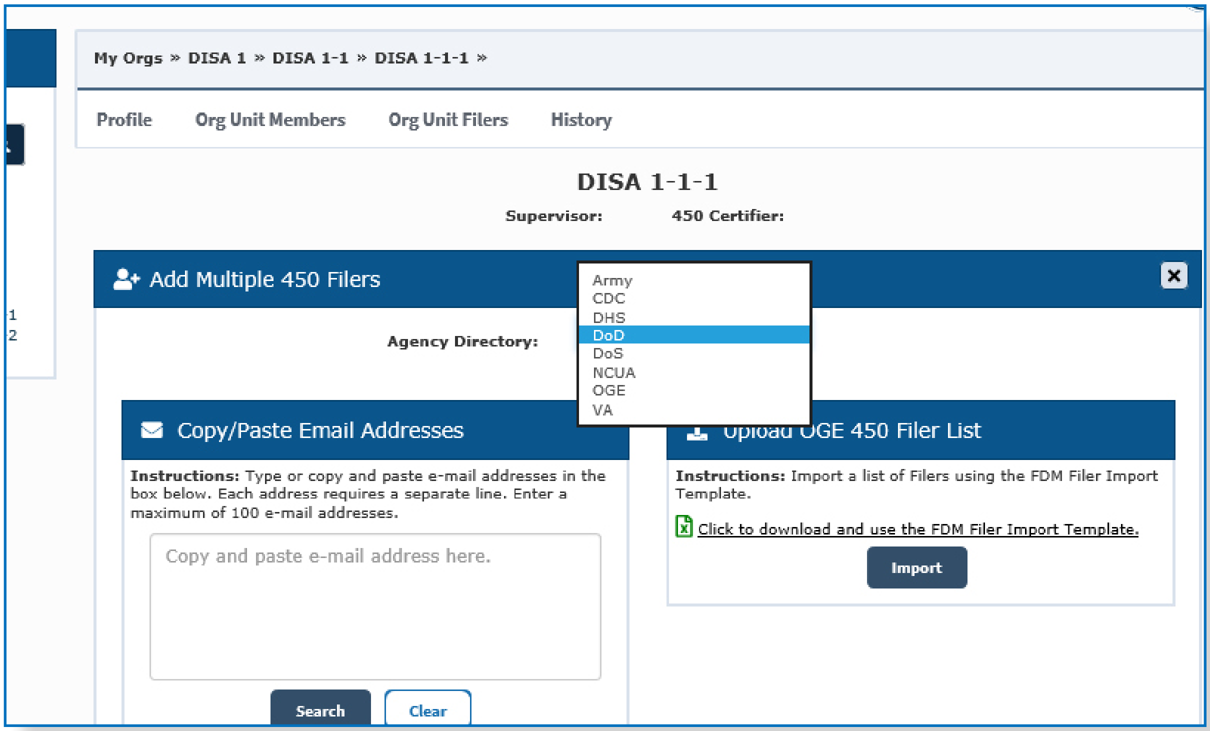
Adding Multiple OGE 450 Filers at a Time

1. Go to **Admin Center | Org Management**.
2. Locate and select the appropriate Org Unit where the Filers will be added in the Org Tree panel.
3. Click the **Org Unit Filers** tab. Select the **450 Filers** panel. A list of Filers already associated with the selected Org Unit is displayed.



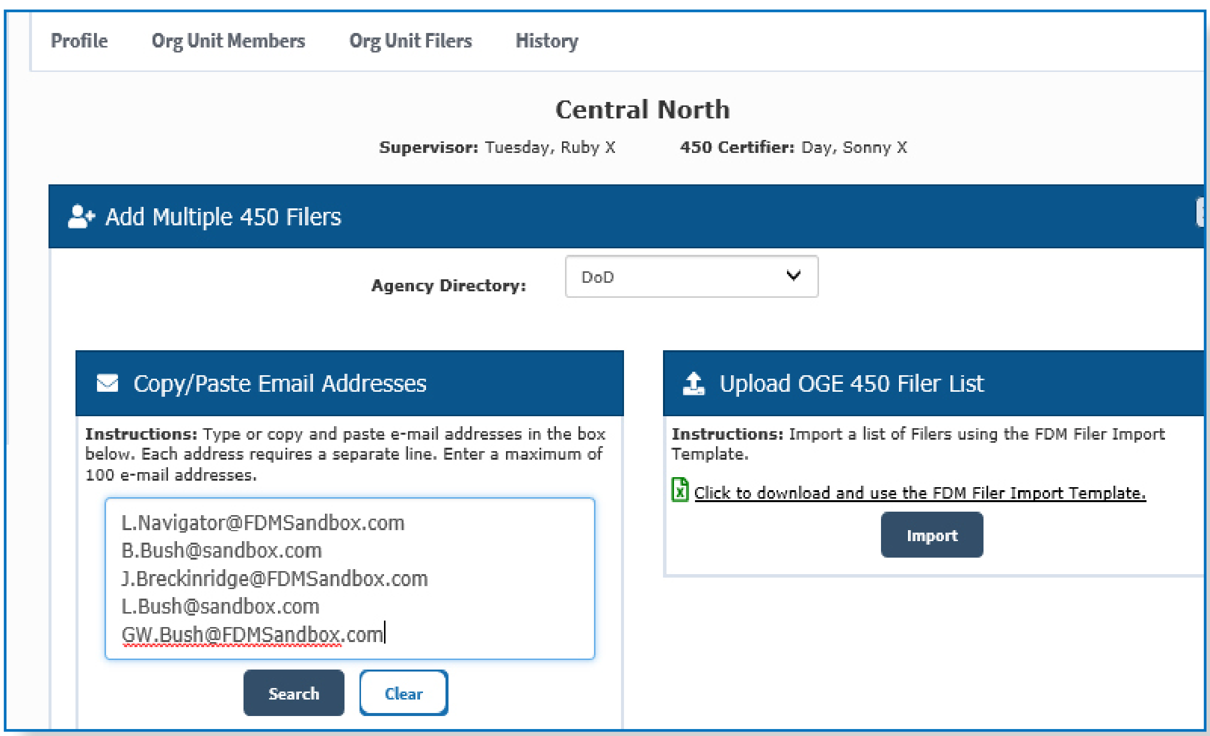
4. Click **Add Multi**. The Add Multiple Filers page is displayed.

You have two options for uploading multiple 450 Filers: you can type or paste e-mail addresses OR you can upload an FDM Excel template file.



Select the appropriate Agency Directory from the drop-down list. Please select DoD if your Agency is USAF, USN, or USMC.

Option 1: Importing/Adding Filers via Type/Paste of E-mail Addresses

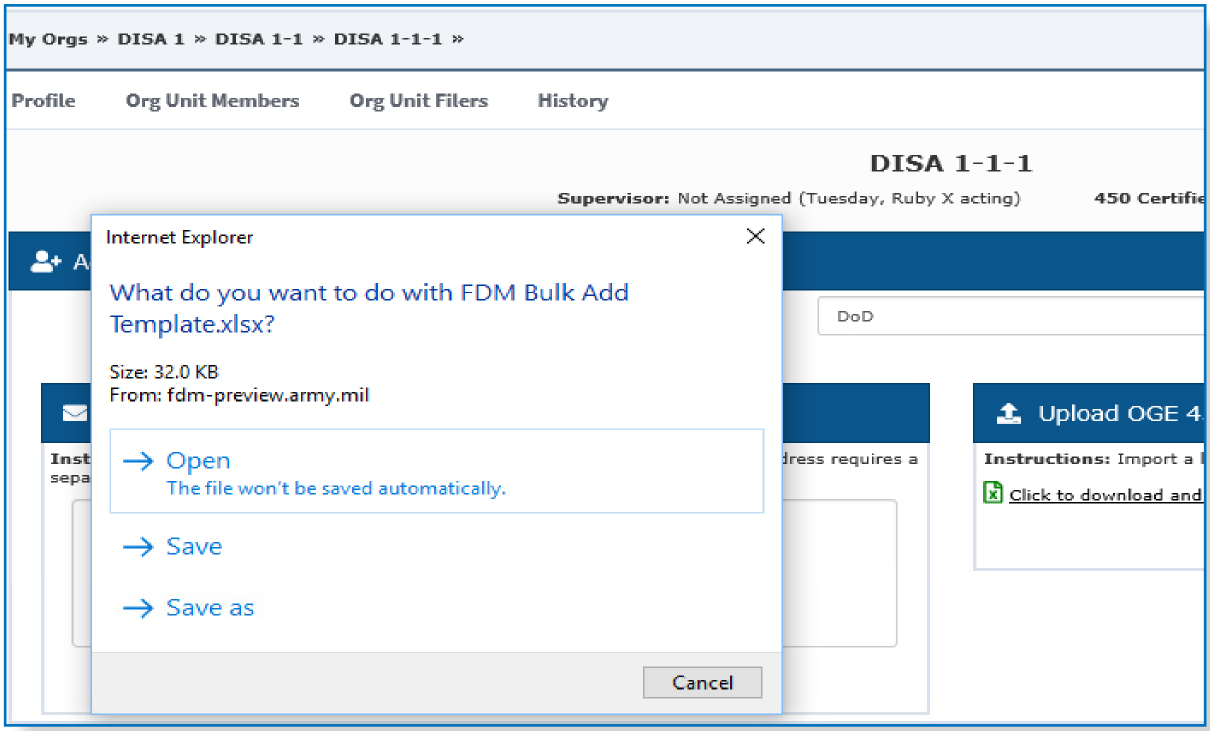


1. Type or paste Filer e-mail addresses in the Copy/Paste E-mail Addresses box. You can enter up to 100 e-mail addresses at a time and only one e-mail address per line.
2. When complete, click **Search**. The Review and Confirm screen is displayed.

3. Review the listing of Filers. To add a Filer, leave the checkbox selected beside the individual and click **Confirm**. Uncheck the checkbox beside any individual whom you do not wish to add. Only selected individuals will be added.

   Note: If you were unable to add a Filer with Add Multi, verify that the e-mail address you entered is correct. If a Filer is **Already a Filer in FDM**, you will have to add them separately via **Add Filer.**

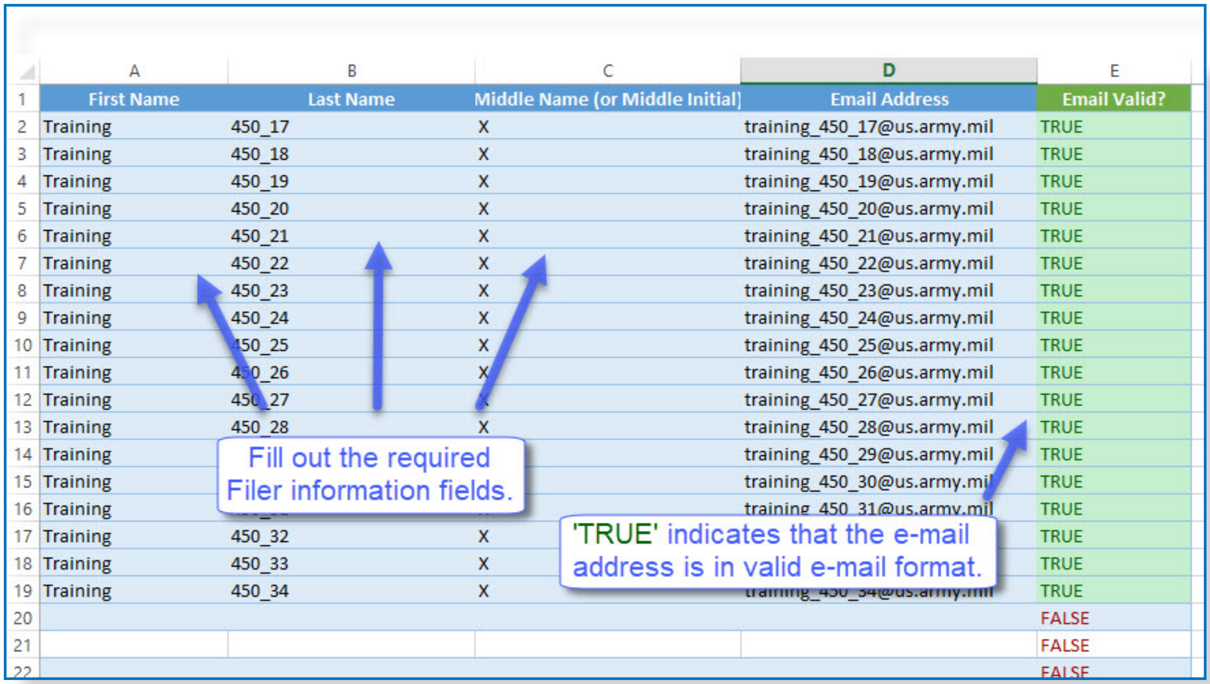
Option 2: Import a List of Filers (Excel file)



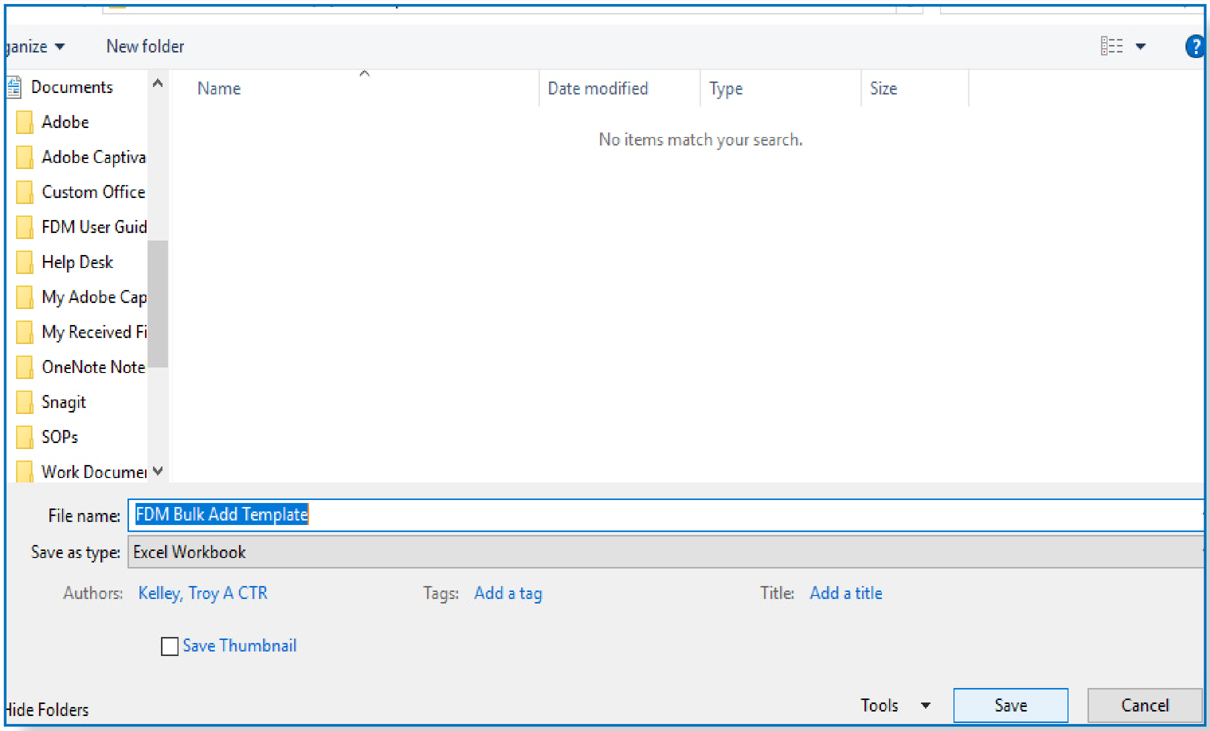
1. Click on the link that says **Click to Download and use the FDM Filer Import Template** in the Upload OGE 450 Filer List.

   Note: You must use the FDM Filer Import Template during the upload process. The FDM template already maps the template fields to the appropriate FDM fields.

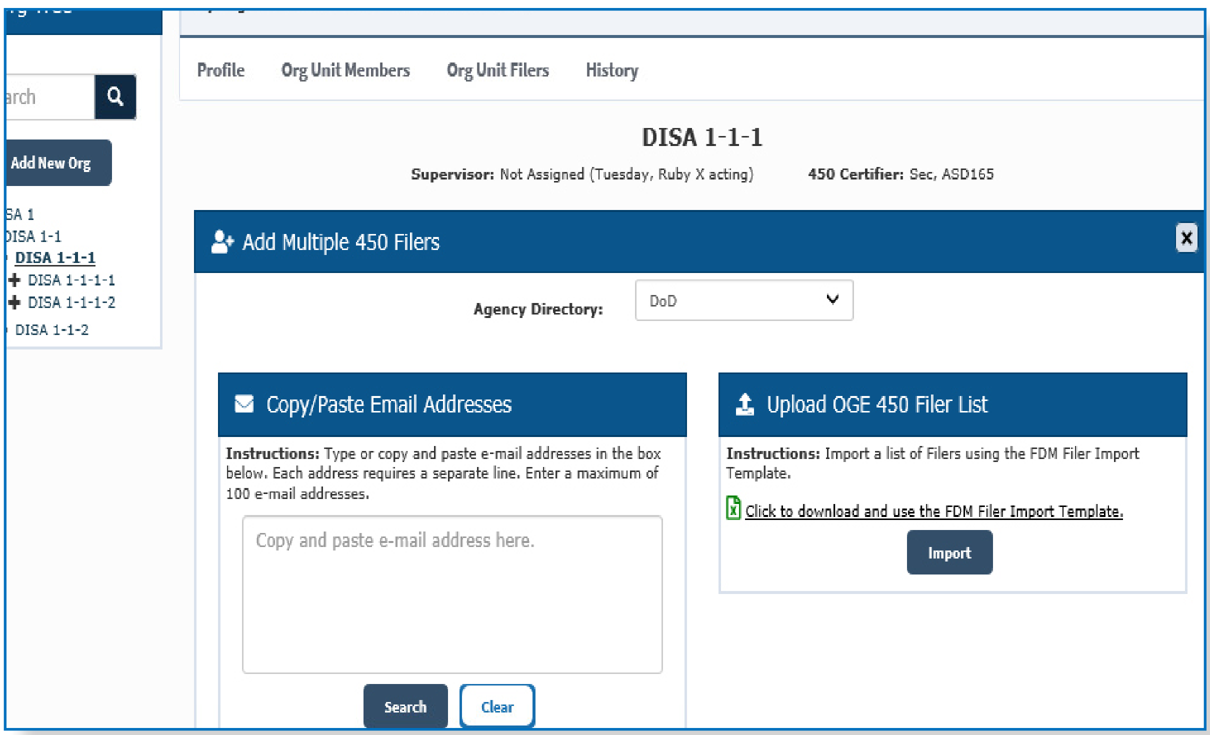
2. Open the Excel template and fill out the required Filer information.



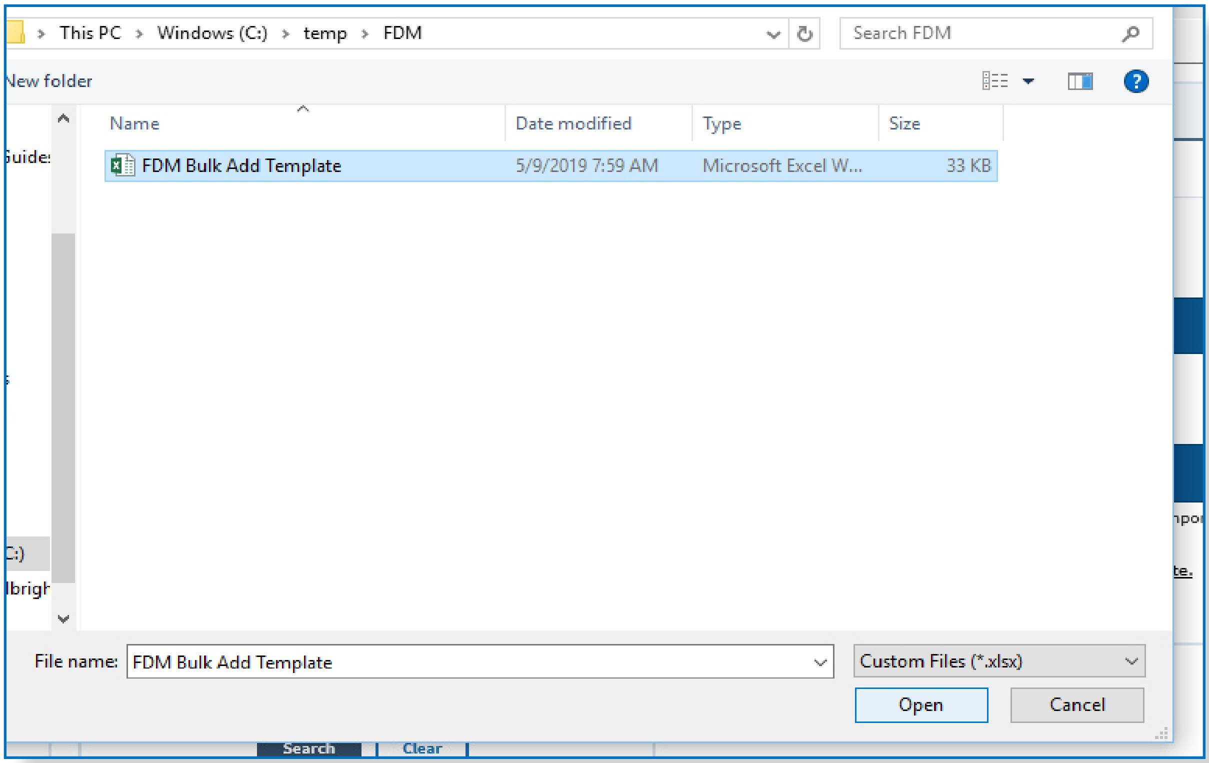
Note: DO NOT change the template. Otherwise, it will not upload properly.



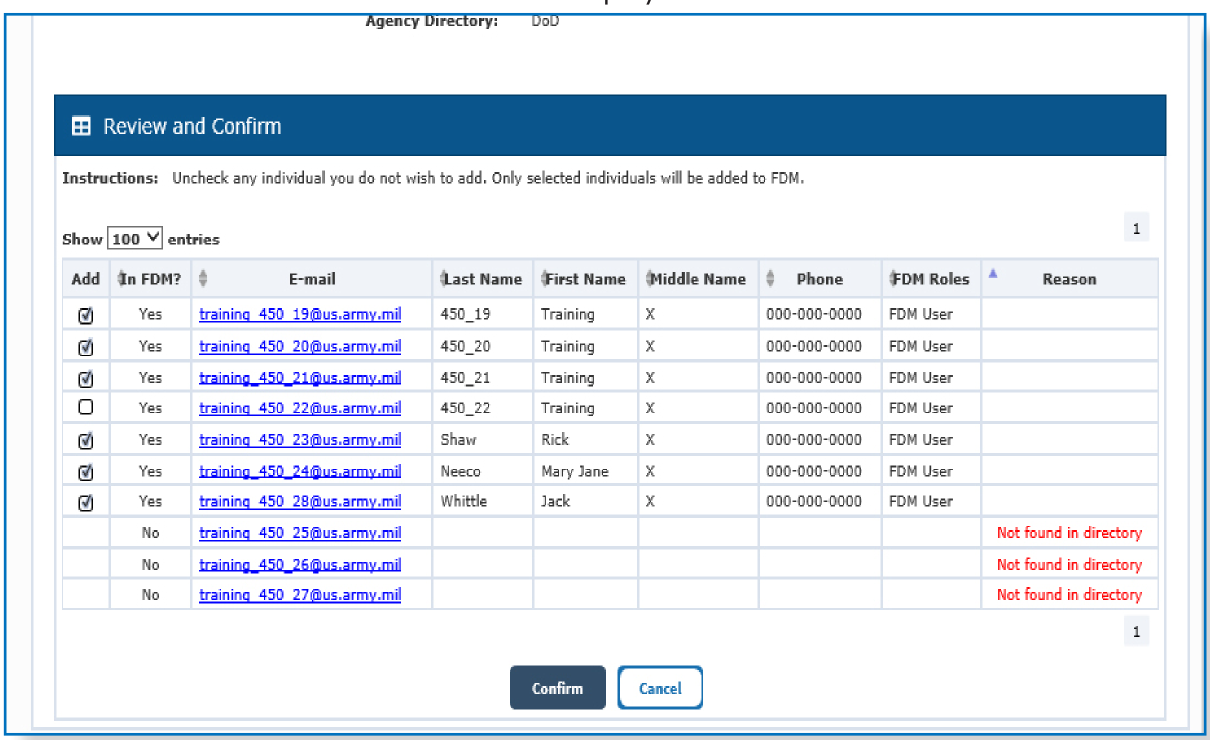
3. After entering the Filer information into the template, **Save** the document to your local drive.



4. In FDM, click **Import** and then navigate to the file in your local drive.



5. **Open** the appropriate file and then click **OK** in the Upload OGE 450 Filer List box. The Review and Confirm screen is displayed.



6. Review the listing of Filers and uncheck any individuals you do not wish to add. Click **Confirm**.

Note: Only selected individuals will be added.

Note: If you were unable to add a Filer with Add Multi, verify that the e-mail address you entered into the template is accurate. If a Filer is already in FDM, you will have to add them individually via Add Filer.