# USER GUIDE

# FINANCIAL DISCLOSURE MANAGEMENT

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OGE 450 Assignment Criteria

September 2023
FDM 8.9

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# INTRODUCTION TO FDM

## FINANCIAL DISCLOSURE MANAGEMENT

Financial Disclosure Management (FDM) is an online tool that streamlines the financial disclosure reporting and review process. Its unique wizard design walks you through the form filing and review process.

## ACCESSING FDM

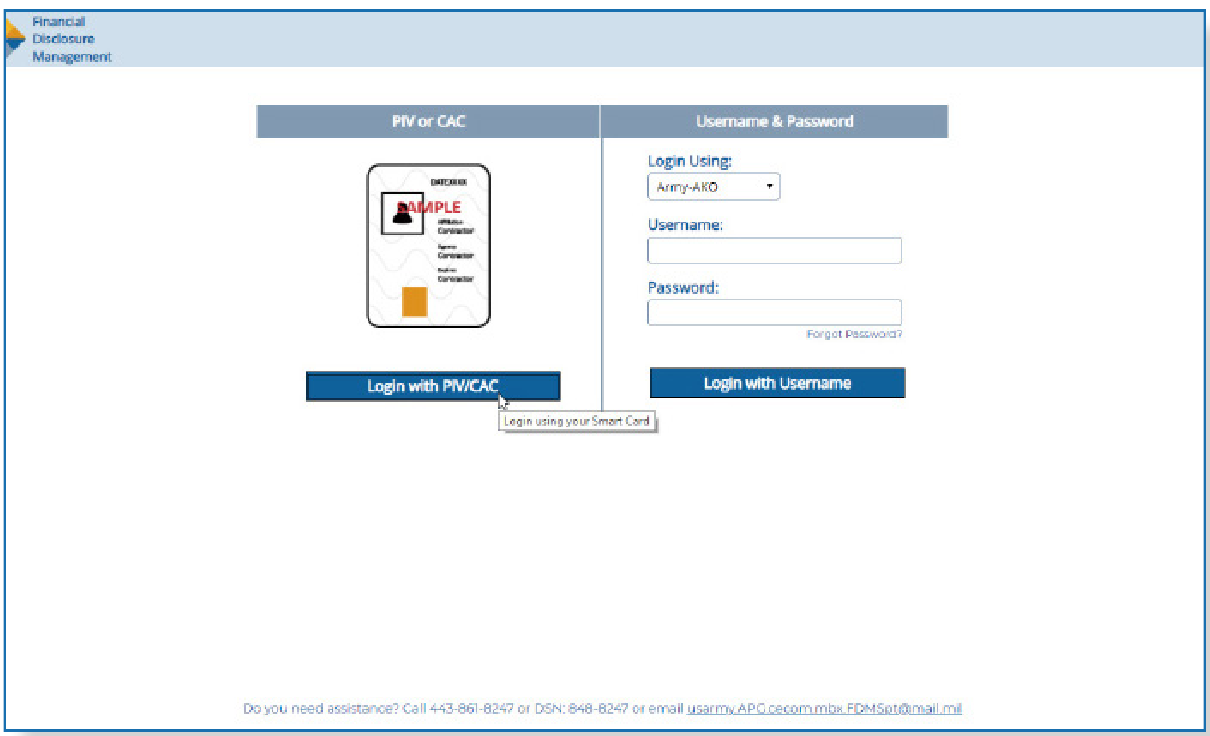
Before you can log in to the Financial Disclosure Management system (FDM), you must be a registered FDM user.

1. Log onto your computer, open a web browser, type, https://www.FDM.army.mil/ in the address line and click **Go**. The FDM Website is displayed.
2. Click **Login** to FDM on the left side of the screen. The Login to FDM page is displayed.

## LOGGING IN

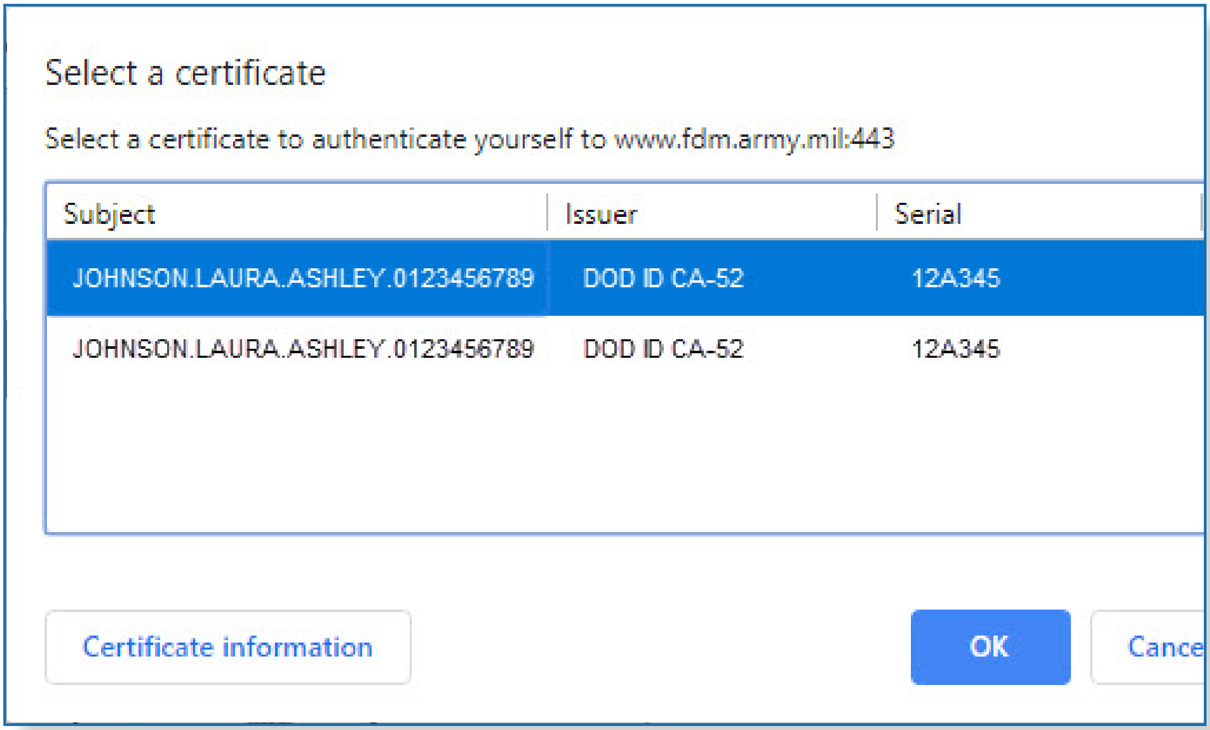
There are two different login methods for FDM, using your CAC/PIV or using your User Name and Password.

### Logging In Using Your CAC/PIV




3. On the Login page, click the **Login** button under Login Using Your CAC section.

**Selecting a Certificate**




4. Select your certificate and then click **OK**.

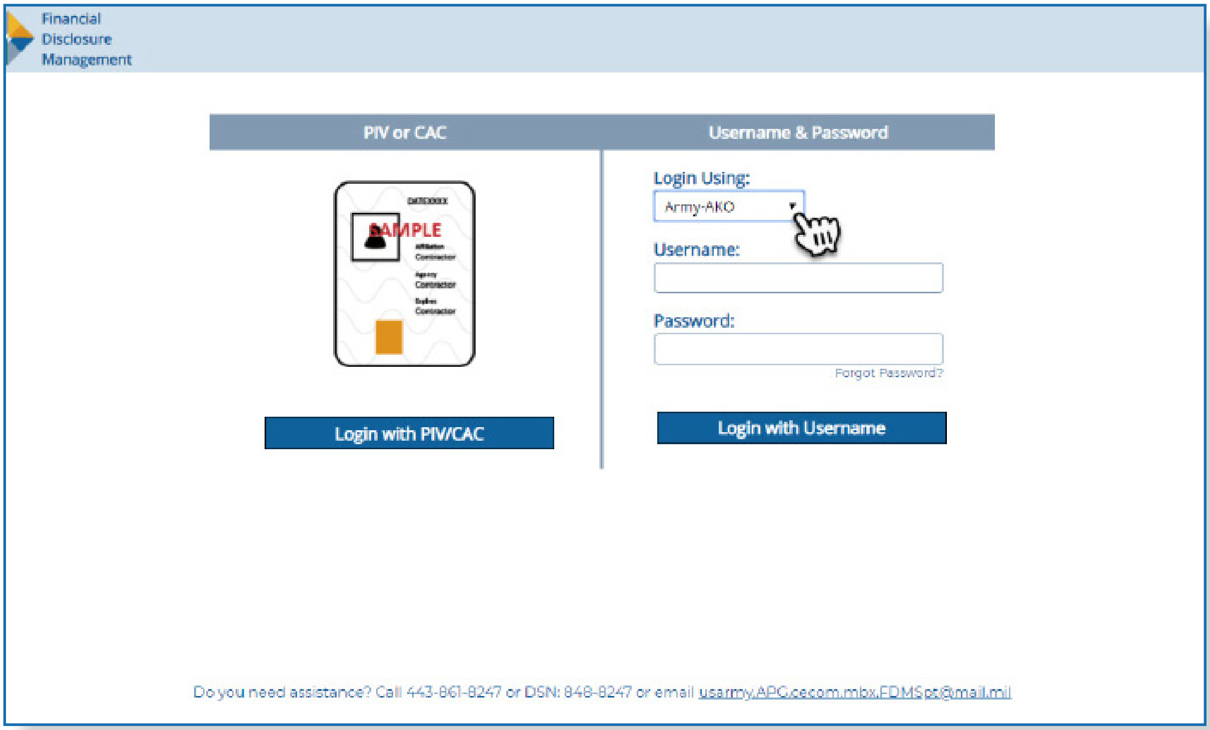
## What if the Access Denied Page Displays?

If the Access Denied page displays after you have tried logging in using your CAC, contact your Agency POC or your local legal advisor to check if you are registered in FDM. Have your e-mail address available so they can verify your access to FDM.

5. Enter your CAC/PIV PIN and then click **OK**.

## Logging in with Username

1. In your web browser type, https://www.FDM.army.mil/ in the address line and click **Go**. The FDM Website is displayed.
2. Click **Log in to FDM** on the left side of the FDM Home page.




3. Select your appropriate authenticating source (agency) from the Login Using drop-down.
4. Enter your Username and Password. The My Contact Info page will display for new FDM users.

### What if I Receive a Message that My User Name or Password is Incorrect?

If you receive a message that your Username or Password is incorrect, check your Username and Password you entered remembering that Passwords are case sensitive and user names do not include the suffix@abc.gov. Make sure your cap locks key is not set ON and enter in your credentials again. After 3 unsuccessful attempts, FDM will lock you out for 30 Minutes. If you try entering FDM after the 30 minutes and you continue to fail, please contact the FDM Support Desk FDM Help & Support so they can check your username.

If you are still having trouble accessing FDM, please contact your Agency POC or your local legal advisor to check if you are registered in FDM. Have your e-mail address available so they can verify your access to FDM.

# Financial Disclosure Report Types

FDM's wizard design walks you through the OGE 450 and OGE 278 filing and reviewing process quickly and effectively.

## Reporting Status

### OGE 450

The OGE 450 is a confidential financial disclosure report and has two different Reporting Statuses: Annual and New Entrant.

| | |
|---|---|
| Annual | Select Annual if you filed a report in the previous year and are still in the same position as when you filed your last disclosure report. An Annual Report is due annually, no later than the February 15th following the covered reporting calendar year. |
| New Entrant | Select New Entrant if this is the first time you are filing a disclosure report. The New Entrant report must be filed within 30 days of assuming a new position. |

### OGE 278

The OGE 278 is a public financial disclosure report that has four different Report Statuses in FDM: Incumbent, New Entrant, Termination, and Incumbent/Termination.

| | |
|---|---|
| Incumbent | Select Incumbent if you filed a report in the previous year and are still in the same position as when you filed your last disclosure report. An Incumbent report is due annually, no later than May 15th following the covered reporting calendar year. |
| New Entrant | Select New Entrant if this is the first time you are filing a disclosure report. The New Entrant report must be filed within 30 days of assuming a new position. |
| Termination | Select Termination if you are leaving a covered position, which required you to file a OGE 278. |
| Incumbent/ Termination | Select Incumbent/Termination if you anticipate leaving your covered position within 90 days after the May 15th annual deadline and have requested and received an agency extension. |

## Filing Time Frame

- New Entrant - Must be submitted within 30 days of assuming a position designated for filing and covers the preceding 12 months.
- Annual (OGE 450) - You must file by Feb. 15 for the previous calendar year (covers Jan. 1 through Dec. 31)
- Incumbent (OGE 278) - You must file by May 15 for the previous calendar year (covers Jan. 1 through Dec. 31)
- Termination (OGE 278) - On or before the 30th day after departure from a covered position (this includes departing from a public Filer position to a confidential Filer position).

## Extensions

An Agency Ethics Official grants extensions outside of FDM. In FDM, certifying authorities, Senior Legal Counsel, Ethics Counselors and DAEOs can record if an extension was granted for a financial disclosure report.

Filers should contact one of their review chain participants to alert them that an extension request will be submitted.

Entering an extension in FDM records the new filing due date of the financial disclosure report. See Recording Extensions for more information.

## Special Government Employees (SGEs)

All SGEs who work in excess of 60 days, must file either an OGE 278 or an OGE 450 upon each appointment and with each reappointment.

# FDM Roles and Functions

In FDM, users are assigned roles based upon their responsibilities within the financial disclosure process. The roles within FDM can be grouped into four categories: Filer, Assistant, POC and Reviewer.

Some FDM users can have overlapping responsibilities and multiple roles to help expedite the disclosure process. A user's location in the role hierarchy reflects the authority and responsibility they have in FDM. All other FDM users must be assigned specific roles by an existing FDM user. The FDM roles and responsibilities are outlined below.

| Role | Description | Functions Within FDM |
|---|---|---|
| Filer | Creates/edits/amends and eSigns a financial disclosure report | My Reports - can create, view, edit, and amend their own financial disclosure reports. Can delete own draft reports.<br>Account Profile - manage contact information, Filer Assistants and review chain. |
| Filer's Assistant | Assists Filers in managing their reports | Assist Filers - can create, view and edit reports for a Filer. Can delete draft reports.<br>Account Profile - manage contact information. |
| POC | A POC helps manage reporting activities in FDM such as when to file and who should file. | Account Profile - manage contact information.<br>Admin - manage Filers, Supervisors and other POCs.<br>My Reviews - Can review the reports progress. Can also send notifications to delinquent Filers. |
| Supervisor | The FDM Supervisor is the Supervisor who is responsible for reviewing the Filer's financial disclosure report. | Account Profile - manage contact information and Assistants.<br>My Reviews - can review, eSign their Filer's financial disclosure reports. Can submit OGE 278 financial disclosure reports to DAEO. Can also send notifications to delinquent Filers.<br>Admin - manage Supervisors, POCs and users.<br>Management Reports - view standard summary reports. |

| Role | Description | Functions Within FDM |
|---|---|---|
| 450 Certifier | The 450 Certifier is the final reviewing official (e.g., ethics counselor or ethics official) who ensures the OGE 450 is properly completed, checks for conflicts of interest, and certifies the report with their signature.<br><br>A 450 certifier can eSign and complete a 450 financial disclosure report in FDM. | Account Profile - manage contact information, ECs and Assistants.<br><br>My Reviews - can review, eSign and complete their Filer's OGE 450 financial disclosure reports. Can send notifications to delinquent Filers and Supervisors. Can use the Notes tool as a reminder that action needs to be taken on a particular report. The Manage Exceptions List<br><br>then displays reports that need special attention.<br><br>Admin - manage Filers, Supervisors, POCs and users.<br><br>Management Reports - view standard summary reports. |
| 450 Certifier Assistant | 450 Certifier Assistants are generally paralegals appointed by a Senior Legal Counsel in the system. A 450 Certifier Assistant can add an Ethics Counselor to a 450 Certifier's pool of<br><br>EC's.<br><br>They can perform the same functions as a 450 Certifier with the exception of eSigning a report. | Account Profile - manage contact information.<br><br>My Reviews - can review their Filer's OGE 450 financial disclosure reports. Can send notifications to delinquent.<br><br>Filers and Supervisor reviewers. Can use the Notes tool as a reminder that action needs to be taken on a particular report. The Manage Exceptions List then displays reports that need special attention.<br><br>Admin - manage Filers, Supervisors, POCs, and users.<br><br>Management Reports - view standard summary reports. |
| 450 Certifier Ethics Counselors | 450 Certifier Ethics Counselor's are a pool of ethics counselors selected by a 450 Certifier to aid in the review of a report.<br><br>They can perform the same functions as a 450 Certifier. | Account Profile - manage contact information.<br><br>My Reviews - can review, eSign and complete their Filer's OGE 450 financial disclosure reports. Can send notifications to delinquent Filers and Supervisor reviewers. Can use the Notes tool as a reminder that action needs to be taken on a particular report. The Manage Exceptions List then displays reports that need special attention.<br><br>Admin - Manage Filers, Supervisors, POCs, and users.<br><br>Management Reports - view standard summary reports. |

| Role | Description | Functions Within FDM |
|---|---|---|
| Senior Legal Counsel (SLC) | Only a DAEO can appoint an SLC in the system. | Account Profile - manage contact information, Assistants and ECs.<br><br>My Reviews - can review, eSign and submit their Filer's OGE 278 financial disclosure reports to DAEO. Can use the Notes tool as a reminder that action needs to be taken on a particular report. The Manage Exceptions List then displays reports that need special attention.<br><br>Admin -manage Filers, 450 Certifiers, Supervisors, POCs and users.<br><br>Management Reports - view standard summary reports. |
| SLC Assistant | SLC Assistants are generally paralegals appointed by a Senior Legal Counsel in the system. An SLC Assistant can add an Ethics Counselor to an SLC's pool of EC's.<br><br>They can perform the same functions as a Senior Legal Counsel with the exception of eSigning a report. | Account Profile - manage contact information.<br><br>Review Reports - can review their Filers financial disclosure reports. Can use the Notes tool as a reminder that action needs to be taken on a particular report. The Manage Exceptions List then displays reports that need special attention.<br><br>Admin - manage Filers, 450 Certifiers, Supervisors, POCs, and users.<br><br>Management Reports - view standard summary reports. |
| SLC Ethics Counselors | Senior Legal Counsel Ethics Counselor's are a pool of ethics counselors selected by an SLC to aid in the review of a report.<br><br>They can perform the same functions as a Senior Legal Counsel. | Account Profile - manage contact<br><br>information.<br><br>My Reviews - can review, end review and eSign their Filer's OGE 278 financial disclosure reports. Can use the Notes tool as a reminder that action needs to be taken on a particular report. The Manage Exceptions List then displays reports that need special attention.<br><br>Admin - manage Filers, 450 Certifiers, Supervisors, POCs, and users.<br><br>Management Reports - view standard summary reports. |

| Role | Description | Functions Within FDM |
|---|---|---|
| DAEO | The DAEO is the final legal reviewer who eSigns the OGE 278 in FDM. | Account Profile - manage contact information, Assistants and ECs.<br>My Reviews - can review, eSign and complete their Filer's financial disclosure reports.<br>Can use the Notes tool as a reminder that action needs to be taken on a particular report. The Manage Exceptions List then displays reports that need special attention.<br>Admin - manage Filers, 450 Certifiers, Supervisors, POCs, SLCs and users.<br>Management Reports - view standard summary reports. |
| DAEO Ethics Counselors | DAEO Ethics Counselor's are a pool of ethics counselors selected by a DAEO to aid in the review of a report.<br>They can perform the same functions as a DAEO. | Account Profile - manage contact information, Filers and Required Activities.<br>Review Reports - can review, eSign and complete Filer reports for their Filer's DAEO. Can use the Notes tool as a reminder that action needs to be taken on a particular report. The Manage Exceptions List then displays reports that need special attention.<br>Admin - manage 450 Certifiers, Supervisors, POCs, SLCs and users.<br>Management Reports - view standard summary reports. |

# Managing Org Units

An Org Unit is a grouping of Filers, Legal Reviewers and Administrators. Org Units are the organizational building blocks that make up an agency in the Financial Disclosure Management (FDM) application. When managing an org structure in FDM, determine the organizational structure with an organization chart or wire diagram. Use this same structure as the model for the Org Unit structure in FDM.

## Org Tree

The Org Tree is a hierarchical display of Org Unit management and defines the Filer-Reviewer relationship structure; use it to navigate through the Org Unit hierarchy of Org Units to be viewed, edited, and managed. The viewable Org Unit hierarchy is dependent on the selected role. The initial view of the Org Tree displays the top-level Org Unit and subordinate Org Units.

View and manage Org Units and members within an Org Tree hierarchy. This includes top level Org Units and any subordinate Org Units. For example, a Senior Legal Counsel can manage users and the roles within their Org Units and subordinate Org Units—even if the subordinate Org Unit has a different Senior Legal Counsel.

### Who can manage Org Units?

Points of Contact (POCs), 450 Certifiers, 450 Certifier Assistants, Senior Legal Counsels, Senior Legal Counsel Ethics Counselors, Senior Legal Counsel Assistants, Designated Agency Ethics Officials (DAEOs), and DAEO Ethics Counselors can add, edit, and manage roles in FDM Org Units.

### Who can manage specific roles?

Org Unit and Org member management is dependent on the permissions of the Authorized User's role. The Role Authorizations Management table on the following page outlines Role permissions.

## Role Authorization Management

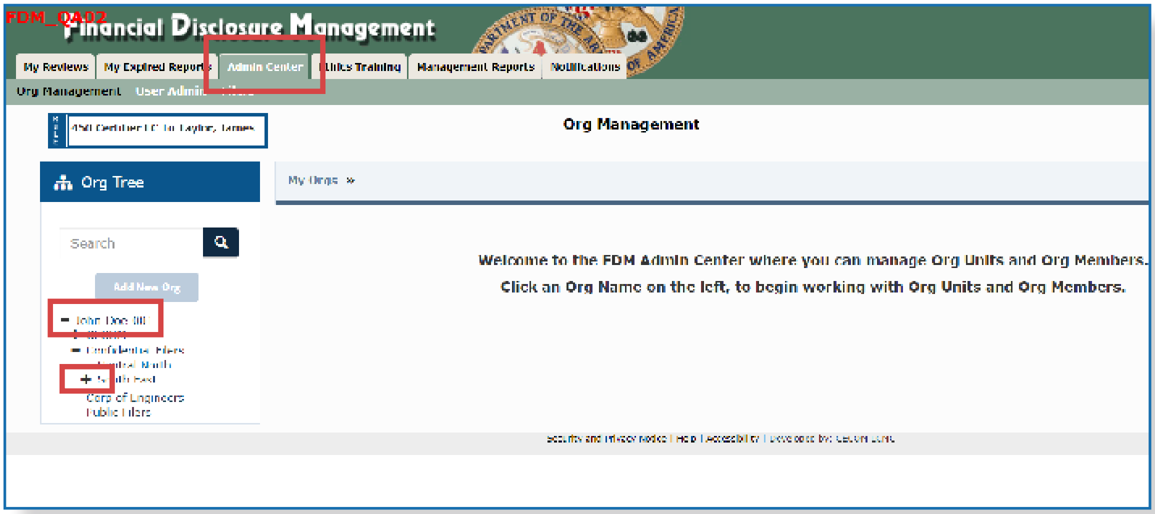
All FDM roles, except Filers and Filer Assistants, can maintain FDM users and Org Units.

| FDM Admin Role | Authorizations |
|---|---|
| Agency Admin | Can add, move or delete a Senior Legal Counsel (SLC), 450 Certifier, Supervisor, POC, and Filer. |
| DAEO, Ethics Counselors (ECs) and Assistants | Can add, move, or delete all roles. |
| Senior Legal Counsel (SLC), ECs and Assistants | Can add, move, or delete a 450 Certifier, Supervisor, POC, or Filer. |
| 450 Certifier ECs and Assistants | Can add, move, or delete a Supervisor, POC, or Filer. |
| Supervisor | Can add, move, or delete a Supervisor, POC, or Filer. |
| POC | Can add, move, or delete a Supervisor, POC, or Filer. |

Authorized Users can change their role in the Role box just above the Org Tree.

# Navigating the Org Tree

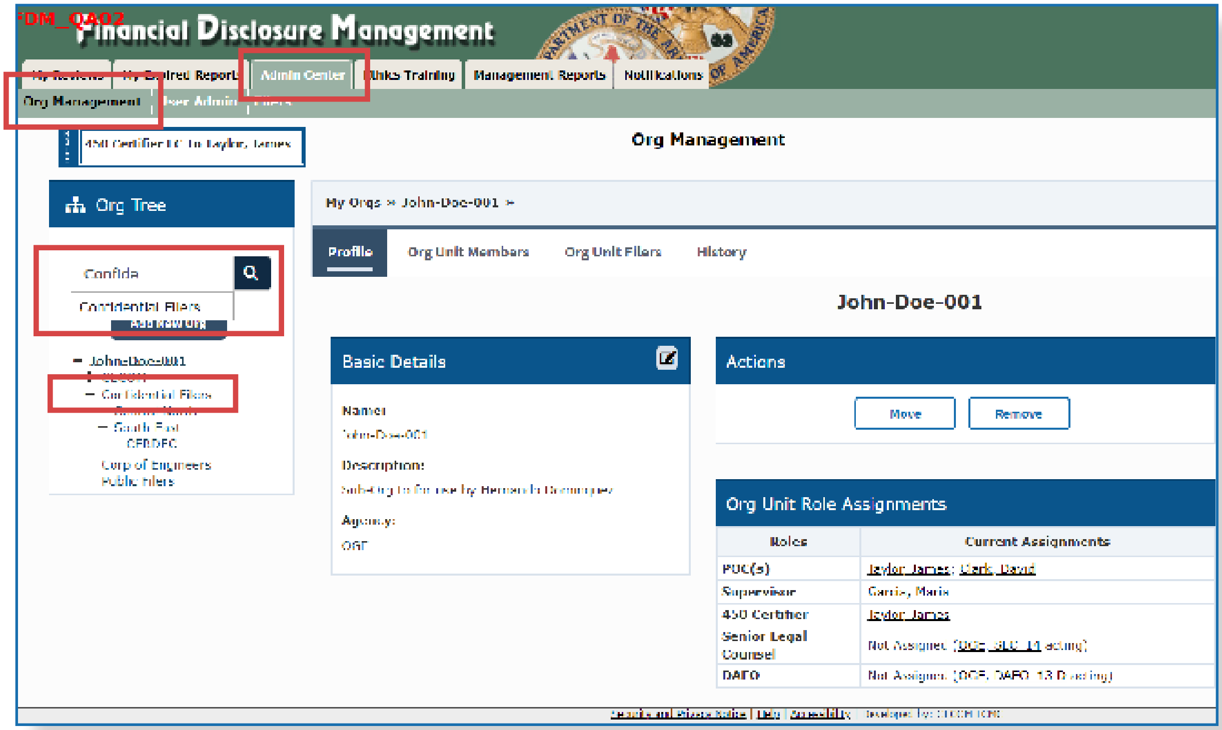
1. From any point in FDM, click the **Admin Center** tab. The Org Tree will appear on the left side of the web page and automatically populates with the Org Units the user manages.




2. Expand the Org Tree by selecting the **plus (+) sign** beside an Org Unit. The Org Tree expands and lists the selected Org Unit and correspondent sub Org Units. The lowest level of an Org Unit will display a minus (-) sign next to it.
3. Click the **minus (-) sign** beside an Org Unit to collapse or hide subordinate Org Units.

## Searching for an Org Unit:

1. From any point in FDM, click the **Admin Center** tab.
2. Click **Org Management**.




3. In the search box at the top of the Org Tree, begin typing the **name of the Org Unit** to locate.
4. Click on the **Org Unit name** as it appears in the search results dropdown field.

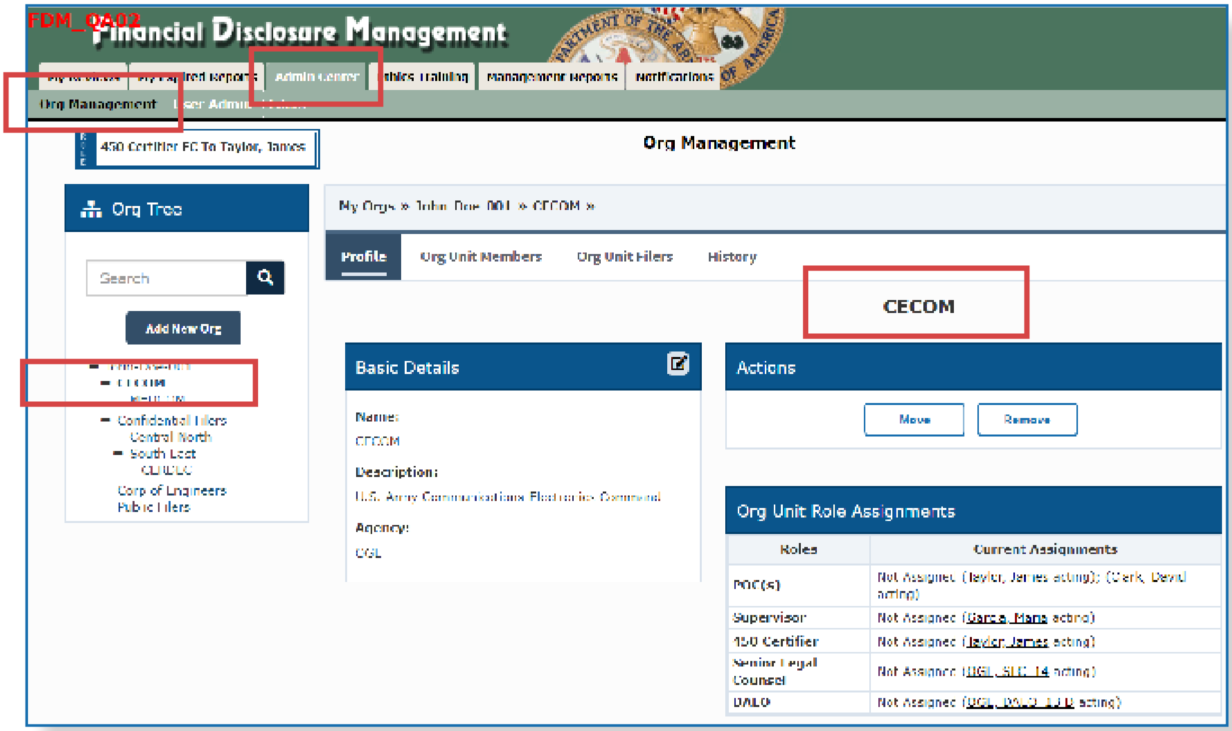
**Note:** When creating a new Org Unit, use the search function to verify the Org Unit does not already exist.

## Viewing Org Unit Profiles

When viewing an Org Unit profile, perform the following functions:

- Edit the Org Unit name and description.
- Move an Org Unit.
- Delete an Org Unit.
- View and assign Org Unit Roles.
- View and manage associated Filers.
- View the Org Unit history.

1. From any point in FDM, click the **Admin Center** tab.
2. Click **Org Management** and select an **Org Unit** to view its profile on the right side of the screen.



# Adding New Org Units

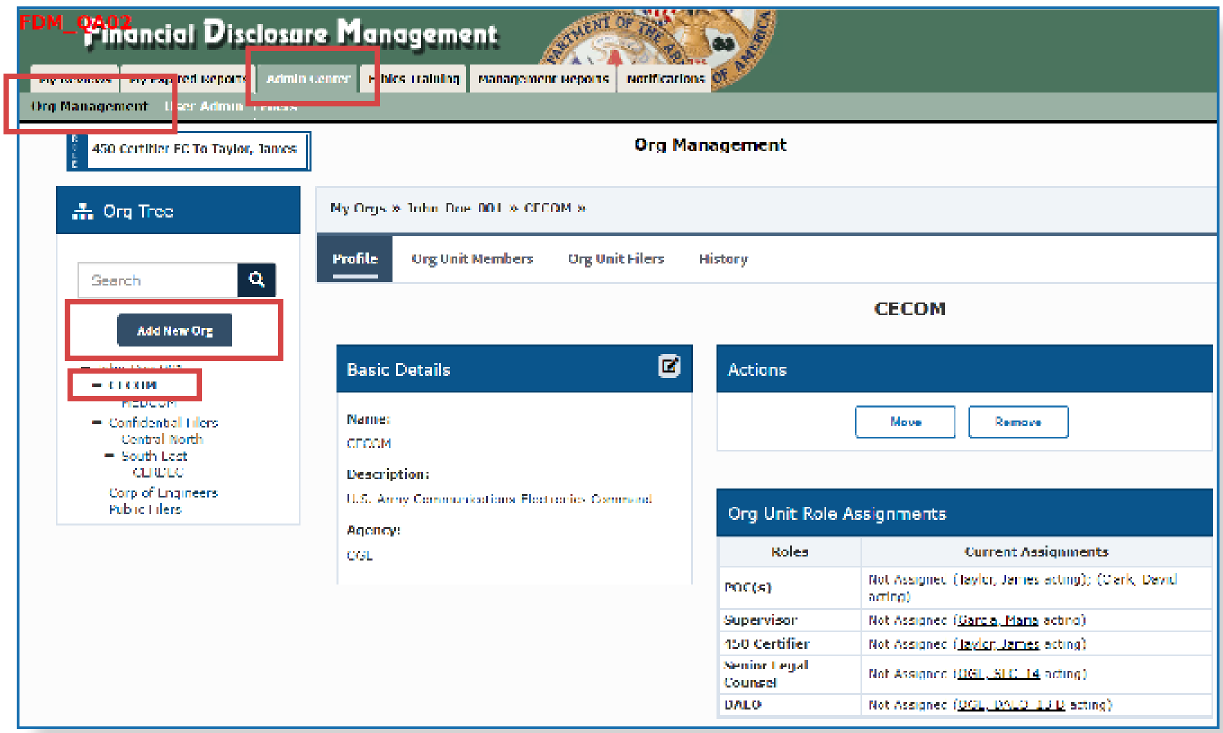
A new Org Unit is not required when a successor Supervisor replaces an incumbent one. In that case, simply delete the departed Supervisor and assign a new one.

Org Units are the organizational building blocks of an agency. Additional Org Units are only necessary when different or separate groupings of Filers are needed and Review Chain participants may have new Filers and/or reviewers who need to be grouped together. For example, this may occur at the beginning of a new filing season.

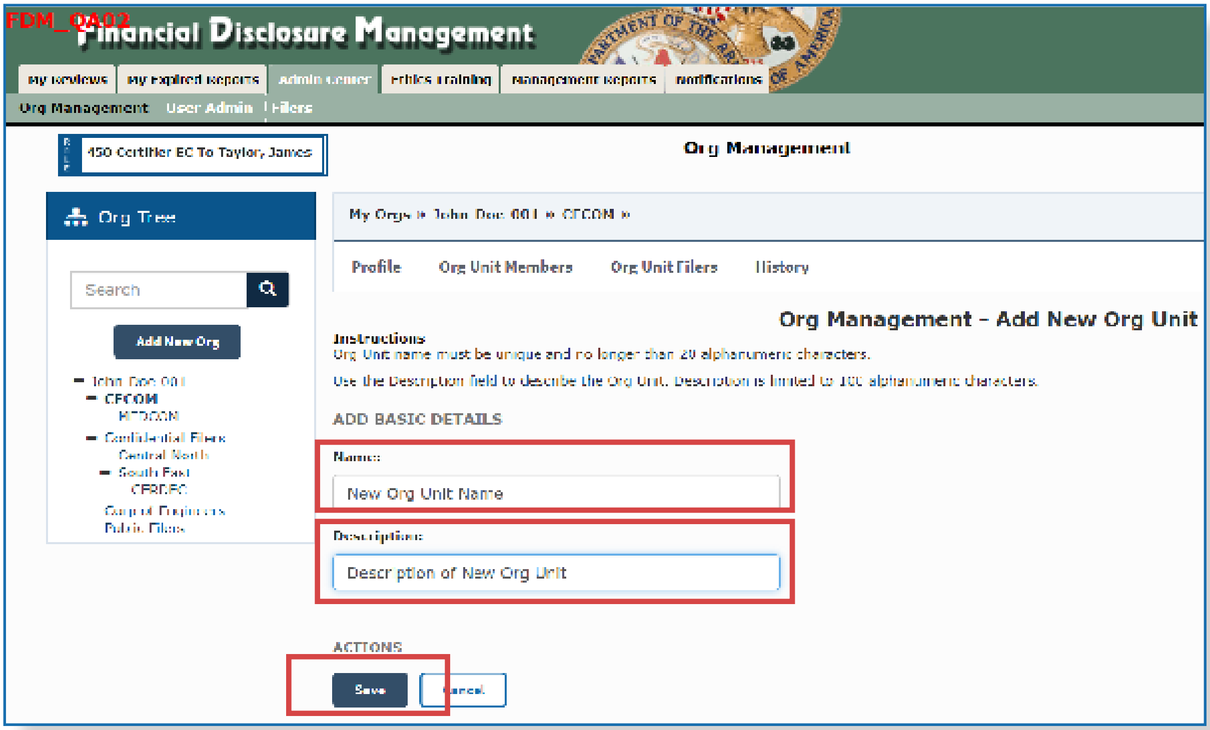
All new Org Units are added as a subordinate to a current Org Unit within the Org Tree.

## Adding a new Org Unit:

1. From any point in FDM, click the **Admin Center** tab.
2. Click **Org Management** and 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. The Org Management - Add New Org Unit page is displayed.




4. Type the **Name** and an appropriate **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 the Org Unit. Strive to keep the Org Unit name short and specific, e.g., use the abbreviation of the organization to which the Filers and legal reviewers belong. FDM does not prohibit particular naming, but advises to follow a standardized Org Unit naming convention.

After creating an Org Unit, follow the instructions under the Editing an Org Unit section to make changes to the Org Unit.

Use the description field to further describe the Org Unit. Users would thus 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 **OK** to confirm the addition of the new Org Unit.

## Verifying if the Org Unit already Exists:

1. Prior to adding a new Org Unit to FDM, verify the Org Unit name doesn't already exists in FDM.
2. In the Org Tree Search bar, type the **proposed name of the new Org Unit** to prevent an attempt to create an Org Unit with a duplicate name.
3. Review the list for matching results.

**Note:** Authorized Users cannot add an Org Unit with the same name within the same level of the Org Unit hierarchy.

### Acting and Assigned Org Unit Roles

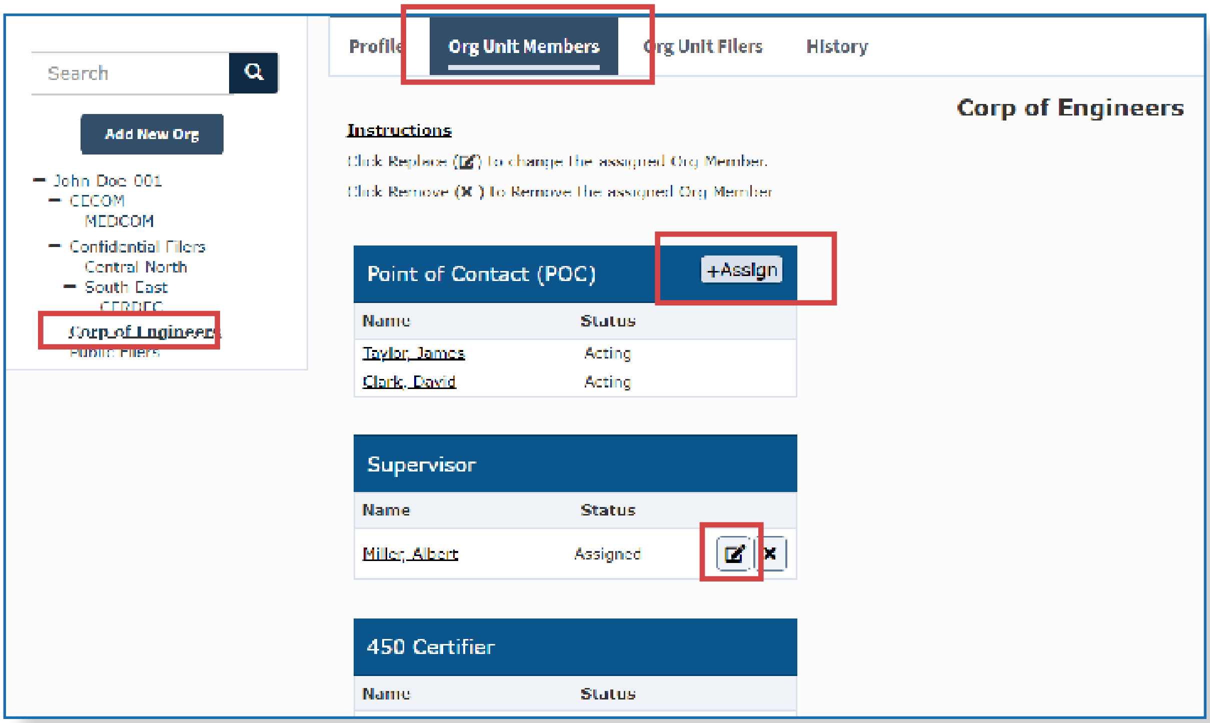
Each Org Unit inherits the review chain participants from the Agency Org Unit until a different legal reviewer is associated to the subordinate Org Unit. When an Org Unit does not have an assigned Review Chain Participant or POC, FDM automatically assigns the person as acting in that role from the superior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

# Assigning Org Unit Roles

FDM automatically assigns Org Unit roles, reviewers and POCs, from the superior Org Unit as the acting Org Members to the newly added subordinate Org Unit until an Authorized User assigns different individuals.

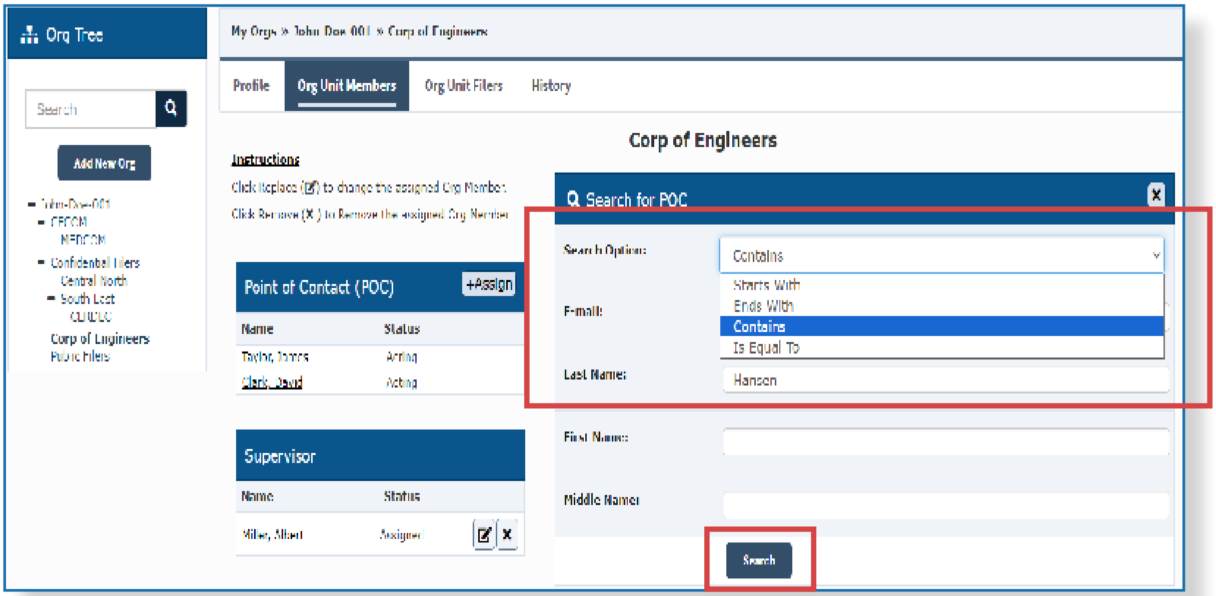
## Assigning an Org Unit Member:

1. From any point in FDM, click the **Admin Center** tab.
2. Click **Org Management** and 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 the **+Assign** button or **Remove** icon to assign or remove someone as an Org Member. The search box on the right of the screen prompts a search for a new Org Member.

   **Note:** Authorized Users can assign multiple POCs to any Org Unit to help manage Filers.



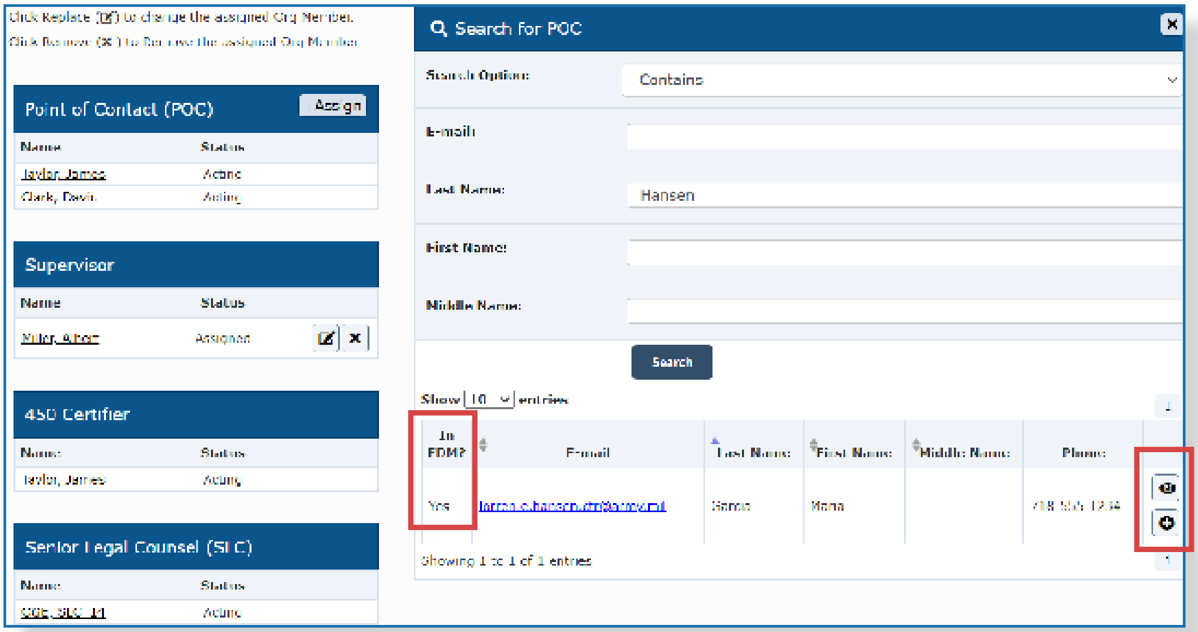

5. Select a **portion of a name**, **whole name**, or **e-mail address** to search from the dropdown list.

6. Click **Search**.

   **Note:** The best way to search is by email address. Searching by last, first, and middle name will most likely return multiple results.

If searching by e-mail, enter the user's agency specific e-mail address, e.g., suffix@abc.mil or suffix@abc.gov.

| Field | Description |
|---|---|
| E-mail | Enter an e-mail address to focus the search on a specific Filer. |
| Last Name | Enter at least three letters of the Filer's last name. |
| First Name | Enter at least three letters of the Filer's first name. |
| Middle Name | Enter the first initial of the Filer's middle name. |




7. In the search results list, select the individual to add by clicking the **plus (+) sign** beside their name. The newly added Org Member is listed beside the selected role.

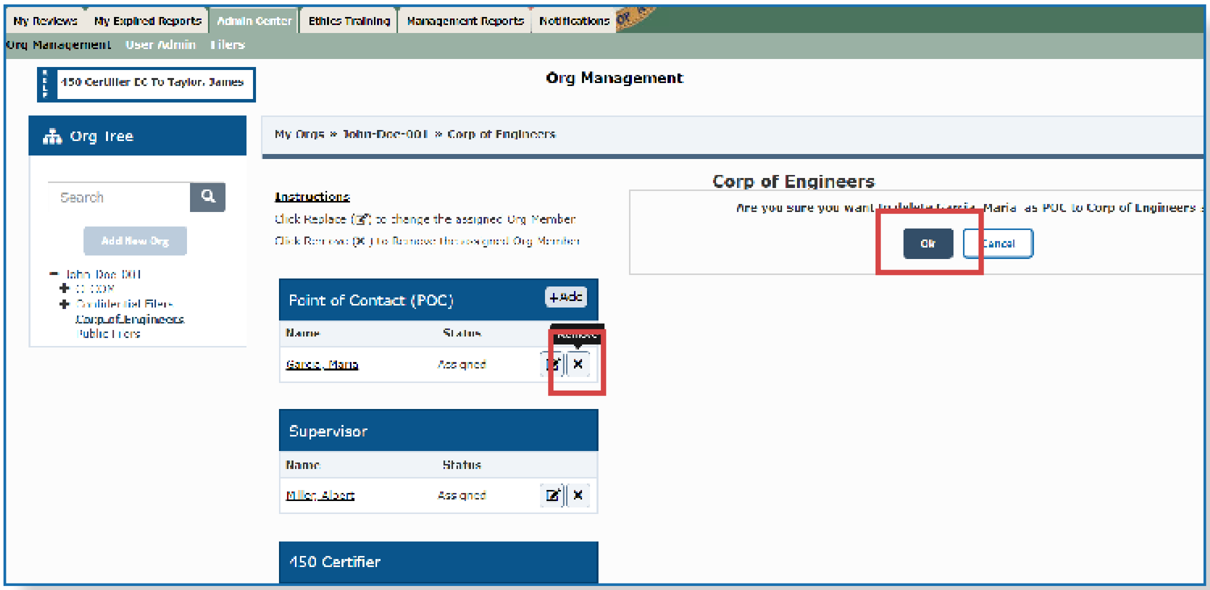
   **Note:** The ***In FDM?*** column in the search results displays Yes for individuals who are current FDM users. Search for the user in **Admin Center | User Admin** and view their user profile to view their roles in FDM.

   **Note:** Click the **Show Directory Details** icon to view that user's contact and organizational information, as well as their Filer category.

## Removing an Org Member:

Deleting an Org Unit role simply removes their association to a selected Org Unit. Once deleted, the screen will show a vacancy for that Org Unit and the next level up role in the acting position.

1. Click the **Remove (X)** button next to the Org Member you wish to remove. You will be prompted by the message, "Are you sure you want to delete (Last, First) as (role) to (Org Unit name)?"
2. Click **OK** to confirm the Org Member removal.



# Editing an Org Unit

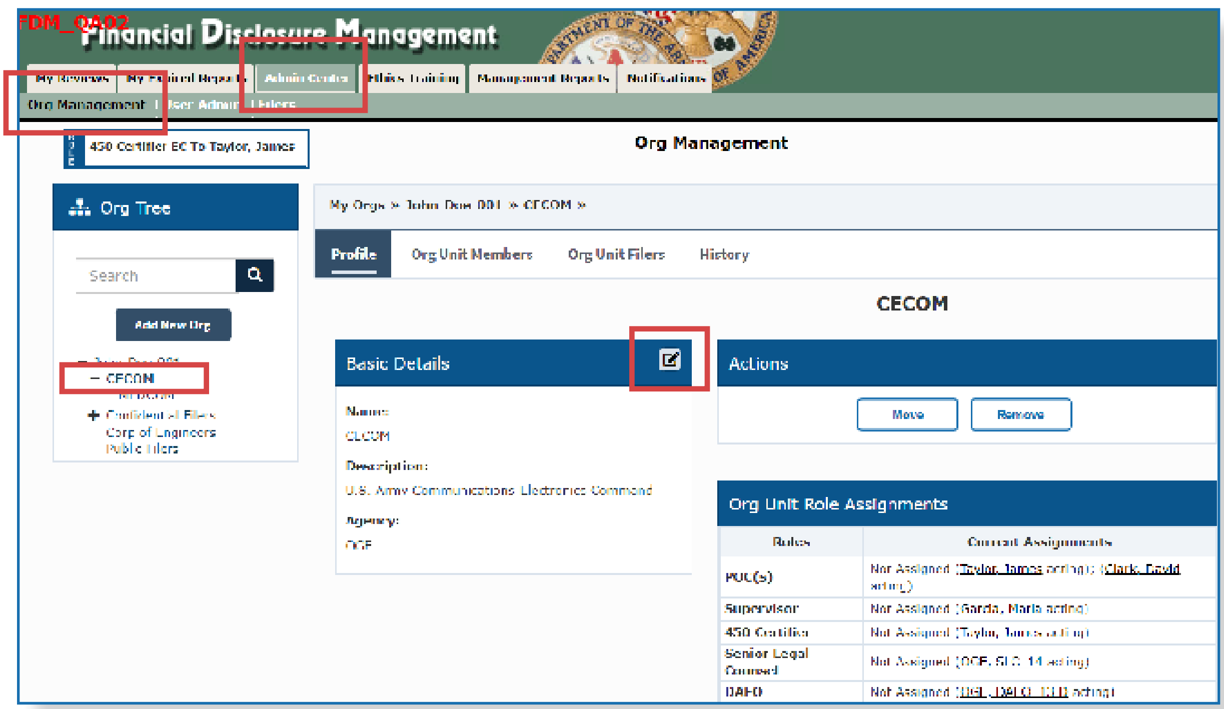
Org Units can be updated at any time in FDM. Ensure to update an Org Unit while your Agency is undergoing a period of transition or reorganization. Users may need to edit Org Unit's Org Members (Review Chain) immediately after creating an Org Unit to tailor the proper Review Chain to the grouping of Filers.

**Important Information:**

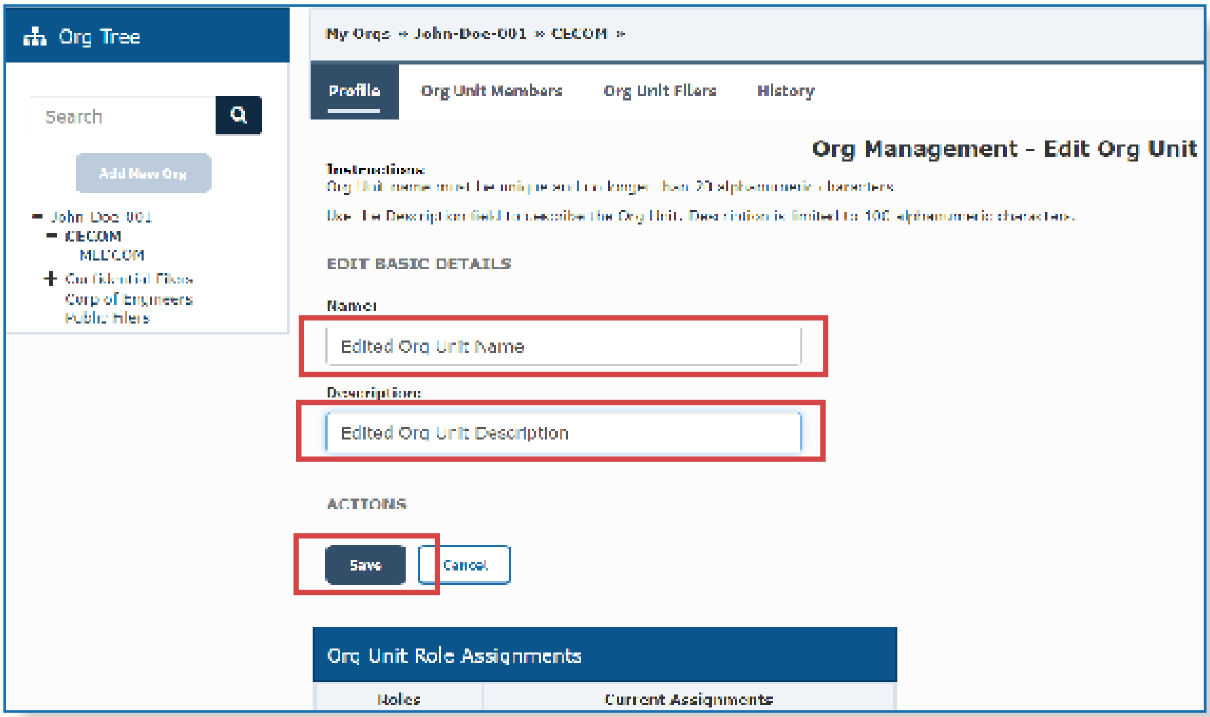
- Changes made to an existing Org Unit affect users associated to that Org Unit and any subordinate Org Units.
- Users can only edit Org Units in their Org Tree list.
- No two Org Units can share the same name within the same Org Unit level.
- An Org Unit's information and location can be updated as needed.

## To edit the name or description of an Org Unit:

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




3. To update the Org Unit's Name and Description, click the **Edit** icon in the Basic Details column. The Edit Basics Details page is displayed.




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

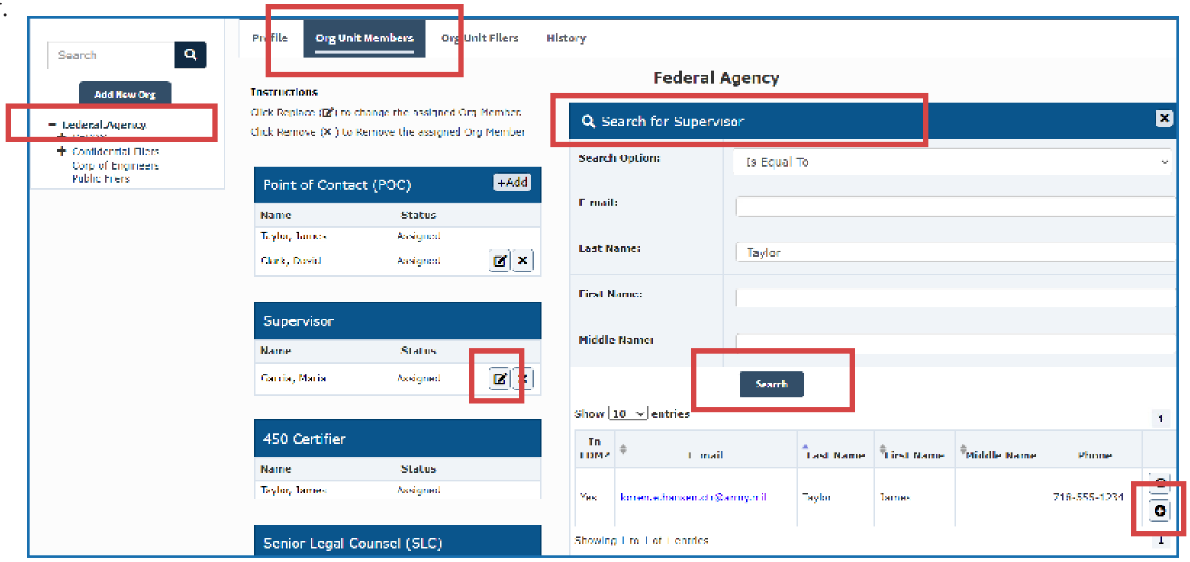
# Editing Org Unit Members

Replace or remove current Org Unit Members when editing an Org Unit.

An Acting Org Member has the same authority and access as an Assigned Org Unit Member.

## Assigning and Replacing Org Members in a specific Org Unit:

1. From any point in FDM, click the **Admin Center** tab.
2. Click **Org Management** and select the **Org Unit** in the Org Tree to edit.
3. Click on the **Org Unit Members** tab.




4. Click the **+Assign** or **Remove** icon to assign or remove someone as an Org Member. The search box on the right of your screen prompts you to search for a new Org Member.
5. Select a **portion of a name**, **whole name**, or **e-mail address** to search from the drop-down list.

   **Note:** The best way to search is by email address. Searching by last, first, and middle name will most likely return multiple results.

6. Click **Search**.
7. In the search results list, add the individual by clicking the **plus (+) sign** by their name. The new Org Unit Member is listed by the selected role.

FDM Search searches within the selected Agency's directory.

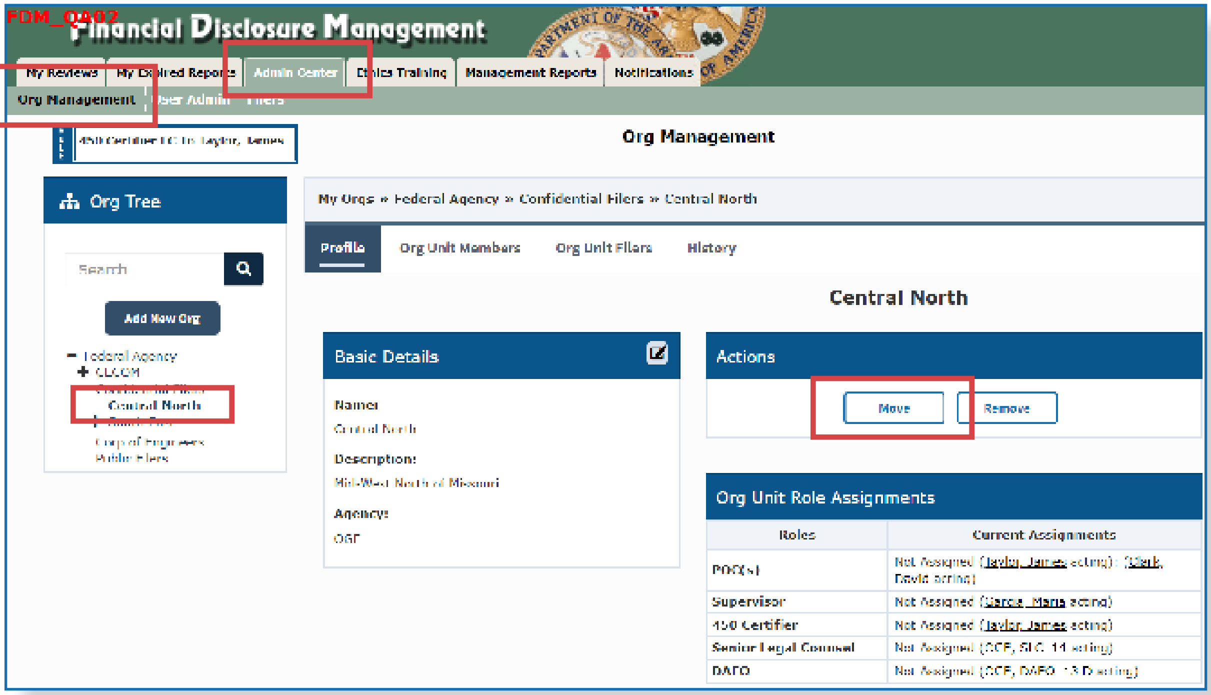
# Moving Org Units

Move an Org Unit to align the Filers and review chain participants appropriately after a transformation within an agency. Click **Move** on the Org Unit profile page to move the Org Unit and all Filers in that Org Unit simultaneously to a new location in FDM. Only selected user roles are authorized to move Org Units to other FDM locations.

Moving an Org Unit may change the review chain of the Filers located in that Org Unit.

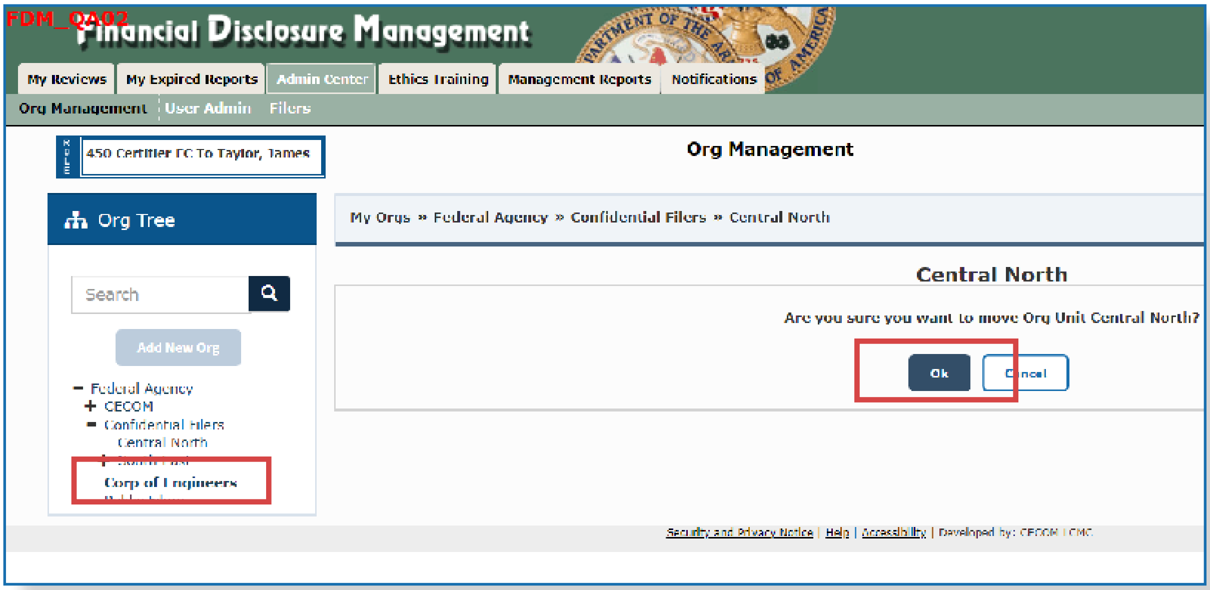
Only some roles have the permission to move an Org Unit.

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




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

Org Units cannot be moved across agencies.




At times, both Org Units, the one the Filer is leaving and the Org Unit they are moving to, may have existing review chain participants. Choose from the list of legal reviewers that are displayed in FDM.

4. Browse and select an **Org Unit** from the Org Tree where the moving Org Unit will be placed.

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

5. Click **OK** to confirm.

# Removing Org Units

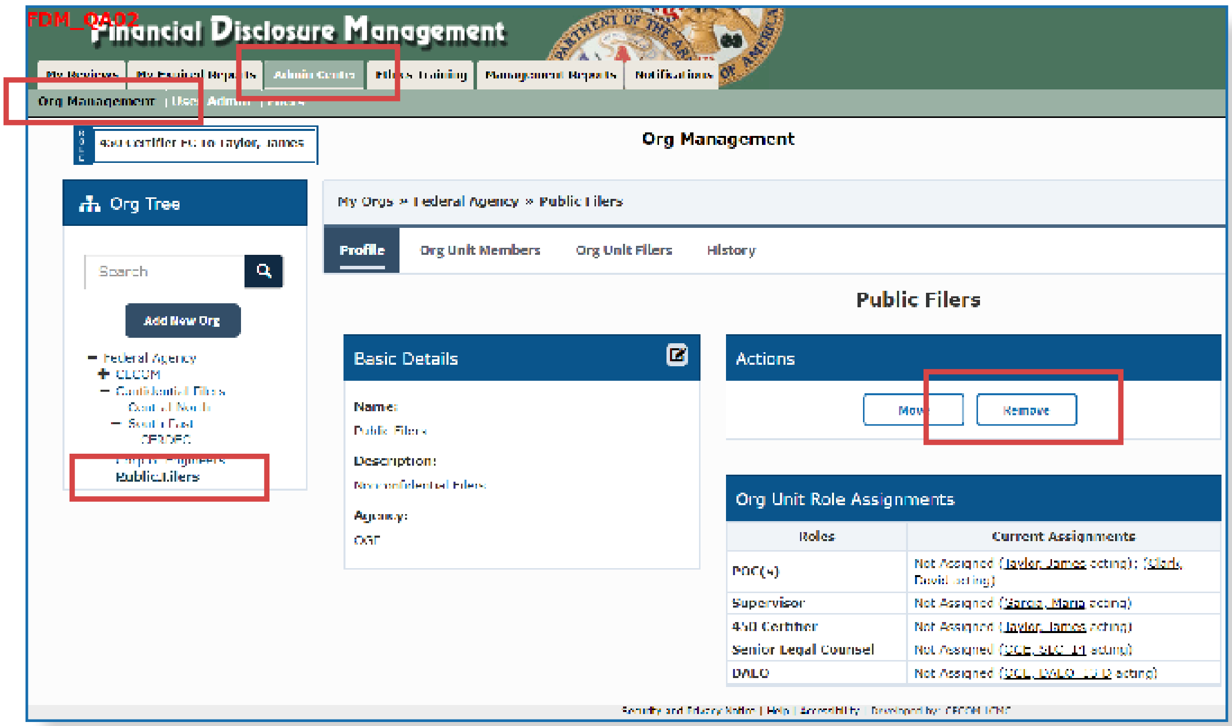
### Important Information

Move an associated Filer to another Org Unit, or remove the Filer's role altogether if no longer a Filer, before deleting an Org Unit. See the Filers section for further information. If the Org Unit has subordinate Org Units, move or delete the sub-Org Units.

## Removing an Org Unit:

Deletions in FDM are permanent.

1. From any point in FDM, click the **Admin Center** tab.
2. Click **Org Management** and select the **Org Unit** in the Org Tree to remove. The Org Unit Profile is displayed.




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

# Managing Filers

A Filer is a user who is required to file an OGE 450 report in FDM. Filers do not have permission to access the administrative features of FDM. FDM Administrators, POCs, Supervisors, and Ethics Officials are authorized to manage Org Unit information, Org Unit members, and Filers.

All FDM roles, except Filers and Filer Assistants, can use Admin Center with Org Management tabs (**Admin Center | Org Management**), or Admin Center with Filers tabs (**Admin Center | Filers**), to manage Filers.

On the Org Unit Filers and Admin Center Filers pages you can:

- Verify Filer Profile information - roles, reports, assistants, and history.
- Move Filers to a new Org Unit.
- Assign required reports to file.
- Remove Filers who leave an organization.
- Add a Filer Assistant.

**Note**: The System Administrator assigns annual reports to FDM Filers on December 31.

### Org Unit Filers

Filers are added to specific Org Units in FDM through Org Management. Individual or groups of Filers can be added to any Org Unit by a user with an authorized role. An Org Unit must already exist before Filers are added.

**Note**: Filers can only be added, individually or in bulk, through Org Unit Filers so they can be associated with a specific Org Unit.

### Admin Center | Filers

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

## Who Can Add OGE 450 Filers?

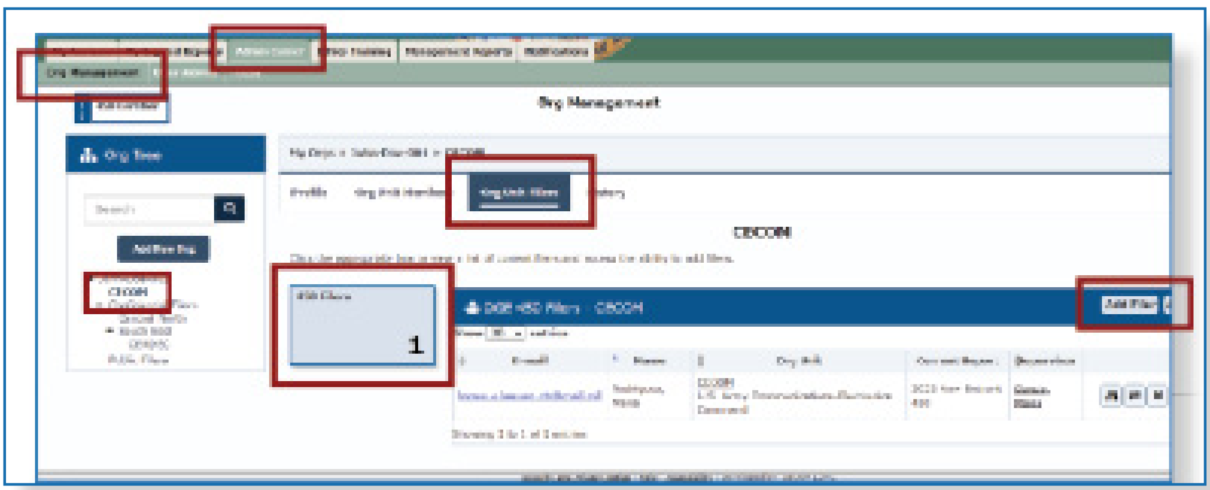
Supervisors, 450 Certifiers, 450 Certifier ECs, 450 Certifier Assistants, POCs and Agency Admins can add and manage OGE 450 Filers.

# Adding Org Unit Filers

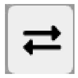
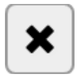
Group Filers into separate Org Units by Supervisor. Agencies not using a supervisory review assign a paralegal or legal clerk as Supervisor to perform a technical screening of a disclosure report's completeness.

## Registering a Single Filer

1. Select **Admin Center | Org Management**.
2. Select the Org Unit where the new Filer is to be added.
3. Click the **Org Unit Filers** tab.
4. Select the **OGE 450 Filers** panel..
5. Click the **Add Filer** button.

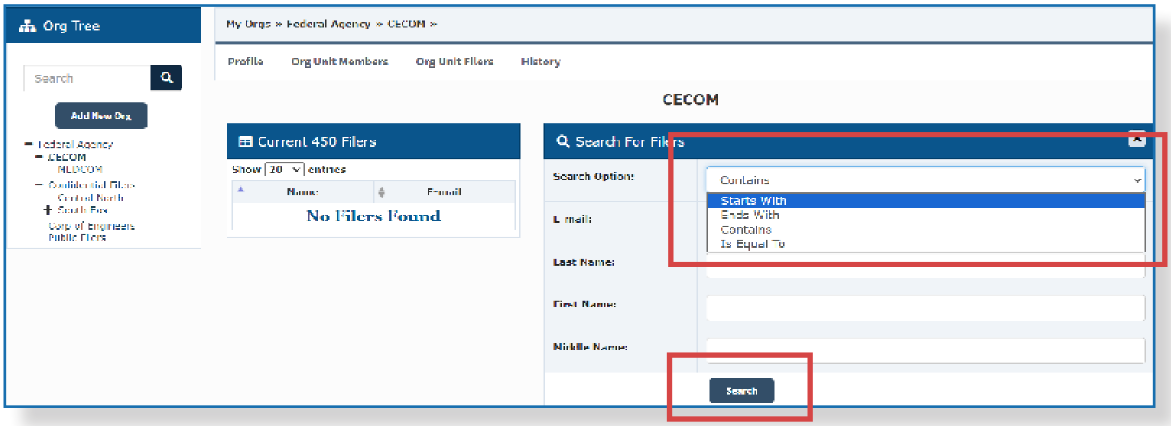


## Filer Actions

| Icon | Action | Description |
|---|---|---|
|  | View | View a Filer’s profile. |
|  | Move | Move a Filer to a different Org Unit. |
|  | Remove | Remove a Filer’s role. |
|  | Assign | Assign a report to a Filer. |
|  | Unassign | Remove a report assignment. |
|  | Add Filer Assistant | Assign Filer Assistant to a Filer. |

# Searching for a Filer

1. Select a **portion of a name**, **whole name**, or **e-mail address** to search from the drop-down list.




2. Type the new Filer's email address and click **Search**.

   **Note:** Search for a Filer by e-mail address for immediate results. Searching by last, first, or middle name will return all results with identical names.

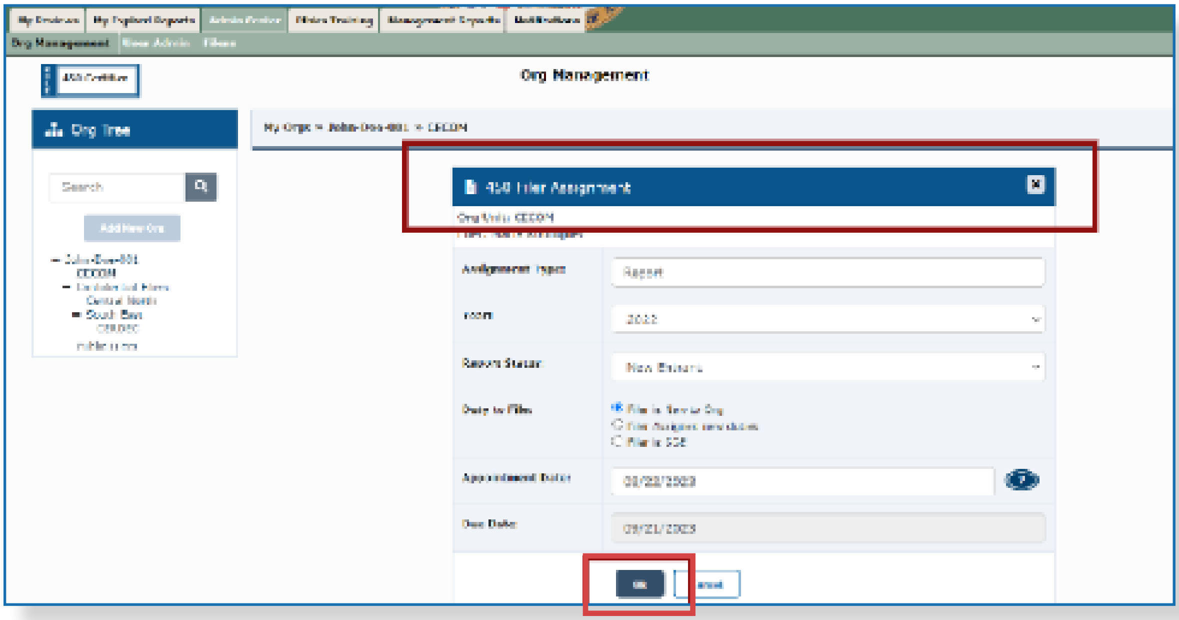
| Field | Description |
|---|---|
| E-mail | Enter an e-mail address to focus your search on a specific Filer. |
| Last Name | Enter at least three letters of the Filer's last name. |
| First Name | Enter at least three letters of the Filer's first name. |
| Middle Name | Enter the first initial of the Filer's middle name and select either 'Starts With' or 'Contains'. |

3. Click the **plus (+) sign** beside the Filer's name and the Current Filers list now displays the newly added Filer.

   **Note:** Once a Filer is added, a report can be assigned.

### Filer Belongs to Different Org Unit

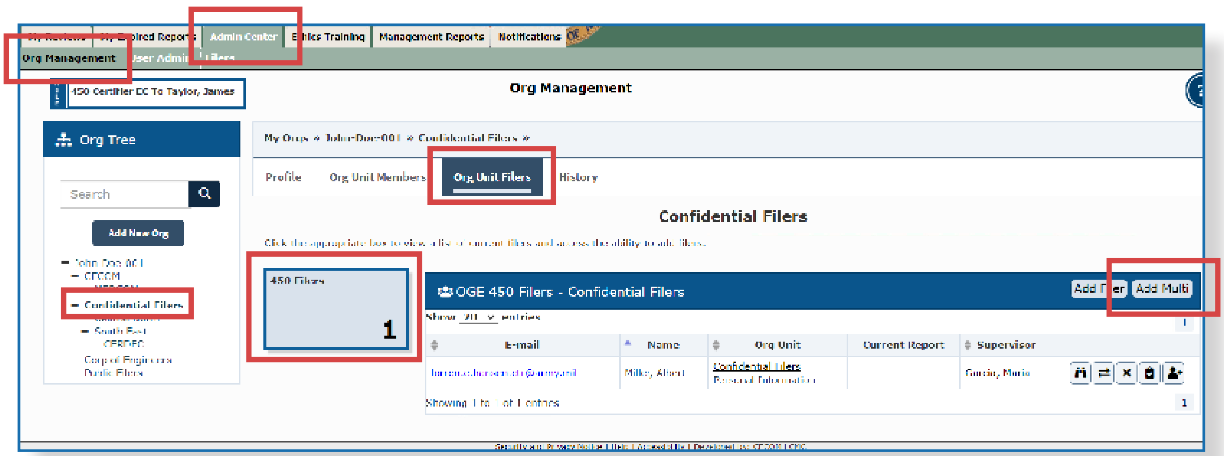
A complete or partial collection of incomplete reports may accompany a moved Filer to the new Org Unit. This may change the originally assigned review chain for those reports.



# Adding Multiple 450 Filers

FDM can add Filers in groups of up to 100 at the same time. This function is the most convenient course of action with an influx of 450 Filers. Ensure to secure the correct e-mail address for all Filers.

1. Select **Admin Center | Org Management**.
2. Select the **Org Unit** where the Filers are to be added.
3. Click the **Org Unit Filers** tab.
4. Select the **450 Filers** panel. A list of Filers associated with the Org Unit is displayed.
5. Click the **Add Multi** button. The Add Multiple Filers page is displayed.



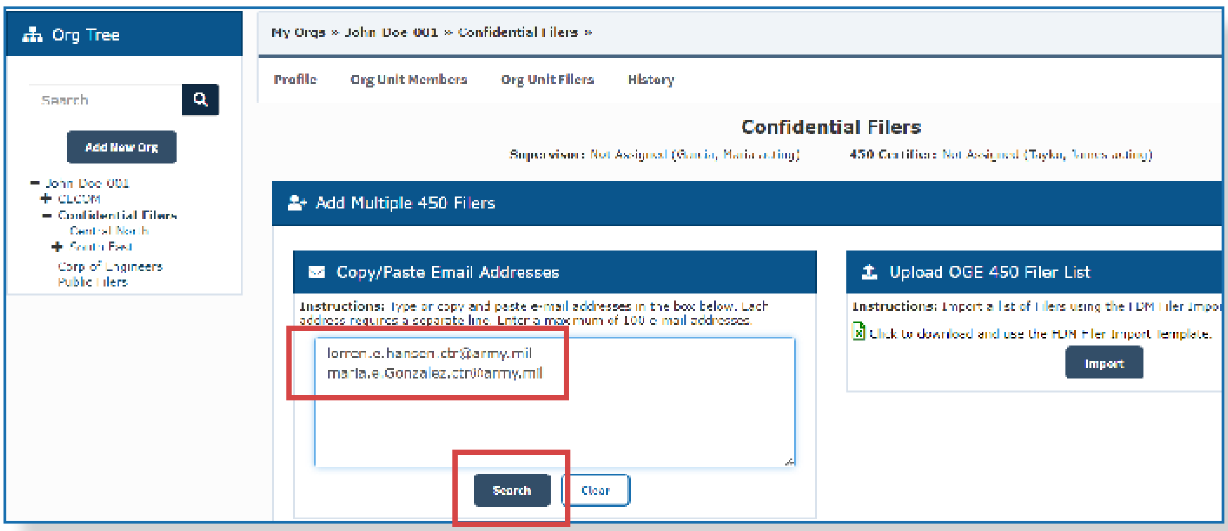
## Options for Importing Multiple 450 Filers

Multiple 450 Filers can be uploaded by typing or pasting e-mail addresses, or by uploading an FDM Excel template file.

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

1. Type or paste the Filer's **e-mail addresses** in the Copy/Paste E-mail Addresses box. Enter up to 100 e-mail addresses at a time, with only one address per line.
2. Click **Search** and the **Review and Confirm** screen is displayed.
3. Leave the checkbox beside a Filer checked, and click **Confirm** to add the Filer. Uncheck the box beside any Filer who is not to be added. Only checked Filers will be added.

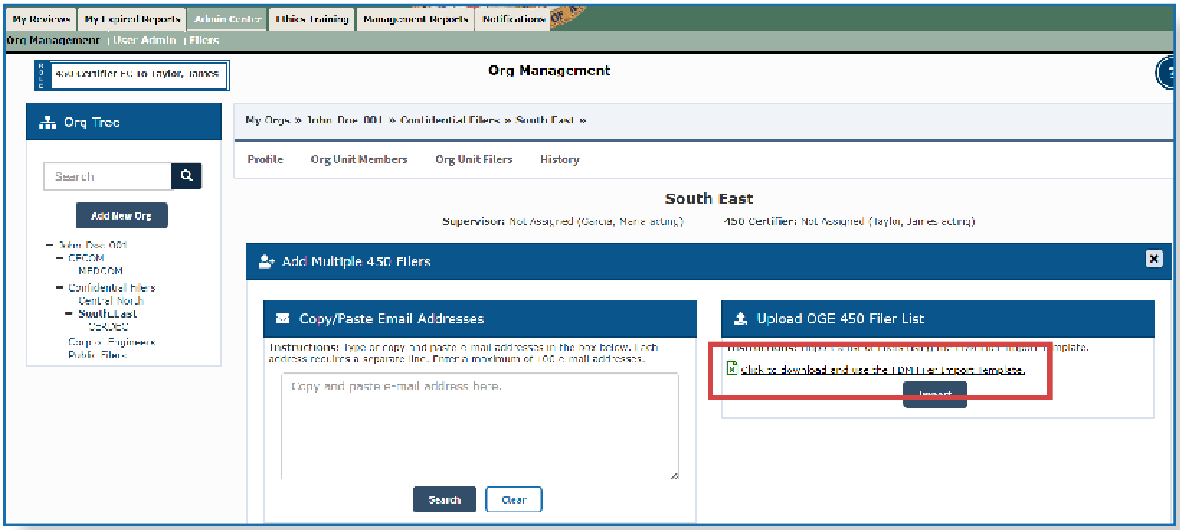
**Note**: Verify the e-mail address if a required Filer fails to appear in the **Review and Confirm** page.




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

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

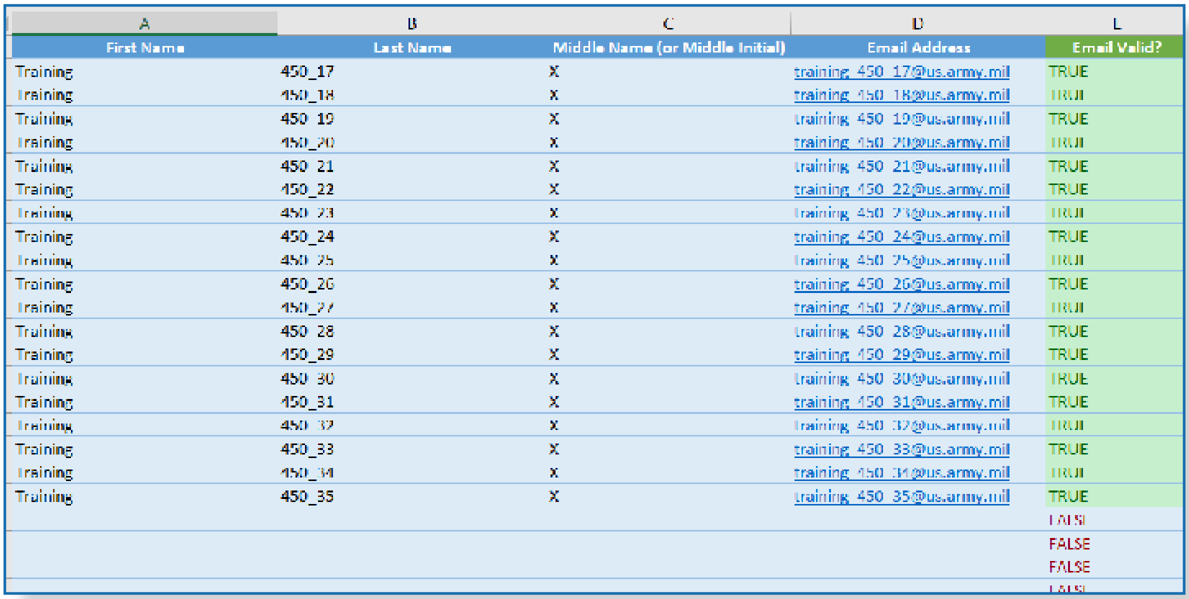
   **Note:** Only use the FDM Filer Import Template during the upload process. The FDM template already maps the template fields to the appropriate FDM fields.




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

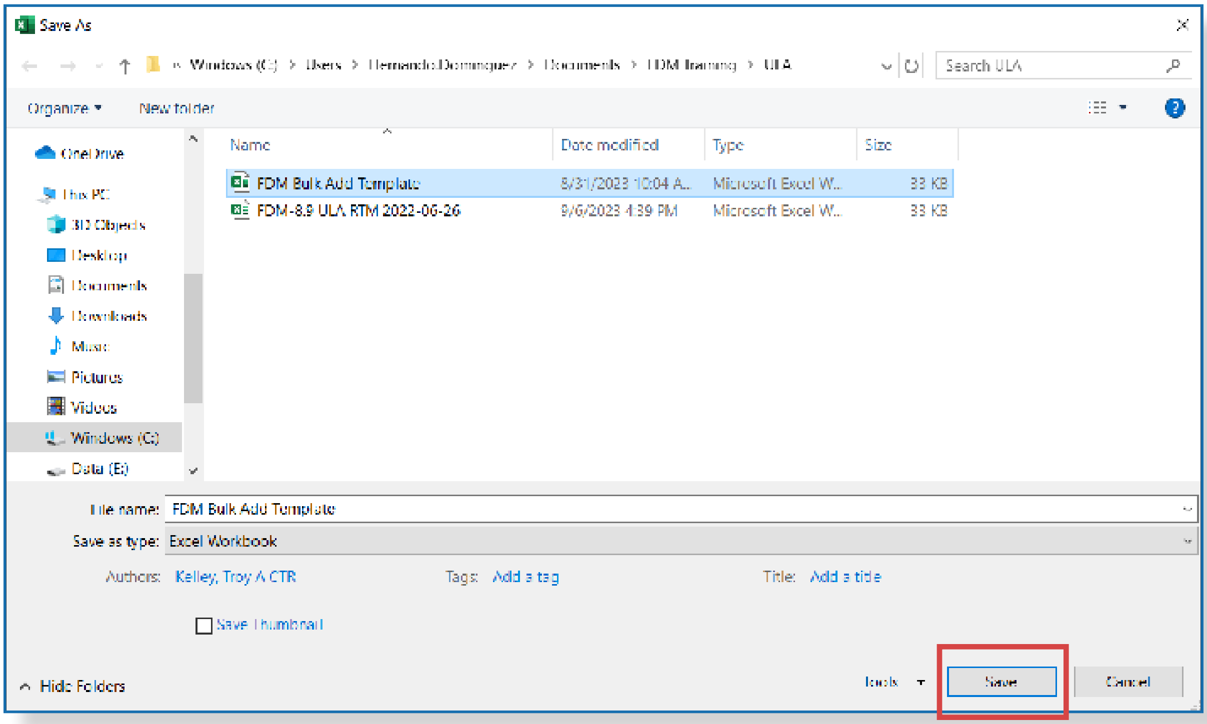
   **Note:** *Do not* change the template as it will not upload properly.

The 'E-mail Valid?' column in the Excel template will display 'TRUE' if the e-mail address entered fits the proper email formula to be located.

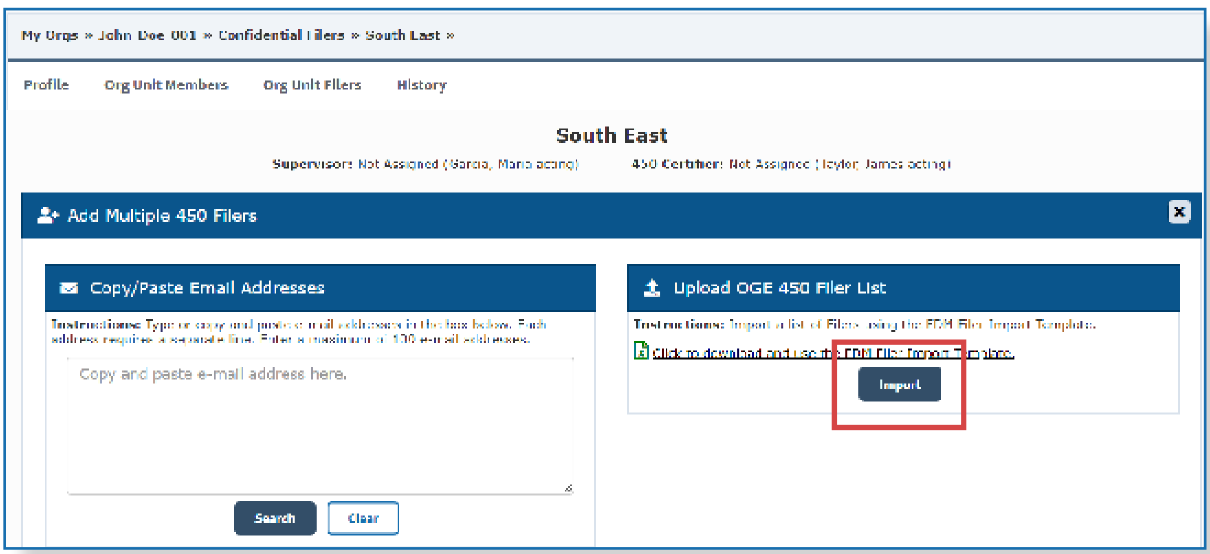


| A | B | C | D | E |
|---|---|---|---|---|
| First Name | Last Name | Middle Name (or Middle Initial) | Email Address | Email Valid? |
| Training | 450_17 | X | training_450_17@us.army.mil | TRUE |
| Training | 450_18 | X | training_450_18@us.army.mil | TRUE |
| Training | 450_19 | X | training_450_19@us.army.mil | TRUE |
| Training | 450_20 | X | training_450_20@us.army.mil | TRUE |
| Training | 450_21 | X | training_450_21@us.army.mil | TRUE |
| Training | 450_22 | X | training_450_22@us.army.mil | TRUE |
| Training | 450_23 | X | training_450_23@us.army.mil | TRUE |
| Training | 450_24 | X | training_450_24@us.army.mil | TRUE |
| Training | 450_25 | X | training_450_25@us.army.mil | TRUE |
| Training | 450_26 | X | training_450_26@us.army.mil | TRUE |
| Training | 450_27 | X | training_450_27@us.army.mil | TRUE |
| Training | 450_28 | X | training_450_28@us.army.mil | TRUE |
| Training | 450_29 | X | training_450_29@us.army.mil | TRUE |
| Training | 450_30 | X | training_450_30@us.army.mil | TRUE |
| Training | 450_31 | X | training_450_31@us.army.mil | TRUE |
| Training | 450_32 | X | training_450_32@us.army.mil | TRUE |
| Training | 450_33 | X | training_450_33@us.army.mil | TRUE |
| Training | 450_34 | X | training_450_34@us.army.mil | TRUE |
| Training | 450_35 | X | training_450_35@us.army.mil | TRUE |
| | | | | FALSE |
| | | | | FALSE |
| | | | | FALSE |
| | | | | FALSE |

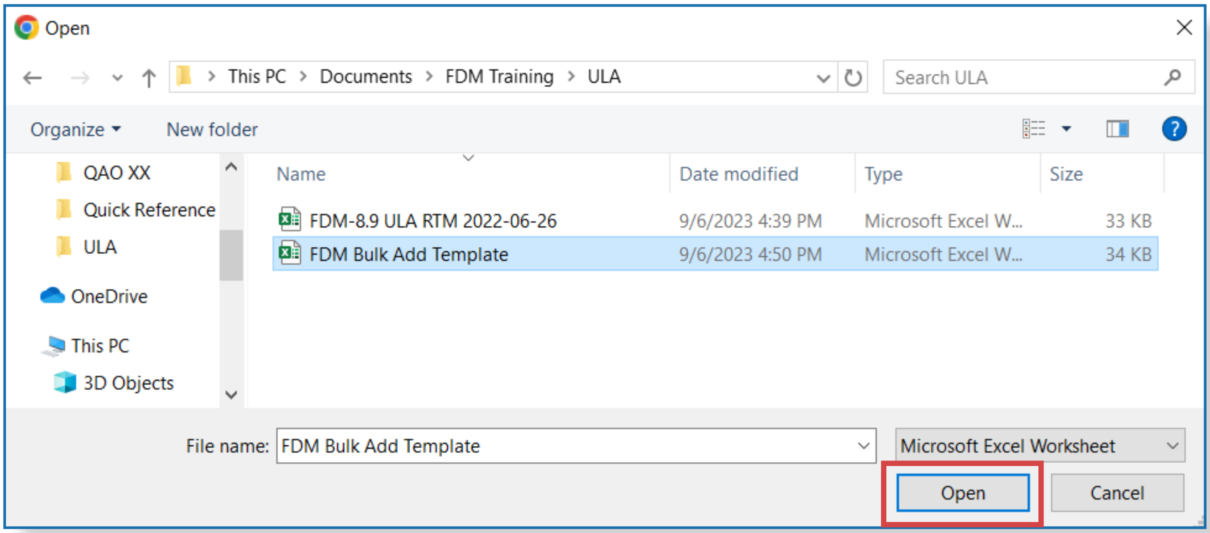
3. **Save** the document to your local drive after entering the Filer information into the template.



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

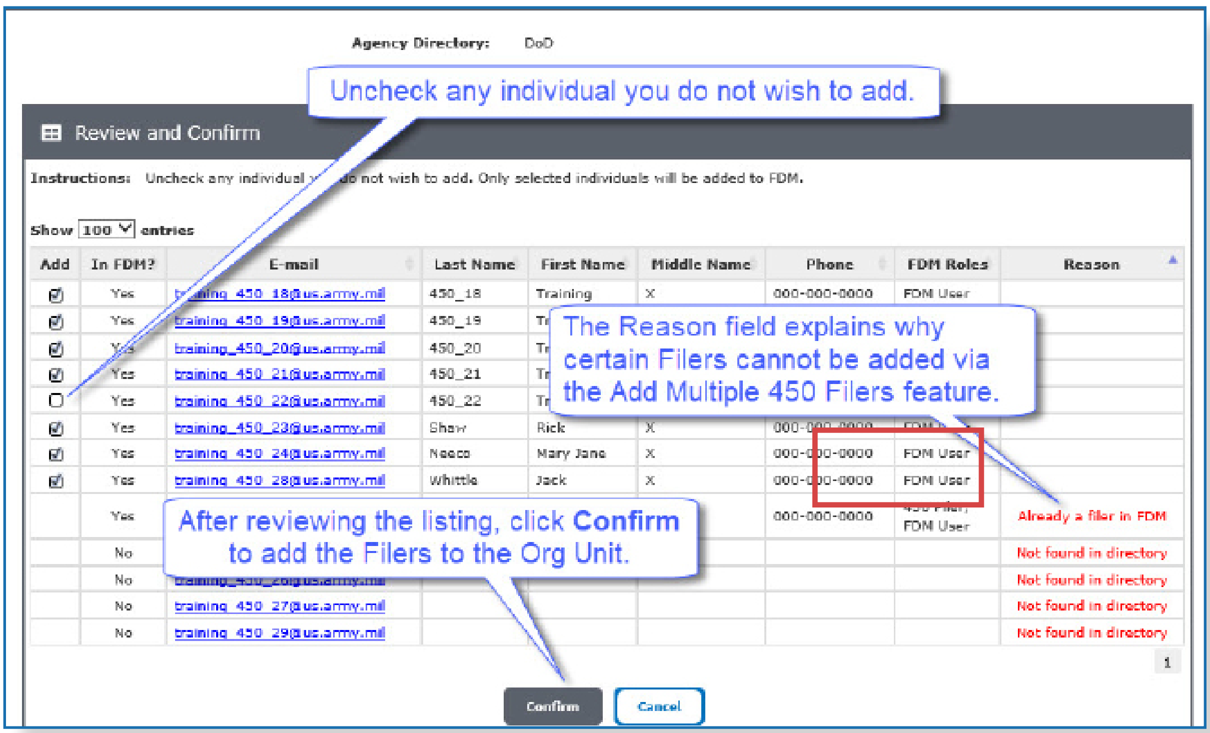


5. **Open** the appropriate file and click **OK** in the Upload OGE 450 Filer List box. The Review and Confirm screen is displayed.




6. Uncheck boxes by Filers not to be to added and click **Confirm**.

**Note:** Verify the e-mail address of Filers which failed to appear with the Add Multi function.

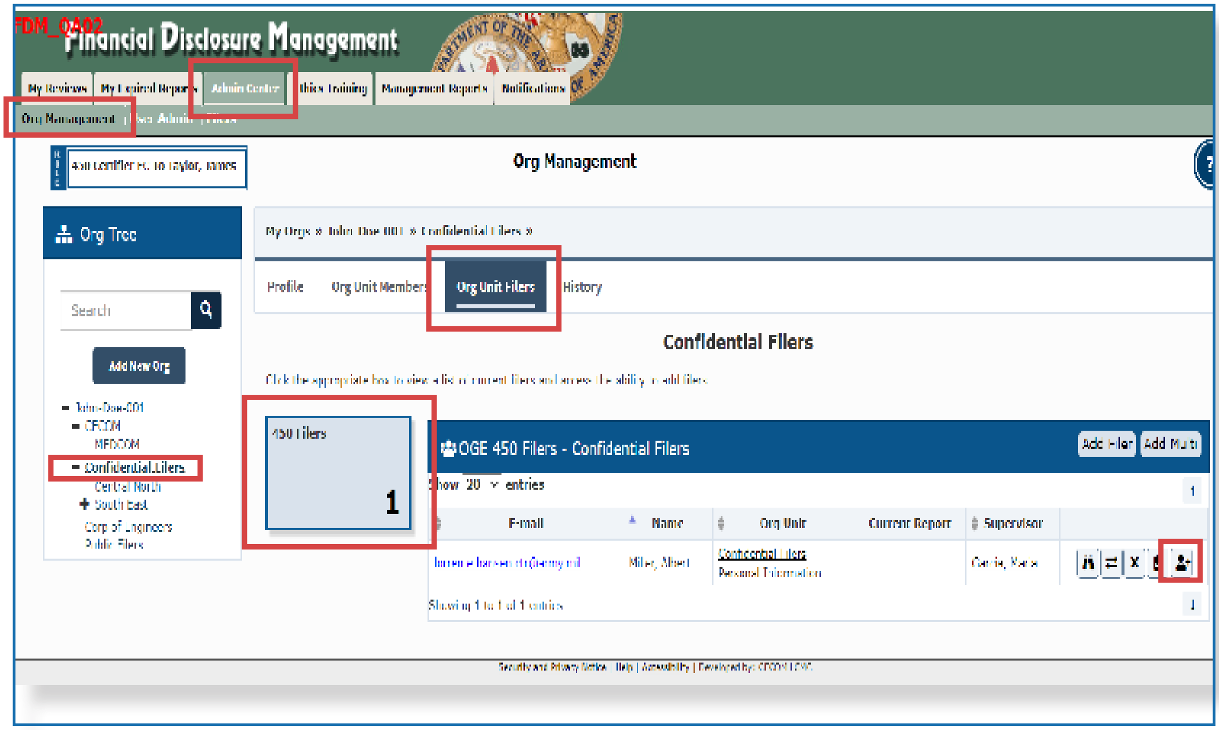


# Managing Filer Assistants

A DAEO/DAEO EC, or a 450 Certifier/450 Certifier EC, can add Filer Assistants from the Org Unit Filer List page.

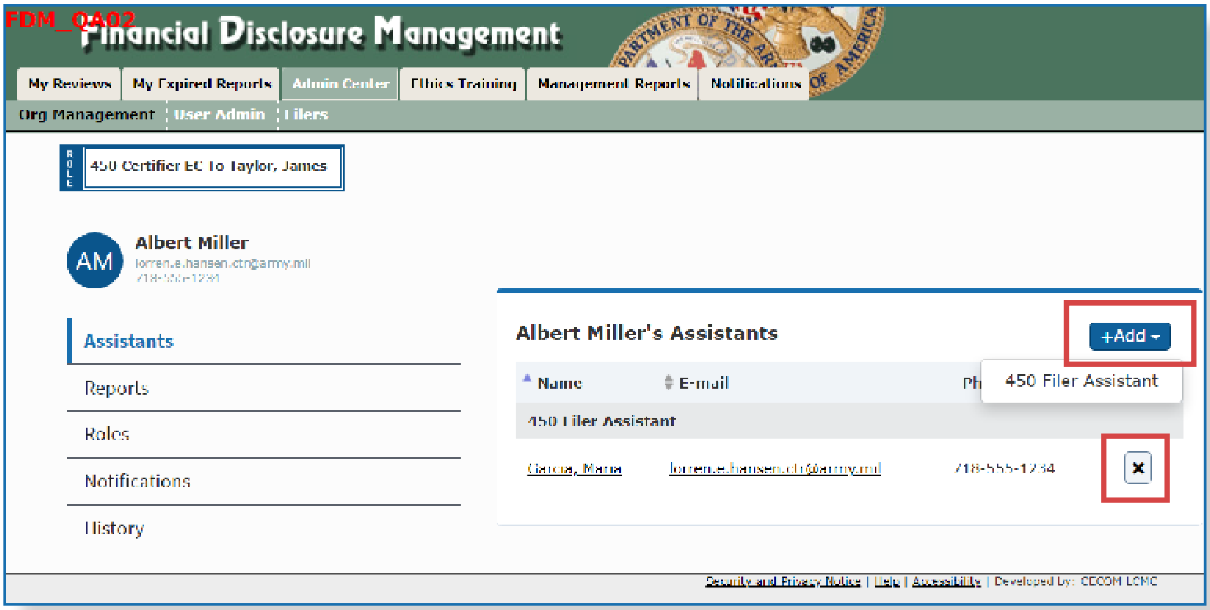
## Adding a Filer Assistant:

1. Select **Admin Center | Org Management**.
2. Select the Org Unit where the Filer resides.
3. Click the **Org Unit Filers** tab.
4. Click the **450 Filers** panel. A list of Filers associated with the selected Org Unit is displayed.




5. Click the **Add Assistant** icon beside the Filer. The Filer's profile page is displayed.

6. Click **Add Filer Assistant** above the Filer Assistants list. The Search for Filer Assistants box displays.




7. Type the Filer Assistant's name or e-mail address in the e-mail field and click **Search**.

   **Note:** The best way to search is by e-mail address. Searching by name will likely return multiple results.

8. In the search results list, select the assistant to add by clicking the **plus (+) sign** by their name. The selected user is added as a Filer Assistant.

## Removing a Filer Assistant:

1. Select **Admin Center | Org Management**.
2. Select the Org Unit in the Org Tree where the Assistant resides.
3. Click the **Org Unit Filers** tab.
4. A list of Filers associated with the selected Org Unit is displayed.
5. Click the **View** icon beside the Filer. The Filer's profile page is displayed.
6. Select the **Assistants** tab.
7. Click the **X** beside the Filer Assistant to remove. The Filer Assistant is removed.
8. Click the **X** in the Filer profile bar to return to the Org Unit Filers page.

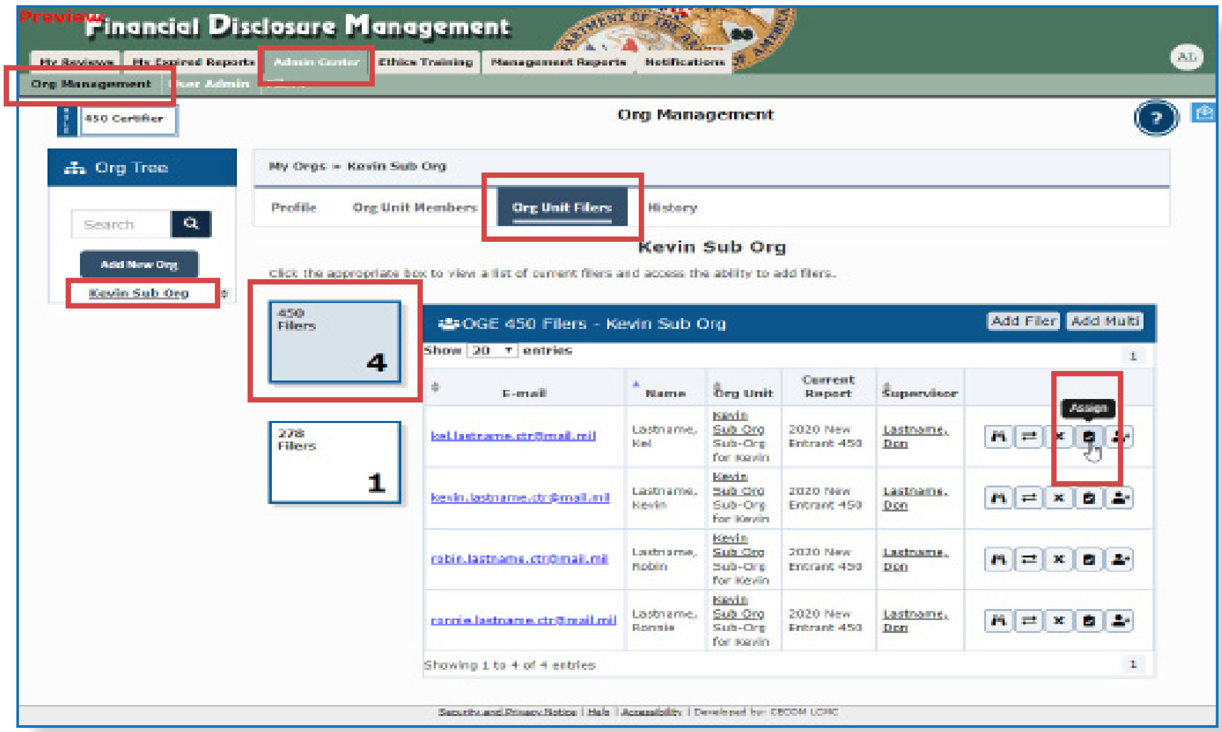
   **Note:** Only Filers, DAEOs/DAEO ECs, and 450 Certifiers/450 Certifier ECs can remove Filer Assistants in FDM. When removing a Filer Assistant, the person is only removed as the assistant to the Filer. They are not removed from the system.

# Assigning a Report to a Filer

FDM automatically assigns every registered 450 Filer in FDM an Annual Report on December 31. It is imperative that POCs have their Org Units, Supervisors, and Filers set up correctly before the end of the year.

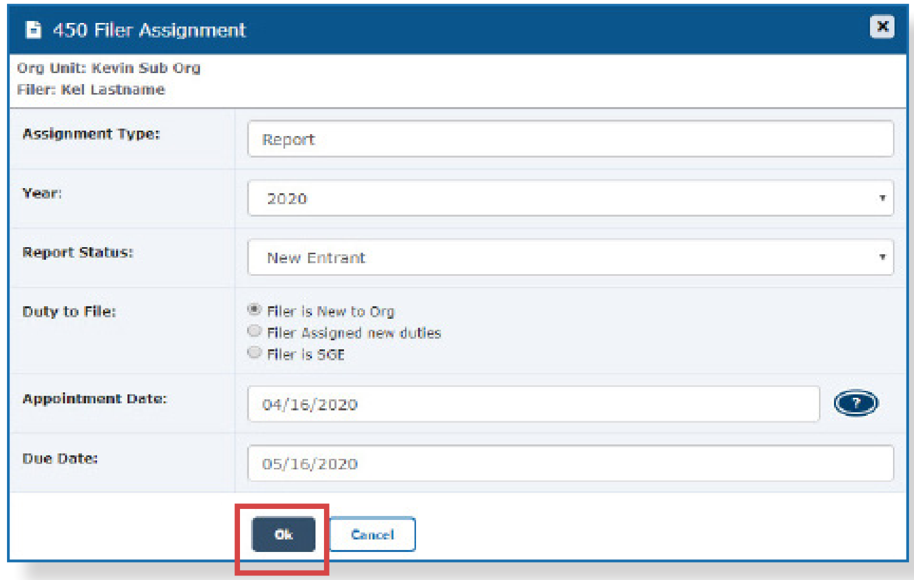
Manual report assignment is typically used for New Entrant Filers. It is also used if a Filer wasn't automatically assigned an Annual report on December 31.

1. Select **Admin Center | Org Management**.
2. Locate and select the Filer's **Org Unit**.
3. Click the **Org Unit Filers** tab and select the **OGE 450 Filers** panel. A list of Filers associated with the selected Org Unit is displayed.




4. Click **Assign** by the targeted Filer. The 450 Filer Assignment page is displayed.

5. Select the appropriate criteria and click **OK**.

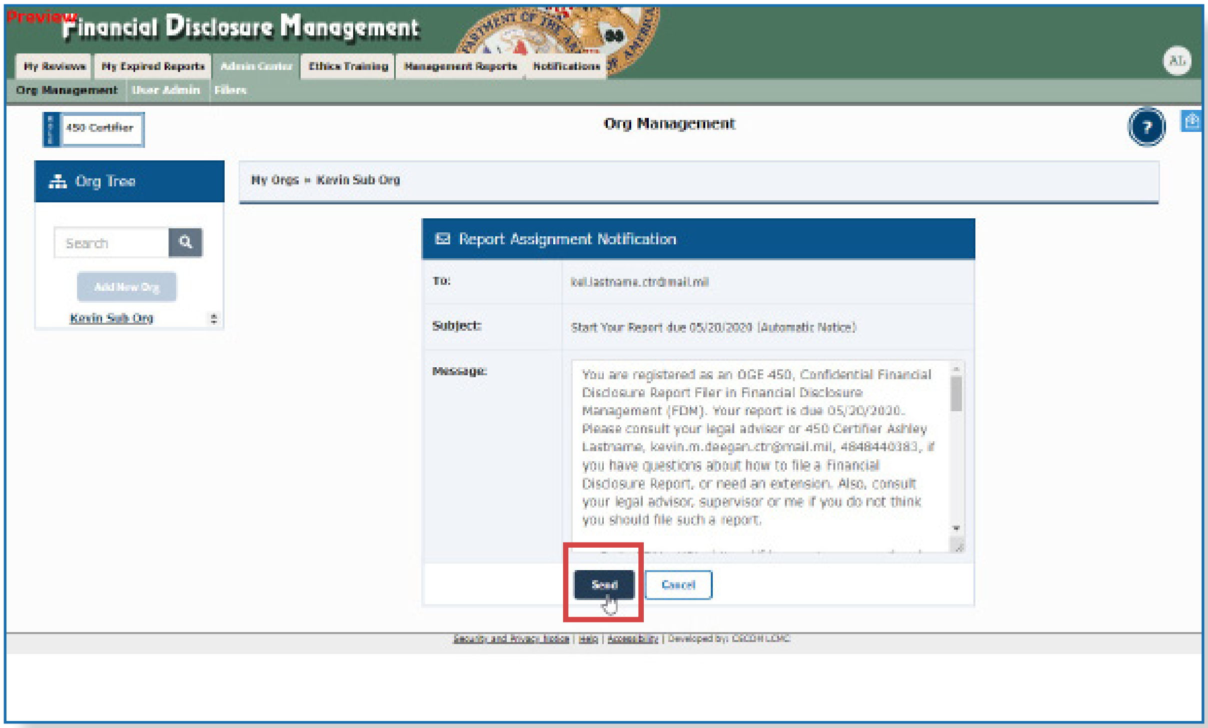



| Field | Description |
|---|---|
| Year | Report year; the report year defaults to the current year. |
| Report Status | Indicate the type of OGE 450 (New Entrant or Annual) report a Filer is required to file in FDM. |
| Duty to File | Indicate the reason the Filer is required to file a report. |
| Filer is New to Org | For New Entrants, indicate if the Filer is a new employee and required to File an OGE 450. This selection prompts a required Appointment Date. |
| Appointment Date | The date the Filer was appointed to the job requiring filing 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 Assigned to Duties Date. |
| Assigned to Duties Date | The date 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. 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 the report is due. The due date is not editable at the time of assignment. |

**Note**: Assignment Date is the collective term for the Appointment Date, Assigned to Duties Date, or Begin In-Process Date. This term is used in subsequent screens and is found on the Report Due Date Information via the Review Status page.

## Notifying a Filer

The Report Assignment Notification page notifies a Filer they have been registered. The notification includes report information and instructions on how to file the report in FDM.



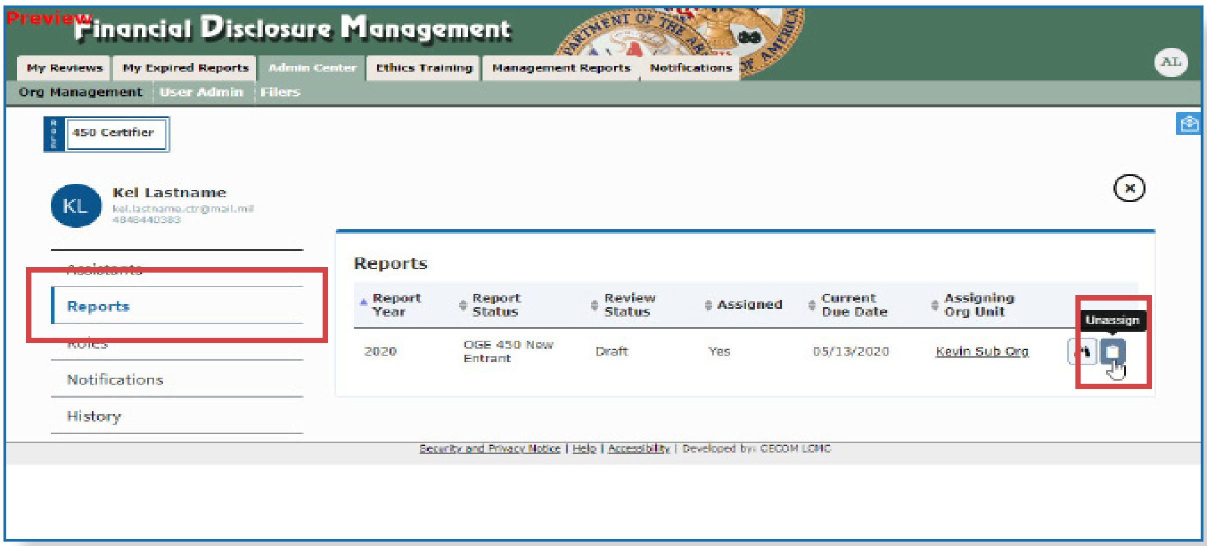
6. Click **Send** to notify the Filer of their requirement to file, or **Cancel** and notify later.  The Filers page is displayed.

## Removing a Filing Assignment

Under certain circumstances some Filers are no longer required to file. Report assignments for these Filers can be removed.

**Note:** Only DAEOs, DAEO ECs, SLCs, SLC EC, SLC Assistants, 450 Certifiers, 450 Certifiers ECs, 450 Certifier Assistants, and POCs can remove OGE 450 filing assignments.

1. Locate the name of the Filer on the list and click the **View** icon beside the name. The Filer Profile Page displays.
2. Click the **Reports** tab.
3. Click the **Unassign** button. A message asks to confirm removal of the assignment from the Filer.
4. Click **OK**.



# Editing A Report's Due Date

Due Dates for reports depend on the Reporting Status selected, and calculate as follows:

- **OGE 450 Annual** - The Due Date defaults to the statutory Due Date.
- **OGE 450 New Entrant** - The Due Date automatically calculates to 30 days from either the Appointment Date, Assigned to Duties Date or Begin In-Process Date (whichever was entered at the time of assignment).

## Editing the Due Date of a Report

### Editing the Assignment Date

The Assignment Date field of the Review Due Date Info page is used to edit an incorrectly entered Appointment Date, Assigned to Duties Date, or Begin In-Process Date. This action effectively corrects the due date of the report.

1. Select **My Reviews | Review Reports** and locate the report to be edited.
2. Click the **Review Status** button by the report. The Review Status page displays.
3. Click **View Due Date Information**. The Review Due Date Info page displays.
4. Enter the **new date** in the Assignment Date field and click **Save**.

The Assignment Date can be viewed by all roles, but can only be edited by 450 Certifiers, 450 Certifier ECs, 450 Assitants, DAEOs, DAEO ECs, SLCs, SLC ECs, SLC Assitants.

### Overriding the Due Date

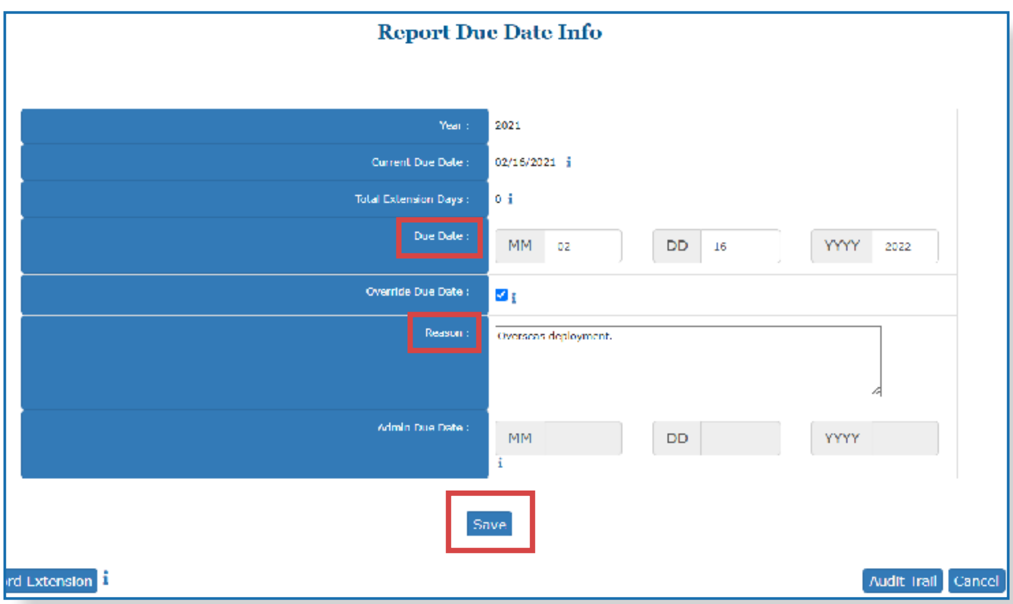
Alternatively, a report's due date can be overridden to set the correct legal due date.

5. On the Report Due Date Info page, click the **checkbox** next to Override Due Date.
6. Enter the **new date** in the Due Date field.
7. Type a **reason** in the Reason field and click **Save**.

#### Editing Assignment Date versus Overriding the Due Date

Editing the Assignment Date changes the Due Date indirectly. It ensures there are 30 days between Assignment Date and Due Date (excluding extensions).

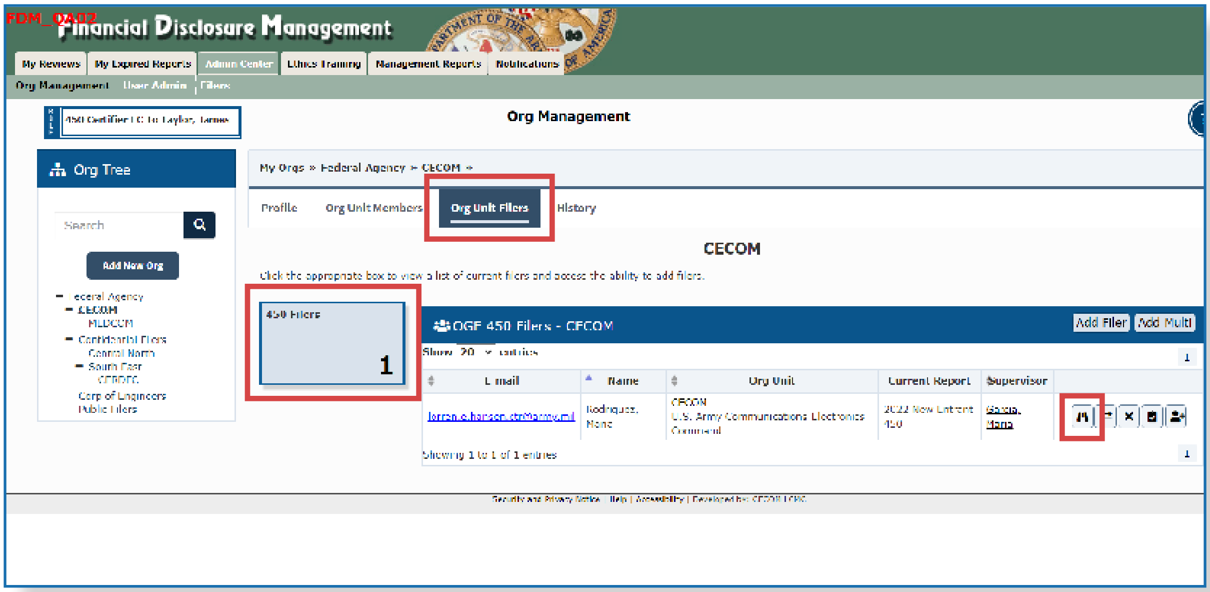
Overriding the Due Date changes the Due Date directly and should only be used when the 30-day rule is not in effect.

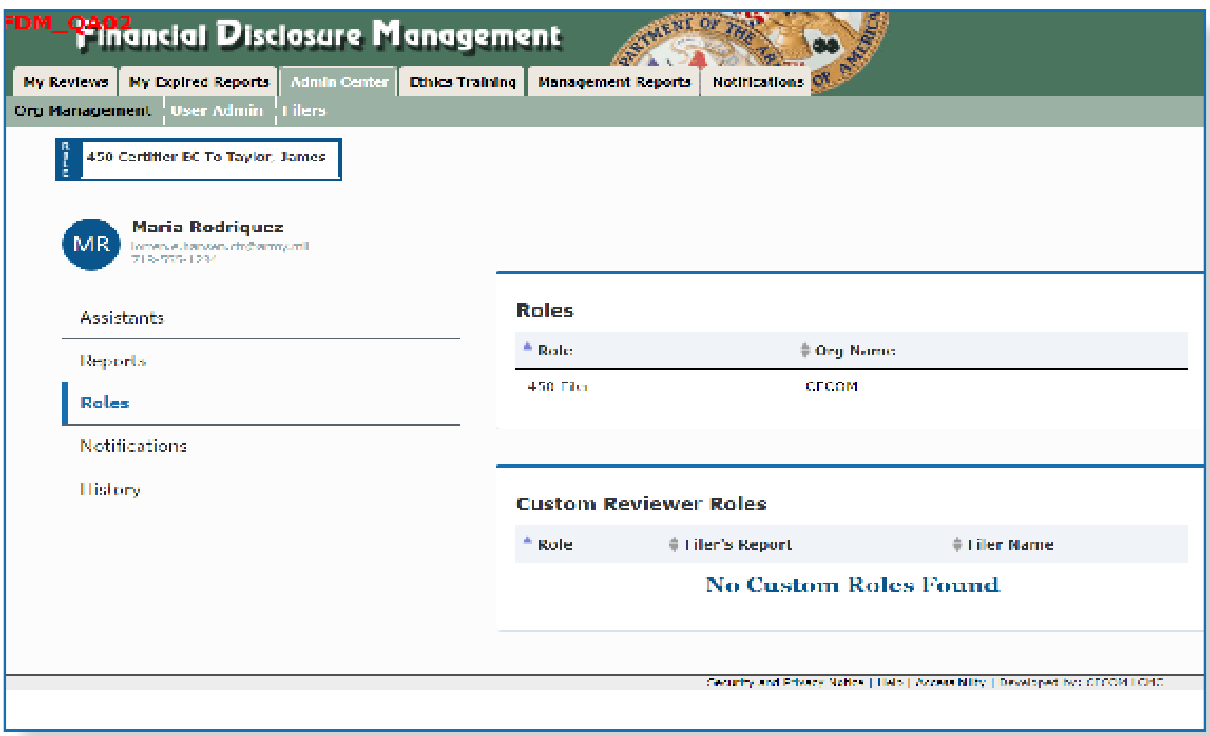


# Viewing Filer Profile Information

A Filer profile shows information like additional FDM roles, Assistants/EC relationships, associated reports, and user history.

1. Click the **Org Unit Filers** tab.
2. Click the **450 Filers Panel**.
3. Click the **View** icon beside the Filer. The Filer profile displays.



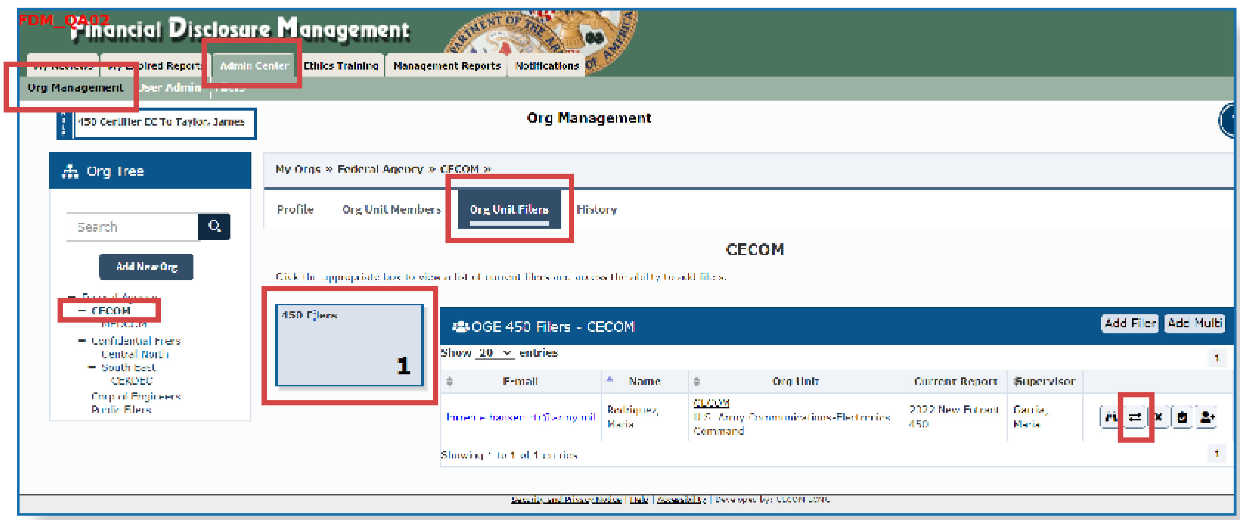



# Moving a Filer to a Different Org Unit

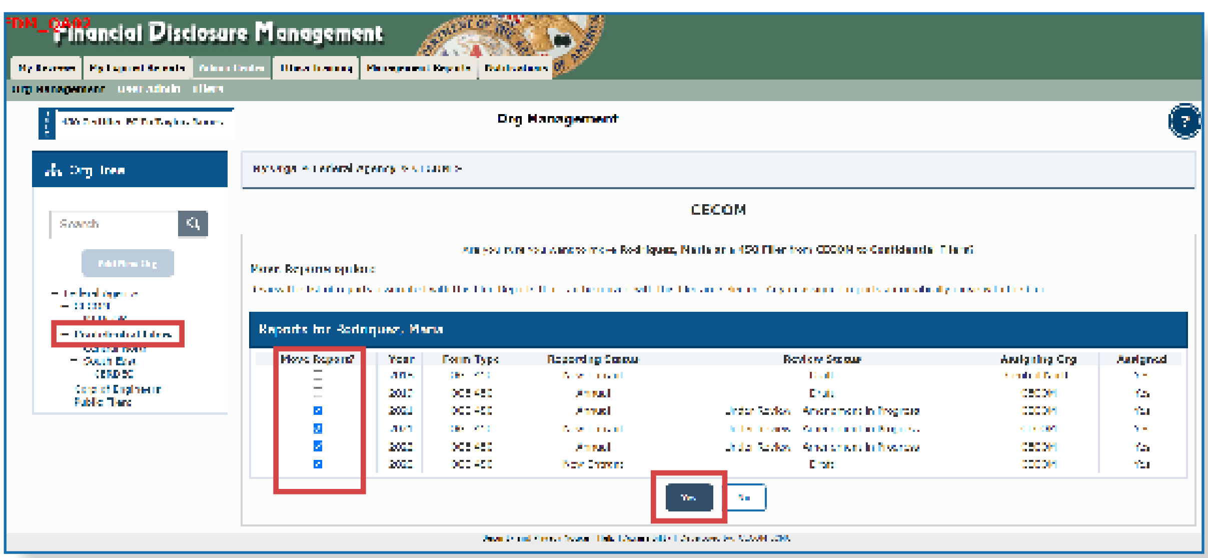
Filers must be moved to different Org Units after lateral transfers. Move these filers when updating the Filer List and only to Org Units within the organizational view of the FDM official.

> **Note:** Moving Filers to a new Org Unit may change the Filer's review chain. When a Filer has a disclosure report Under Review, current review chain members may be notified in case their review process has begun. To view the review chain members, click the Org Unit name link listed by the Filer's name.

1. Select **Admin Center | Org Management**.
2. Select the **Org Unit** of the Filer to be moved.
3. Click the **Org Unit Filers** tab.
4. Select the **OGE 450 Filers** panel. A list of Filers associated with the selected Org Unit is displayed.
5. Click the **Move** icon by the targeted Filer.




6. Browse and select an Org Unit where the Filer is to be added and click **OK**.




Only some Filers' reports are eligible to be moved to a different Org Uni

The Move Reports option screen may display when a Filer has past reports in FDM.

7. Move a report with the Filer by leaving the **checkbox** by a report selected, and click **Yes**.

8. Keep a report with the review chain of the original Org Unit by deselecting the **checkbox, and** Click **Yes**.

The Filer and their selected reports are then moved to the new Org Unit.

> Deleting a Filer's role does not delete reports already started, e.g., Draft, Under Review, and Complete. Draft reports or others that are not required should be "Admin Closed" by the reviewing ethics

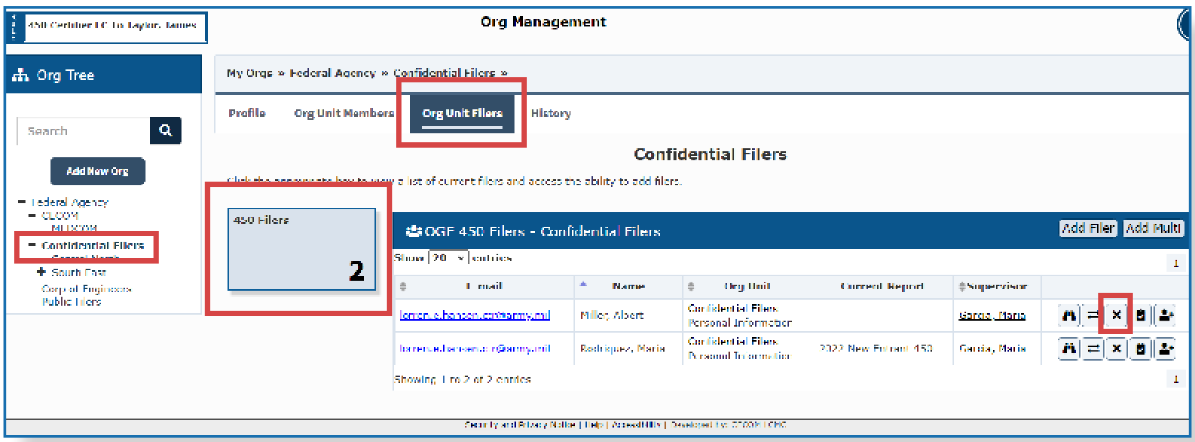
# Removing a Filer's Role

Filer roles are removed one at a time.

## Checking for Assigned Reports

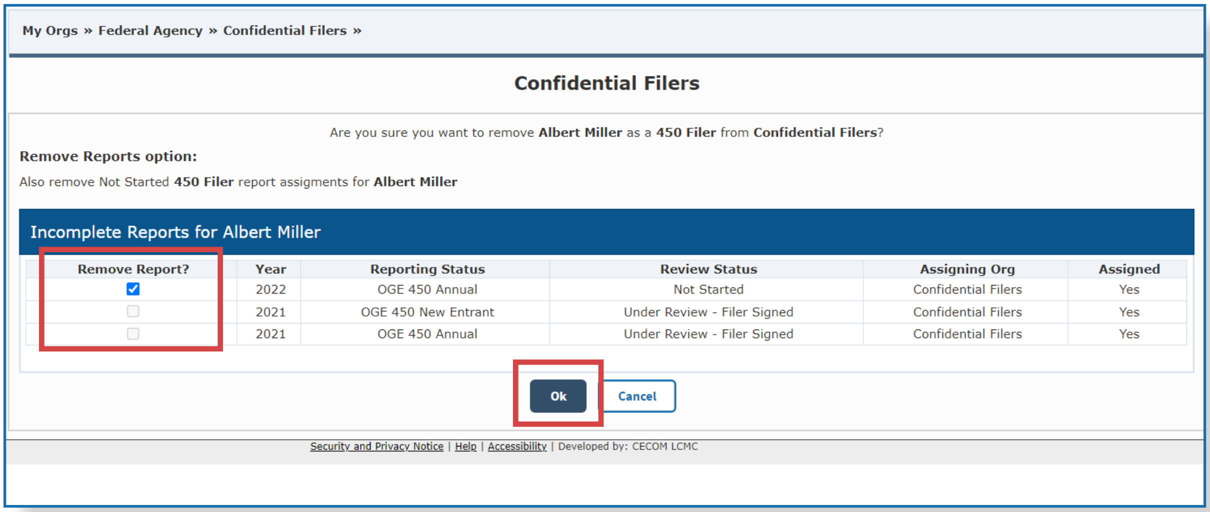
Ensure Filers do not have assigned or incomplete reports before removing them. If an incomplete report exists, the Filer's Ethics Official should be notified to either complete the report or delete the report if it was filed erroneously

1. Select **Admin Center | Org Management**.
2. Select an Org Unit with the Filer to remove.
3. Click the **Org Unit Filers** tab.
4. Select the **450 Filers** panel. A list of Filers associated with the selected Org Unit is displayed.




> Deleting a Filer only removes their role in FDM. Deleting does not permanently remove the Filer from FDM.

5. Click the **Remove 450 Filer (X)** icon by the targeted Filer. The Remove Reports Option page displays.




6. Leave the checkbox beside a report **selected** and click **OK** to remove a report with the Filer role.
7. **Deselect** the checkbox and click **OK** to keep a report with the review chain of the original Org Unit.

# Viewing and Managing a List of All of Your Filers

## Admin Center | Filers

All FDM Users, with the exception of Filers and Filer Assistants, can manage listings of Filers through **Admin Center | Filers.** Use the **Admin Center | Filers** page to review and update filer lists prior to filing season.

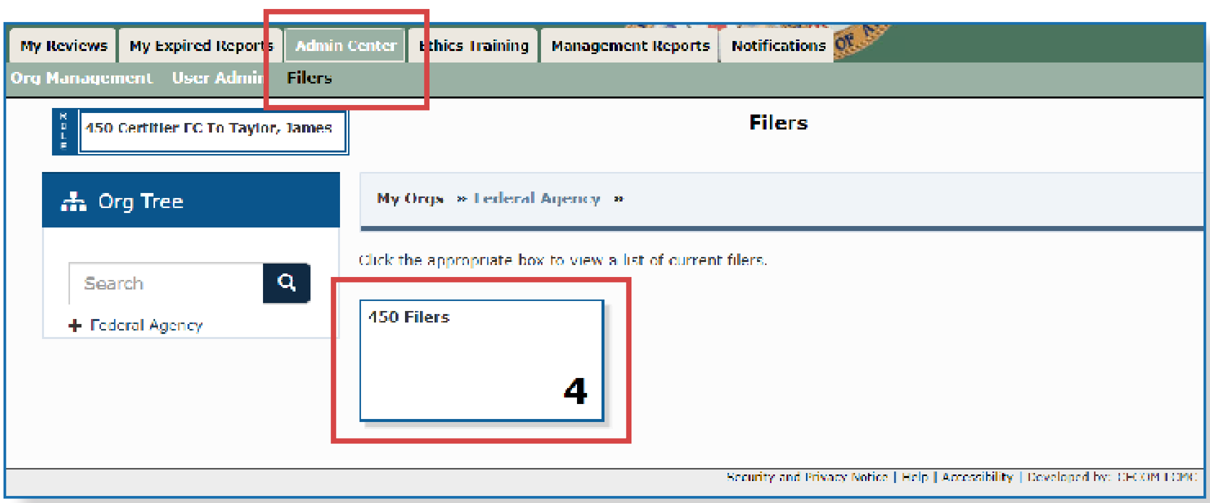
From this page:

- View and export a list of 450 Filers.
- Verify Filers' information such as Org Unit, Supervisor, and current year report.
- Verify Filer Profile information - Roles, Reports, Assistants and History.
- Move Filers into the appropriate Org Unit.
- Assign reports to Filers.
- Remove Filers who leave an organization.
- Add a Filer Assistant.

**Note**: The System Administrator assigns annual reports to FDM filers on December 31.

To view a list of Filers:

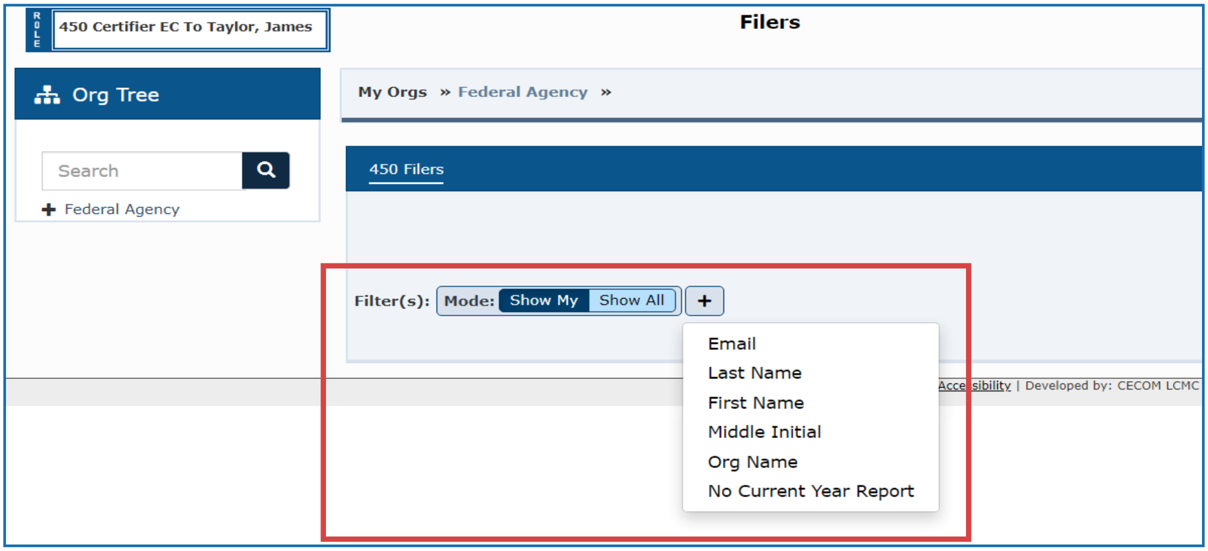
1. Select **Admin Center | Filers** and click the **450 Filers** panel.



# Filtering and Sorting

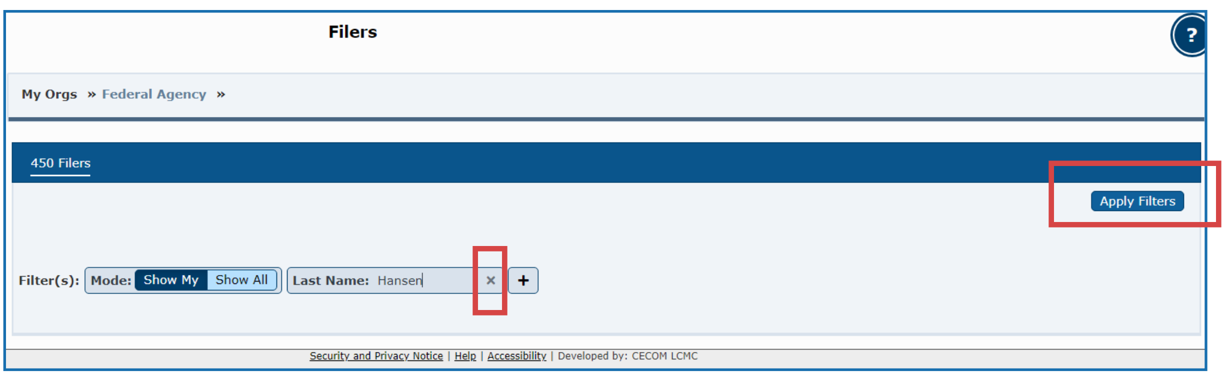
Filtering and sorting allows for quickly viewing and grouping Filers by specific criteria.

2. Select **Show My** or **Show All**.




## Filtering Options

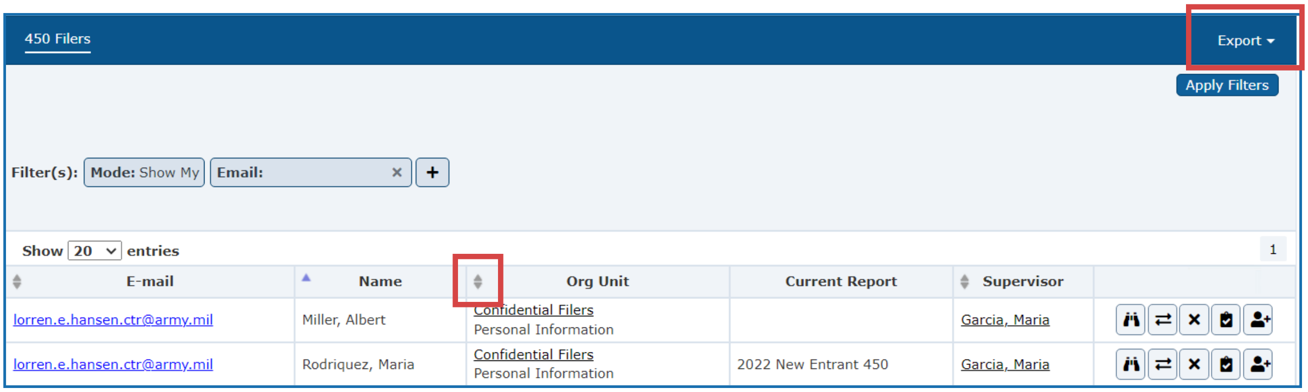
3. Click **Add Filter(+)** and select the filter options for the list. Repeat to include additional filters.
4. Click **Apply Filters** and records containing the selected filter information are displayed.




5. Click the **x** beside the filter to remove.

### Sorting

6. Choose a column by which to sort the list and click on the **sort arrows**. The rearranged list is displayed.




## Exporting Your Filer List

To export a list of your Filers:

7. Click **Export** and select **Excel** or **CSV**.

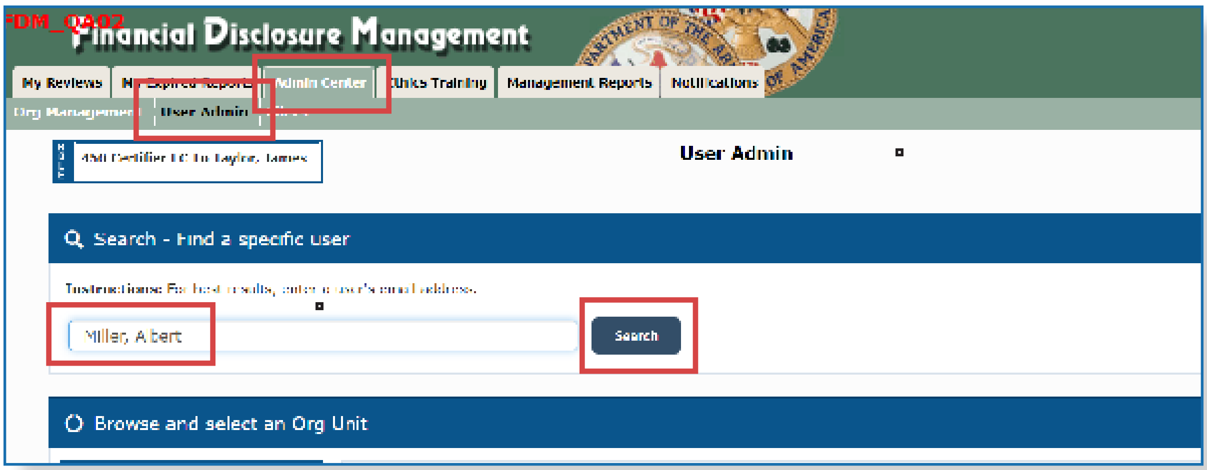
# User Admin

## User Search - Find a Specific User

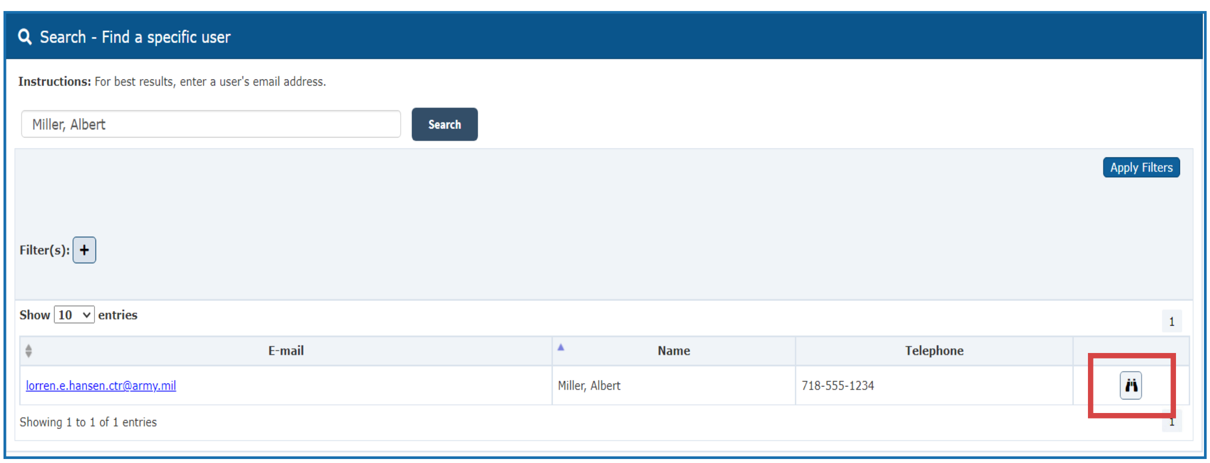
The User Search tool searches for FDM users and displays their profile information.

To locate a specific user in FDM:

1. Select **Admin Center** | **User Admin**.
2. Enter the user's **name** or **e-mail address** in the search field and click **Search**.




3. Click the **View** icon beside the user to display the user's FDM profile details. The Filer's profile page displays.



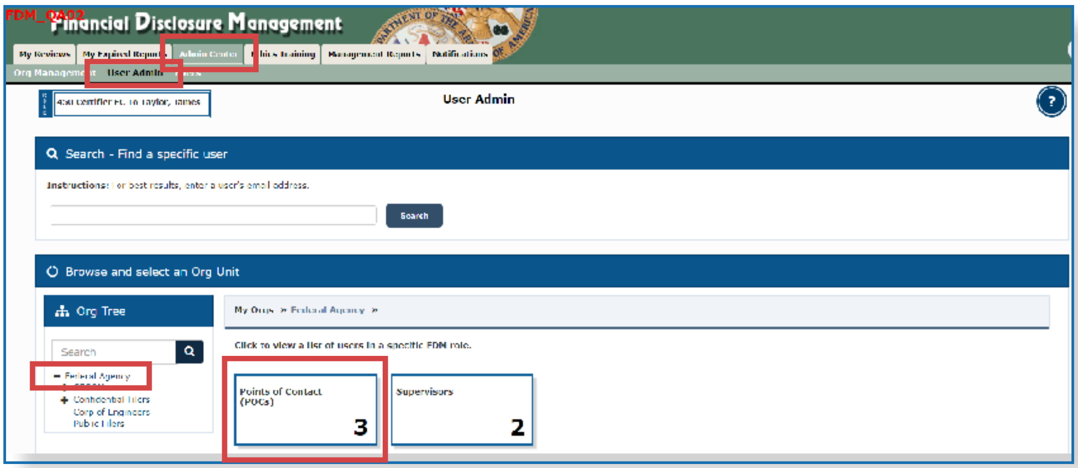
# Browse a List of Users by Role

All FDM roles, except Filers and Filer Assistants, can maintain FDM users and Org Units. They are designated as Authorized Users.

The Browse tool updates or displays a list of POCs, Supervisors, Senior Legal Counsels, 450 Certifiers, or DAEOs in FDM.

To view and manage a list of FDM users by Role:

1. Select **Admin Center | User Admin**.
2. Select an **Org Unit** from the Org Tree where the users are placed.
3. Select an FDM **Role Panel**.



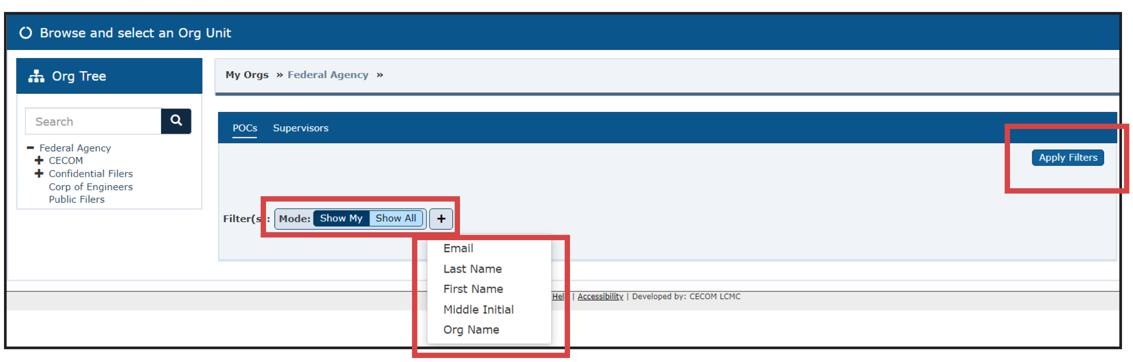

## Filtering and Sorting

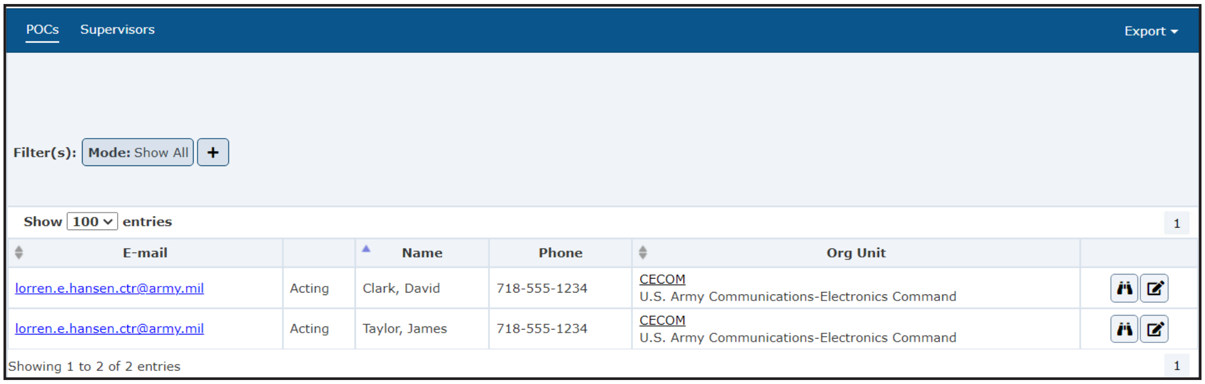
Filtering and sorting displays and groups filers by specific criteria.

4. Select **Show My** or **Show All**.

### Filtering Options

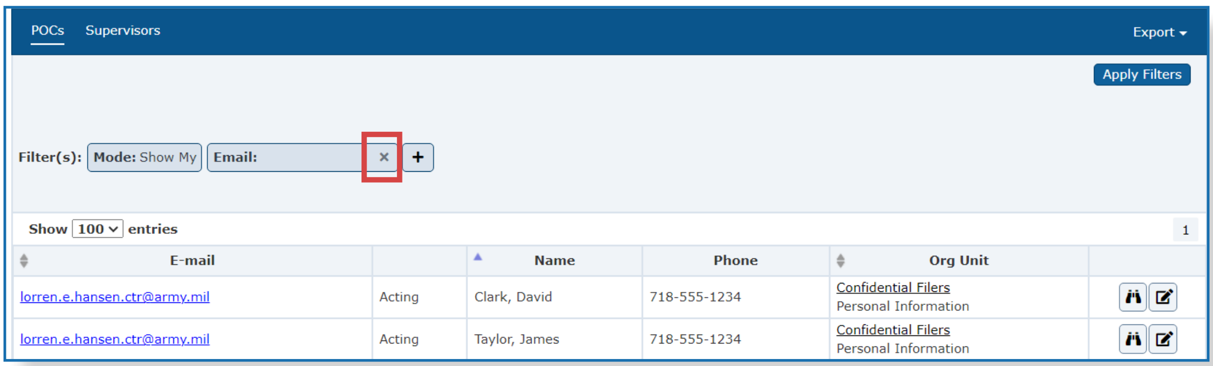
5. Click **Add Filter(+)** and select the filter options. Repeat this step to include additional filters.
6. Click **Apply Filters**. The records are displayed.






### Remove a Filter

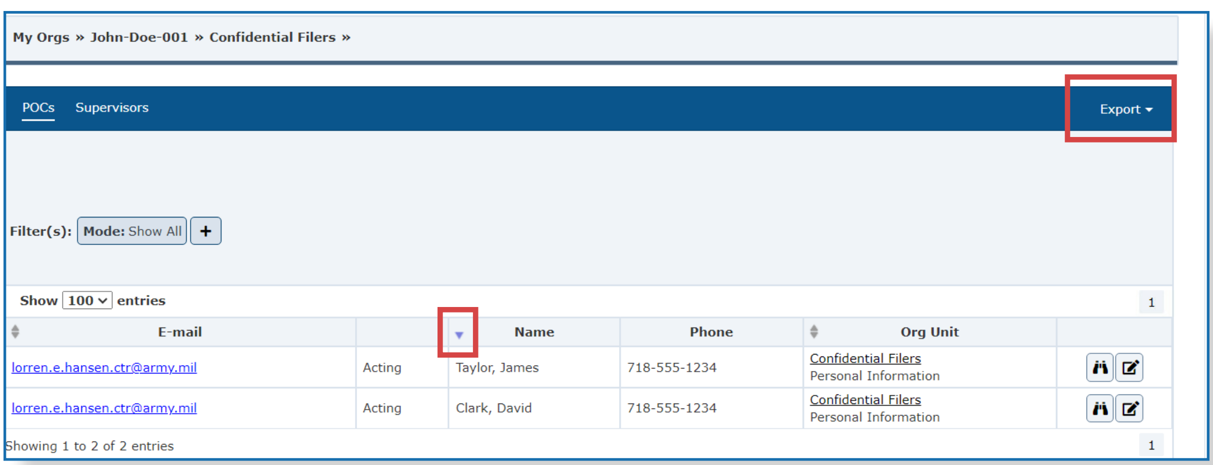
7. Click the **X** beside the filter to remove.




### Sorting

Sorting arranges lists alphabetically.

8. Choose a **column** to be sorted.
9. Click the **sort arrows**. The list is rearranged alphabetically.




## Exporting Your List

To export a list of your users:

10. Click **Export** and select **Excel** or **CSV**.

# Filing an OGE 450

Your local POC or legal office can register you as a Filer in FDM.

Once a Filer has eSigned and submitted their report in FDM, the Filer's associated reviewer(s) may receive an e-mail containing a request to review a Filer's financial disclosure report.

The purpose of a financial disclosure report is to assist employees and their agencies avoid conflicts between official duties and private interests and affiliations. The primary use of the information is for review by Government officials within agencies and to identify potential conflicts of interest.

## Filing Process Flow

The process for creating an OGE 450 includes the following tasks:

| Filing an OGE 450 |
|---|
| The Filer is registered in FDM. |
| The Supervisor or POC identifies Filers and assigns the filing of an OGE 450. |
| The Filer receives an e-mail notification with their filing task assignment. |
| The Filer logs into FDM and verifies their profile and review chain. |
| The Filer selects to add a financial disclosure report. |
| The Filer adds report data information. |
| The Filer reviews report flags and corrects any errors. |
| The Filer eSigns and submits the OGE 450 for review.<br>**Note**: An e-mail notification is sent to reviewers indicating they can begin their review process. |

### Helpful Hints

Many Filers find it helpful to have their information ready when they fill out the form. For example, Filers with stocks find many brokerage firms have online access and provide printouts for the period covered by the form.

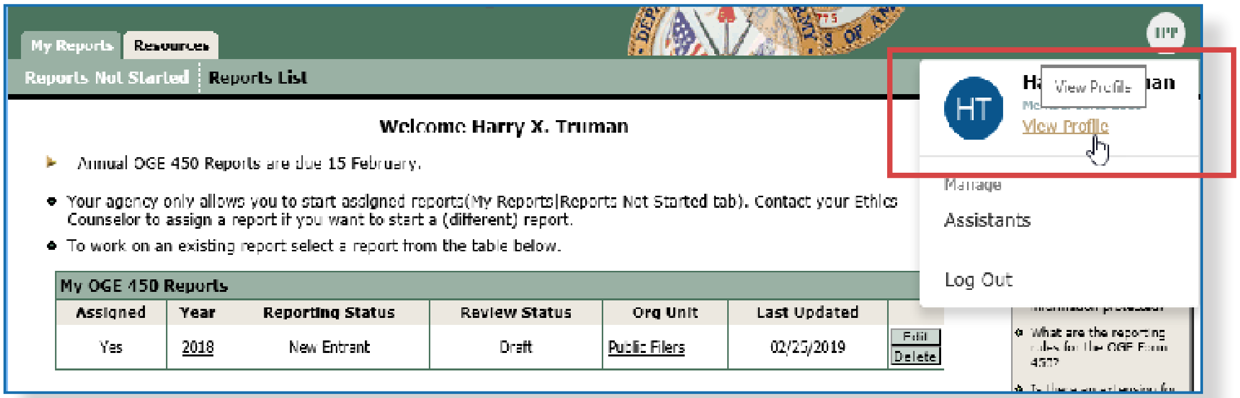
Filers cannot skip any section within the OGE 450 report, even when there is no information to report. Filers must click through all sections being sure to select **No** if they have no information to disclose.

The income and assets of spouses, and the assets of dependent children

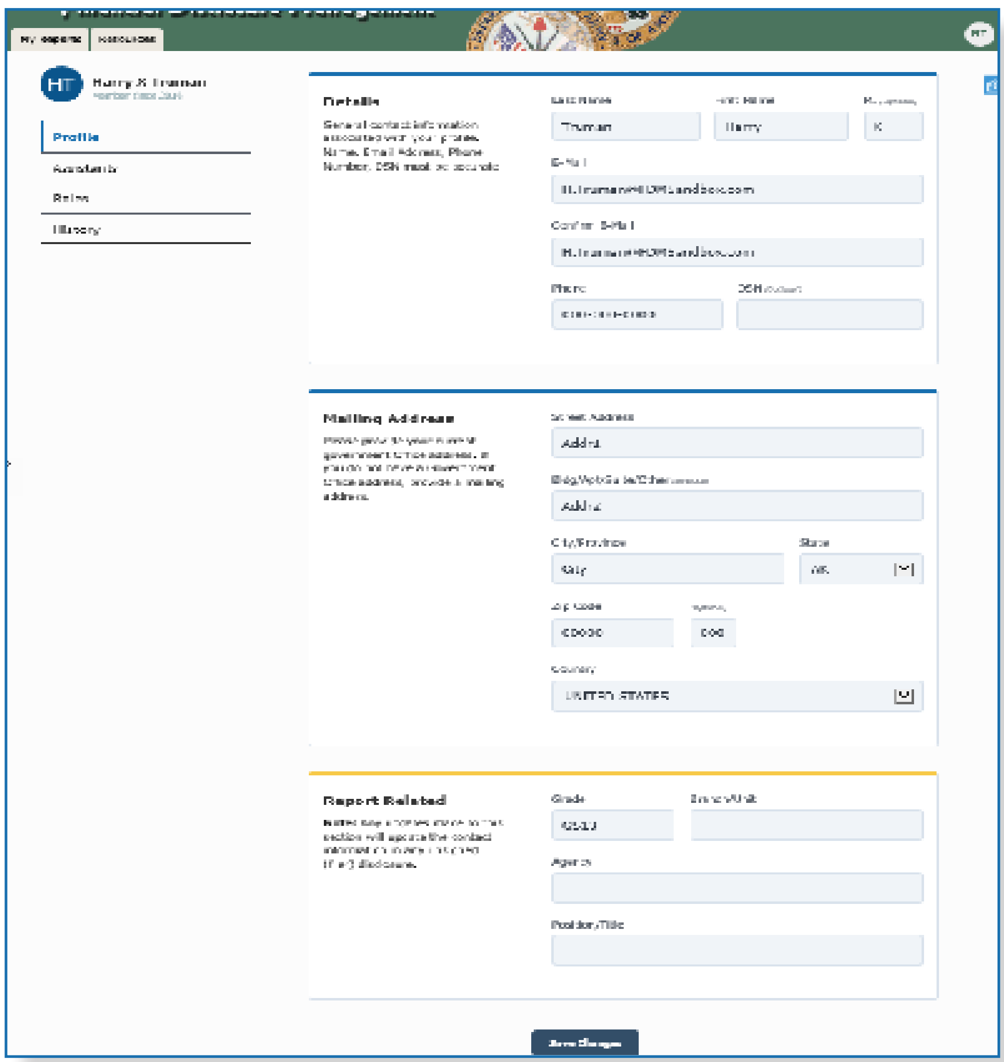
# Verifying Your Profile and Review Chain

Filers should update their account profile information prior to starting a new report in FDM. Updates made to account profiles copy into the Report Contact information section of reports not yet signed by a Filer (Review Status of Not Started, Draft, and Amendment in Progress).

1. From any point within FDM, click on the initials or profile image and click **View Profile.**




2. Enter or update the Profile Details, e.g., name, e-mail and phone number, mailing address and report related information.



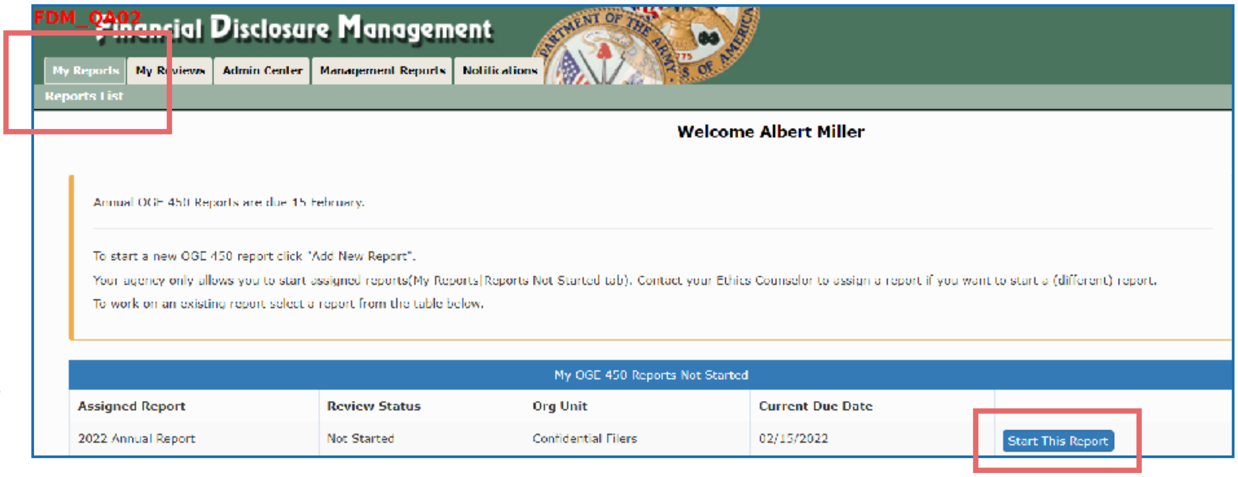
# Add a New Report

My Reports is the main workspace for Filer reports in FDM. It is where Filers begin a new report and edit or view existing reports.

Begin the financial disclosure report once profile information has been verified.

## Reports Not Started

1. Select **My Reports | Start This Report**. The Reports Not Started page is displayed.
2. Click the **Start This Report** button.




Filer Assistants manage a Filer's Reports list from the Assist Filers tab.

## 2. Reports List

FDM Filers can begin their reports before being assigned by clicking the **Reports List** tab and **Add New Report** button.

## OGE 450 FDM Getting Started Screens

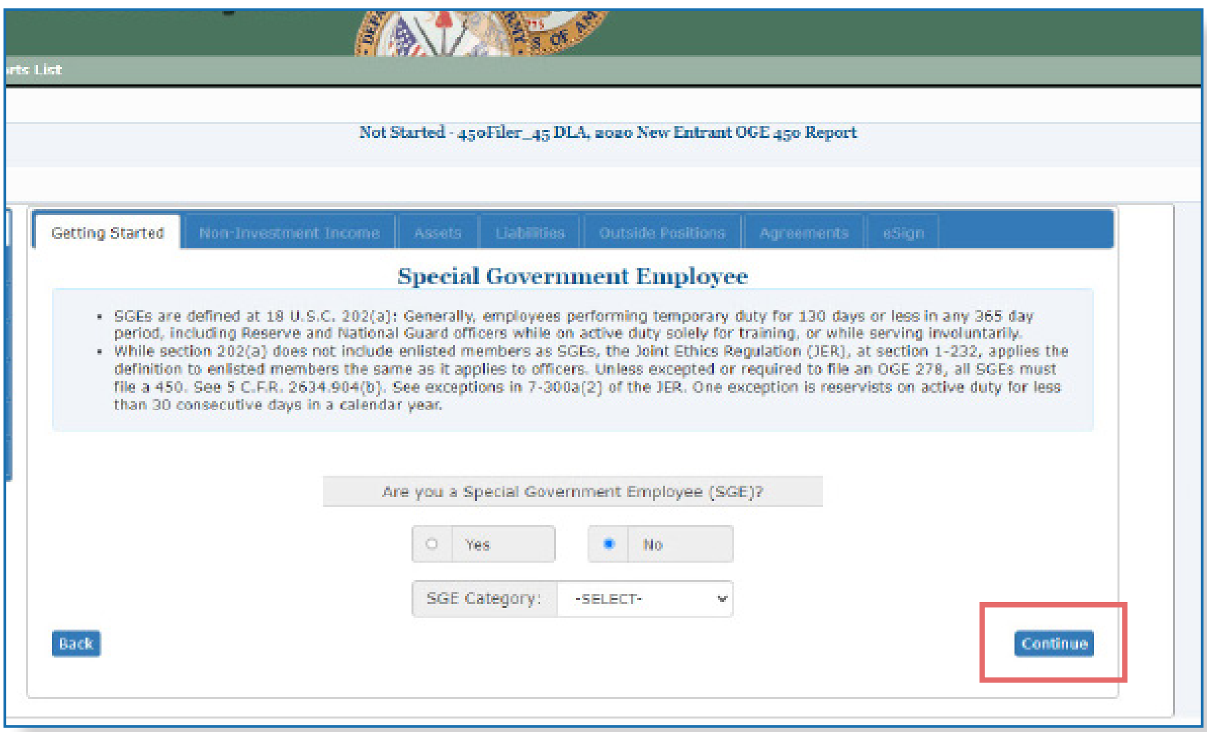
The following OGE 450 screens vary depending upon Reporting Status and whether the report was assigned.

- Annual Filers can elect to pre-populate from an existing report or the year covered by an assigned report.
- New Entrant Filers select if they are a Special Government Employee or enter their appointment date.

## Getting Started

Before drafting the disclosure report, it is recommended to have the following items on hand:

- Copy of a previous OGE 450.
- Tax return.
- Brokerage and mutual fund statements.
- Rental agreements.
- Agreements or arrangements from past, current, or future employers.
- Mortgage statement.
- Credit card and other loan statements.

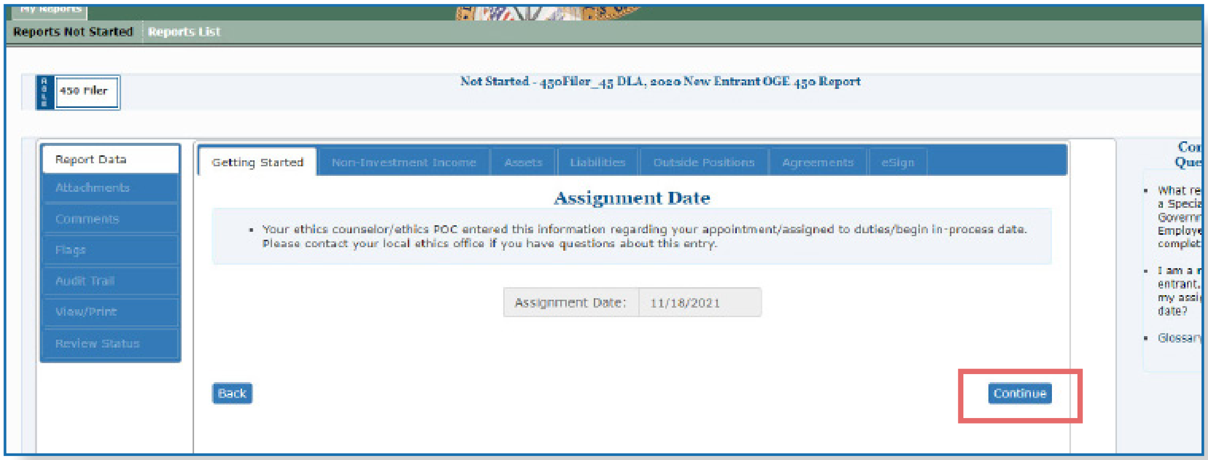



3. Answer the Special Government Employee question.
4. Click **Continue**.

   **Note**: Few Filers are Special Government Employees. Confirm your status with the local legal office if unsure.

# Assignment Date

**4.** Click **Continue** on the Assignment Date page.



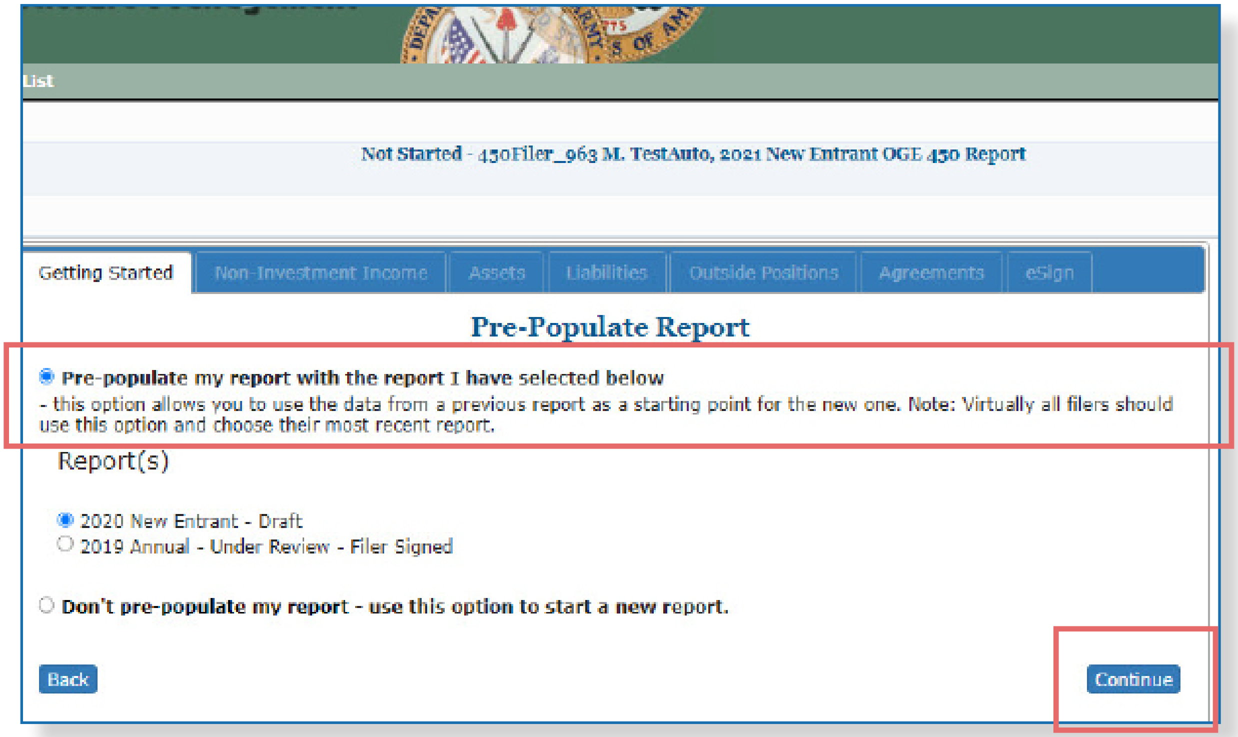
- Select the most recent or current report from the pre-population list to ensure accuracy and consistency in your reporting.

# Pre-Populate Report

FDM simplifies the maintenance of financial disclosure reports by allowing carry over of previously entered financial disclosure reporting information. Selecting to pre-populate a report fills report information from a previous report into the new report.

## Compare a Pre-populated Report

If you pre-populate your report in FDM, you can easily compare changes and differences between the previous and present year's report on a single page.

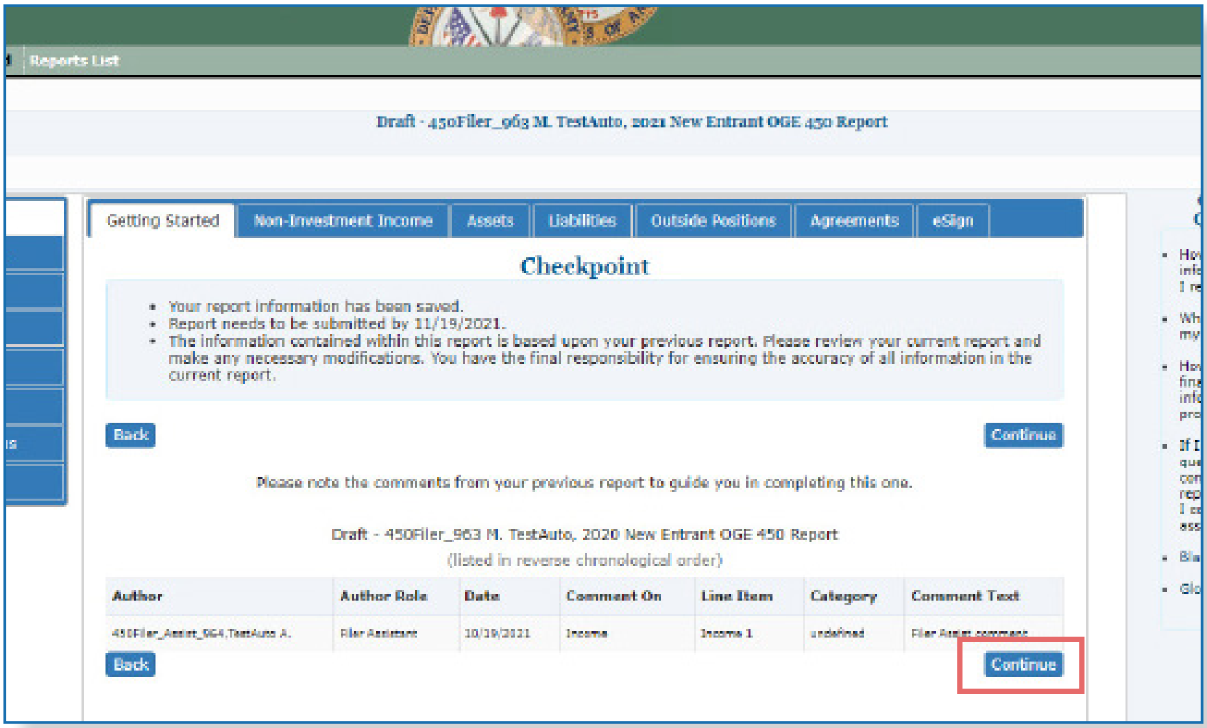



- Once your report is pre-populated, review and verify the entries in the Pre-Population Results Summary List. Update where appropriate.

5. Select an **existing report** to pre-populate or select **Don't Pre-populate my report**.
6. Click **Continue**.
7. Review the **Due Date**, finish filling in the **Contact Information** pages and click **Continue**.

## Checkpoint

The Checkpoint page displays a report due date reminder message. The message cautions Filers who pre-populated to review report information from the existing report.




7. Review the information on the screen and click **Continue**. The Report is placed in Draft Review Status.

# Report Data

The Report Data wizard is the main area for preparing an OGE 450. Information in the Report Data sections relates to the Filer, spouse, and dependent children.

Click through all sections of the OGE 450 ensuring to select **No** if there is no information to disclose for a section.

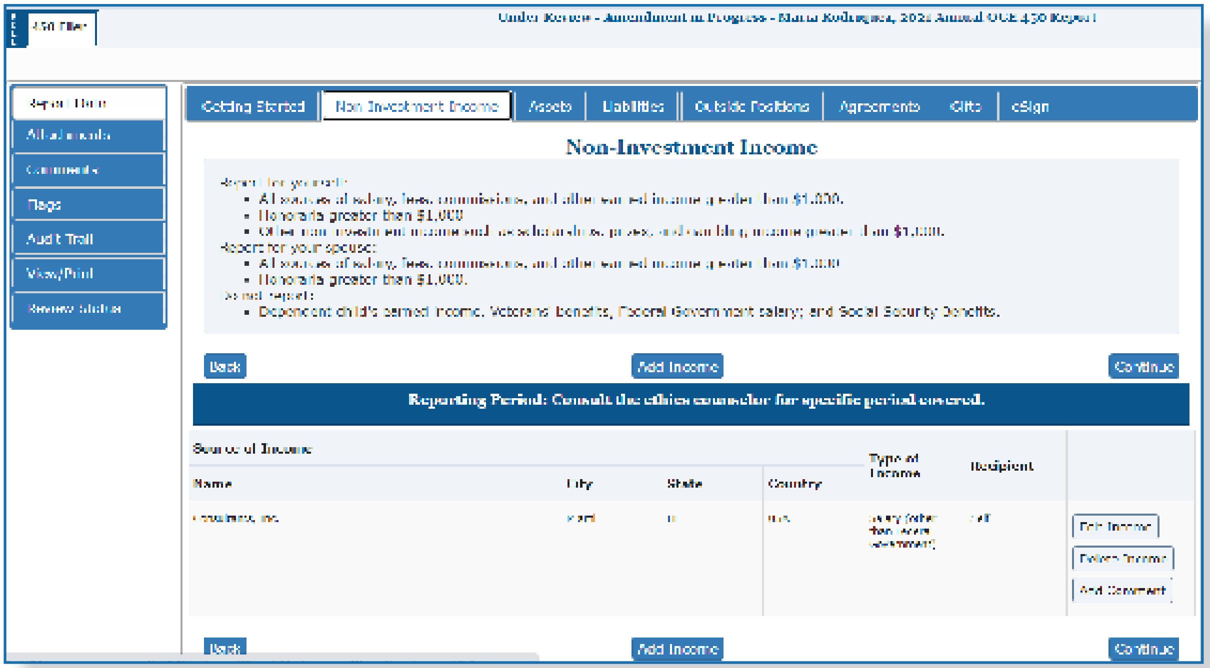
The process for entering data is the same regardless of the type of information to report. If the report has been pre-populated, it is only necessary to confirm the data in each Report Data section. Make the necessary corrections, additions, deletions, and click **Continue** to proceed to the following Report Data section.

The following Report Data sections are included in an OGE 450 financial disclosure report:

- Non-Investment Income.
- Assets.
- Liabilities.
- Outside Positions.
- Agreements.
- Gifts - New Entrant and SGE Filers do not have to complete the Gifts section of the OGE disclosure report.
- eSign.

# Managing Line Items

Filers can add, edit, and delete specific line items in FDM. Reviewers and Filers can add comments to specific line items within a financial disclosure report.




FDM provides instructions for each section of the report at the top of each Report Data page.

The process for entering report data is the same for all information. For example, on the Assets page you can add another asset, revise or delete an existing asset, or add a comment by following the steps listed below. When complete, click **Continue**.

| Field | Description |
|---|---|
| Edit Asset | Click **Edit Asset** to make any changes to an existing asset. |
| Delete Asset | Click **Delete Asset** if you wish to remove an asset from your report. |
| Add Comment | Click **Add Comment** to add comments to specific line items. |

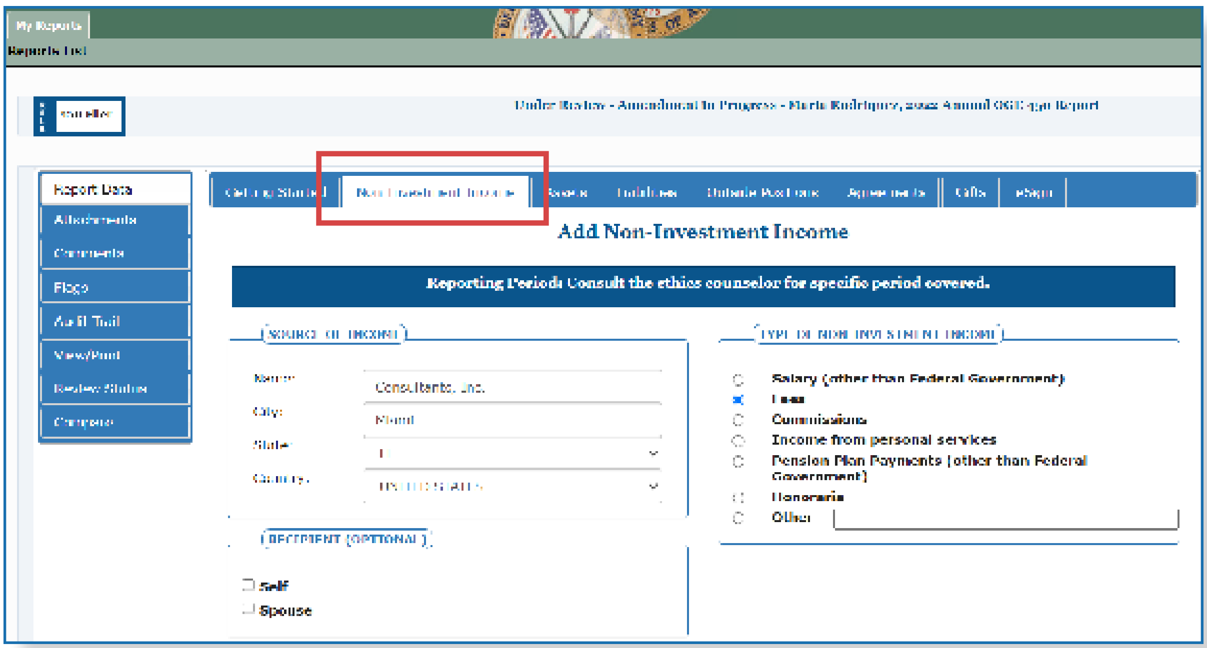
# Non-Investment Income

Ensure to click through all sections of the OGE 450 and select No when there is no information to disclose for that section.

OGE 450 Filers must report any earned and other non-investment income exceeding $200 for the Filer, and exceeding $1,000 for the spouse. Examples of earned and non-investment income are salary, director's fees, pension annuities, etc.

## Adding Non-Investment Income

1. Click the **Non-Investment Income** section. The Non-Investment Income page is displayed.
2. Select **Yes** to indicate earned income other than U.S. Government salary or retirement benefits and click **Continue**. The Add Non-Investment Income page is displayed.
3. Enter the non-investment income information and click **Save**. The Non-Investment Income page is displayed with you new entry.




| Field | Description |
|---|---|
| Source of Income | Enter the name of Employer or Business, which compensates with fees, commissions, or honoraria. Include the city, state and country. |
| Owner/Recipient | Select Self or Spouse. |
| Type of Non-Investment Income | Select the appropriate income type. |

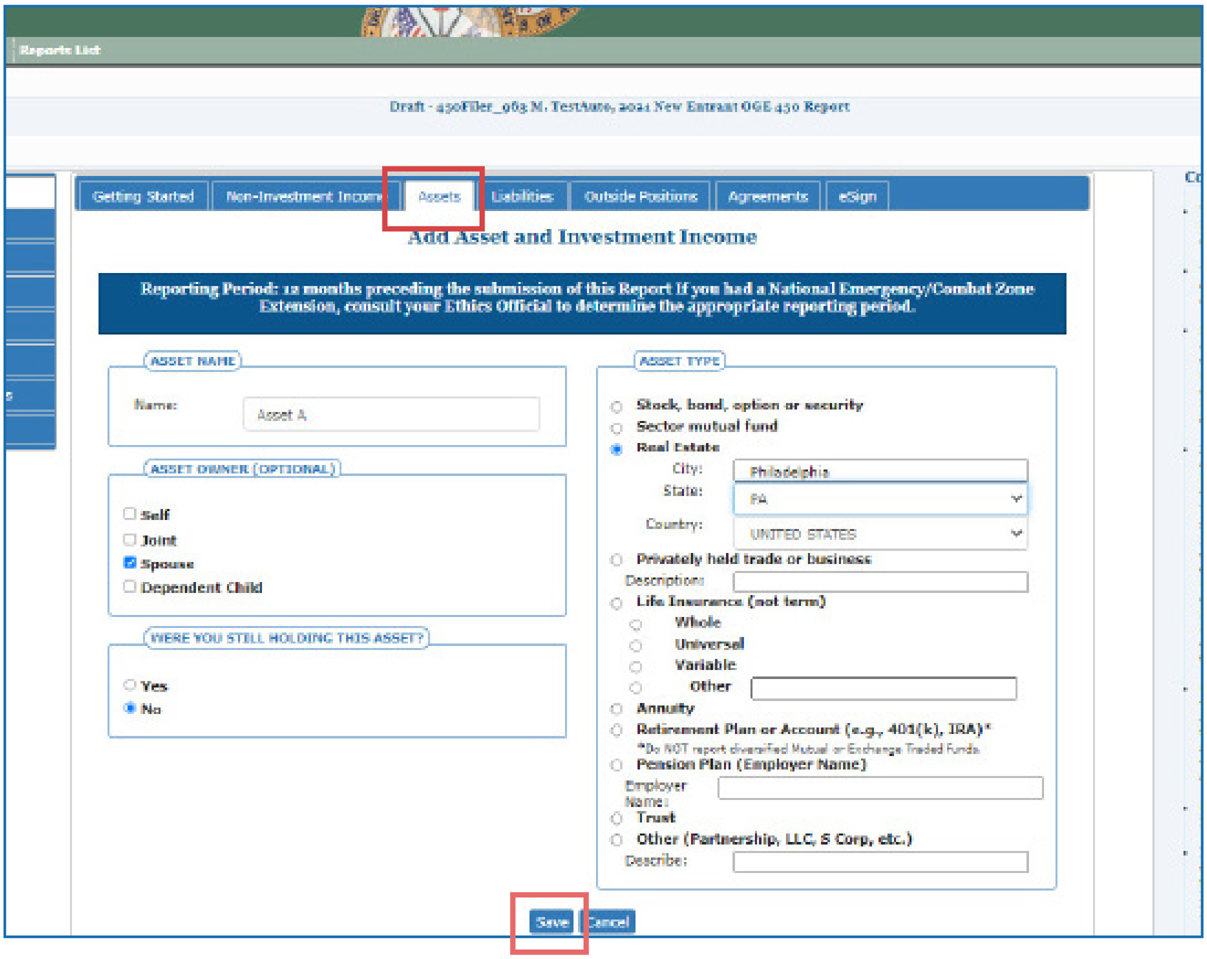
# Assets

FDM requests information about the reporting period and is tailored to whether a Filer is a New Entrant or Annual reporter.

For New Entrant Filers, the Assets and Investment Income section should include all interests and income items received and accrued during the period between January 1 of the preceding calendar year and ending on the date the report is filed.

## Adding an Asset

1. Click the **Assets** section. The Assets and Investment Income page is displayed.
2. Select **Yes** to indicate reportable assets and/or income and click **Continue**. The Add Asset and Investment Income page is displayed.




3. Enter the asset information and click **Save**. The Assets page is displayed with the new entries.

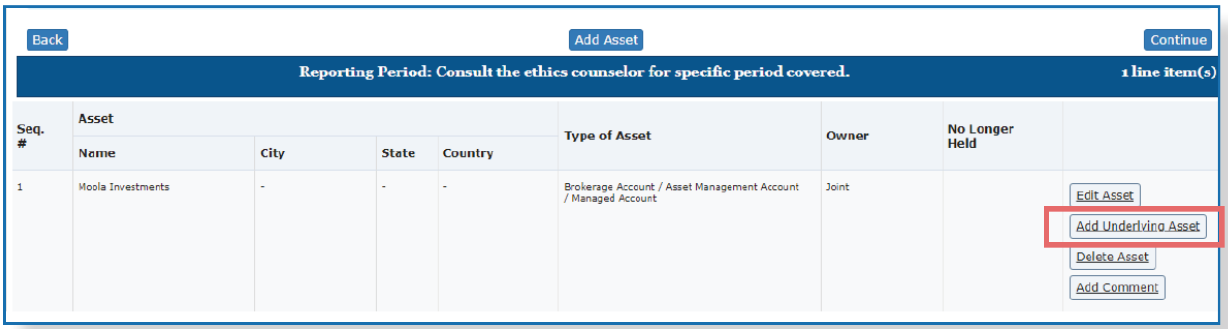
| Field | Description |
|---|---|
| Asset Name: | Enter the appropriate asset name. For example, type the name of a company, financial institution, educational institution, or non-profit entity. If it is a mutual fund, include the full name of the investment. |
| Asset Type | Select the appropriate asset type and provide any additional information where necessary. |
| Asset Owner | Select the person(s) responsible for owning the asset. |
| Were you Still Holding this Asset? | Select Yes or No. Select No if the asset is no longer held at the end of the reporting period, but which must still be listed because it generated over $200 in income during the reporting period. |

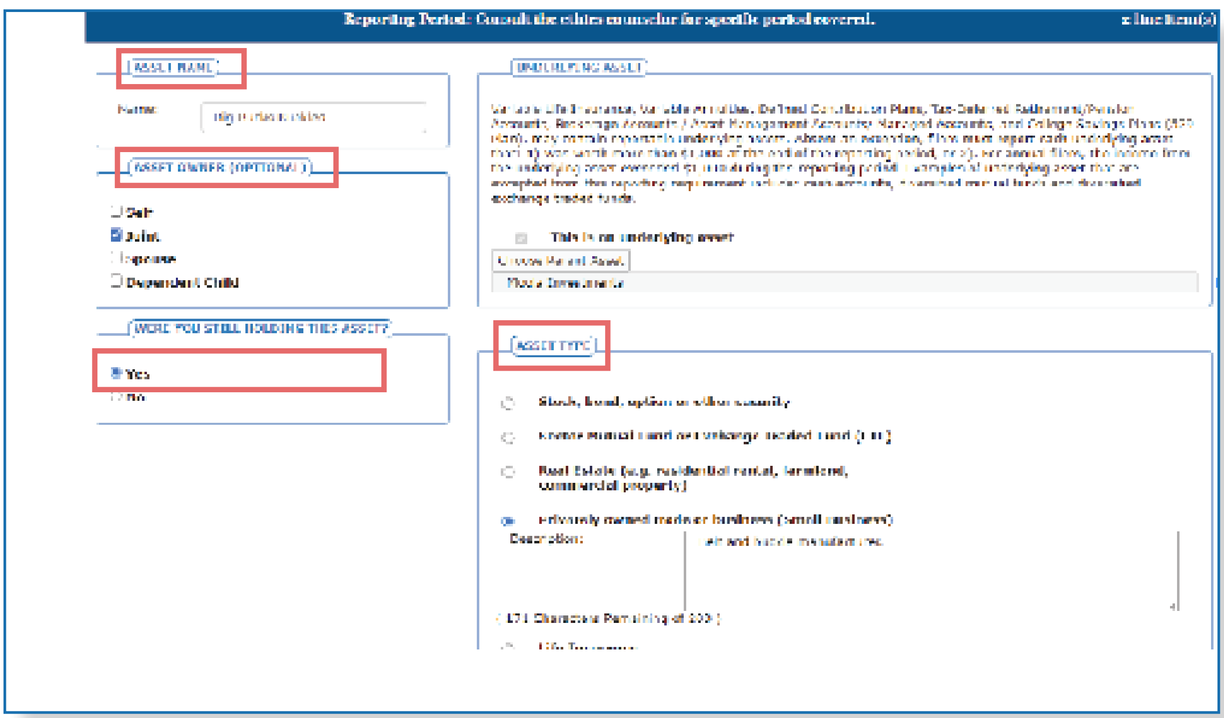
Prior to 2023, Assets and Investment Income were reported in one broad category and without detailing the underlying assets. Reporting now includes the name of the investment account and all assets within. The company holding investment accounts is referred to as a Parent and an individual underlying asset is termed a Child. The Assets and Investment Income section includes all assets received and accrued during the period between January 1 of the preceding calendar year and ending on the date on which the report is filed.

## Adding an Underlying Asset

Underlying Assets can be added by two methods.

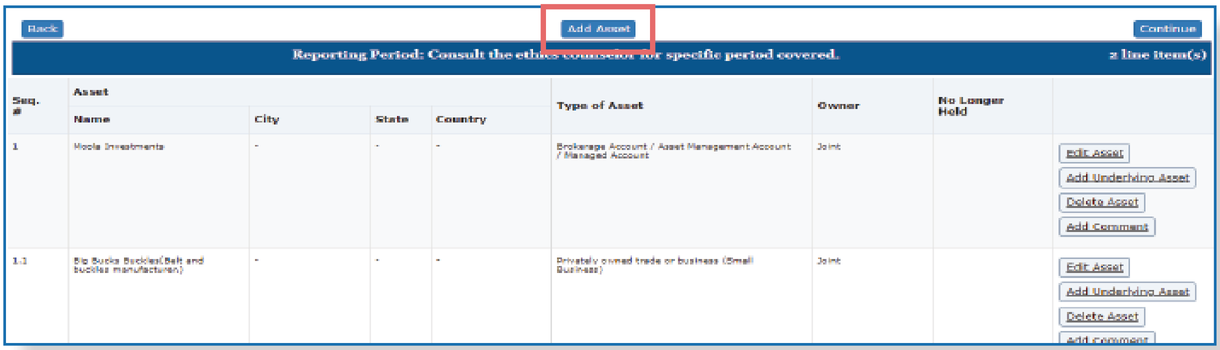
1. Click the **Add Underlying Asset** button that corresponds to the Parent account under which it is to be held.
2. Click the appropriate **Asset Type** radio button. Enter the information for Asset Name, Asset Owner (optional), Holding Asset question, and click **Save**.
3. The Assets and Investment Income page displays the Underlying Asset under the Parent Asset.



An Underlying Asset can also be added by identifying the Parent Asset after entering the Underlying Asset information.

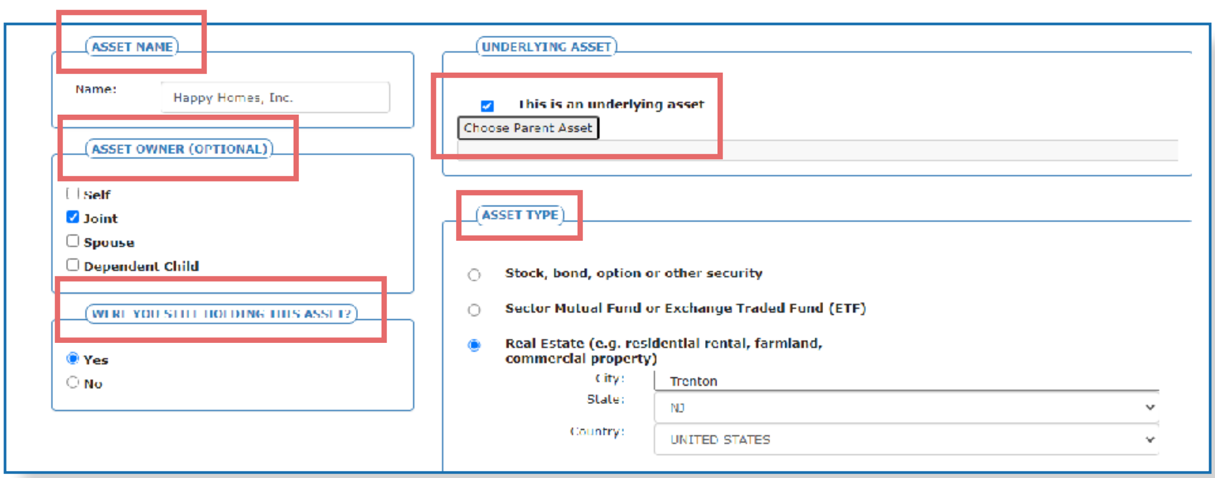
**4.** Click **Add Asset** to open the Add Asset and Investment Income page.



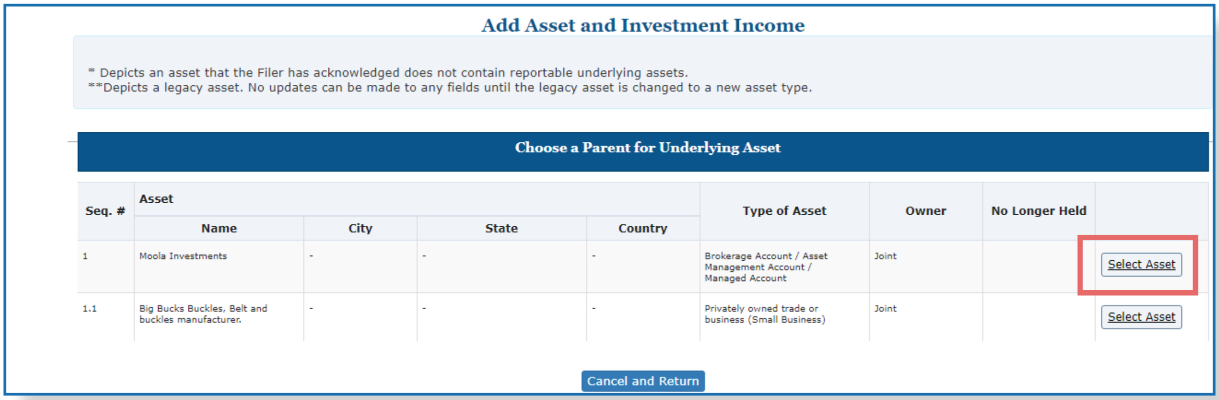

**5.** Click the appropriate **Asset Type** radio button. Enter the information for Asset Name, Asset Owner (optional), and Holding Asset question.

**6.** Click the **checkbox** by "This is an underlying asset"

**7.** Click the **Choose Parent Asset** button.



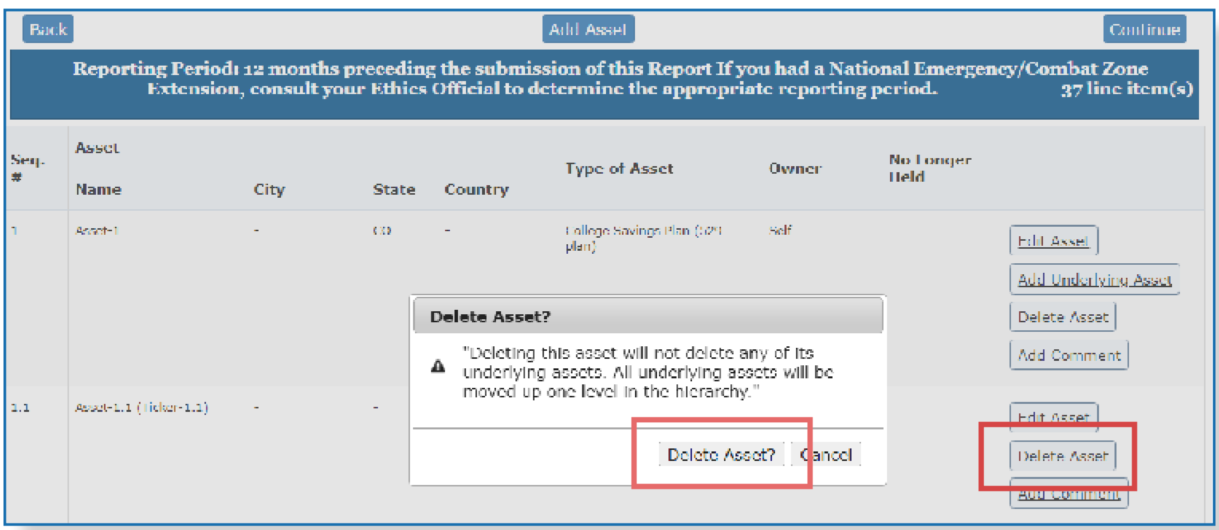
**8.** Click the **Select Asset button** by the appropriate Parent Asset when the Choose a Parent for Underlying Asset banner displays.




**9.** Click **Save** when the Edit Asset and Investment Income page displays.

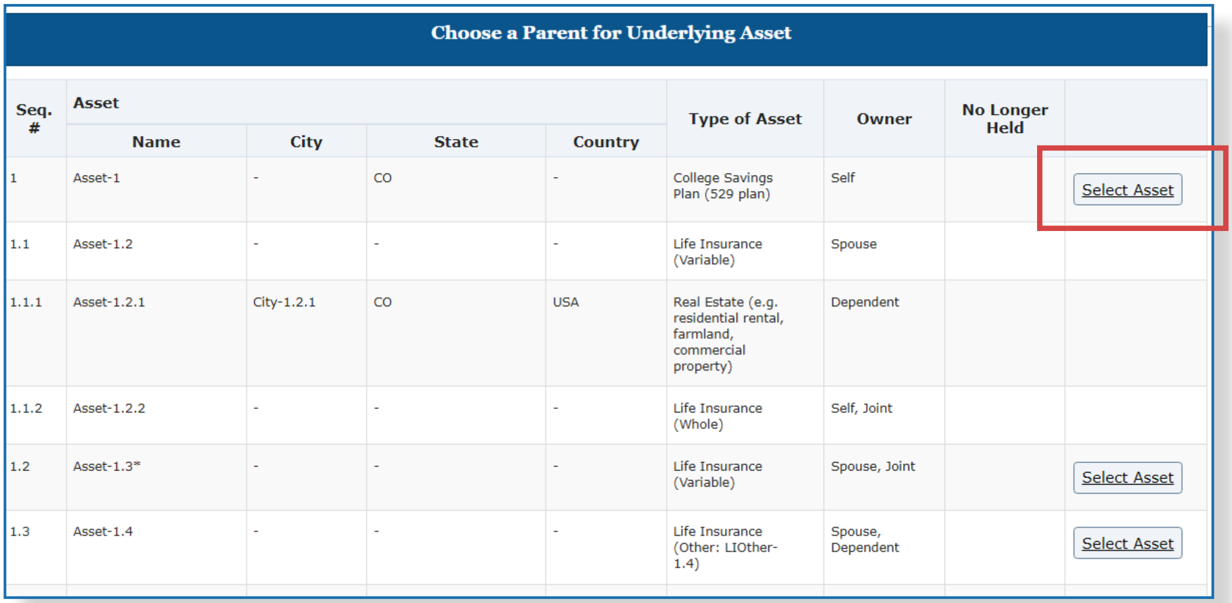
## Deleting an Underlying Asset

1. Click the **Delete Asset** button from the Asset and Investment Income page.
2. Click the **Delete Asset?** pop-up button to confirm.



# Moving an Underlying Asset

1. Click the **Edit Asset** button from the Asset and Investment Income page.
2. Click the **Choose Parent Asset** button from the Edit Asset and Investment Income page.
3. Click the **Select Asset** button corresponding to the new Parent Asset.
4. Click **Save** when the Add Asset and Investment Income page displays.



Choose a Parent for Underlying Asset

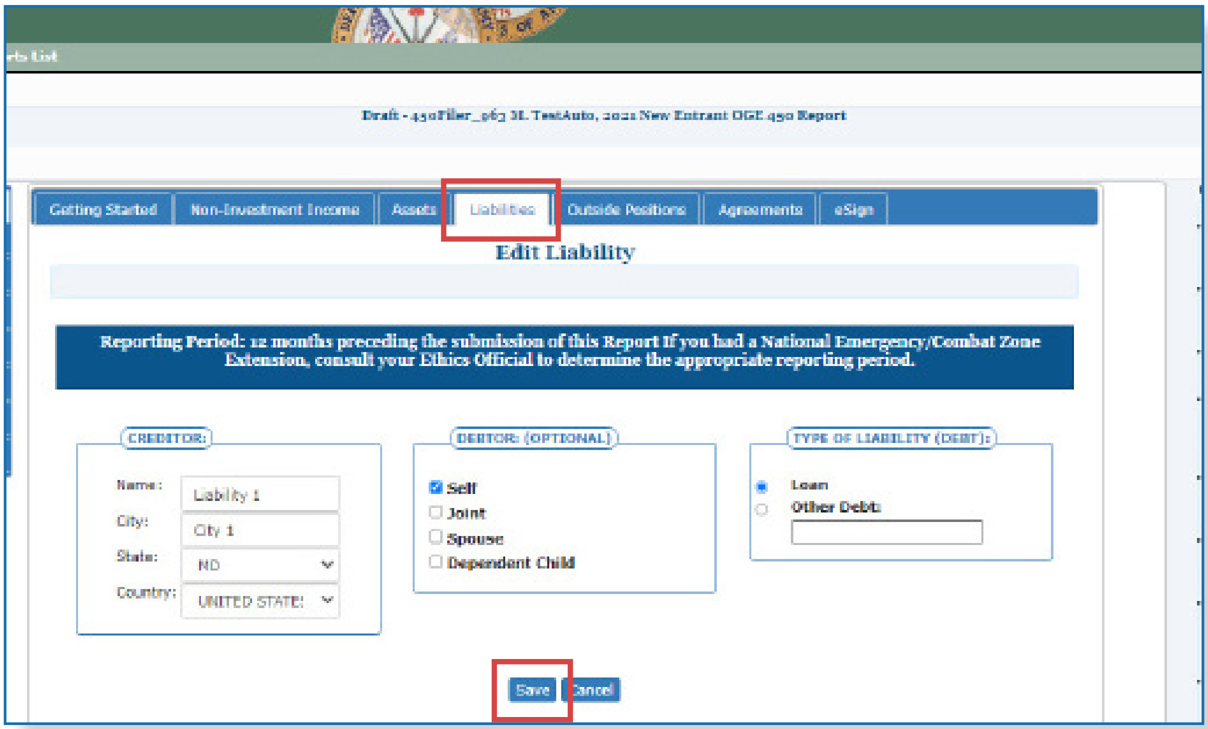
| Seq. # | Asset | | | | Type of Asset | Owner | No Longer Held | |
|---|---|---|---|---|---|---|---|---|
| | Name | City | State | Country | | | | |
| 1 | Asset-1 | - | CO | - | College Savings Plan (529 plan) | Self | | Select Asset |
| 1.1 | Asset-1.2 | - | - | - | Life Insurance (Variable) | Spouse | | |
| 1.1.1 | Asset-1.2.1 | City-1.2.1 | CO | USA | Real Estate (e.g. residential rental, farmland, commercial property) | Dependent | | |
| 1.1.2 | Asset-1.2.2 | - | - | - | Life Insurance (Whole) | Self, Joint | | |
| 1.2 | Asset-1.3* | - | - | - | Life Insurance (Variable) | Spouse, Joint | | Select Asset |
| 1.3 | Asset-1.4 | - | - | - | Life Insurance (Other: LIOther-1.4) | Spouse, Dependent | | Select Asset |

# Liabilities

Filers, their spouse, or dependent children, must report liabilities over $10,000 owed to any one creditor, at any time, during the reporting period. Examples include student loans, mortgages on a rental property, business loans, and revolving charge accounts exceeding $10,000

## Adding Liabilities

1. Click the **Liabilities section**. The Liabilities page is displayed.
2. Select **Yes** to indicate liabilities to report and click **Continue.** The Add Liability page is displayed.




3. Enter the liability information and click **Save**. The Liabilities page is displayed with the new entry.

| Field | Description |
|---|---|
| Creditor | Enter the creditor's (person or entity to whom the debt is owed) name and location (city, state and country). |
| Type of Liability | Select the type of liability. If you select Other, include a description. |
| Debtor | Select the person responsible for the liability. |

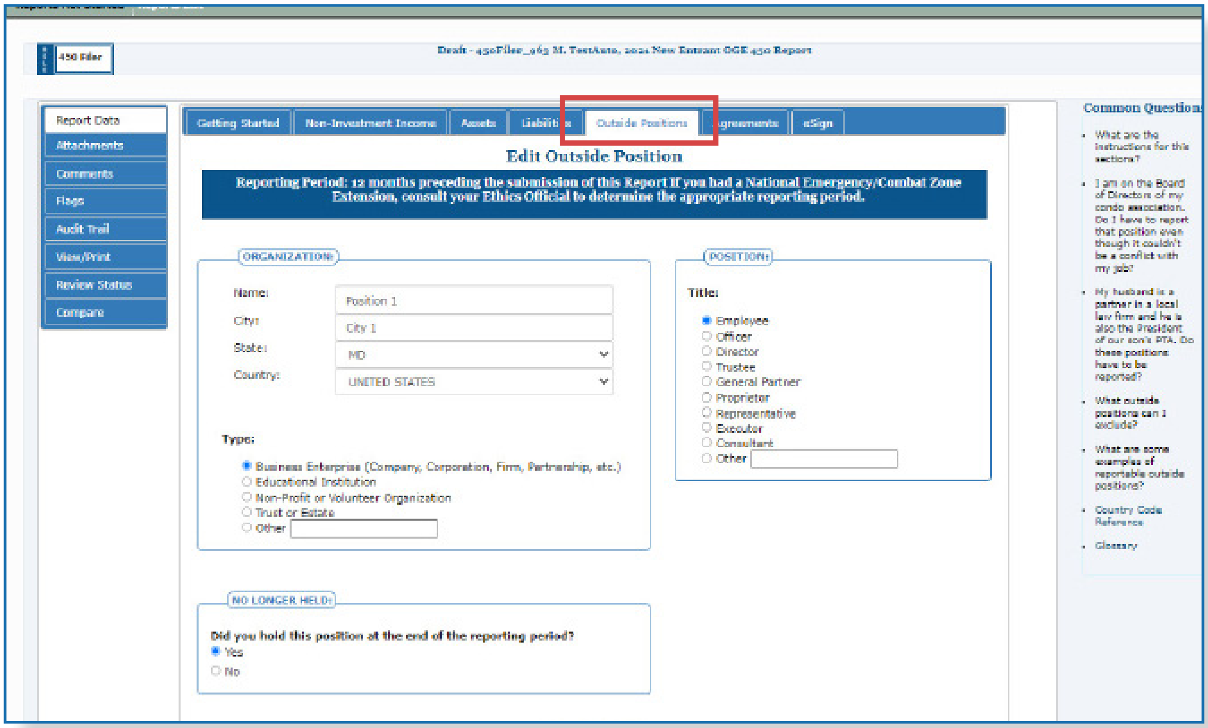
> Positions with a religious, social, fraternal, or political nature; and positions of a solely honorary nature do not have to be reported.

# Outside Positions

List positions held outside the government, whether or not compensated. Report positions held in any for-profit or non-profit organization, at any time during the calendar year up to the date of filing. Ensure to include any partnership or trustee position. Include both paid and unpaid positions.

## Adding Positions

1. Click the **Outside Positions section**. The Positions Held Outside of U.S. Government page is displayed.
2. Select **Yes** to indicate positions held outside of the U.S. Government and click **Continue**. The Add Outside Position page is displayed.




3. Enter the position information and click **Save**. The Positions Held Outside of US Government page is displayed with your new entry.

| Field | Description |
|---|---|
| Organization | Enter the organization or entity's name, location (city, state and country) and the type of organization. |
| Positions Held | Select the position's title or nature of activity. If selecting Other, include a functional description of the position and the dates the position was held. |
| No Longer Held | Select Yes or No. Select No if the outside position is no longer held at the end of the reporting period. |

- Filers do not have to add information concerning agreements or arrangements entered by their spouse or dependent children
- Do report post-employment plans and severance pay.

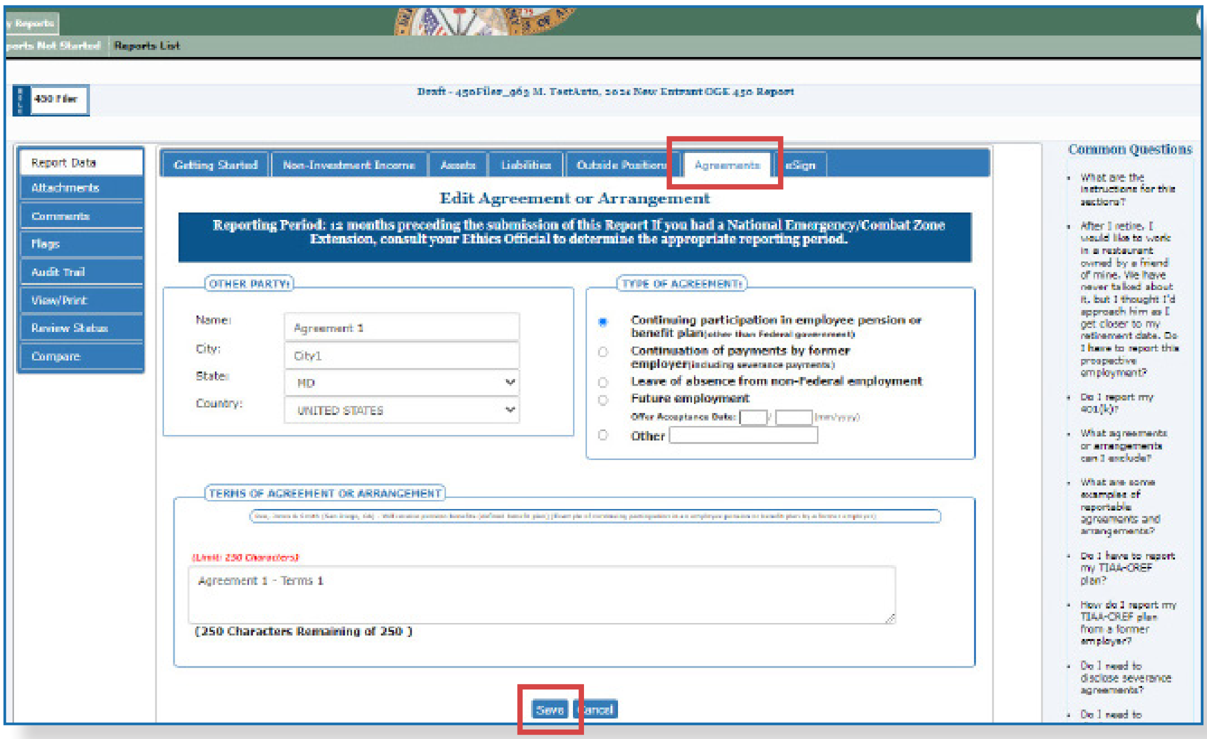
# Agreements

Filers must describe any agreements or arrangements held at the end of the reporting period. Describe all agreements or arrangements concerning future employment, leave of absences, severance payments, continuing payments from a former employer, or continuing participation in employee pension, welfare, or benefit plans, except those with the U.S. Government.

> **Note**: Such assets must also be reported within the assets section of your disclosure report.

## Adding Agreements

1. Click the **Agreements section.** The Agreements and Arrangements page is displayed.
2. Select **Yes** to indicate agreements and/or arrangements to report and click **Continue**. The Add Agreement or Arrangement page is displayed.




3. Enter the agreement information and click **Save**. The Agreements and Arrangements page is displayed with your new entry.

| Field | Description |
| --- | --- |
| Other Party | Enter the organization or entity's name, location (city, state and country) and the agreement date. |
| Type of Agreement | Select the agreement type. |
| Terms of Agreement or Arrangement | Describe the basic elements of the agreement or arrangement, such as terms of employment, effective dates, etc. Include the name and title of the official, corporate officer, or principal person responsible for carrying out the terms of the agreement or arrangement. |

# Gifts

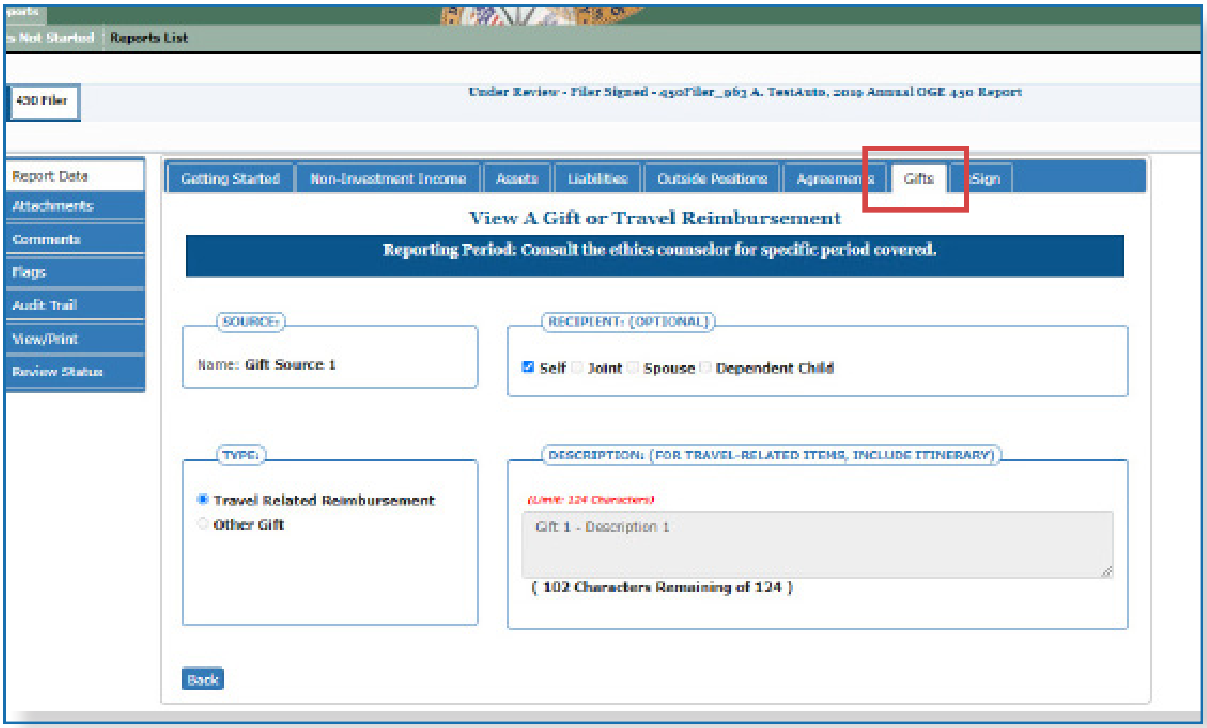
Gifts or travel reimbursements do not apply to new entrants and Special Government Employees.

Filers must disclose gifts received and travel reimbursements. Information in this report section relates to Filers, spouses, and dependent children.

## Adding Gifts.

1. Click the **Gifts** section. The Gifts and Travel Reimbursements page is displayed.
2. Select **Yes** to indicate you have Gifts to report and click **Continue**. The Add Gift or Travel Reimbursements page is displayed.

Gifts or travel reimbursements entered on a previous report do not carry forward because they are only related to a specific reporting period.




3. Enter the gift information and click **Save**. The Gifts, Reimbursements and Travel Expenses page is displayed with your new entry.

| Field | Description |
|---|---|
| Donor/Name | Enter the donor's name and location (city, state and country). |
| Recipient | Select the recipient. |
| Type | Select the type of gift: In Kind Travel Expense, Reimbursement Expense, and Other Gift. |
| Brief Description | Include a brief description and the date of receipt. For example, Event tickets for seats owned by Amer. History Museum 2/01/06 - 03/31/06. |

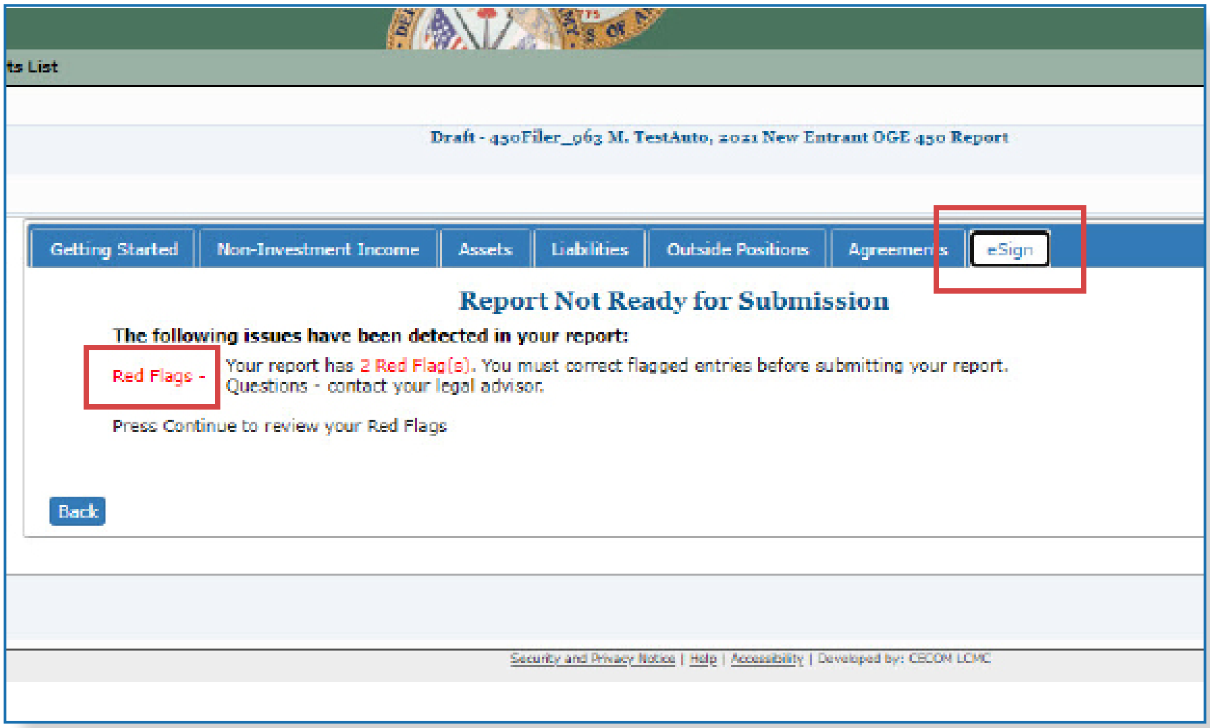
Filers can submit financial disclosure reports with yellow flags.

# Report Flags

FDM automatically reviews the report prior to submission and alerts of incomplete or missing items through report flags. Review the report flags and correct errors before submitting the report. OGE 450 Filers cannot submit reports with red flags.

## Not Ready for Submission

The Report Not Ready for Submission page will display for OGE 450 reports with red flags. FDM automatically flags missing or incomplete information that require further action by the Filer or reviewer. Flags should be resolved before eSigning a report. Consult the legal advisor for assistance. Yellow flags are cautionary items drawing attention to Filers and reviewers to take a closer look.

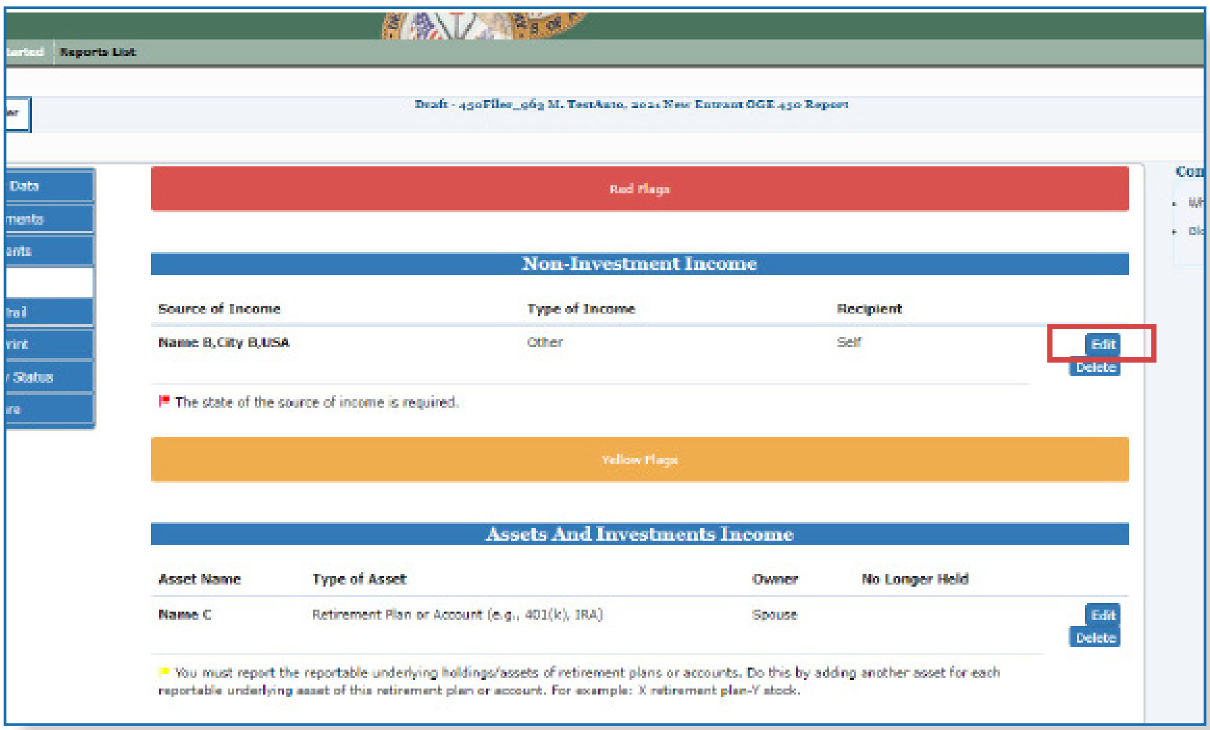



1. On the Report Not Ready for Submission page, click **Continue** to review reported flags and correct errors before submitting the report.

# Reviewing Flags

The Flags page displays the Red or Yellow flags from your report.

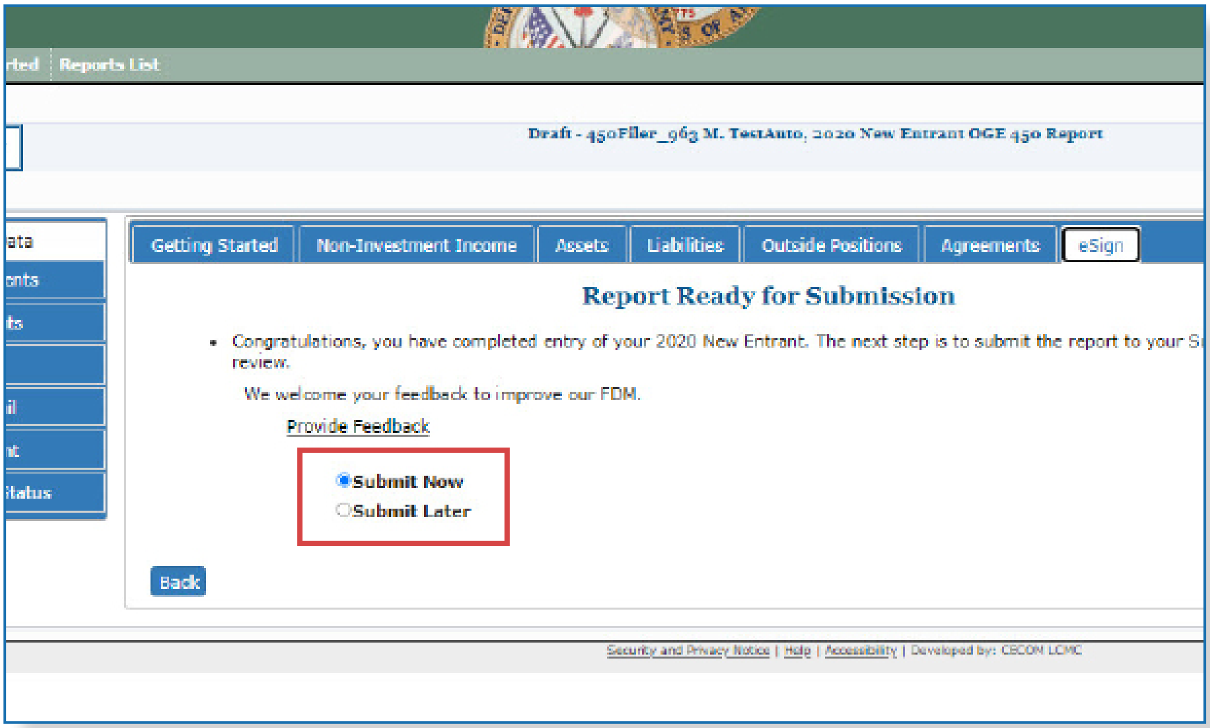
| Field | Description |
|---|---|
| Red Flags | A red flag indicates required information is missing and should be provided before the report is submitted. |
| Yellow Flags | A yellow flag indicates information is missing but is not required to submit the report. |




Click **Flags** at any time to review a listing of your Red and Yellow flags.

1. Click **Edit** beside a flagged entry.
2. The Report Ready for Submission page is displayed.

# Report Ready for Submission



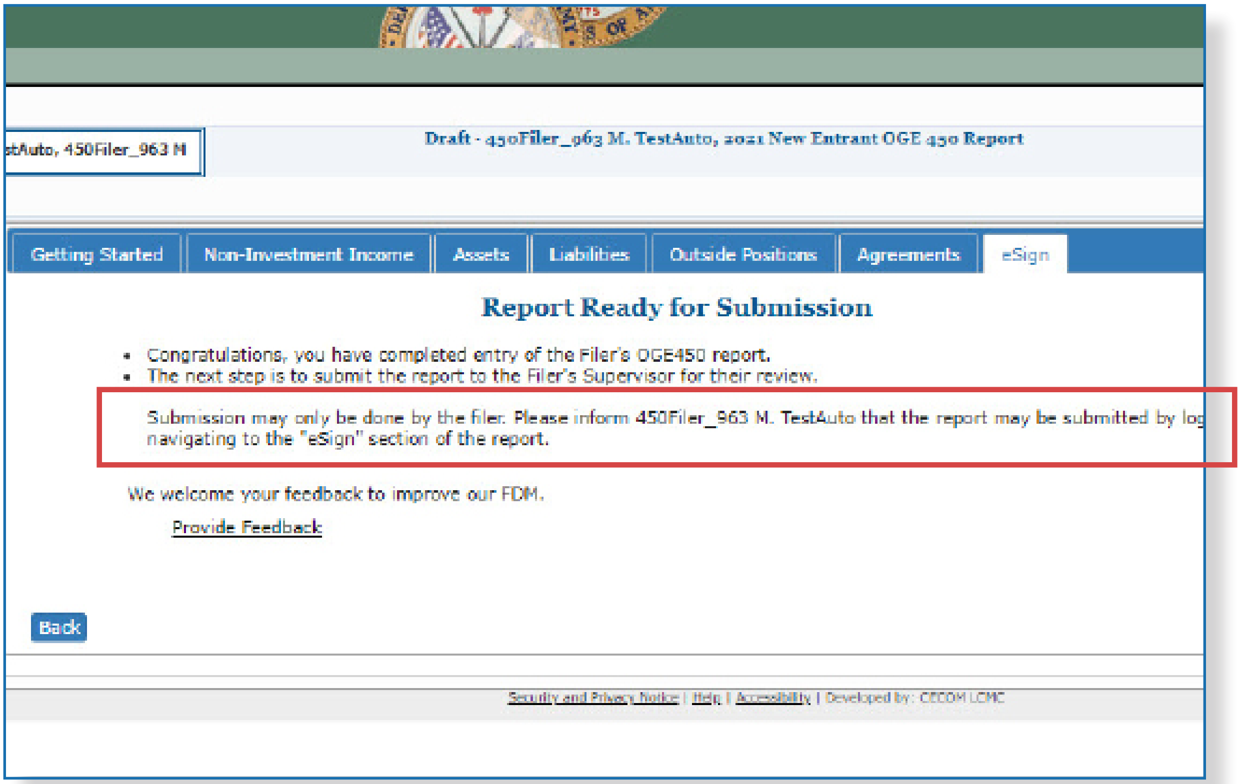

1. On the Report Ready for Submission page, select **Submit Now** or **Submit Later** and click **Continue** to eSign the report.

| Field | Description |
|---|---|
| Submit Now | Select **Submit Now** to eSign the report and submit for review to the Senior Legal Counsel and Supervisor. |
| Submit Later | Select **Submit Later** to save the report in FDM and complete the report at a later date. |

Only the Filer can submit a financial disclosure report in FDM.

## Filer Assistant

If a Filer Assistant has prepared the financial disclosure report on behalf of a Filer, the Report is Ready for Submission page is displayed.  The page directs the Filer Assistant to inform the Filer the report is ready to be submitted.

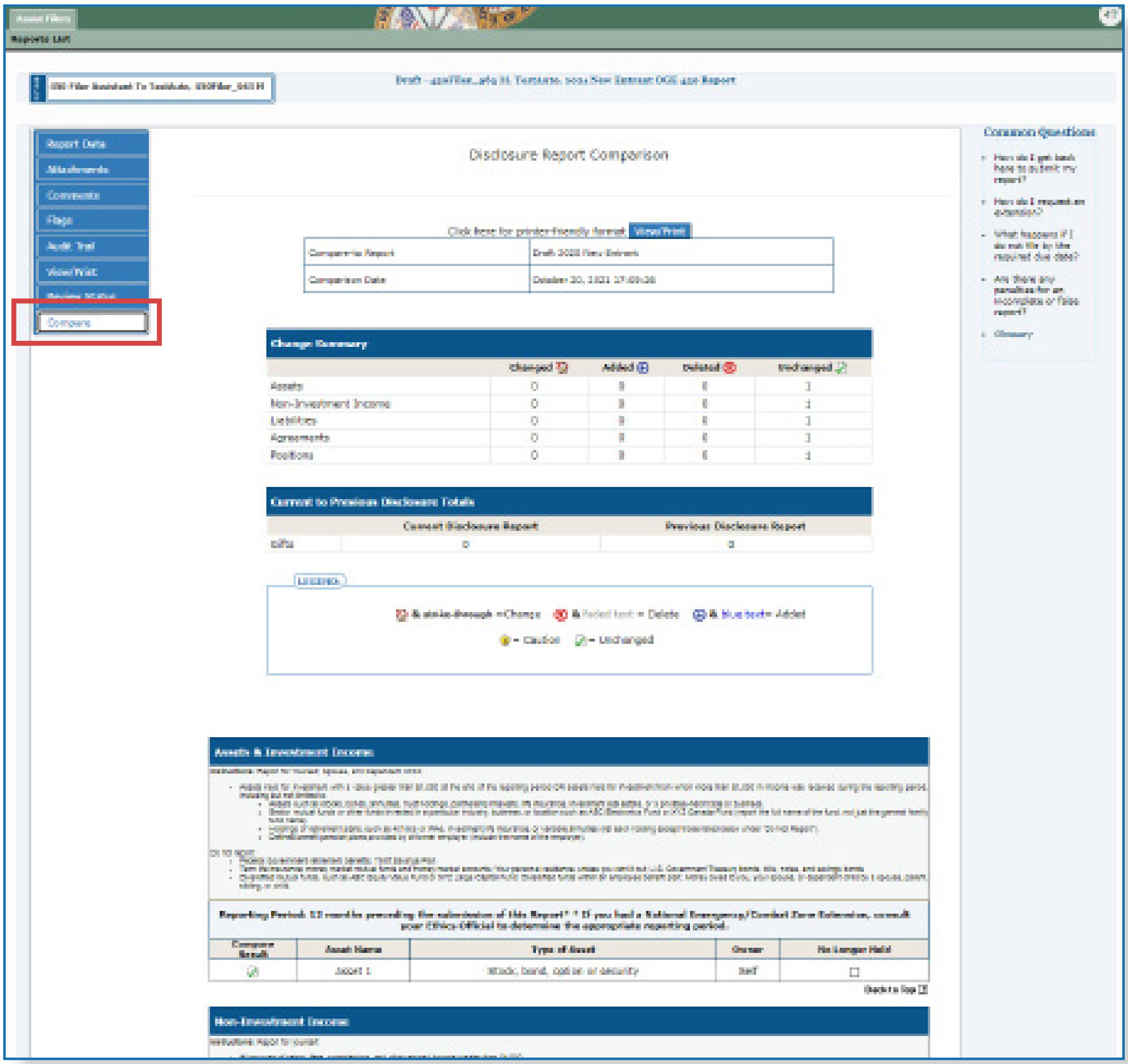


# Compare a Pre-populated Report

Filers can compare changes and differences between the previous and current year's report on a single page. The Compare feature is only available if the Filer pre-populated from a previous report.

## Comparing Reports in FDM

1. Click **Compare**. The Disclosure Report Comparison page is displayed.

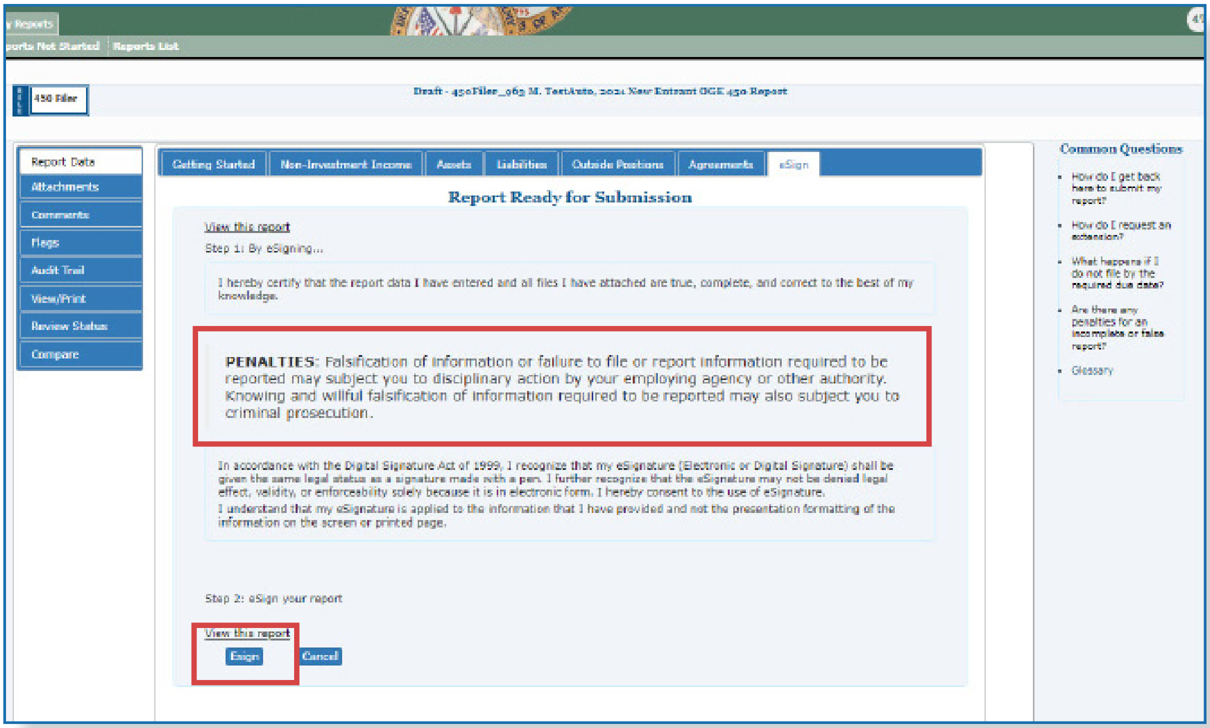



2. Review the report changes.
3. Click **Report Data** to proceed to eSign.

# Submitting an OGE 450 Report

## eSigning Report

Before eSigning the report, review the certification information regarding the DoD Joint Ethics Regulation requirement to acknowledge the annual post-employment certification and notification about post-Government Employment restrictions.

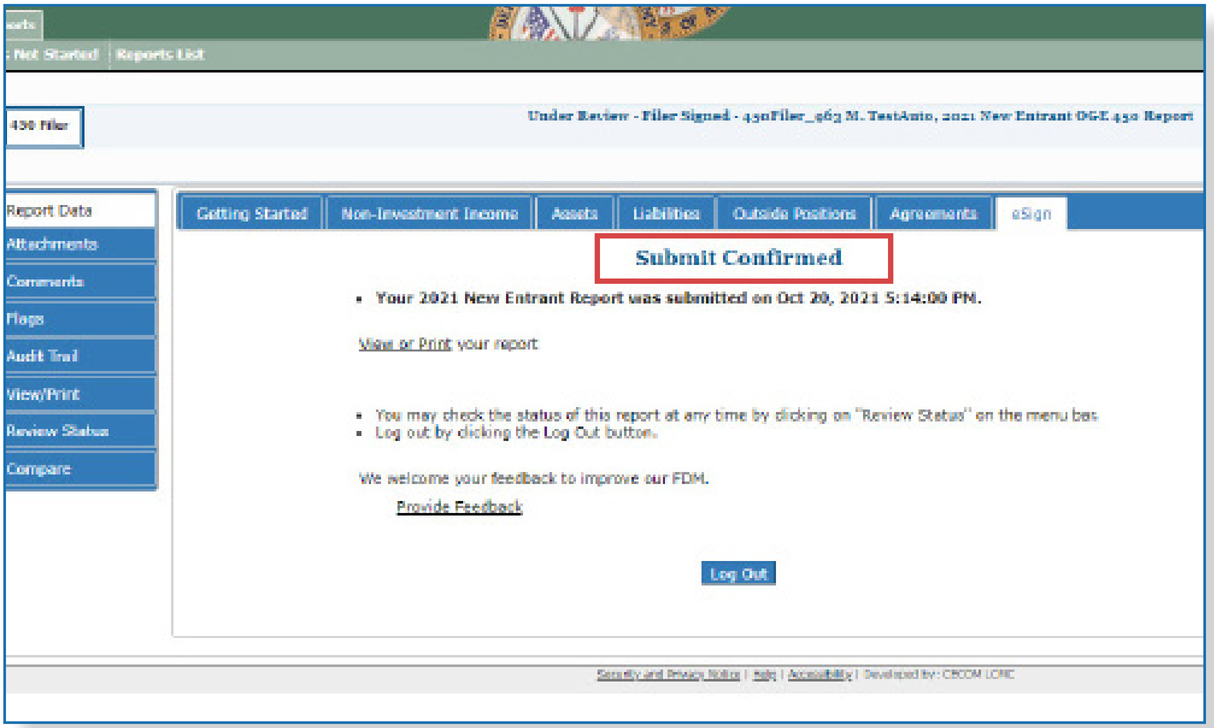



Once the Filer has eSigned the report, FDM sends an e-mail message to the appropriate reviewers indicating the report is awaiting their review.

| Field | Description |
|---|---|
| Step 1 Certify | Review the certification passage. |
| Step 2 View This Report | Click the link to view and print the financial disclosure report prior to submission. |
| Step 3 eSign | Click eSign to submit the report. |

## Submit Confirmed

Once the Filer eSigns the financial disclosure report, a page displays confirming the submission.



# Amend a Report in FDM

Amending an OGE 450 report in FDM voids the last digital signature on the report. Filers must complete the amendment process by digitally re-signing the report once amendments are complete. Only Filers can amend a report. Filer assistants cannot make any changes or amendments to a report once a report has been eSigned.

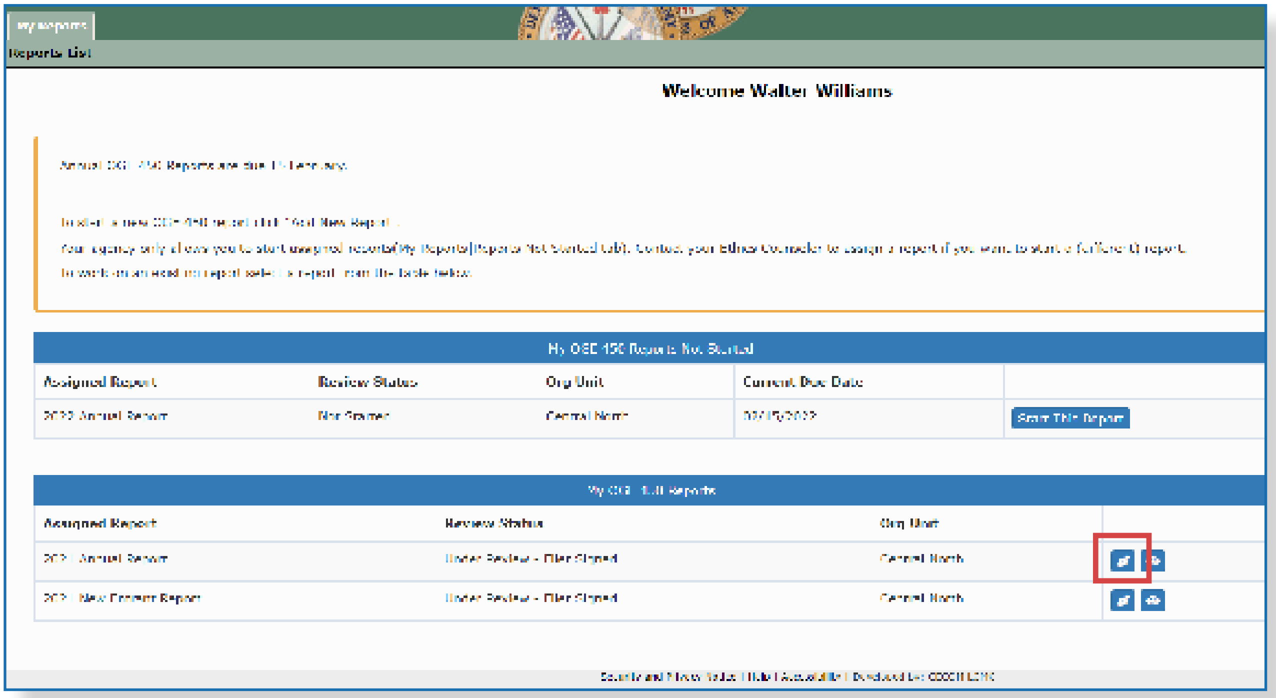
FDM notifies all reviewers who completed an initial review of the report prior to an amendment, informing them the report has changed since it was last submitted.

The process for creating an OGE 450 includes the following tasks:

| Filing an Amended OGE 450 |
|---|
| The Filer logs into FDM and verifies their profile and review chain. |
| The Filer selects a submitted financial disclosure report to amend. |
| The Filer updates the financial disclosure report. |
| The Filer reviews the report flags, comments, and corrects errors. |
| The Filer eSigns and submits the OGE 450 for review.<br>**Note**: An e-mail notification is sent to the reviewers indicating they can begin their review process. |

# Amending an OGE 450 Report

1. On the Reports List Page, click the **Amend** icon beside the selected OGE 450 report. Make the appropriate additions and corrections.




2. Click the **Report Data** button
3. **Submit** and **eSign** the report.

# Supplemental Report Comments and Attachments

Occasionally, a Filer or reviewer discovers additional information that should be stored with the report for future reference.  In FDM, Filers and their assistants can add supplemental information through report comments and report attachments. Adding supplemental information to a completed report does not remove report signatures or change the report's status in FDM.

## Important Information

- Report Data cannot be changed or updated once a report is completed in FDM.
- Only the person who attached or added the supplemental item can replace, edit, or delete.
- Supplemental items are not part of the "report of record" and therefore do not print on the e450 report.

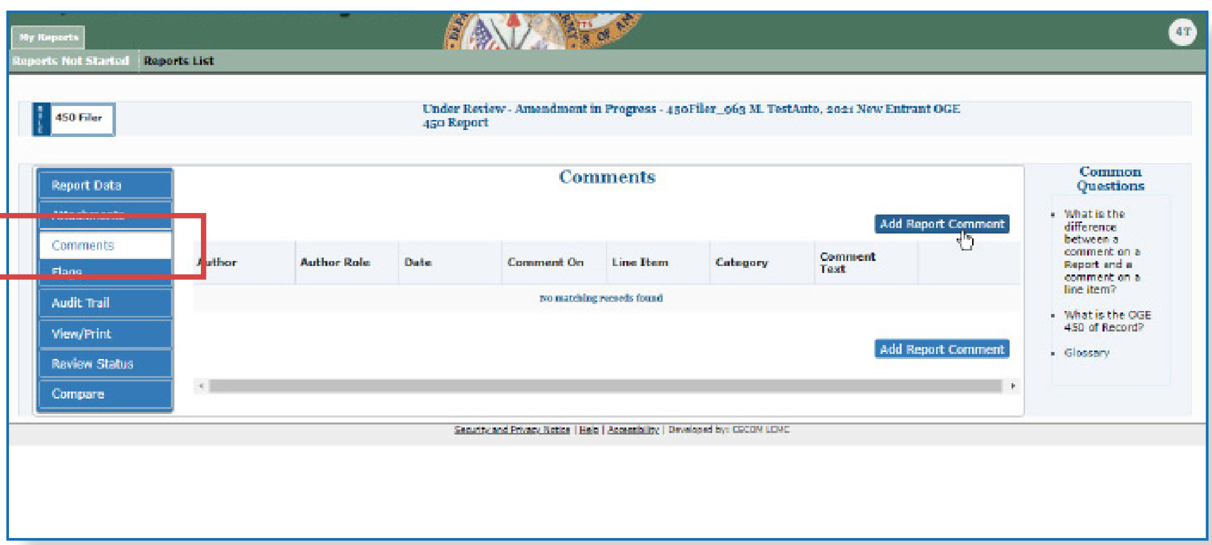
# Adding Supplemental Information

1. On the Reports List Page, click **View** beside the appropriate OGE 450 report.

The Filer can add additional report comments, or an attachment that provides additional information, a clarification, or a correction to your completed report.

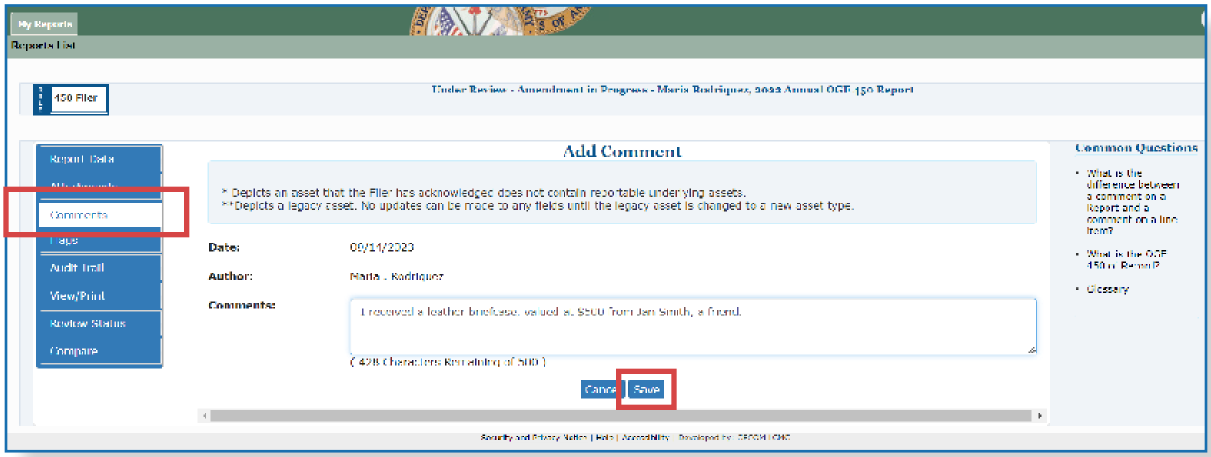
## Supplemental Report Comments

1. Click the **Comments** sub-tab.  The Comments page is displayed.



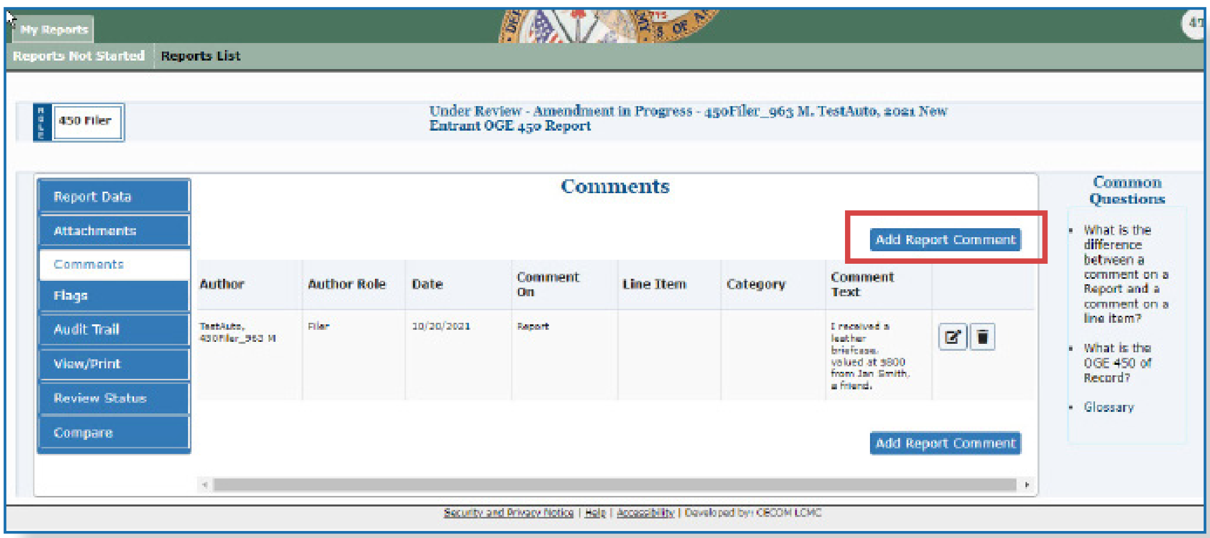
Report comments cannot be deleted.

2. Click **Add Report Comment**. The Add Comment page is displayed.



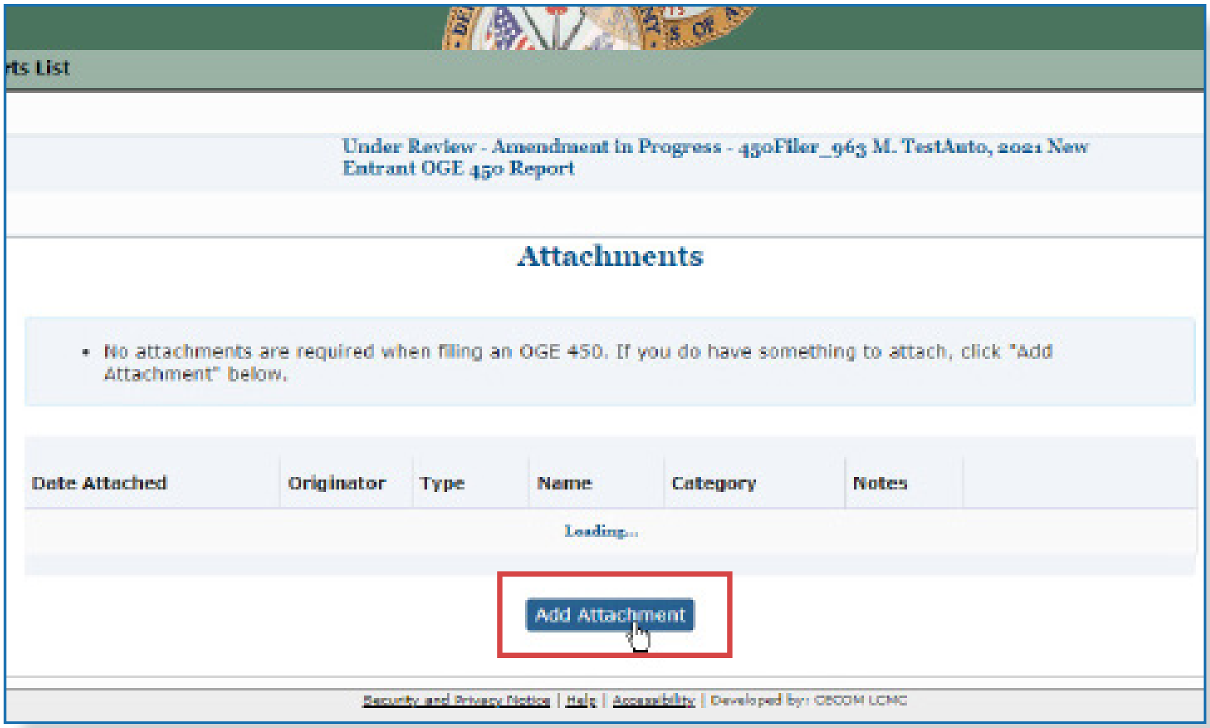
3. Type your comment and then click **Save.** The Comments page is displayed.

Filers can edit the comment just added or add additional report comments.

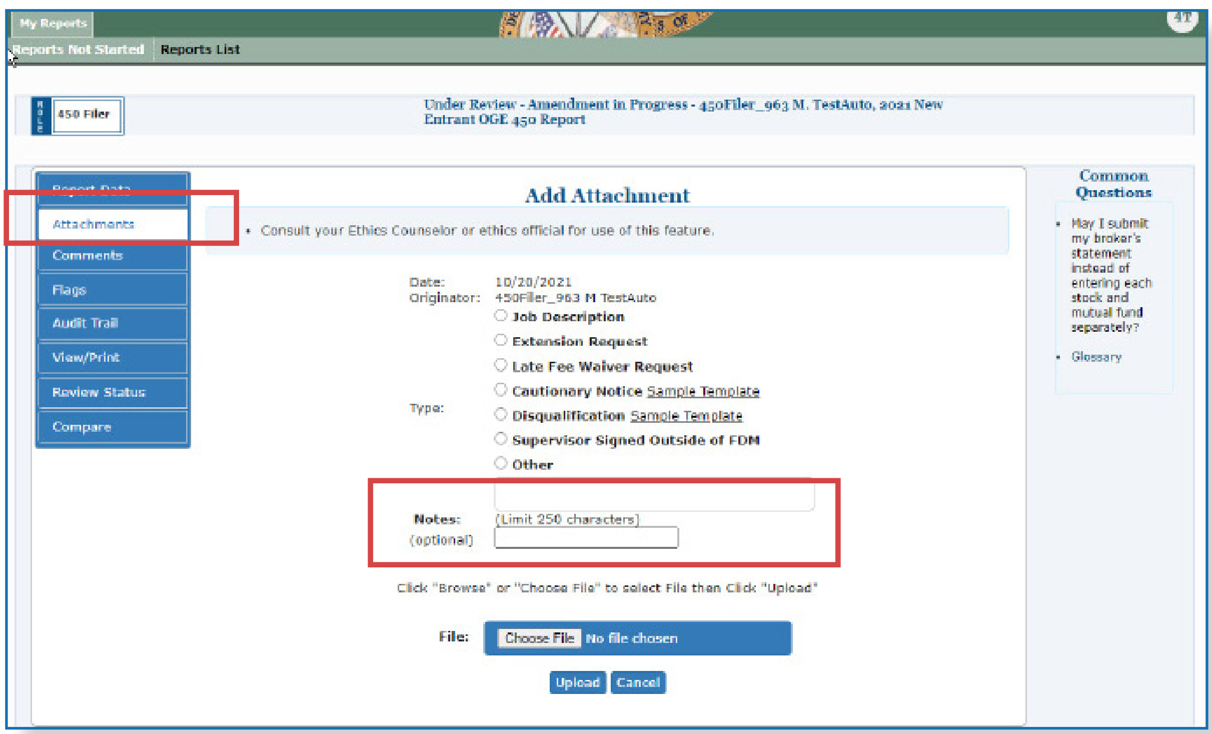


## Supplemental Report Attachments

1. On the Reports List Page, click **View** beside the selected OGE 450 report.
2. Click the Attachments sub-tab. The Attachments page is displayed.

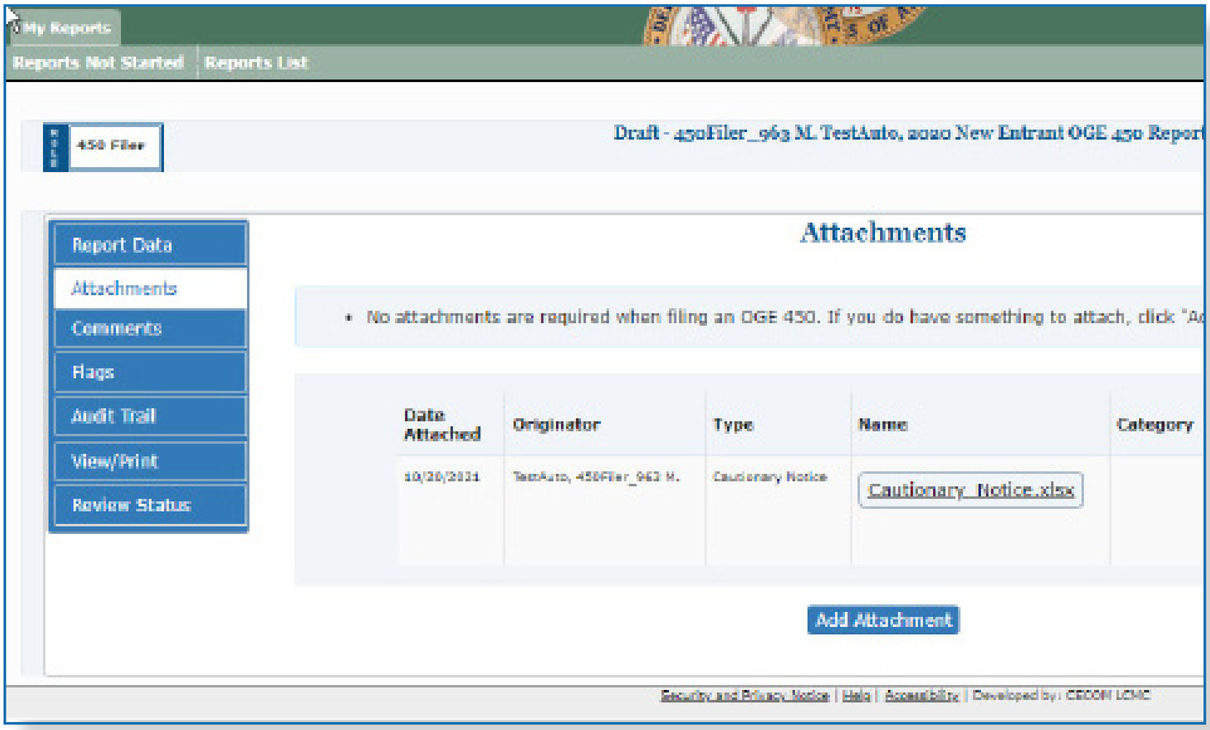



3. Click **Add Attachment.** The Add Attachment page is displayed.




4. Select the **Attachment Type** and type a **brief description** of the file in the Notes field.

5. Click **Browse** to locate the file to upload to the financial disclosure report.
6. Locate the file and click **Upload**. The Attachments page displays.




The Filer can replace and/or delete any existing attachments or add a new attachment.

Extension requests must be submitted outside of FDM.

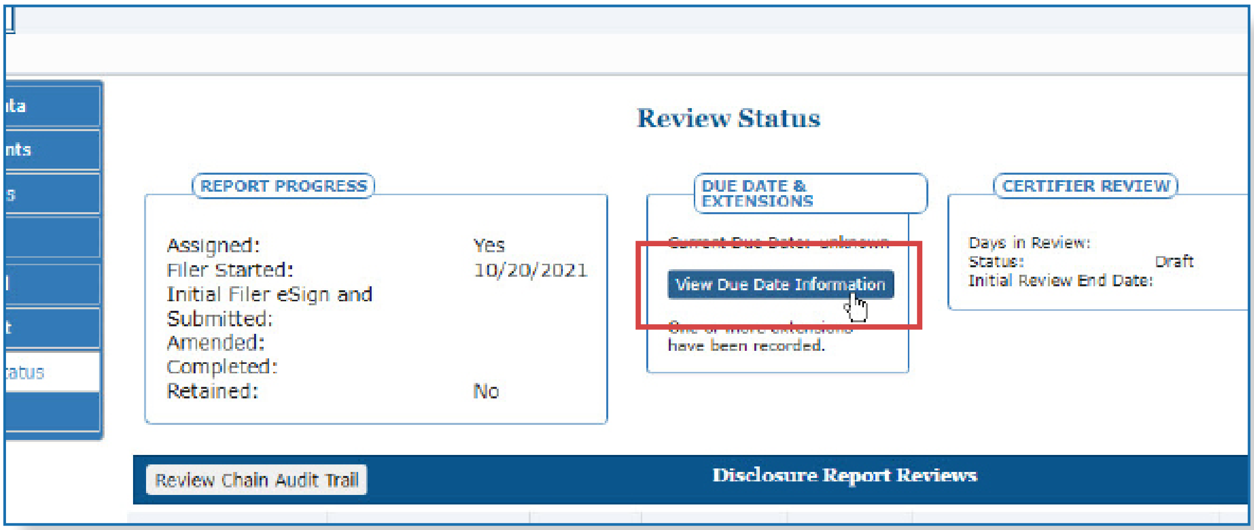
# Extensions

## Determining if an Extension has Been Recorded

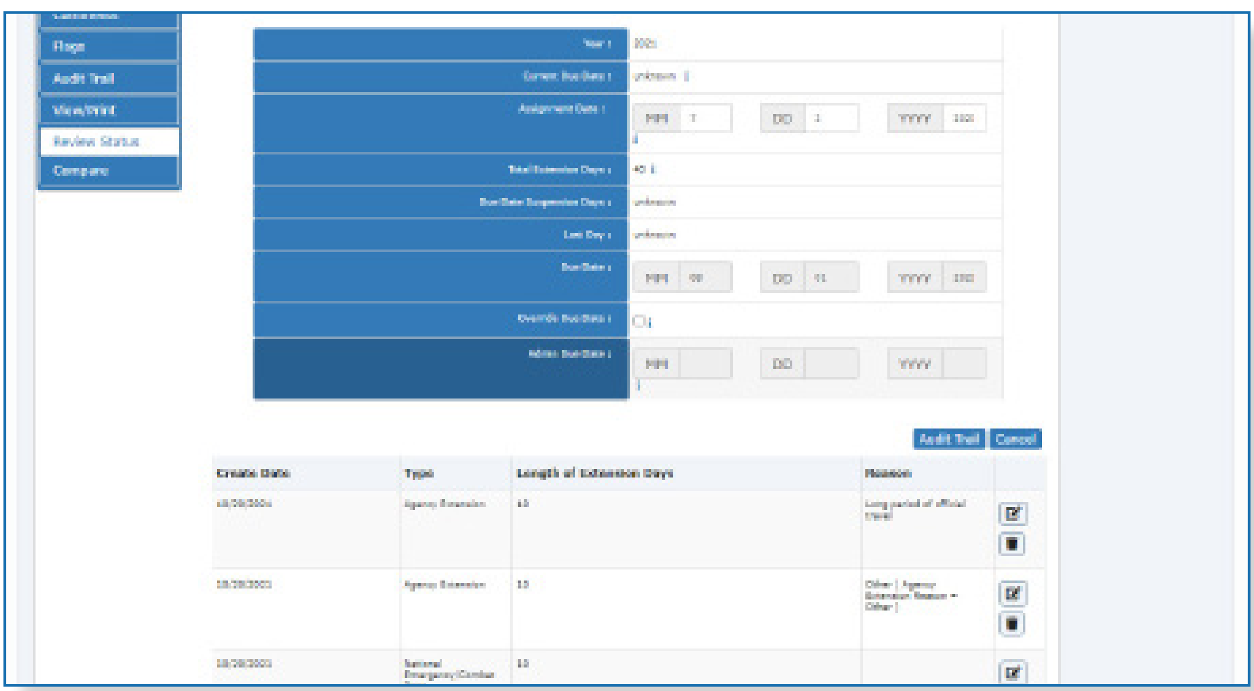
A Filer can determine if an extension has been recorded for a financial disclosure report by selecting **Review Status** or **View/Print** for a financial disclosure report.

### Review Status

1. On the Reports List page, select **View** or **Edit** beside the appropriate final disclosure report.
2. Click **Review Status.**
3. Click **View Due Date Information**.

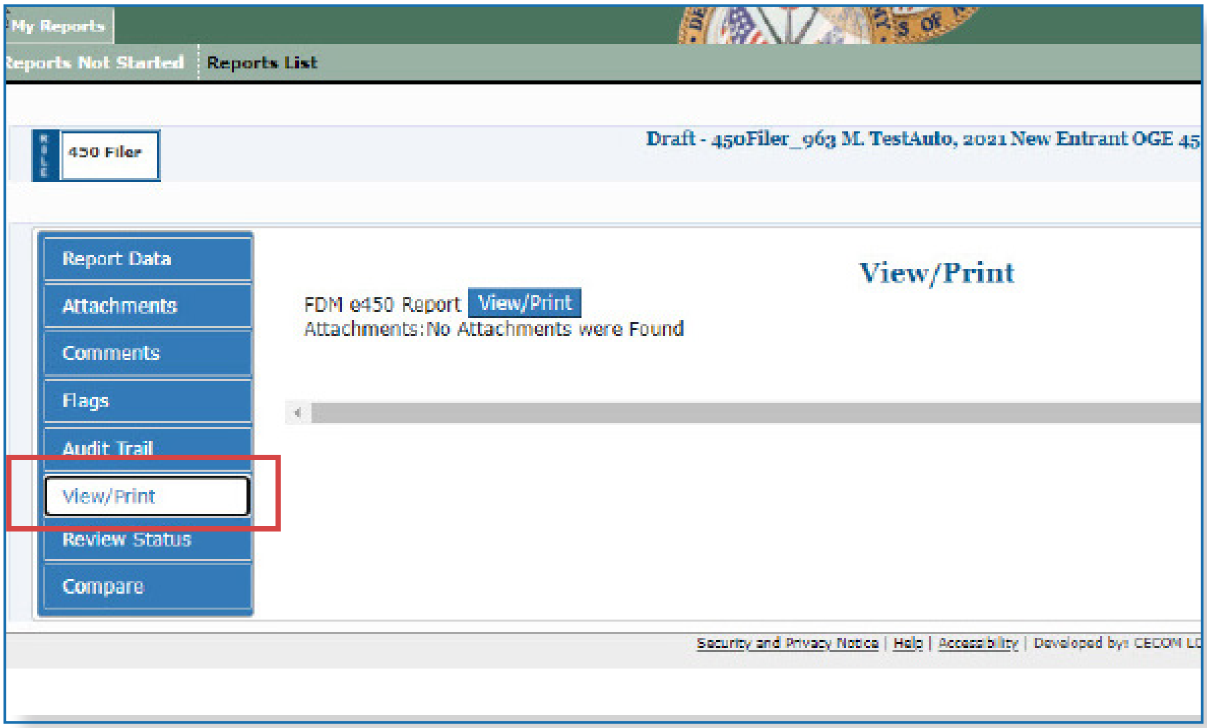



4. The Report Due Date Info screen displays. This page will display if the Filer was granted an extension.



## View/Print

1. On the Reports List page, select **View** or **Edit** beside the appropriate final disclosure report.
2. Click **View Print** beside the report.
3. For OGE 450 reports, scroll to the Review Status Section of the report to view the extension information.



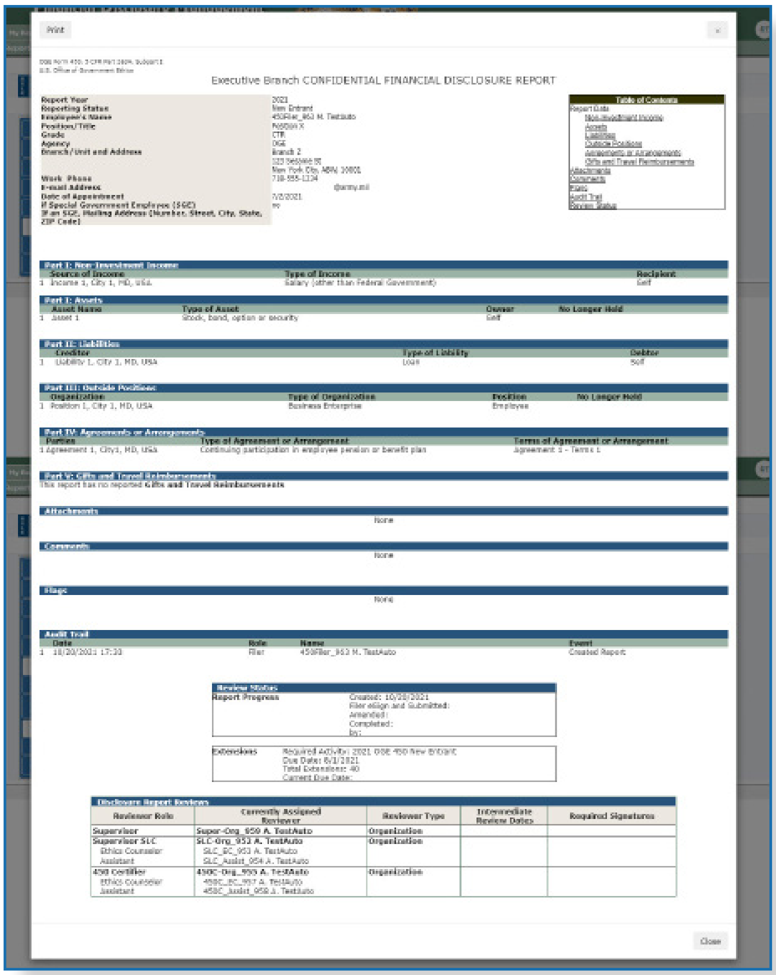
# View or Print a Report

Filers can view and print financial disclosure report at any time. View/Print provides Filers the ability to view and print the financial disclosure report, report flags, all comments, and any attachments.

## Viewing a Report in FDM

> To view and print an OGE 450, pop-up blockers must be disabled.

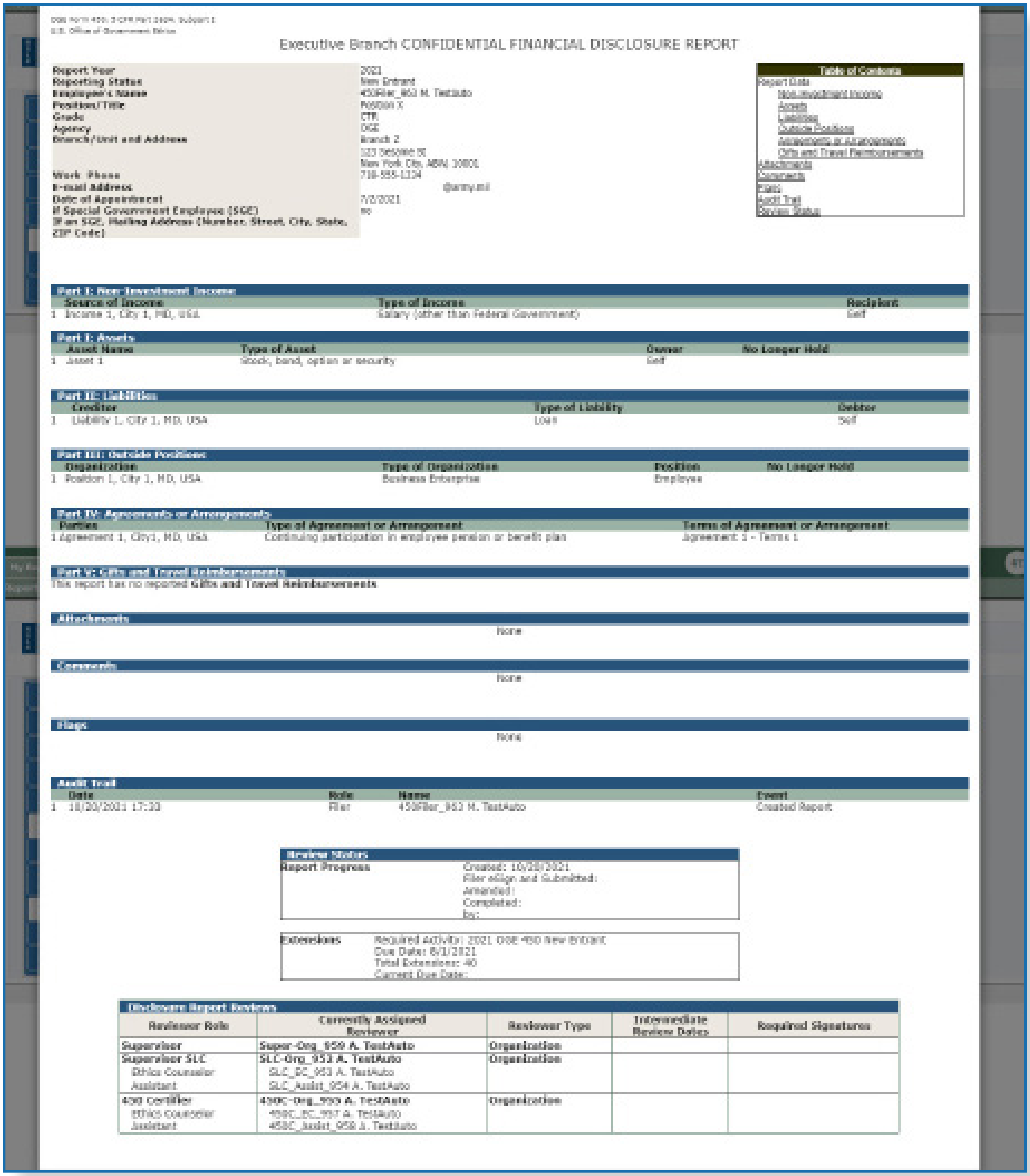
1. Click **View** beside the selected report on the **My Reports | Reports List** page.
2. Click **View/Print**.




3. Click **View/Print** beside the financial disclosure report.

   The financial disclosure report displays in a separate browser window.

# Printing a Report in FDM


OGE Form 450, 5 CFR Part 2634, Subpart I
U.S. Office of Government Ethics

Executive Branch CONFIDENTIAL FINANCIAL DISCLOSURE REPORT

| | |
|---|---|
| Report Year | 2021 |
| Reporting Status | New Entrant |
| Employee's Name | 450Filer_952 M. TestAuto |
| Position/Title | Position X |
| Grade | CTR |
| Agency | OGE |
| Branch/Unit and Address | Branch 2<br>123 Sesame St<br>New York City, ABN, 10001 |
| Work Phone | 718-555-1234 |
| E-mail Address | @army.mil |
| Date of Appointment | 7/2/2021 |
| If Special Government Employee (SGE) | no |
| If an SGE, Mailing Address (Number, Street, City, State, ZIP Code) | |

Table of Contents
Report Data
Non-investment Income
Assets
Liabilities
Outside Positions
Agreements or Arrangements
Gifts and Travel Reimbursements
Attachments
Comments
Flags
Audit Trail
Review Status

**Part I: Non-Investment Income**

| | Source of Income | Type of Income | Recipient |
|---|---|---|---|
| 1 | Income 1, City 1, MD, USA | Salary (other than Federal Government) | Self |

**Part I: Assets**

| | Asset Name | Type of Asset | Owner | No Longer Held |
|---|---|---|---|---|
| 1 | Asset 1 | Stock, bond, option or security | Self | |

**Part II: Liabilities**

| | Creditor | Type of Liability | Debtor |
|---|---|---|---|
| 1 | Liability 1, City 1, MD, USA | Loan | Self |

**Part III: Outside Positions**

| | Organization | Type of Organization | Position | No Longer Held |
|---|---|---|---|---|
| 1 | Position 1, City 1, MD, USA | Business Enterprise | Employee | |

**Part IV: Agreements or Arrangements**

| | Parties | Type of Agreement or Arrangement | Terms of Agreement or Arrangement |
|---|---|---|---|
| 1 | Agreement 1, City1, MD, USA | Continuing participation in employee pension or benefit plan | Agreement 1 - Terms 1 |

**Part V: Gifts and Travel Reimbursements**

This report has no reported Gifts and Travel Reimbursements

**Attachments**

None

**Comments**

None

**Flags**

None

**Audit Trail**

| | Date | Role | Name | Event |
|---|---|---|---|---|
| 1 | 10/20/2021 17:33 | Filer | 450Filer_952 M. TestAuto | Created Report |

**Review Status**

| | |
|---|---|
| Report Progress | Created: 10/20/2021<br>Filer eSign and Submitted:<br>Amended:<br>Completed:<br>by: |
| Extensions | Required Activity: 2021 OGE 450 New Entrant<br>Due Date: 8/1/2021<br>Total Extensions: 40<br>Current Due Date: |

**Disclosure Report Reviews**

| Reviewer Role | Currently Assigned Reviewer | Reviewer Type | Intermediate Review Dates | Required Signatures |
|---|---|---|---|---|
| Supervisor | Super-Org_950 A. TestAuto | Organization | | |
| Supervisor SLC<br>Ethics Counselor<br>Assistant | SLC-Org_953 A. TestAuto<br>SLC_EC_953 A. TestAuto<br>SLC_Assist_954 A. TestAuto | Organization | | |
| 450 Certifier<br>Ethics Counselor<br>Assistant | 450C-Org_955 A. TestAuto<br>450C_EC_957 A. TestAuto<br>450C_Assist_958 A. TestAuto | Organization | | |

4. Select **File | Print** and click **Print**.

# Recording Extensions

## Extensions

FDM certifying authorities, 450 Certifier role for OGE 450s and DAEO and SLC roles for OGE 278s, and their appointed ECs (Ethics Counselors) may record an extension until the disclosure report is certified or "complete" in FDM. The Agency DAEO or DAEO determines whether the SLC has the authority to grant the extension and record in FDM. SLCs should contact the Deputy DAEO for guidance.

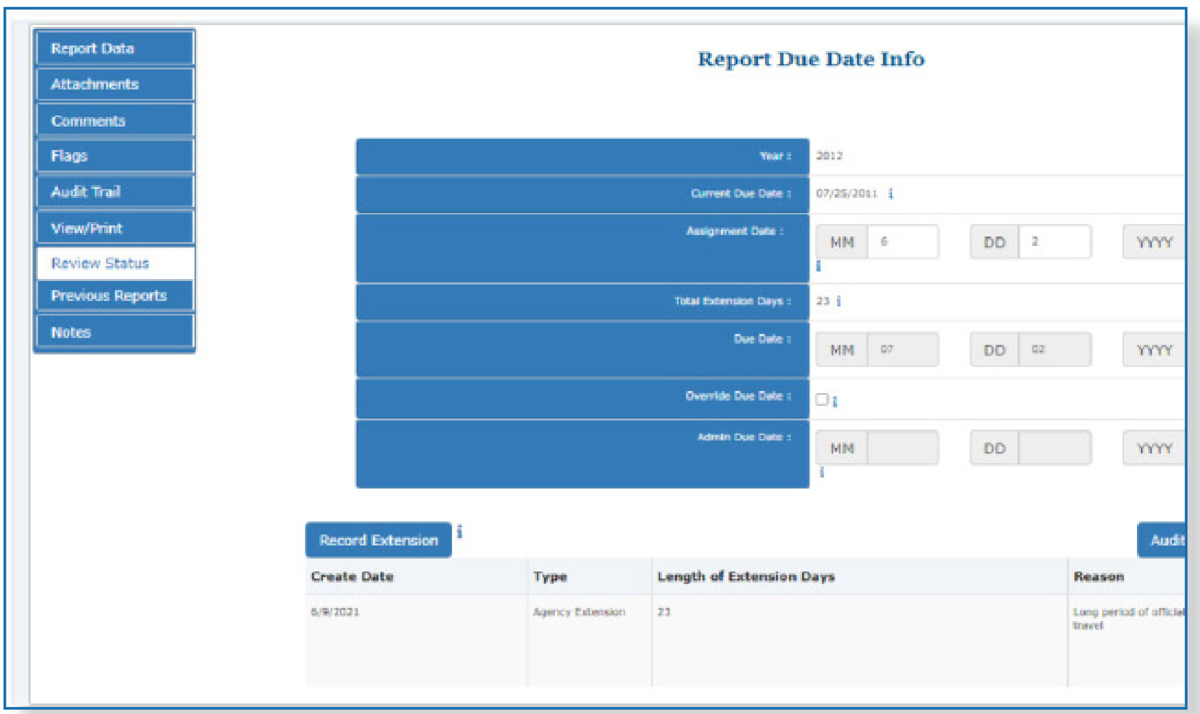
Entering an extension in FDM records the new filing due date of the financial disclosure report. A Filer or reviewer can determine if an extension has been recorded through Review Status or View Print.

### Recording an Extension

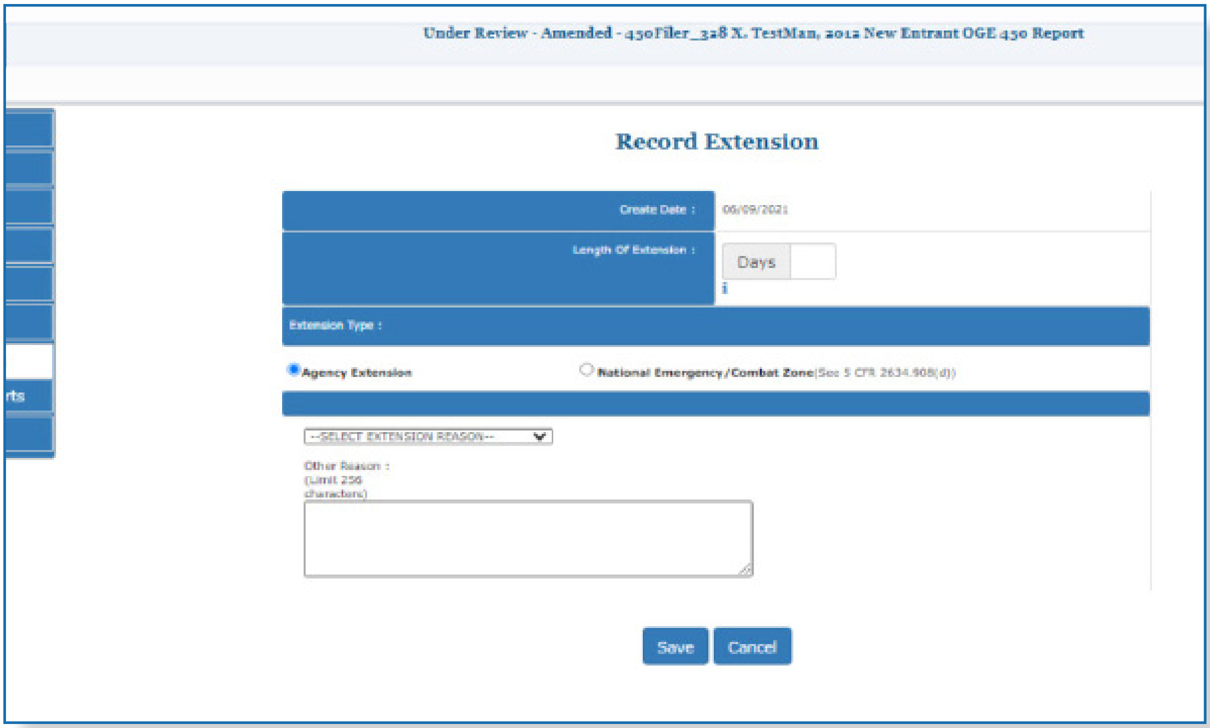
1. Go to **My Reviews | Review Reports** page, select **ALL** in the Action drop-down.

   **Note:** If the report has a National Emergency/Combat Zone extension, go to the **My Reviews | Dashboard** and select **Manage Exceptions**.

2. Type the Filer's name in the Last Name and/or First Name fields and click **Search**.
3. Click **Review Status** beside the appropriate report.
4. Click **View Due Date Information**.
5. Click **Record Extension**.



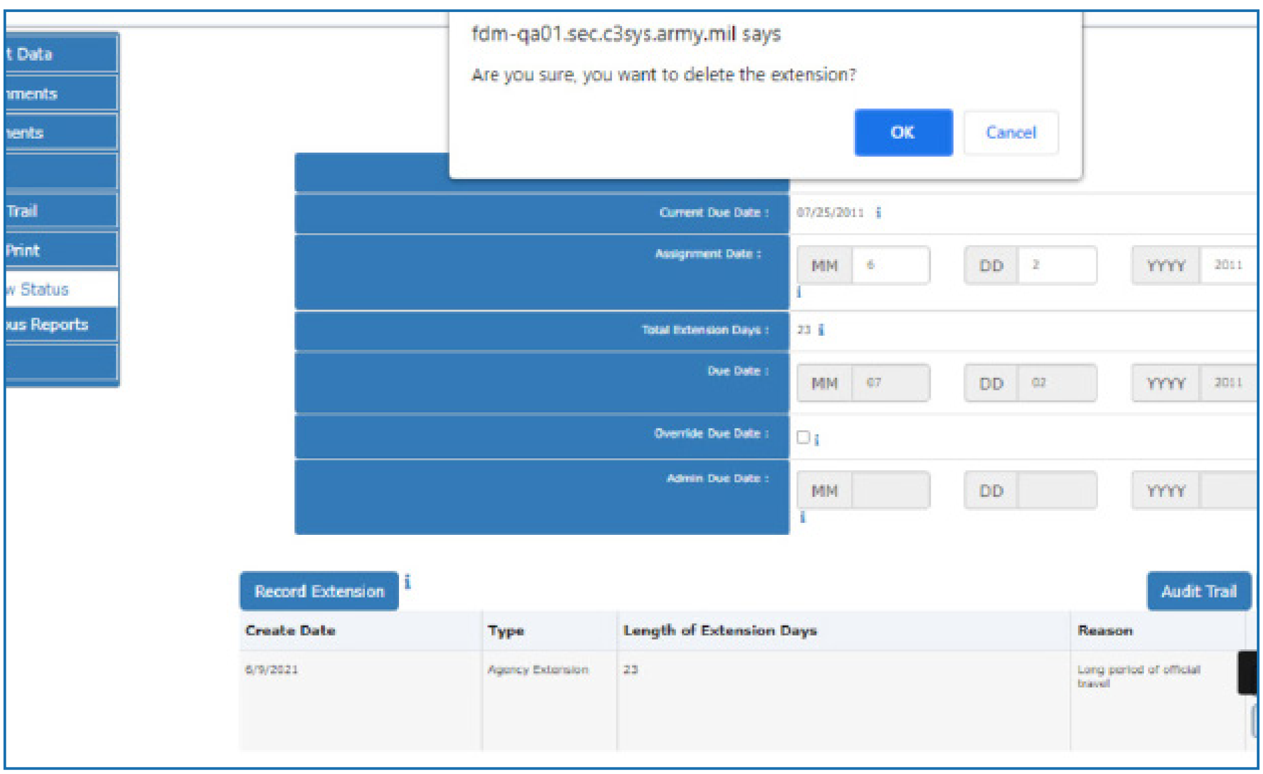

6. Make the necessary changes, then click **Save**. You return to the Record/Edit Extension page and the changes made display.
7. Click **Save** again.




## Deleting an Extension

To delete an extension already recorded in FDM:

1. On either the **My Reviews | Review Reports** page or the **My Reviews | Dashboard | Manage Exceptions** page click **Review Status** beside the appropriate report.
2. Click **View Due Date Information.**




3. Click **Delete** and then click **OK** to the message confirming that you wish to delete this extension.

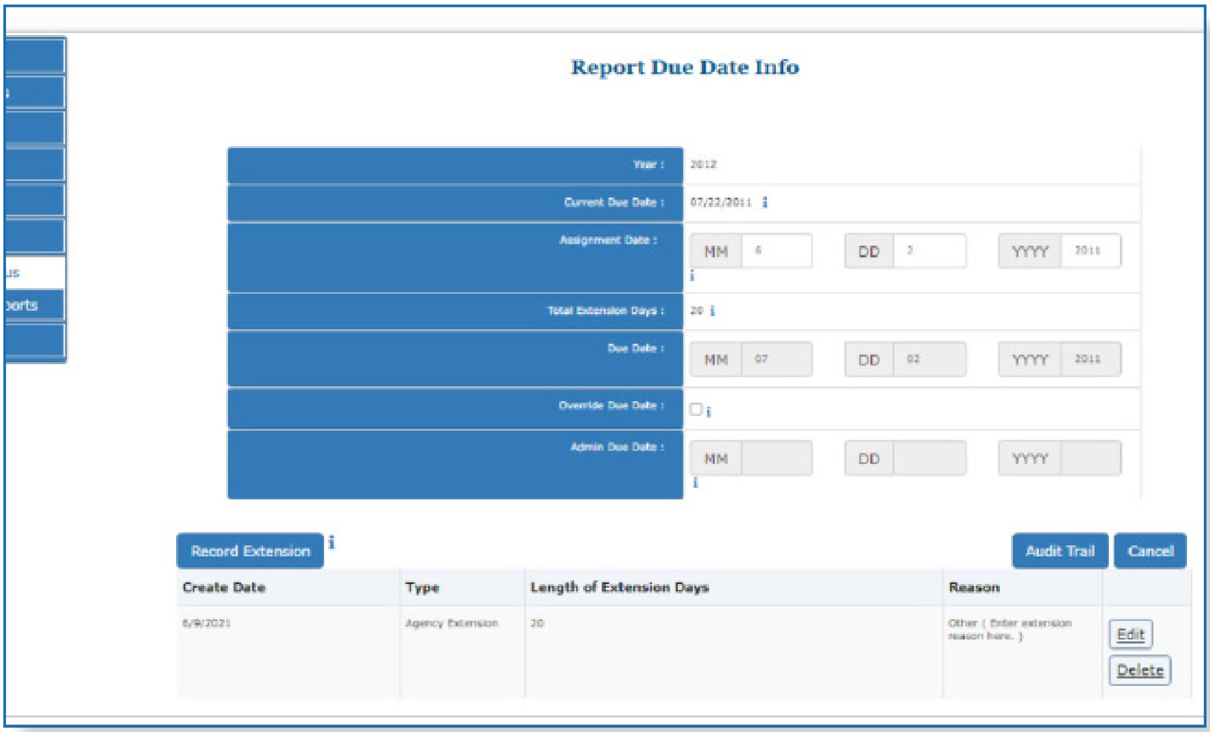
4. Click **Save.**
5. Click **OK**. You return to the Review Status page and the Current Due Date changes back to the original date.

# Determining if an Extension has Been Granted

A Filer or Reviewer can determine if an extension has been granted for a financial disclosure report by selecting **Review Status** or **View/Print** for a financial disclosure report.

## Review Status

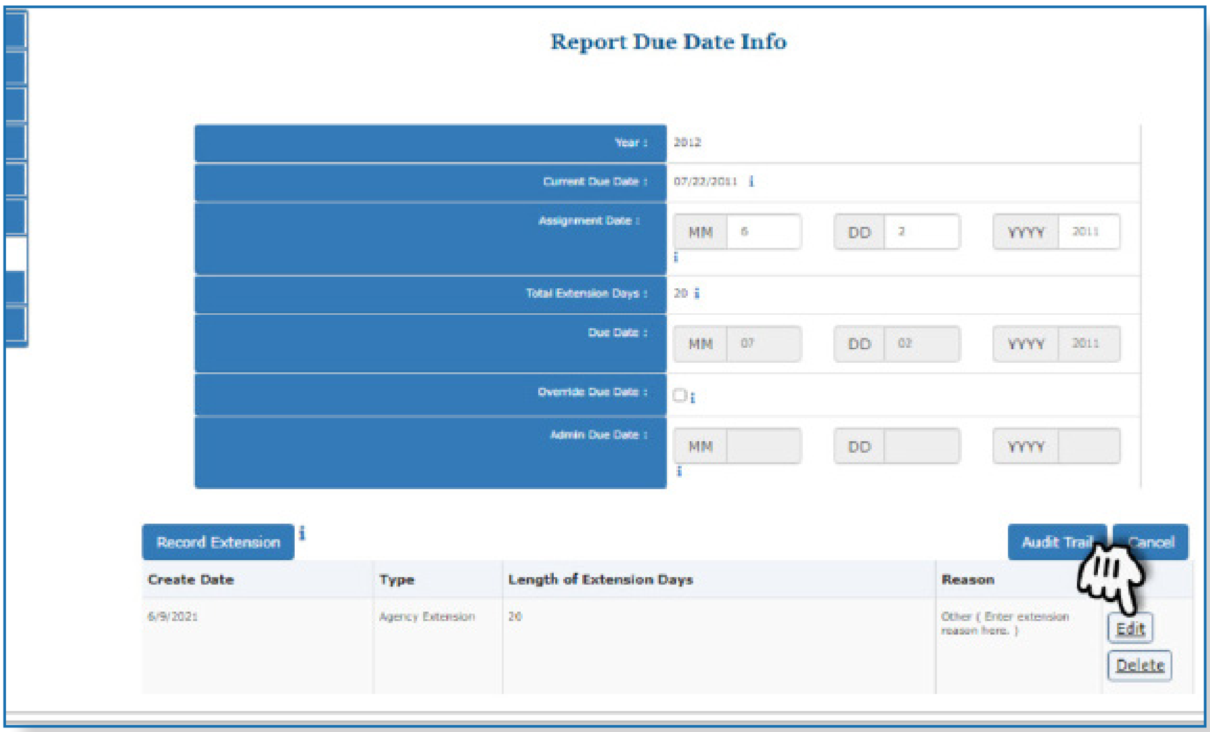
1. On the Reports List page, select **View** or **Edit** beside the appropriate financial disclosure report.
2. Click **Review Status.**
3. Click **View Due Date Information.** Existing extensions are listed at the bottom.



# Editing an Extension

To edit an extension in FDM:

1. From any point in FDM, click the **Admin Center** tab.
2. Click the **User Admin** tab.
3. Enter a user's name or e-mail address into the search field and then click **Search**.
4. Click the **View** button beside the appropriate Filer. The Filer profile page is displayed.
5. Select the **Reports** tab then click the **View** button next to the appropriate report. The Review Status for that report is displayed.
6. Click **View Edit Due Date & Extensions**.
7. Click **Edit** beside the extension that you want to modify. The Edit Extension page displays.




8. Make the necessary changes, then click **Save**. You return to the Record/Edit Extension page and the changes made display.
9. Click **Save** again.

# Notifications

Once your Filers are assigned an OGE 450 or 278 report to file in FDM, you can use Notifications to monitor and manage their filing progress and send reminder notifications. Filers who have completed their filing task will not list on this page.

## Annual Reminder Notification

- **Initial Notification -** 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

- **Not Started** - Use this option to locate Filers who have not started their report.
- **Not submitted -** Use this option to locate Filers who have not eSigned their report.
- **Late -** Use this option to locate Filers who are delinquent in eSigning their report.

## Monitor Report Review Progress and Notify

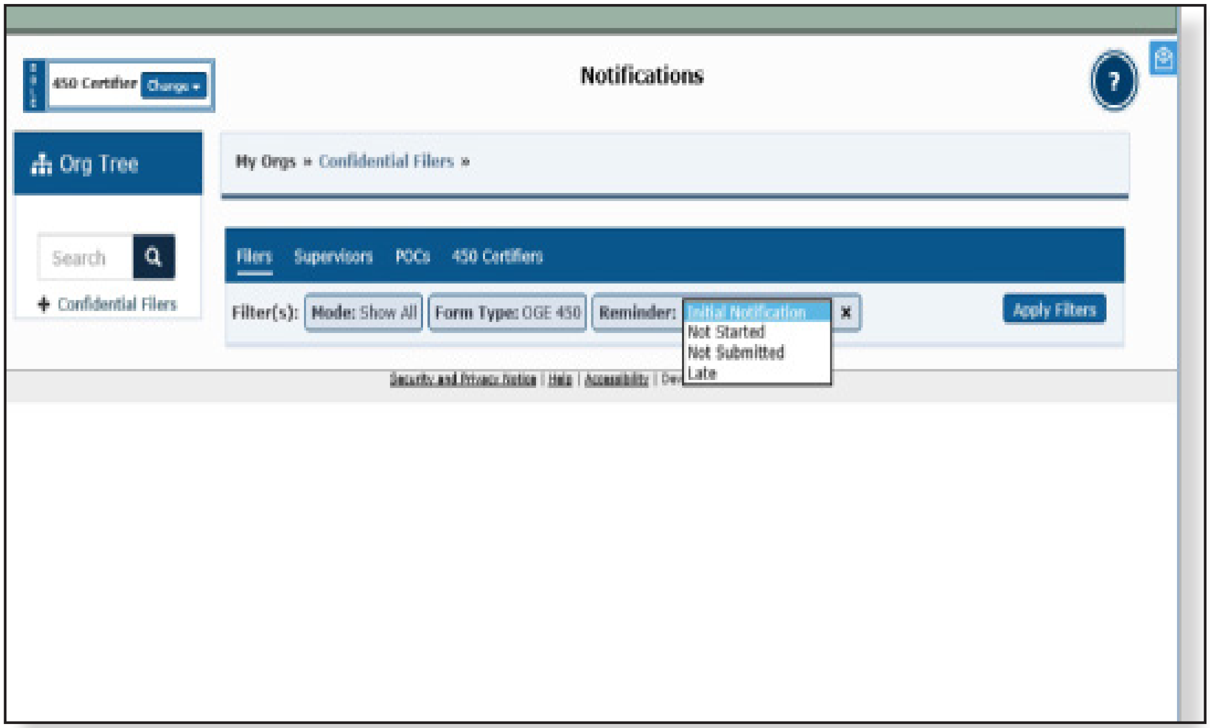
Once your Filers have eSigned their OGE 450 reports, you can use Notifications to monitor and send reminder notifications to Supervisors to begin their review of the Filer's reports in FDM.

- **Not eSigned** – Use this option to locate Supervisors who have not eSigned a submitted report.

# Sending an E-mail Reminder

To send a notification to a group of Filers, Supervisors reminding them of their need to finish a task in FDM:

1. Go to the Notifications tab and click on Filers or Supervisors.




## Filtering and Sorting

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

2. Select **Show My** or **Show All**.

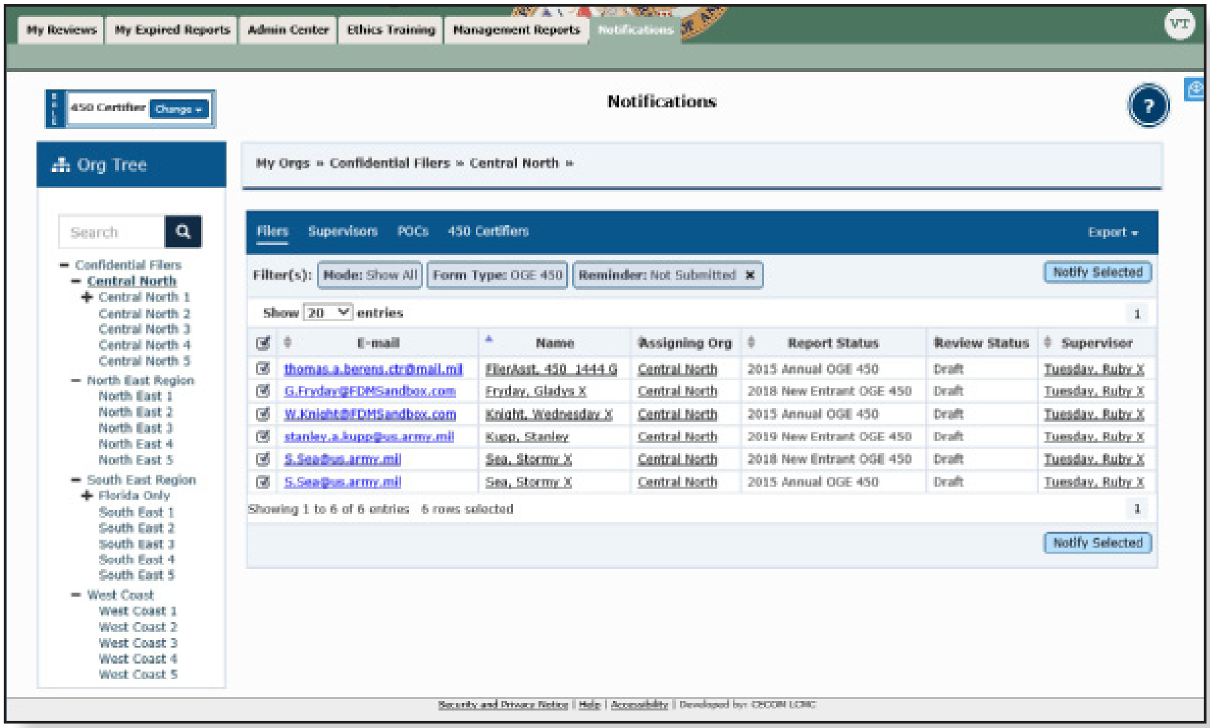
### Filtering Options

3. Click **Add Filter(+)** and select the Reminder filter options you want your list to contain.
4. Click **Apply Filters**. Only the records containing the selected filter information are displayed.

4. Review the list and then click **Notify**. The Reminder notification is displayed.

### Sorting

5. Choose a column by which to sort the list and then click on the sort arrows. The list is rearranged.



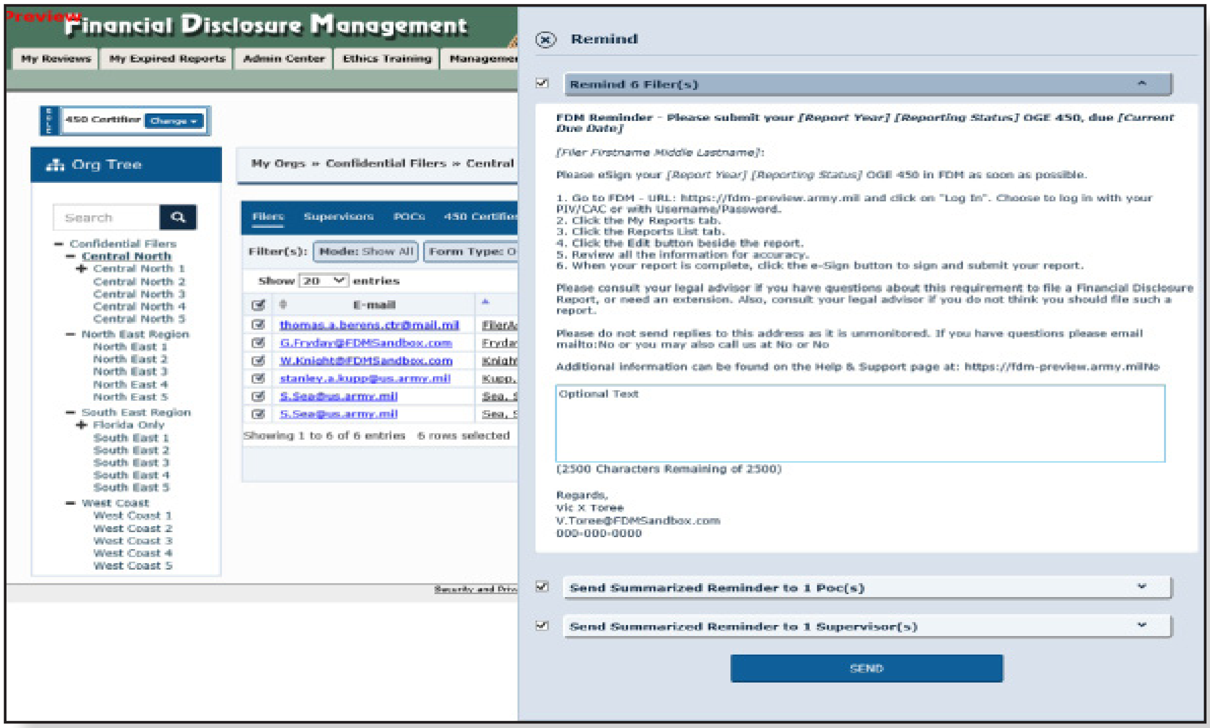

## Exporting Your Filer List

To export a list:

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

## Review E-Mail Message

7. From the Remind pop-out, click on a notification's drop down bar to display or add additional text to the message.




When sending notifications from FDM, be sure NOT to use special characters such as <,> =, &, :, " " in your message. Italicized items in brackets indicates areas where local revisions of the message need to occur

### Customize Message

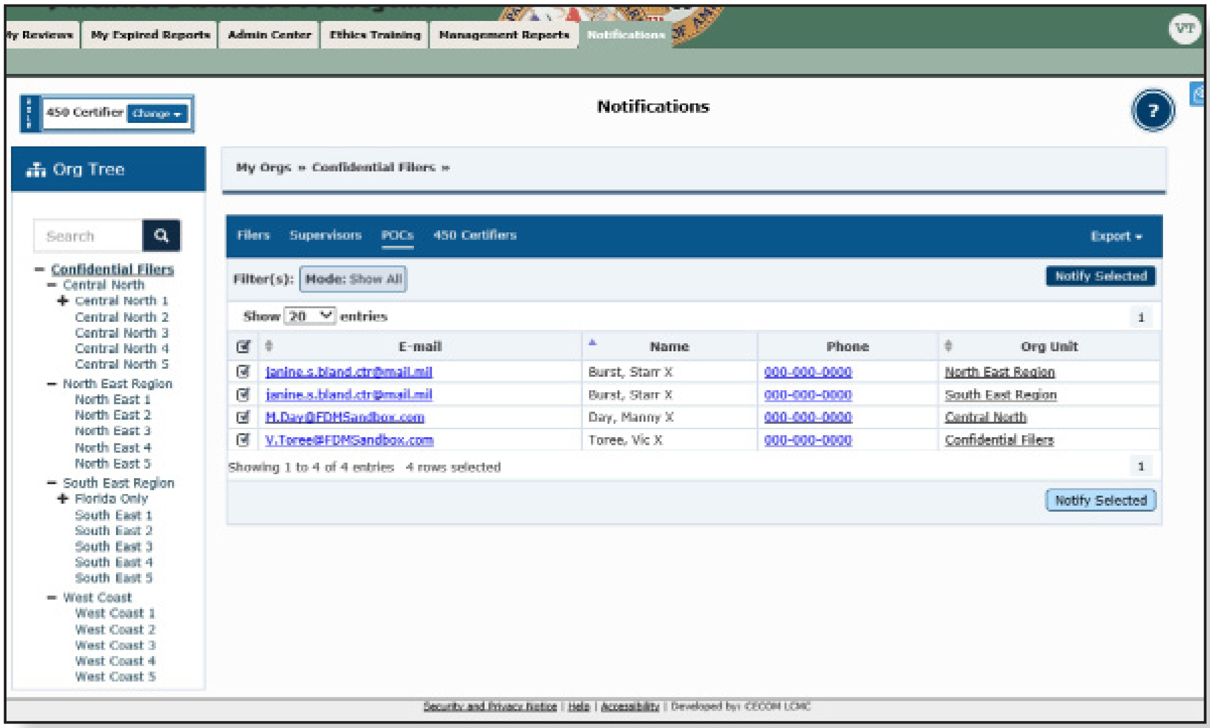
8. Type any additional text to add to your message and then click **Send.** The Notifications page is displayed with a message summary.

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

# Sending Bulk Notifications

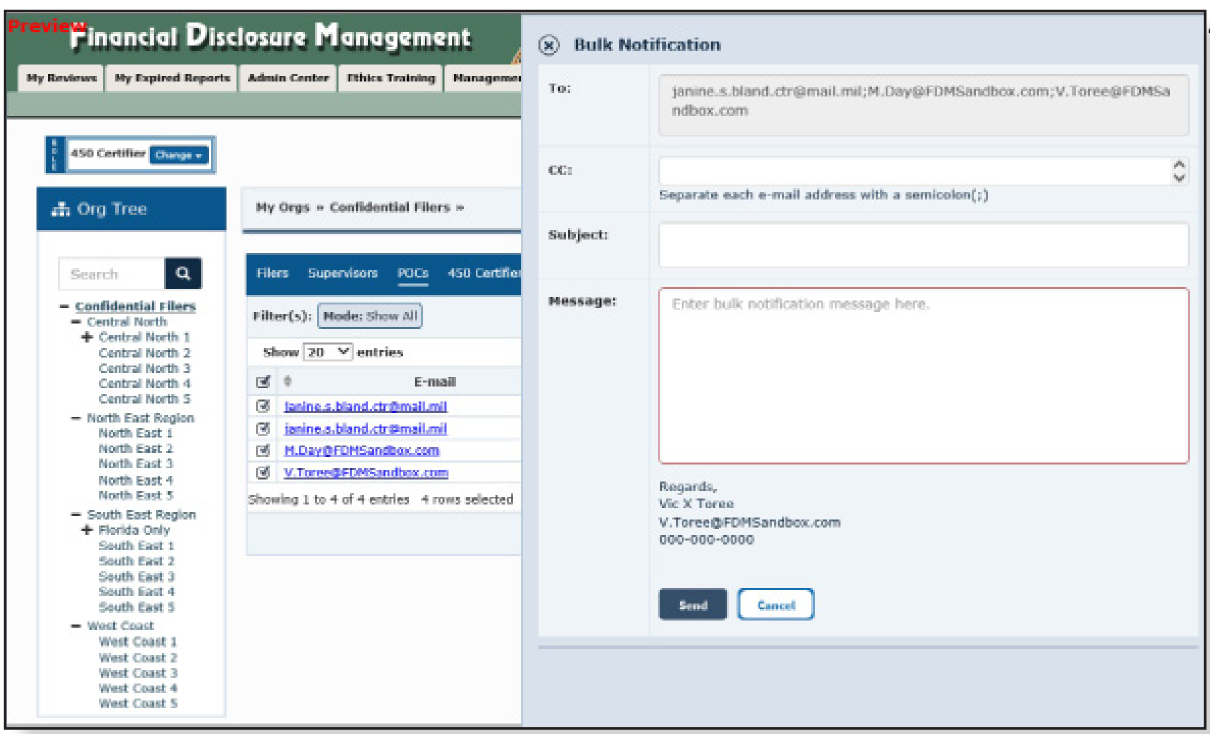
You can also send a group of users with the same role a notification.

1. Go to the Notifications tab and select the role of the users whom you wish to notify.
2. Select the appropriate filters and click **Apply Filters**.




Note: You can deselect any of the users listed whom you do not wish to send a notification to.

3. Review your list to ensure that you have the appropriate users selected then click Notify Selected.




4.

5. Enter a subject and message then click Send to notify the users via e-mail.

# Reviewing an OGE 450

The review process begins in FDM when the reviewer receives an automated email message indicating that they can begin their review process. In the Department of Defense (DoD), the Joint Ethics Regulation (JER) 7-306 requires Supervisors review OGE 450s. Non-DoD agencies using FDM need not use the Supervisor role in FDM 450. FDM requires both the Filer's Supervisor and 450 Certifier to review and eSign a report before the review is considered complete.

Supervisors use FDM to review financial disclosure reports online checking the reported financial interests for completeness, to identify any financial interests that may conflict with the Filer's official duties, and that the report is administratively accurate and complete. Once a Supervisor has eSigned a report, the 450 Certifier receives an automatic notification that the report is ready for review.

FDM's Compare feature highlights changes when a filer prepopulated the current report from a prior one in FDM. In addition, reviewers can check that a report is administratively accurate and complete. The "Flags" tool helps prevent many common mistakes before the Filer submits his/her report saving time for the Filer and reviewers.

## FDM Reviewer Tools

FDM's reviewer tools help reviewers track or "watch" Filer and reviewer (technical and legal) compliance. In FDM, reviewers can:

- quickly see a snapshot of those reports that require their attention through Manage Exceptions.
- monitor the filing progress using reminder Notifications.
- monitor the Supervisor's review progress using reminder Notifications.
- manage Filers and their assigned reports using Review Reports.

Note: In FDM, a Supervisor or Intermediate reviewer must review and eSign a Filer's report before it can be certified.

## Late Filing - Remind Filers & Remind Supervisors Notifications

**Remind Filer Notifications**

Once your Filers are set up in FDM, you can use reminder Notifications to monitor and manage filing activities. Org unit POCs, Supervisors and 450 Certifiers may use the Notifications tool to track the progress of Filers who have been assigned reports and remind Supervisors that they have reports to review and e-Sign in FDM.

A report that is listed on the Manage Exceptions list will not be available on the Worklist.

Use Notifications to:

- Initially notify Filers of their report assignment in FDM.
- Locate Filers who have not started their reports and send reminder notifications.
- Send second reminder notification to Filers who have not completed their reports.

## Manage Exceptions

The Manage Exceptions tool allows 450 Certifiers to track Filer and Supervisor Reviewer compliance and to manage reports that require any special action(s). Reports remain in the Manage Exceptions list until the report issue is resolved.

Reports display on the Manage Exceptions list if:

Only 450 Certifiers can access reports on the Manage Exceptions list.

- OPEN NOTES - The Report has existing Notes that are not closed.

Note: Both the Request Additional Information and Request Filer Amendment reviewer actions create an open Note on the Filer's report.

- CZ/NECZ Extension – A National Emergency/Combat Zone extension has been recorded for the report.
- Filer not eSigned - The Filer has not submitted the report in FDM by the report's due date.
- Supv not eSigned - More than 30 days have passed since the Filer has submitted (or re-submitted if their report in FDM) and the Supervisor has not eSigned.
- Filer not Started – The Filer has not started entering data into their report by the report's due date.

## Review Process Flow

The process for reviewing an OGE 450 includes the following tasks:

| Reviewing Tasks for OGE 450 Reports in FDM |
| --- |
| The Reviewer identifies the Filers who need their report reviewed in FDM. |
| The Reviewer gathers any review aids for reference such as the Filer's previous financial disclosure report, ethics agreements, agency list of contractors, etc. |
| The Reviewer logs in to FDM. |
| The Reviewer tracks Filer reporting activities. |
| Reviewer reviews their Review Reports list. |
| Reviewer selects a report to review. |
| Reviewer checks the report's flags |
| Reviewer selects the appropriate Report Data section(s) to review |
| Reviewer makes/adds comments where necessary. |
| Reviewer eSigns and ends their review.<br>Note: You must click **Notify** to send an email to the next reviewer indicating that they can begin their review process. |

# Review an OGE 450

You can select different combinations in the Search Filter to see only those disclosures you wish to review.

## Locating My Filer's Reports

FDM has three report list views: the Work List view mode, Org Unit view mode and Manage Exceptions.

- The Work List displays a list of reports that require reviewer action.
- Org Unit View Mode lists disclosures by Org Unit.
- Manage Exceptions displays a list of reports that need special attention.

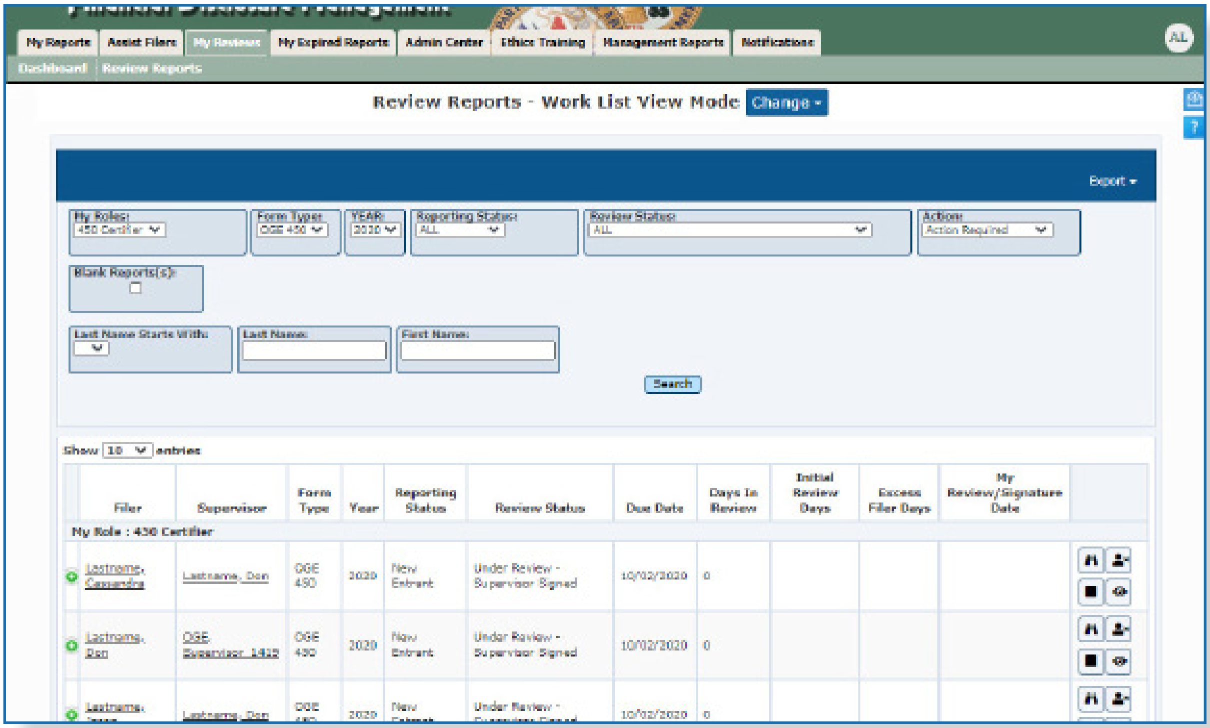
## Report's Worklist

Use the Worklist as a reminder of the reviewing activities you need to complete.

## List Disclosures that you need to eSign


1. Go to **My Reviews | Dashboard**.
2. Under **Work List View Mode**, click the number link next to your reviewer role.

   **Note:** Click the **Next Role** button to view results in another FDM role that you may have.




3. The report list displays. You can use the provided filter columns to narrow your search:
   - My Roles - Supervisor or 450 Certifier
   - Form Type - OGE 450
   - Year - the report year
   - Reporting Status - All
   - Review Status - Under Review
   - Action - eSign
   - Blank Reports(s) -click the checkbox to display reports that contain no reviewable data. Use this option to expedite the reviewing process of reports that require minimum time to certify.

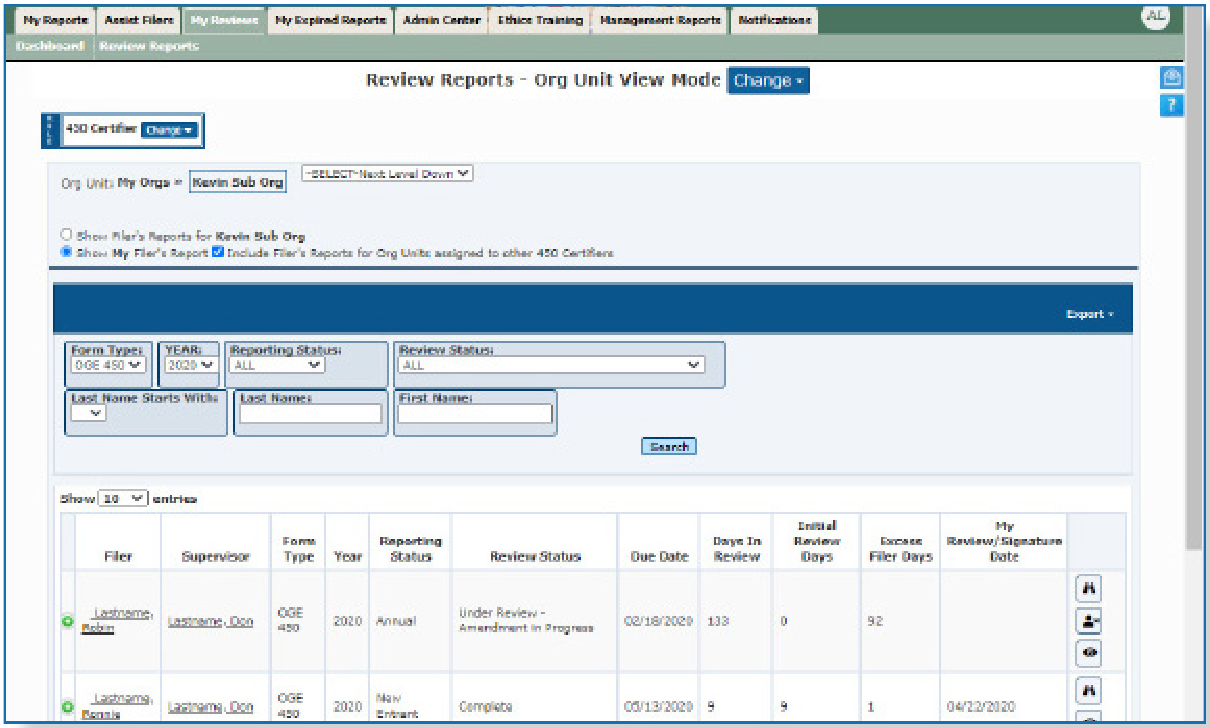
## Viewing Blank Reports Only

Blank reports are filed reports with no asset, gift, agreement, liability, income, outside position, transaction or compensation reported by the Filer.

Continue to the Reviewing a Report section.

## Report’s Org Unit View

Use the Org Unit view to list reports by Filer Org Unit.




1. Go to **My Reviews | Dashboard**.
2. Click on the **Go to Org Unit** link.
3. Select a reviewer role in the **Role** box.
4. Select the Org Unit from the Next Level Down drop-down list.
5. Select **Show My Filer’s Reports** to see a listing of all of the reports you are responsible for reviewing.
6. Under the Search area, select the following and click **Search**.
   - Form Type - OGE 450
   - Year - The report year
   - Reporting Status - All
   - Review Status - All

   Continue to the Reviewing a Report section.

You can use the column sorting to display your results in a particular order by clicking the specific column heading. For example if you wanted to bring all of your Annual disclosure to the top of the list, click the Reporting Status column heading and an arrow displays to sort by ascending or descending.

### View a Listing of Reports Assigned to Different Reviewers

To view a listing of disclosure reports that includes Filers assigned to different reviewers but within your organizational hierarchy, select **Include Filer's Reports for Org Unit's assigned to other** (Supervisors, 450 Certifiers etc.) You can identify disclosures that have a different reviewers assigned by the triangle icon ⚠.

If a report you are looking for is not listed on your Worklist, click Org Unit View or if you are a 450 Certifier, Manage Exceptions.

You may view and work with these disclosures; however, you cannot eSign as a different FDM user as the ultimate responsibility.

### Locating a Specific Report

To locate a specific report, be sure to select **Show My Filer's Reports** and **Include Filer's Reports for Org Unit's assigned to other (SLCs, Supervisors, etc.)** and then type at least the first three letters of the Filer's last name in the Last Name field and click **Search**.

## Locate Disclosures for a Specific Filer

1. Leave the default filter settings in either the Worklist or Org Unit view.
2. Type the Filer's last name and first name in the search fields.
3. Click **Search.**

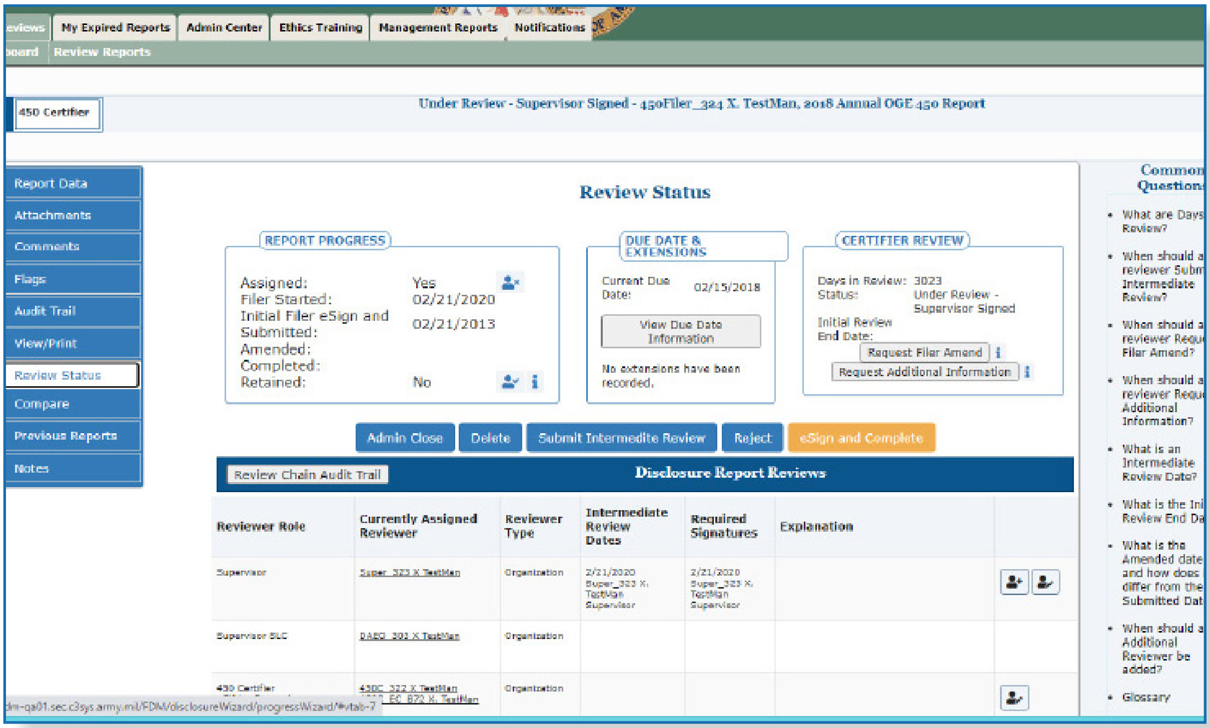
## Quickly Locate Disclosures for a Group of Filers

1. Leave the default filter settings in either the Worklist or Org Unit view.
2. Click **Search.**

# Reviewing a Report

## Reviewing Options

Depending on your role and the report's status, you can complete report actions on the Review Status page. Here, a 450 Certifier can Admin Close, Delete, Submit Intermediate Review, Reject, Request Filer Amend, Request Additional Information or eSign the report..




| Field | Description |
|---|---|
| eSign & Complete | when you have completed your review and are confident there are no conflicts of interest |
| View | allows you to review the financial disclosure report |
| Review Status | allows you to view the Review Status page of a financial disclosure report |
| Assign | allows you to assign a report that the Filer has already started |
| Remove Assignment | allows you to remove the report assignment if it was assigned erroneously; if the report Review Status is Not Started or Draft, the report is removed from FDM when the assignment is removed |

Note: Supervisors cannot assign reports or remove assignments.

## Review Clocks

After the Filer eSigns their report, FDM tracks the opening of discretionary reviewing/filing events by recording the number of calendar days that have passed before the event closes. This allows ethics officials to analyze submitted reports as they approach the reviewers' 60 day review window.

### Days in Review


The Days in Review clock starts counting days when the Filer eSigns the report for the first time and does not stop incrementing days until the 450 Certifier eSigns the report.

### Initial Review Days


The Initial Review Days displays only after the Initial Review has taken place. It counts the number of days from the Filer's first submission until the Initial Review has taken place. The Initial Review is defined as when the certifier requests more input from the Filer, or when the certifier certifies the report - whichever is earlier.

## Excess Filer Days

| Filer | Supervisor | Org Unit | Form Type | Year | Reporting Status | Review Status | Due Date | Days In Review | Initial Review Days | Excess Filer Days | My Review/Signature Date | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| My Role : 450 Certifier | | | | | | | | | | | | |
| Lastname, Cassandra | Lastname, Don | Kevin Sub Org | OGE 450 | 2020 | New Entrant | Under Review - Filer Signed | 10/02/2020 | 8 | 5 | 4 | | |
| Lastname, Don | OGE, Supervisor_1419 | Kevin Sub Org | OGE 450 | 2020 | New Entrant | Under Review - Supervisor Signed | 10/02/2020 | 8 | 1 | | | |

The Review/ Signature Date displays the date that the report was certified Complete. It will also display the Initial Review Date until the report is Complete.

The Excess Filer Days clock will start and stop counting days in the following situations:

- Clock starts counting days when the certifier Requests Additional Information and stops incrementing when the certifier clicks Information Request Satisfied.
- Clock starts counting days when the certifier Requests Filer Amendment and stops incrementing when the Filer eSigns the report after amending.
- Clock starts counting days when the certifier Requests Filer Amendment and stops incrementing if the certifier cancels the request.
- Clock starts counting when the Filer self-amends their report without a certifier request and stops incrementing when the Filer resubmits the report.

Note: Excess Filers Days displays the cumulative total of days calculated from the four situations listed above.

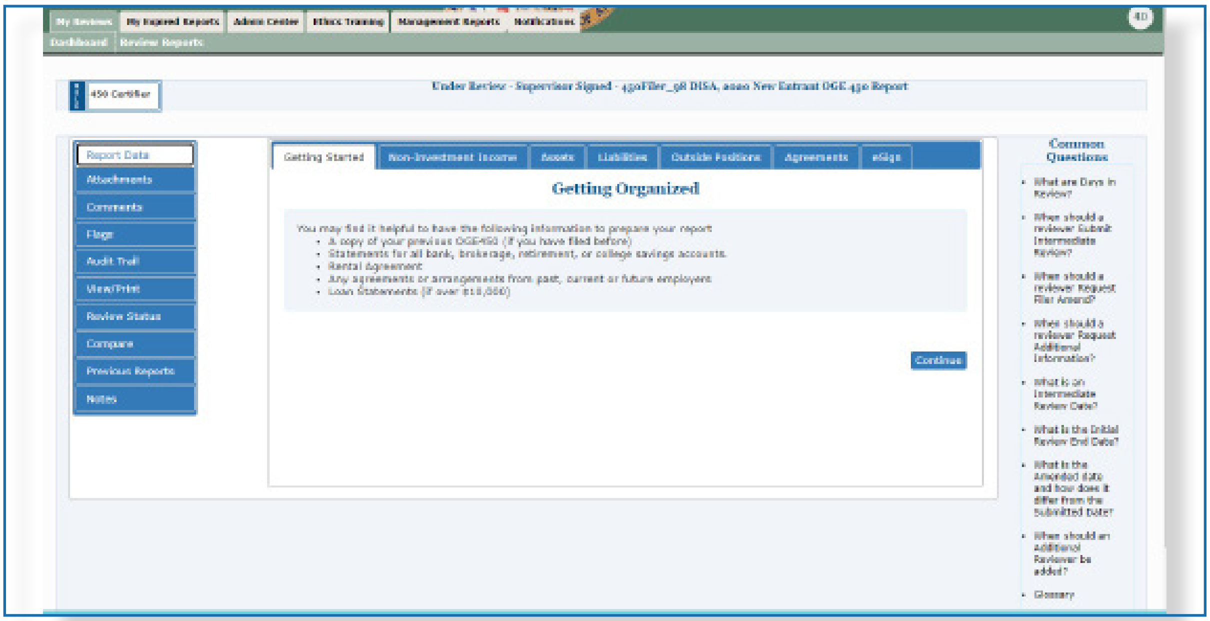
> Not all agencies require supervisory review for the OGE 450.

## Supervisory Review in FDM

FDM currently requires both the Filer's Supervisor and 450 Certifier to review and eSign a report before the review is considered complete.

Supervisors receive an automatic notification from FDM once the Filer has submitted a report. Once a Supervisor has eSigned a report, the 450 Certifier receives an automatic notification that the report is ready for review.

1. On either the Worklist or Org Unit View, click **View** beside the appropriate report to open the report and view its contents. The Getting Organized page is displayed for the OGE 450 report you are reviewing.



## Compare/View/Report Data

There are three different ways to review disclosure in FDM:

- By using Compare, if the current disclosure was pre-populated from a previous disclosure
- By clicking View/Print to view and print the disclosure report
- By clicking through the Report Data "wizard"

You may open the disclosure report through View/Print and then move to the specific Report Data section of the report to add a comment or check Flags.

### Compare

Reviewers can easily compare changes/differences between last year's report and this year's on one page if the Filer pre-populated from a previous report.

### View/Print Reports

Reviewers may prefer to quickly review report contents by using the View/Print feature.

### Report Data "Wizard"

Reviewers may find it easier to view the contents of a Filer's report through the Report Data "wizard" if the report is lengthy or complex.

## Previous Reports

FDM reviewers (i.e., supplemental or additional) can request a copy of a Filer's previous report for comparison.

1. While reviewing a report in FDM, click the **Previous Reports** tab. A listing of the Filer's disclosure reports that were created in FDM displays.
2. Click **View/Print** beside the appropriate report to view a copy of the Filer's previous report.

   Note: You can also view a Filer's previous reports by clicking Reports List. Select all in the Search Filter and then click Search.

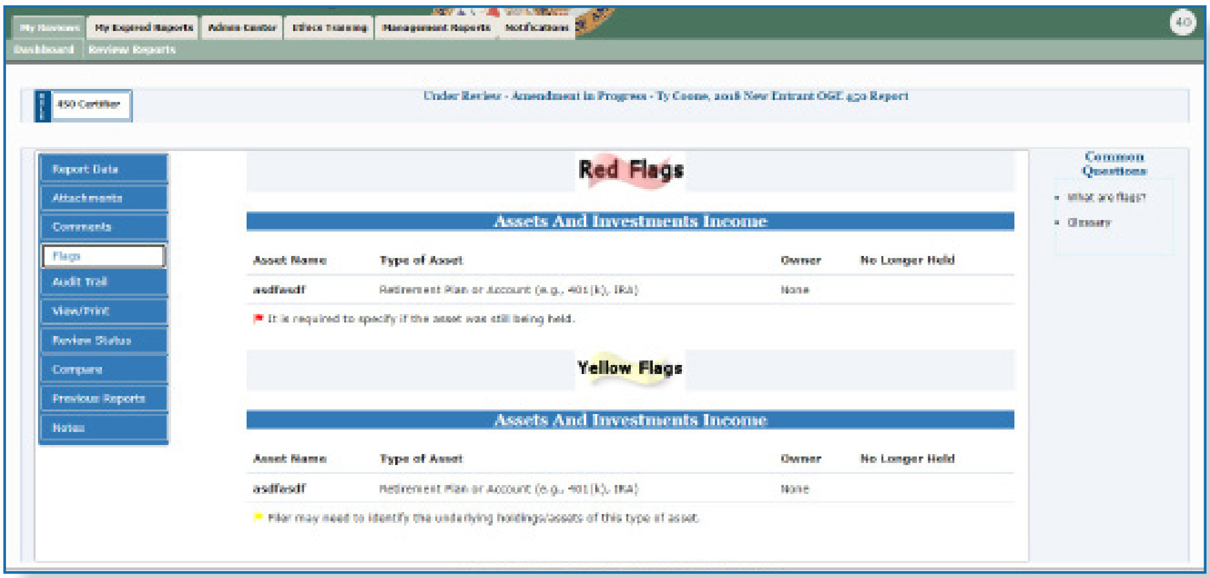
An OGE 450 Filer cannot submit a disclosure with a red flag in FDM.

## Reviewing the Report's Flags

Review any report flags to be sure all errors and omissions are addressed.

A red flag indicates required information is missing and that it should be provided before the report is submitted.   A yellow flag indicates that information is missing but is not required in order to submit a report.

1. Click **Flags.** The Flags page is displayed listing any Red or Yellow flags the Filer may have on their financial disclosure report.
2. Review the report's flags. When complete, click either **Report Data** to return to the details of the disclosure you are reviewing or **View/Print** to view and print the financial disclosure report form.



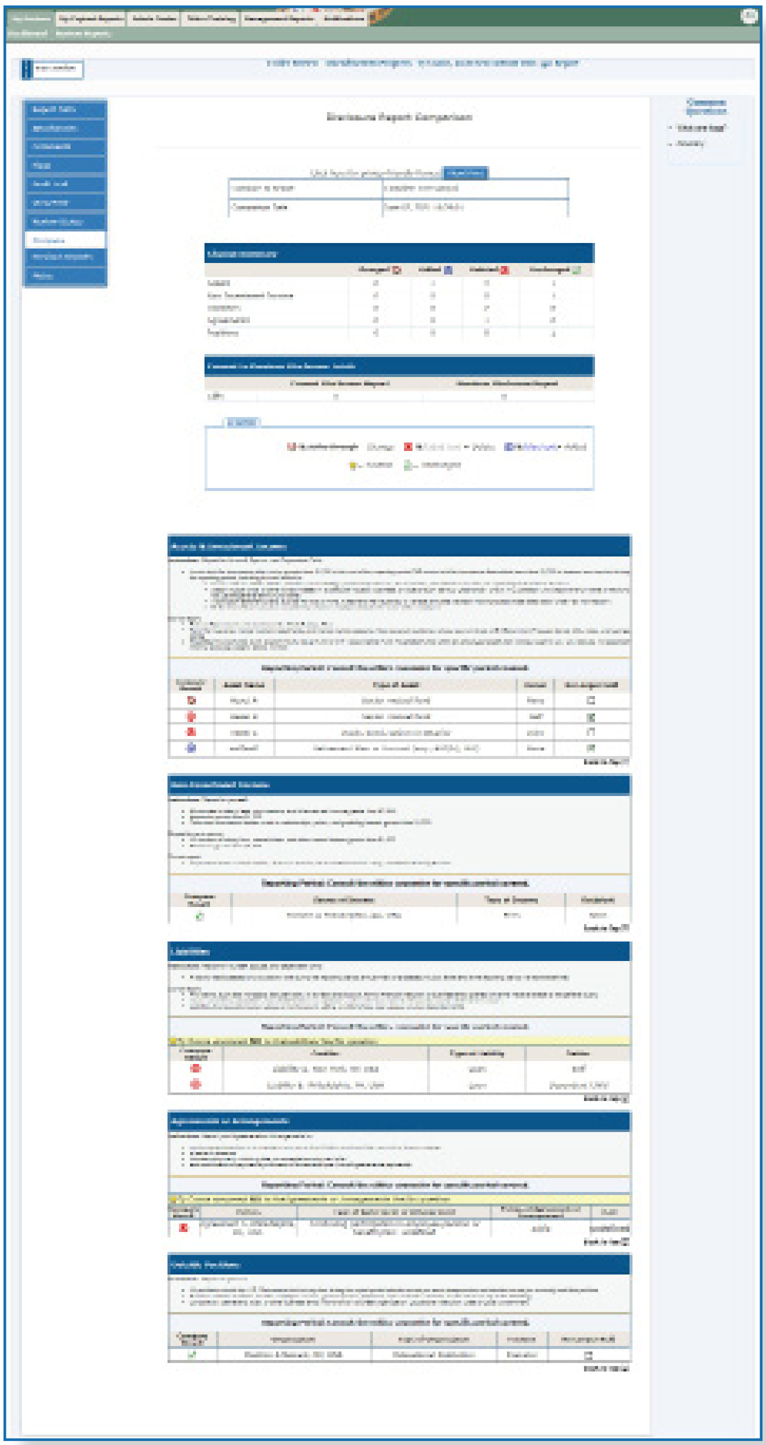
The Compare feature is only available if the Filer pre-populated from a previous report.

# Compare a Prepopulated Report

Reviewers can easily compare changes/differences between last year's report and this year's on one page if the Filer prepopulated from a previous report in FDM.

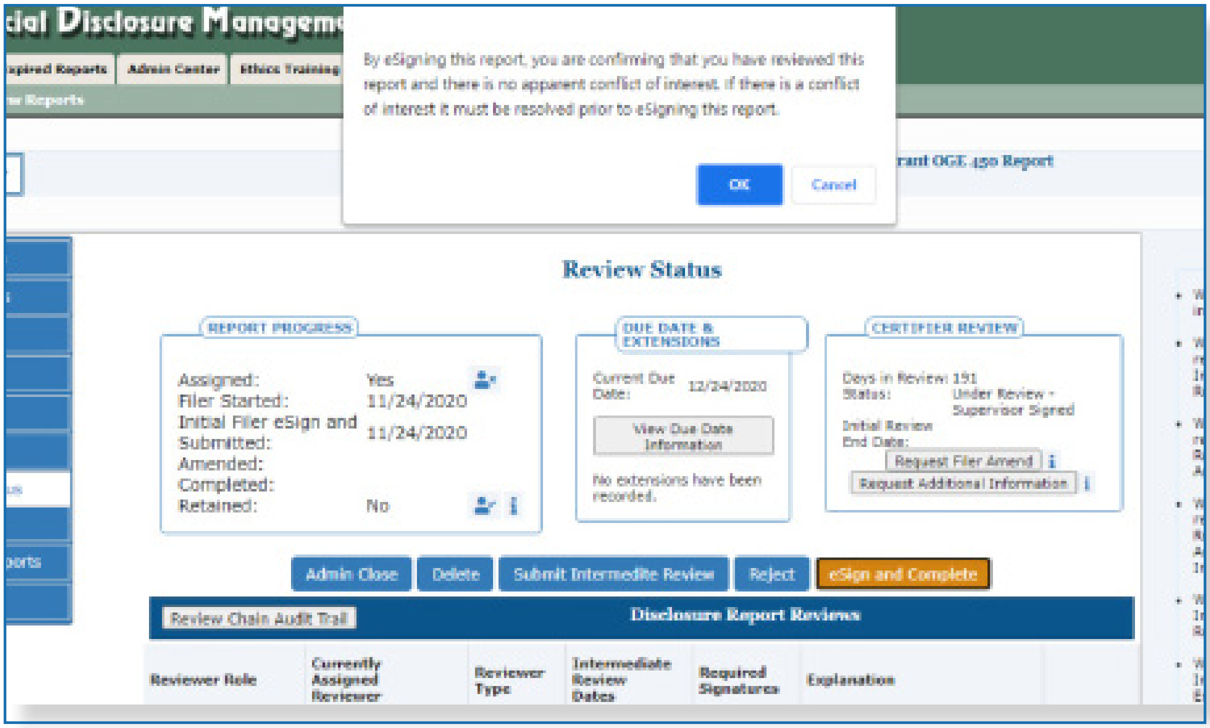
## Comparing Reports in FDM

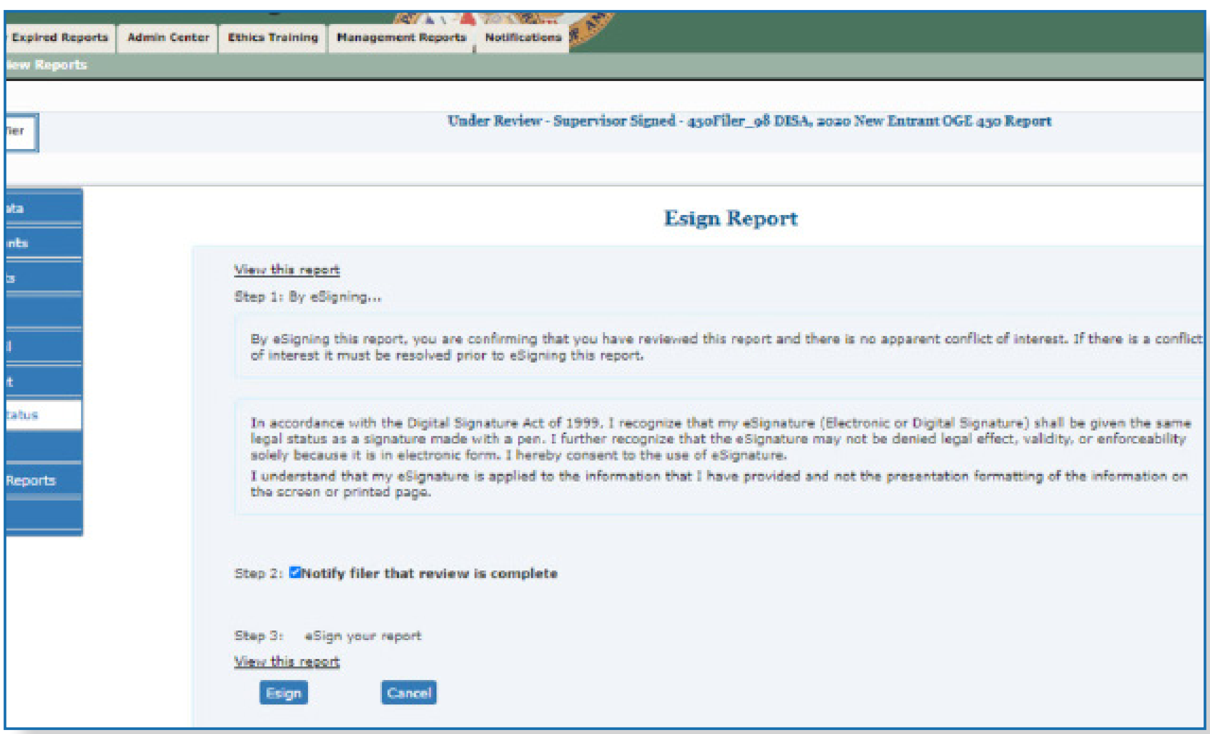
1. Click **View** beside the appropriate report on the Review Filers | Reports List page.
2. Click **Compare**. The Disclosure Report Comparison page is displayed.



Transactions, Gifts and Compensations are not compared from the prepopulated report to the current report.

3. Review the report changes.
4. Navigate to the **Review Status** page and click **eSign and Complete** to signify you have completed your review and are confident there are no conflicts of interest. A confirmation message displays.



5. Click **OK**. The eSign Report page is displayed.
6. Click **eSign** again.

# View or Print a Report

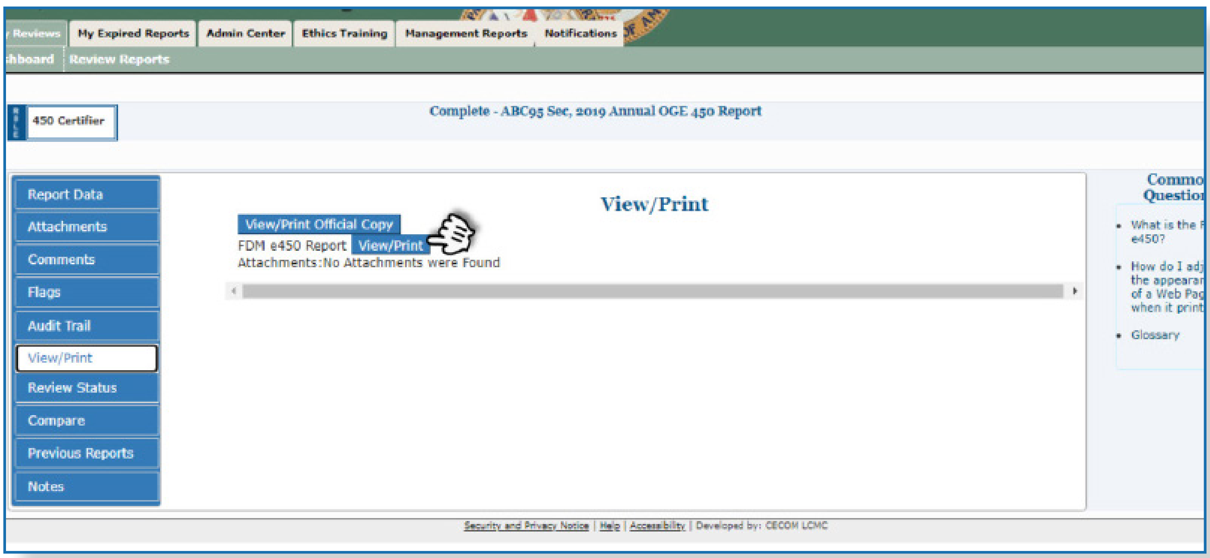
At any time, you can view and print a financial disclosure report. View/Print provides Filers and Reviewers the ability to view and print the financial disclosure report, report flags, all comments, and any attachments.

> Note: You may open the disclosure report through View/Print and then move to the specific Report Data section of the report to add a comment or check Flags.

## Viewing a Report in FDM

- To view and print an OGE 450, pop-up blockers must be disabled.
- The OGE 450 displays as a single web page.

1. Click **View** beside the appropriate report on the Review Filers | Reports List page.
2. Click **View/Print**.
3. Click **View/Print** again. The financial disclosure report displays in a separate browser window.



# Report Data

Report Data is the main area used for viewing OGE 450 line items in FDM.

The process for viewing report data is the same no matter what type of information you need to review.

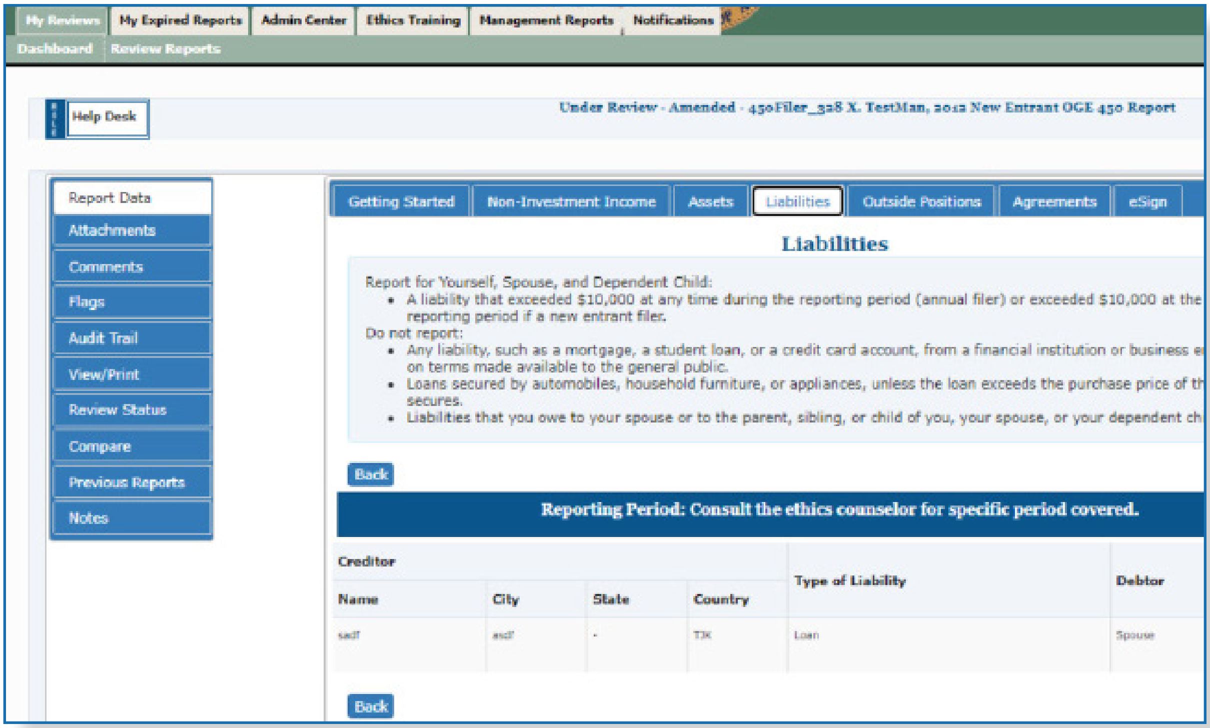
## Viewing Line Items

Select the appropriate Report Data sections to view detail information and add comments to specific line items.


The same Report Data sections display for Filers and Reviewers.

You can click the **Continue** button to page through the report or go directly to each report section

1. Select the appropriate Report Data sections and click **View** beside any line item to view the detail information.



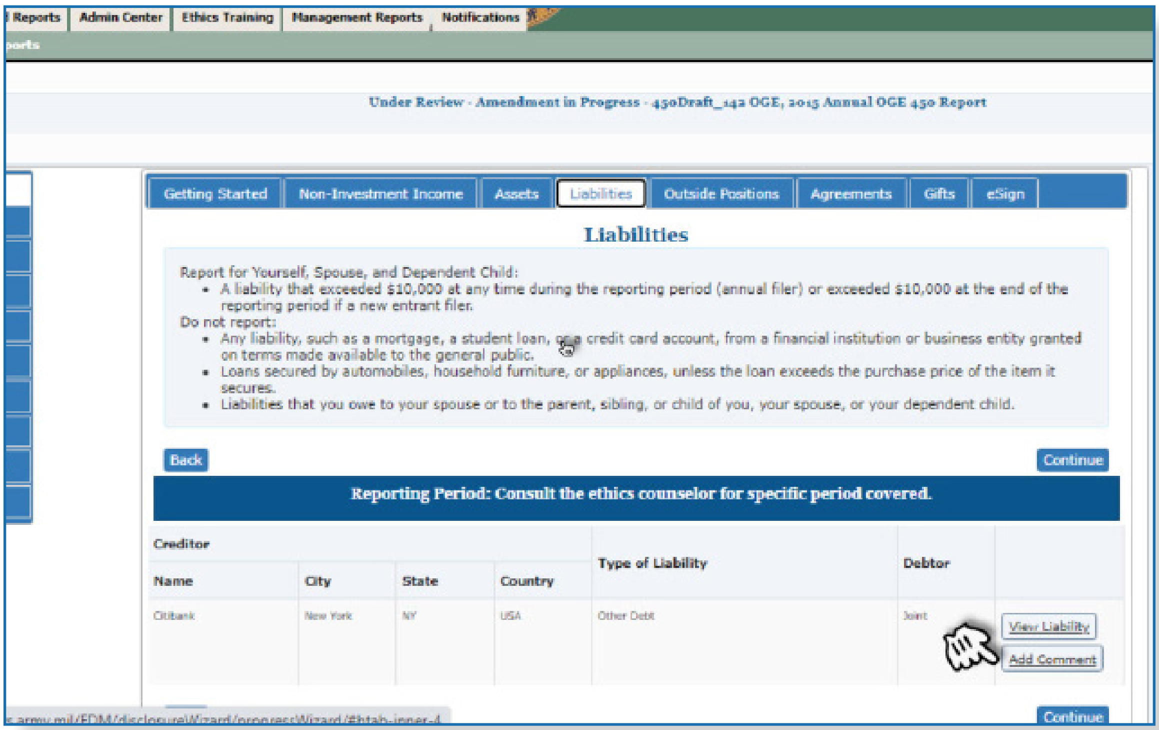

2. Review the information. Click **Back** when complete to add a line item comment or click through the other Report Data sections to review.

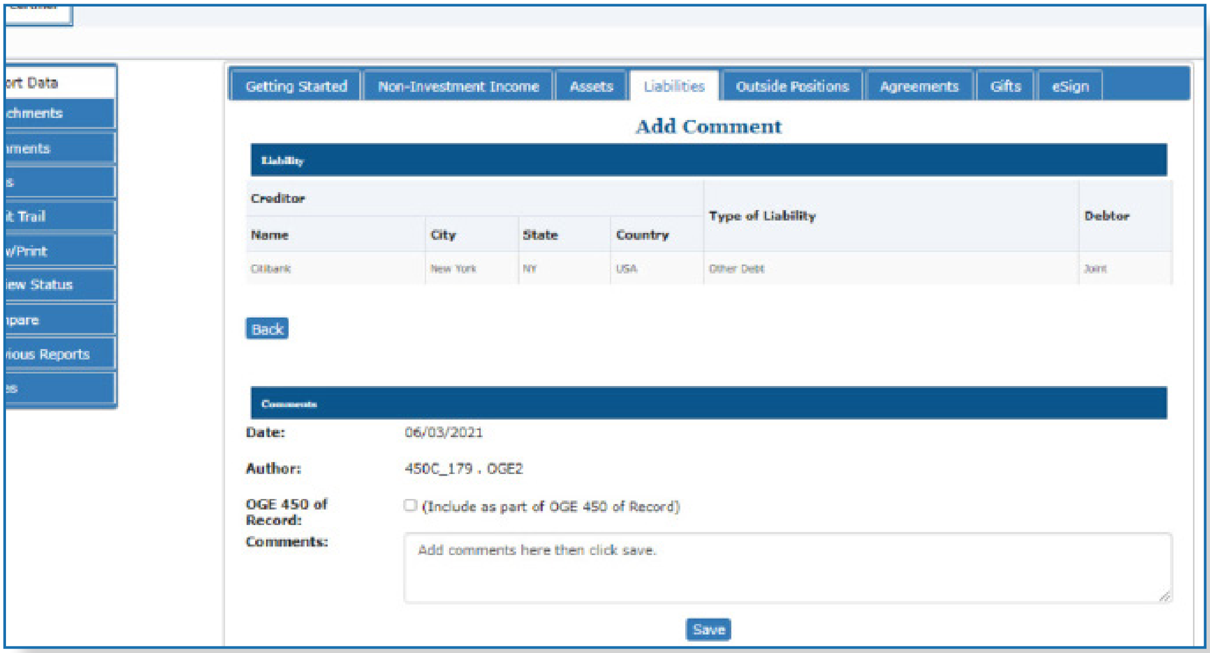
# Report Comments

## Adding Line Item Comments

Comments can be added to specific line items or to the OGE 450 report overall. A comment should be included as part of the OGE 450 of record, if it is a substantive comment that provides additional information, a clarification, or a correction that materially affects the data reported on the OGE 450.

1. Select the appropriate Report Data section.
2. Click **Add Comment** beside the appropriate line item in the Report Data. The Add Comment page is displayed.



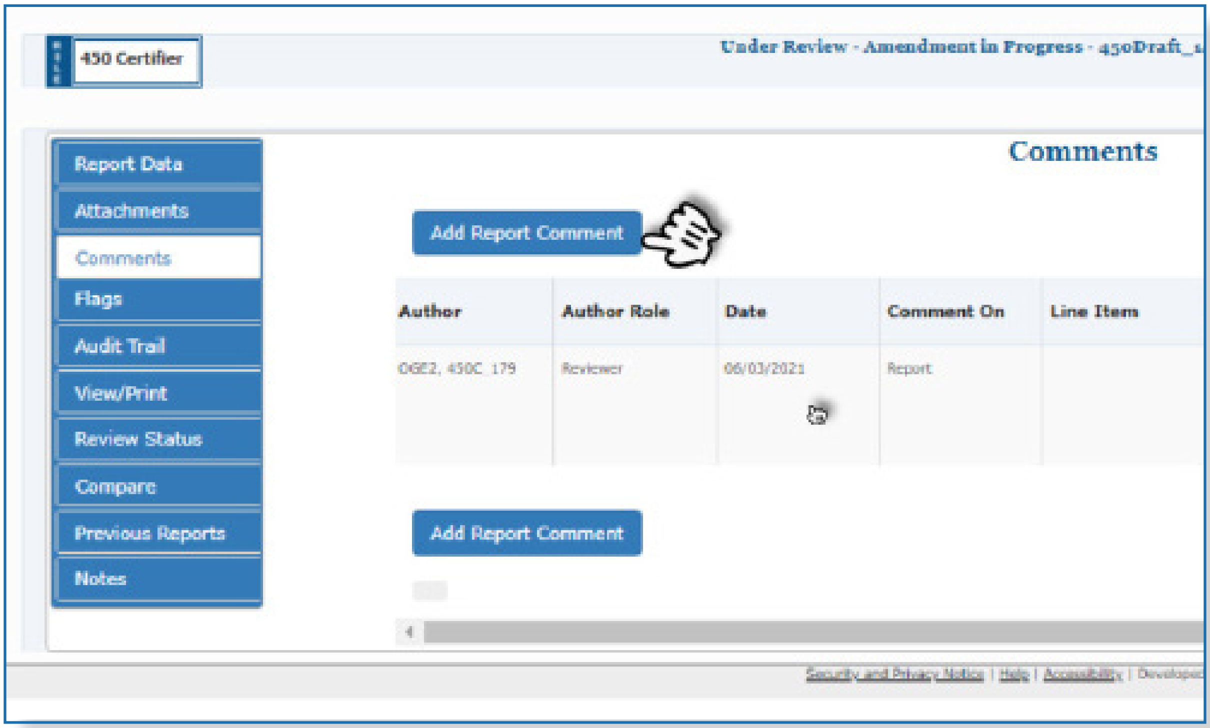



Only select, **Include as part of the OGE 450 of Record** if you want to include permanently with the report.

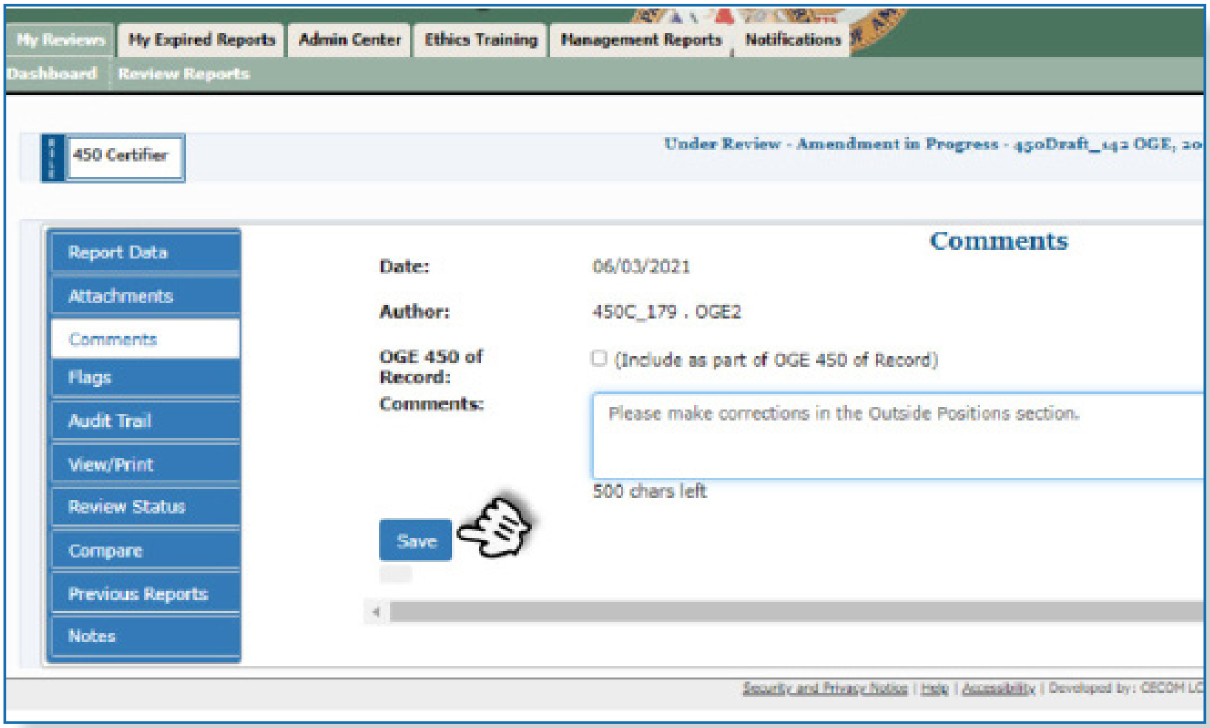
**3.** Review any existing Reviewer or Filer comments, type your comment and then click **Save.**

## Adding a Report Comment

1. From anywhere within the Report Data, click **Comments** at the top of the page. The Comments page is displayed.




2. Click **Add Report Comment.** The Add Comment page is displayed.




3. Type your comment and then click **Save**. The Comments page is displayed.

# Notes

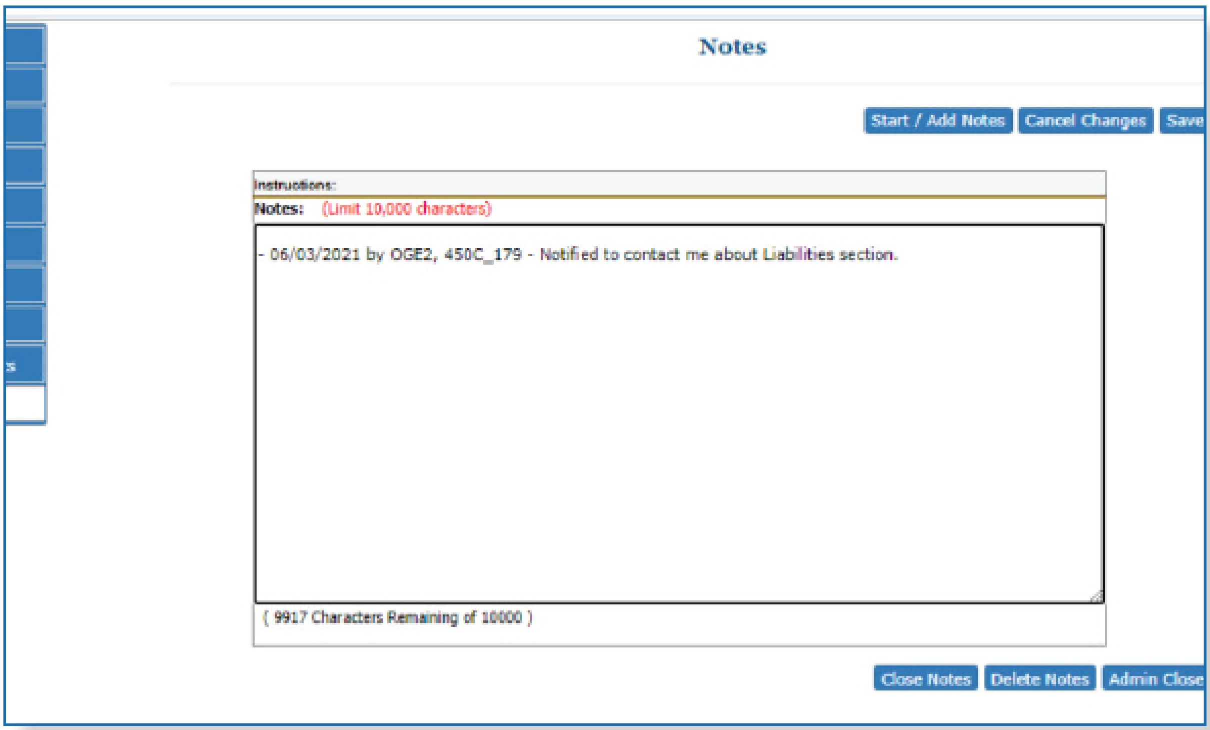
These "Reviewer" notes do not appear on the Filer's report.

The Notes tool allows 450 certifiers to attach an electronic "post-it" note to a report to indicate that there are items within the Filers report that require a follow up before the report can be certified. Notes can be added at any time within the report review process.

Once a Note is added, the report is moved from the 450 Certifier's Worklist to the Manage Exceptions list. Reports with Notes remain on the Manage Exceptions list until the report Note is Closed or Deleted. Supervisors will still see the report within their Worklist and can still conduct their review and eSign reports that have report Notes.

## Adding a Note to a Filer's Report

1. Select the **Notes** tab.




2. Click **Start/Add More Notes** to add a note with a timestamp. A new section is added to the Notes box, displaying your user name and the current date.
3. Type your note and then click **Save.** The report is now moved from your Worklist to the Manage Exceptions list.
4. To add more report notes, click **Start/Add More Notes** again.

### Editing Report Notes

You can edit any report Notes text at any time by clicking within the Notes text box.

## Close and Delete Report Notes

To remove a report from the Manage Exceptions list that has a report Note, a 450 certifier can:

- Close the existing Notes
- Delete the existing report notes

Closing and/or deleting report notes moves the report back to the 450 Certifiers Report Worklist.

### Closing Report Notes

Close a report Note to indicate that the report is not ready for final review. Closing report Notes retains any notes that were added to the report for historical purposes.

### Deleting Report Notes

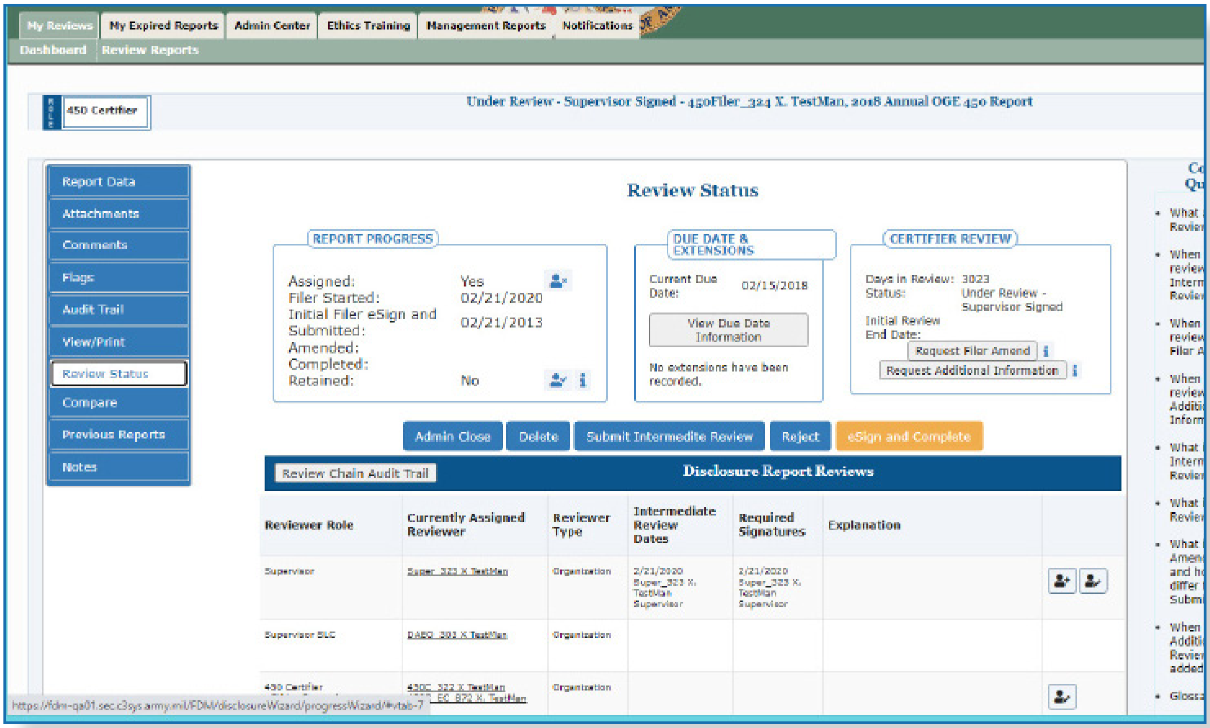
Deleting report Notes removes all report Note text. You can view the report's audit trail to determine if a report note was deleted.

# Reviewer's Wrap Up

## eSign, Submit Intermediate Review, Request Filer Amend and Request Additional Information

As a Reviewer, when you "sign off" on a report it indicates you determined the Filer has no conflict of interest, or that conflicts of interests are resolved by the means authorized in the appropriate ethics rules.  Before signing off on a report, you must take the appropriate steps to resolve any apparent conflicts of interest.


1. If there are no flags to review, click **Continue** on the eSign page. The Review Status page displays.

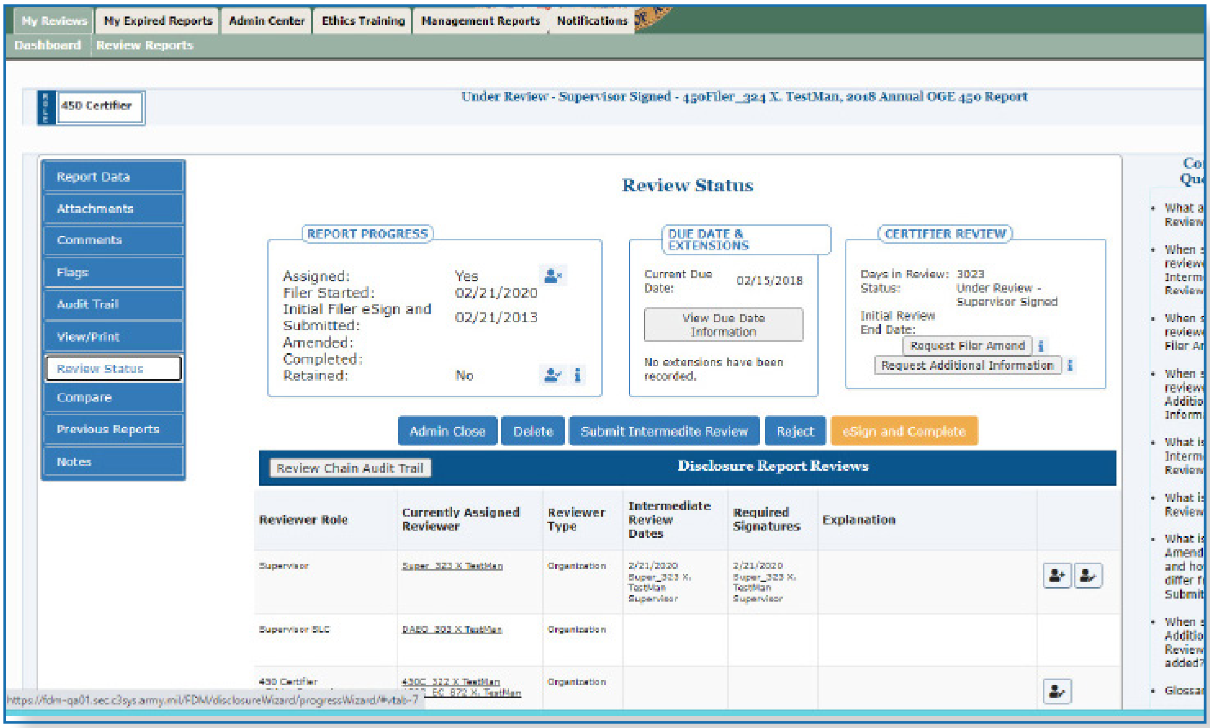


Do not click eSign if you want the Filer to make changes prior to you completing your review.

2. At this point depending on your role, you can perform various review actions. See the next section for details on what these actions do to a report.

# Review Options

FDM currently requires both the Filer's Supervisor and 450 Certifier to review and eSign a report before the review is considered complete.



A certifier can immediately cancel a Request for Additional Information by clicking Information Request Satisfied.

| Button | Description |
|---|---|
| Submit Intermediate Review | To signify that you have conducted an initial review of a report. |
| Request Additional Information | To request that a Filer provide you with information about their report. |
| Request Filer Amend | To notify a filer to amend their report directly from FDM. |
| eSign & Complete | To indicate that the report is complete, the certifying authority certifies the OGE 450. |
| Delete | Deletes the assignment permanently. |
| Reject | Returns report to Draft; all signatures are undone. |
| Admin Close | Removes the report from the Worklist when a report cannot or should not be certified. |

## Submitting Intermediate Review

A reviewer can Submit Intermediate Review to mark that they reviewed a report.

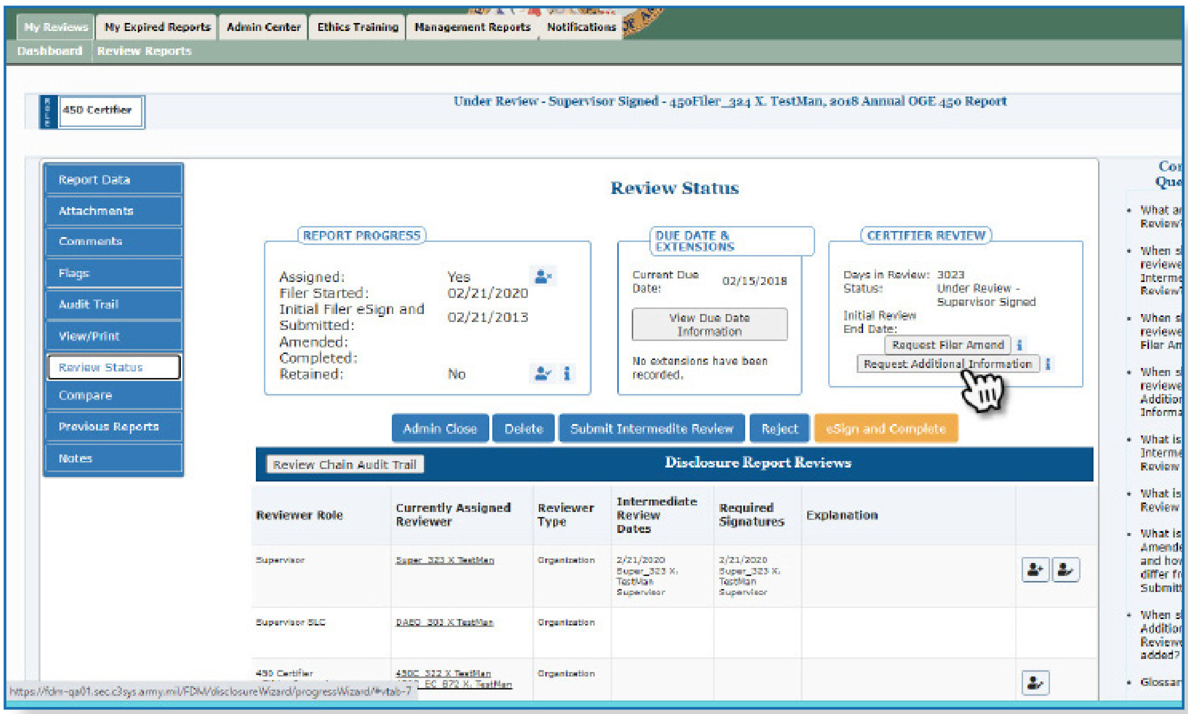
The Submit

Submitting Intermediate Review does not eSign the report. You can still add comments to the report after you have Submitted Intermediate Review.

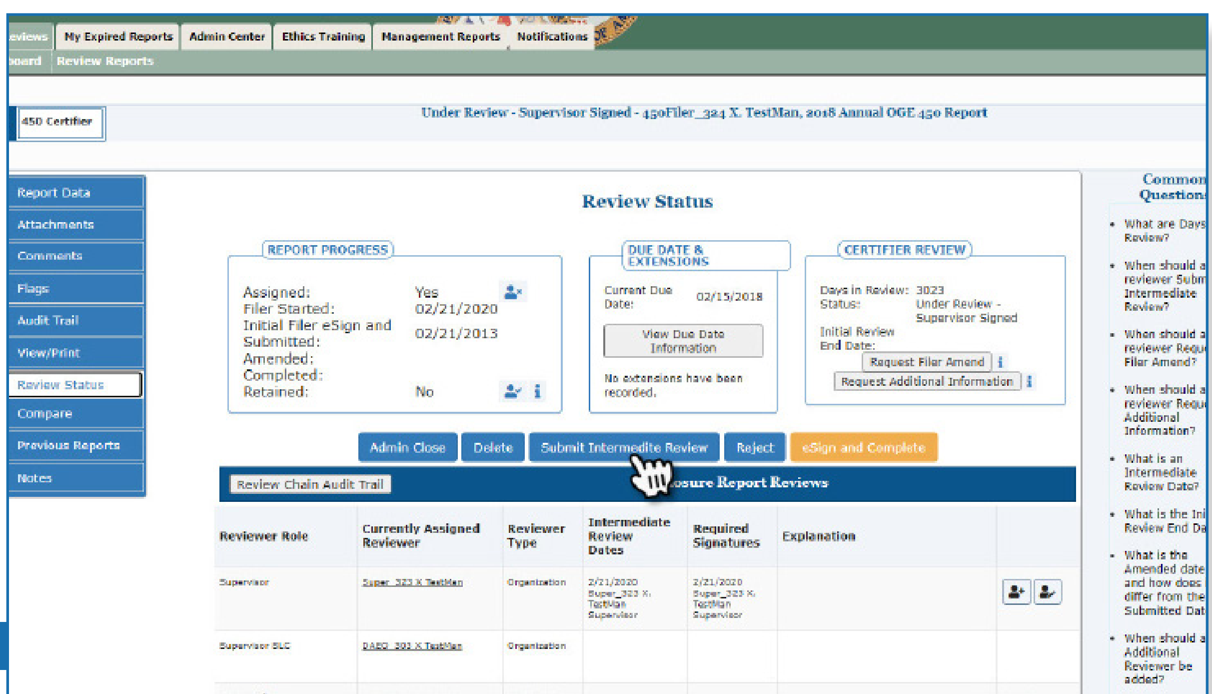
**Note:** Multiple reviewers can Submit Intermediate Review multiple times for the same report.

1. On the Review Status page, click **Submit Intermediate Review**. A message displays indicating that Submitting Intermediate Review is not the same as eSigning.
2. Click **OK** to complete the action.

**Note:** The Days in Review counter does not stop when a reviewer clicks the Submit Intermediate Review button, nor does it impact any clock in FDM.




Days in Review only stops after a certifying authority eSigns and Completes a report.

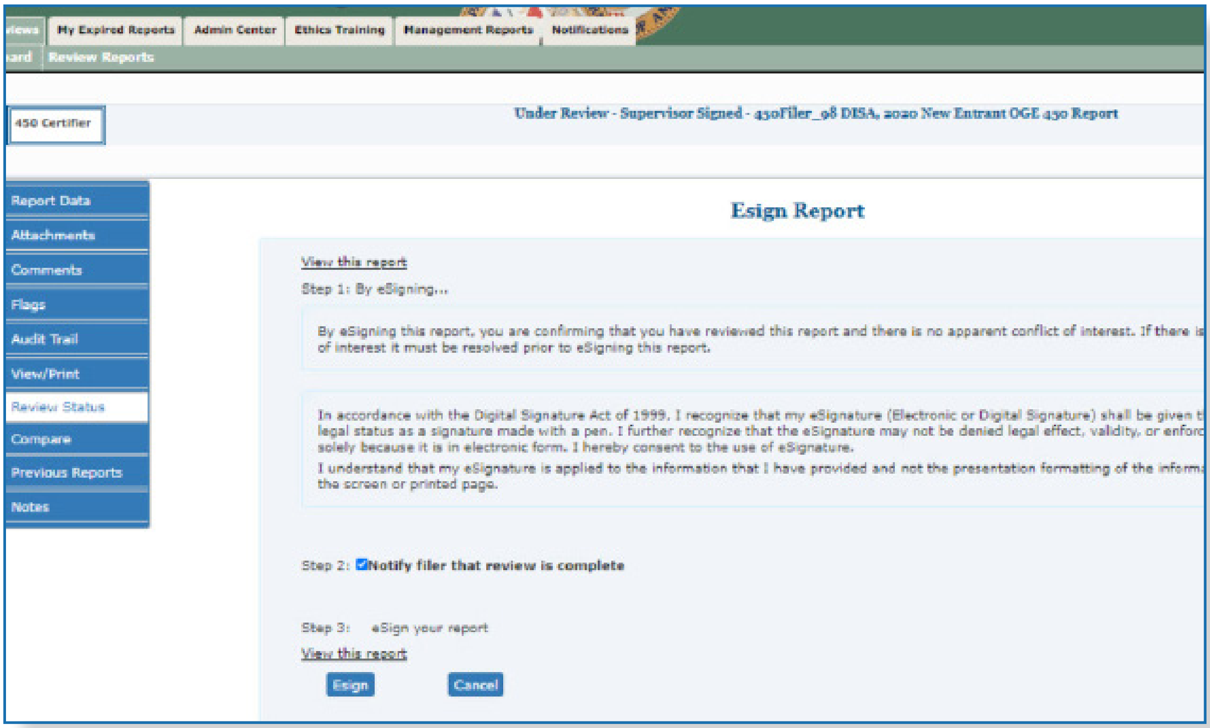


## Request Additional Information

450 Certifier and their ECs can Request Additional Information about a Filer's report after the Filer has submitted it for review. This allows the certifier to communicate any questions, concerns or needed clarification via an email to the Filer and prevents anyone from taking any action on the report until the certifier verifies that the request for information was completed.

You can cancel the Request for Information by clicking Information Request Satisfied on the Review Status page.

FDM adds a Comment to the report once an amendment is requested. The reviewer can also add this Comment as a Note for the report. FDM generates an email that the reviewer sends to the Filer through their email application. When the report is in a state of Under Review - Addtitional Information Requested, the report is only accessible via Manage Exceptions and Org Unit View Mode pages.




1. On the Review Status page, click **Request Additional Information**. The Add Report Comment and Notes page displays.
2. Type any additional information in the comment about the requested information then copy and paste this comment into the Notes text box.
3. Click **Continue**. Your email client opens with a default message to the Filer reguarding the request for information.
4. Click **Send**.

A Filer cannot amend the report when it is in a status of Under Review - Additional Information Requested.

### Verifying that the request was satisfied

After the Filer contacts the certifier regarding the request, the certifier returns to the Review Status page of the report to confirm the receipt of information.

5. On the Review Status page, click **Information Request Satisfied**. The Add Report Comment and Note page displays.
6. Type any additional information in the comment about the requested information

then copy and paste this comment into the Notes text box.

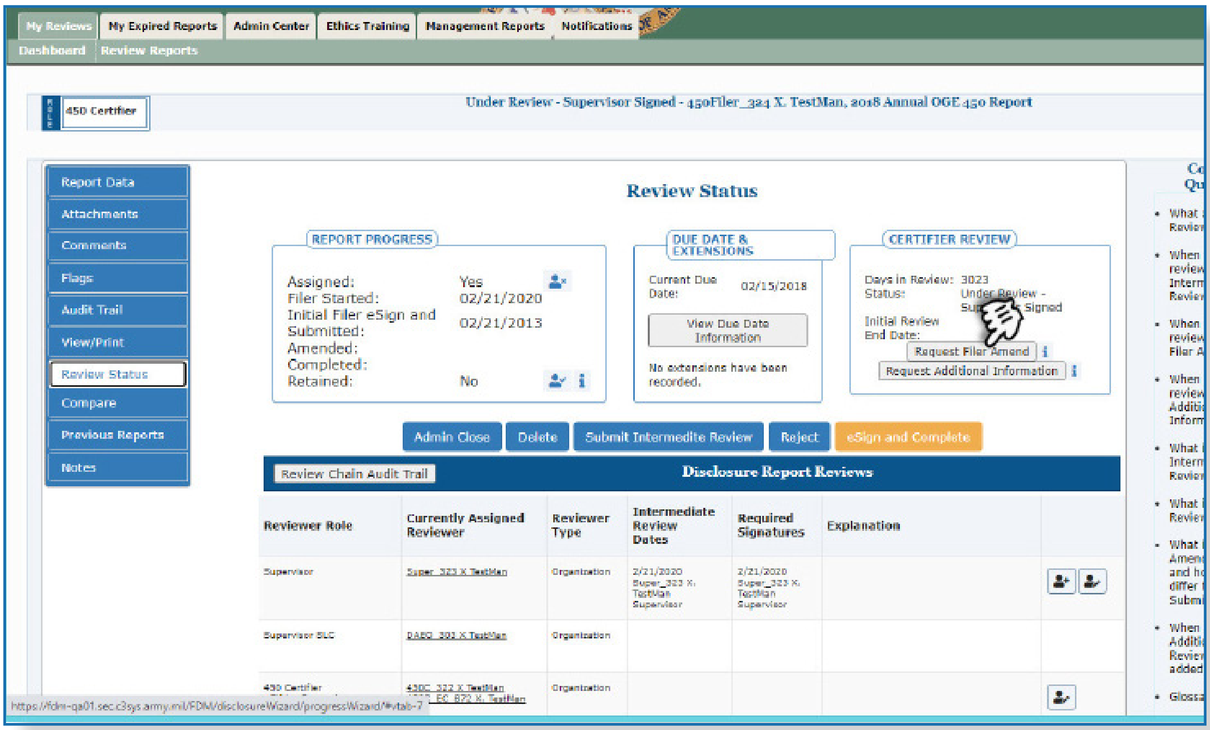
7. Click **Continue After Closing Notes** to close the Notes or **Continue Without Closing Notes** to keep the Notes open.

## Request Filer Amend a Report

450 Certifiers and their ECs can request that a Filer amend their report directly from FDM. FDM adds a report comment to the report once an amendment is requested. The reviewer can also add this comment as a Note for the report. The amendment request information then generates an email that the reviewer sends to the Filer through the reviewer's email application. When the report is in a state of Under Review - Amendment Requested, the report is only accessible via Manage Exceptions page.

- You can click Cancel Amendment Request on the Review Status page to cancel the original request.

Note: Certifiers can only request an amendment if the report has a status of Under Review.




- All reviewers, including the Supervisor, will need to eSign the report after a Filer amends.

1. On the Review Status page, click **Request Filer Amend**. The Add Report Comment and Note page is displayed.
2. Type any additional information in the comment about the requested amendment then copy and paste this comment into the Notes text box.
3. Click **Continue**. Your email client opens with a default message to the Filer about amending their report in FDM.
4. Click **Send.**

### Determining if Additional Information or an Amendment was Requested

The Notes column on the Manage Exceptions display of reports will reflect the most recent Note on a report. To determine if additional information or an amendment was requested for a specific report:

5. Go to **My Reviews | Dashboard**.
6. Under **Manage Exceptions**, click the number link next to your reviewer role.
7. Under Search, select your **Role** (if you hold more than one role in FDM), the

**Year**, and then click on the **Search** button. You also have the option of selecting **ALL** under both Search options to see all roles and all years. Your search results display.

## eSigning an OGE 450

Do not click eSign if you want the Filer to make changes before you finish your review.

Although you can eSign the report from the Review Report page, it is recommended that you view the report to ensure that the corrections were made.

1. On the Review Status page, click **eSign and Complete**.
2. Click **OK** to confirm the section. The eSign Report page is displayed.
3. Click **eSign** at the bottom of the page to signify you have completed your review and are confident there are no conflicts of interest. A message confirming that you have reviewed this report and there are no conflicts of interest is displayed.

   Note: Click the checkbox if you want the Filer to receive an email notifcation confirming that their report was certified.
4. Click **eSign**. Your review has been recorded. The Review Status page is displayed indicating that you have eSigned the report and it is ready for another reviewer's action.

# Review an Amended Report

If you have reviewed an OGE 450 report and requested an amendment, you will receive an email notifying you of when the Filer has made the necessary corrections, signed and resubmitted his/her report for your approval.

The reviewer may receive an email containing a request to review a Filer's financial disclosure report in FDM once a Filer has eSigned and submitted their report in FDM.

The Supervisor must eSign the report again when a Filer amends a financial disclosure report in FDM.

## Review Process Flow

The process for reviewing an Amended OGE 450 includes the following tasks:

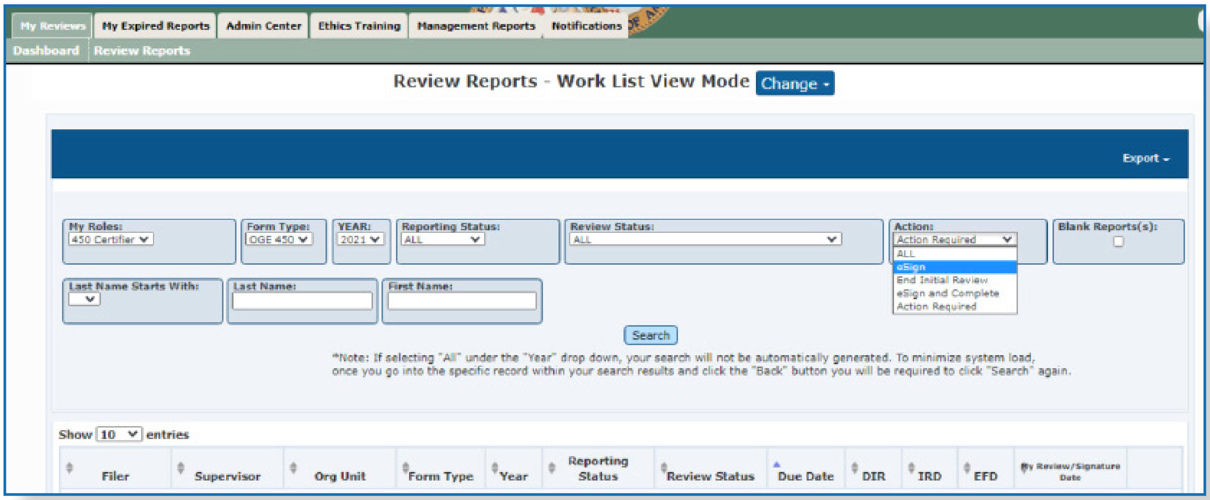
| Reviewing an Amended OGE 450 |
|---|
| The Reviewer identifies the Filers who need their report reviewed in FDM. |
| The Reviewer gathers any review aids for reference such as, the Filer's previous financial disclosure report, ethics agreements, agency list of contractors, etc. |
| The Reviewer logs in to FDM. |
| The Reviewer tracks Filer reporting activities. |
| Reviewer reviews their Review Reports list. |
| Reviewer selects a report to review. |
| Reviewer checks the report's Audit Trail |
| Reviewer eSigns and ends their review. |
| Reviewer makes/adds comments where necessary. |
| Reviewer eSigns and ends their review.<br><br>Note: An email notification is sent to the selected reviewers indicating that they can begin their review process. |

## List Only Disclosures that you need to eSign

Disclosures are grouped by your FDM role.

If you have multiple FDM roles you may see that same disclosure listed two or more times on the Worklist page until you have completed your reviewing activity for that disclosure in one of your FDM roles.

1. In the Search area select the following and click **Search.**




- My Roles - Supervisor or 450 Certifier
- Form Type - OGE 450
- Year - the report year
- Reporting Status - All
- Review Status - ALL
- Action - eSign
- Blank Reports(s) -click the checkbox to display reports that contain no reviewable data. Use this option to expedite the reviewing process of reports that require minimum time to certify.

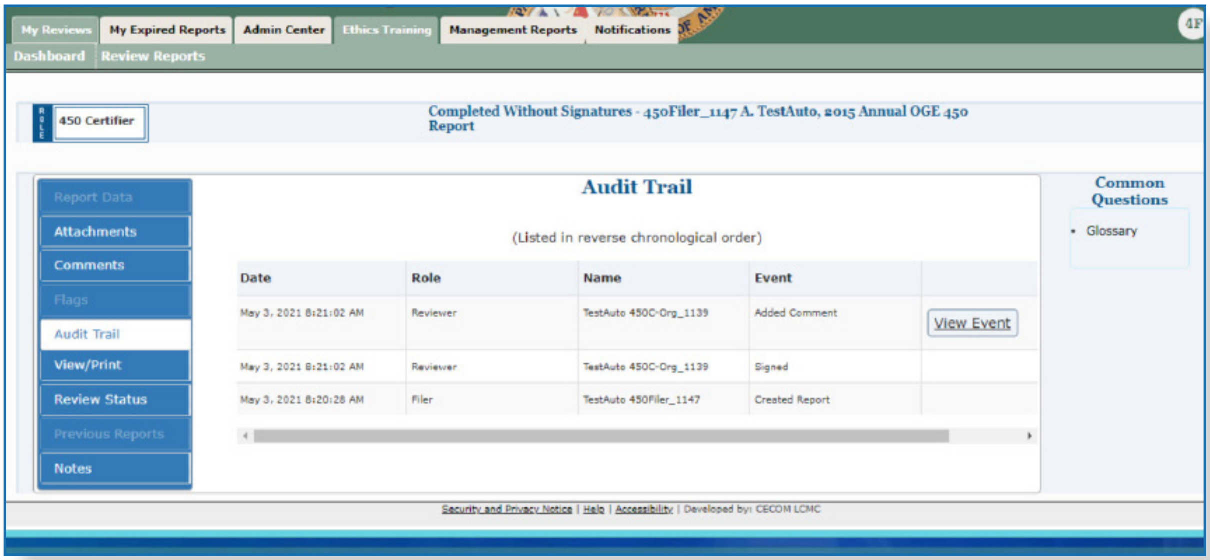
2. Click **View** beside the appropriate report. The Getting Organized page is displayed for the report you are reviewing.

# Reviewing a Report's Events

## Audit Trail

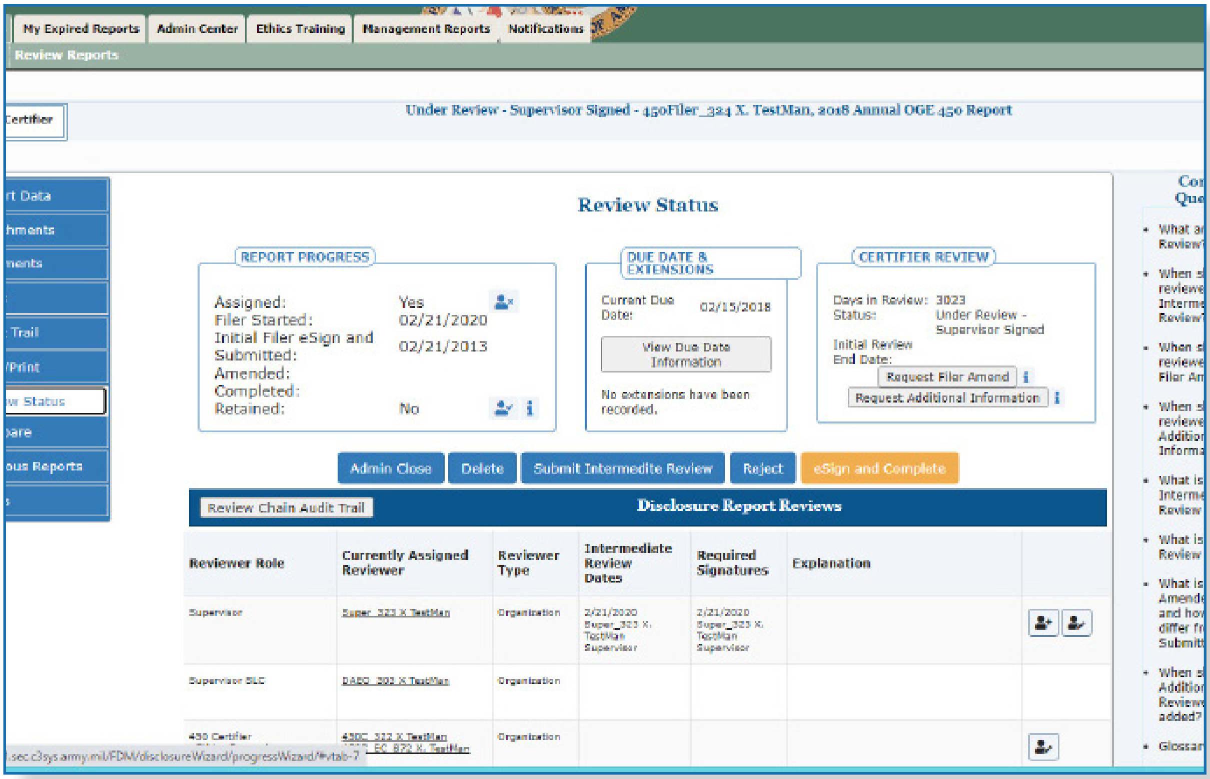
In FDM, the Audit Trail time stamps report activities.  Review the Report's Events to verify if your recommended changes where made by the Filer.  Review the Report's Events to verify if your recommended changes where made by the Filer.

3. Click **Audit Trail.**  The Audit Trail page is displayed.
4. Review the Report's Events to verify if your recommended changes where made.
5. Click **View Event** to view an event's details.



## Reviewer's Wrap-Up

6. Click **Report Data** and then **eSign**. The Reviewer's Wrap Up page is displayed.
7. Click **Continue**. The Review Status page is displayed.




8. Click **eSign and Complete**.
9. Click **OK**. The eSign Report page is displayed.
10. Click **eSign** again.

# Administratively Closing a Report

Administratively closing a report will reduce the effort in managing the OGE 450 filing process by ‘hiding’ reports which should not or cannot be certified. Only 450 Certifiers, 450 Certifier ECs, 450 Certifier Assistants, can perform this function.

### Incomplete or Not Started Reports

When a Filer is assigned a report, the expected outcome is a certified report. However, there are instances where the Filer does not start or complete the report. For example, the Filer has moved out of that organization where the report was originally assigned or has started a report that has not been assigned and should not be filing a report.

There are also instances where a reviewer has not signed off on a submitted report, and the report never progresses to final legal certification.

### Using Manage Exceptions to Locate Reports

The majority of these reports will appear on the Manage Exceptions List. However, some reports that may have to be administratively closed can appear on the Reports Worklist (a report assigned or started erroneously that is not 30 days past due). This functionality enables certain reviewers to remove these reports from their worklist. However, this report *WILL* display on the Review Reports - Org Unit View mode.

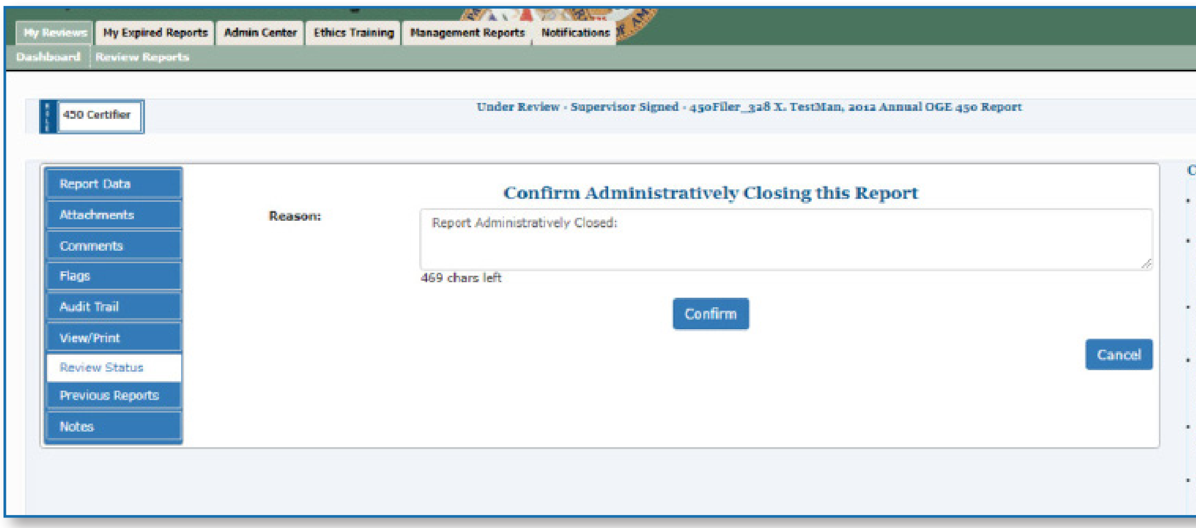
When a report is administratively closed, the following applies:

- All Reviewer actions (excluding “Complete Without Signature”) are enabled for a report based on its review status.
- The Filer of a report that is administratively closed will still have the capability to take action (edit, submit, amend, and recertify) on the report.
- Administratively closed reports will appear on the Filer’s list of their reports and can be used to prepopulate.
- If an administratively closed report with a status of “Draft” or “Amendment in Progress” does get submitted/recertified by the Filer, the report will no longer be marked as administratively closed.
- If the certifying official certifies an administratively closed report, the report will no longer be marked as administratively closed.

# Administratively Close a Report

To close a report:

1. Go to **My Reviews | Dashboard**.
2. Under **Manage Exceptions**, click the number link next to your reviewer role.
3. Set the search criteria to the appropriate Role and Year, and then click on the **Search** button. Results of the search criteria are displayed.
4. Click on **View** next to the report you wish to close. The Getting Organized page is displayed.
5. Click on the **Review Status** tab.
6. On the Review Status page, click on the **Admin Close** button. The Confirm Administratively Closing this Report page is displayed.




7. Enter a reason for closing the report in the **Reason** text box.
8. Click on the **Confirm** button. A message displays confirming that you wish to close this report.
9. Click **OK**. You return to the Review Status page. The report has been administratively closed.

# Supplemental Report Comments and Attachments

At times, reviewers may want to include additional report information after a report review is complete (e.g., a disqualification, an ethics agreement). In FDM, Supervisor reviewers, 450 Certifiers, 450 Certifier ECs and 450 Certifier Assistants can add this supplemental information through report comments and report attachments.

**Important Information**

- Adding supplemental information to a completed report does not remove any of the report signatures or change the report's status in FDM.
- Only the person who attached or added the supplemental item can replace/edit or delete it.
- Supplemental items are not part of the "report of record" and therefore do not print on the e450 report.

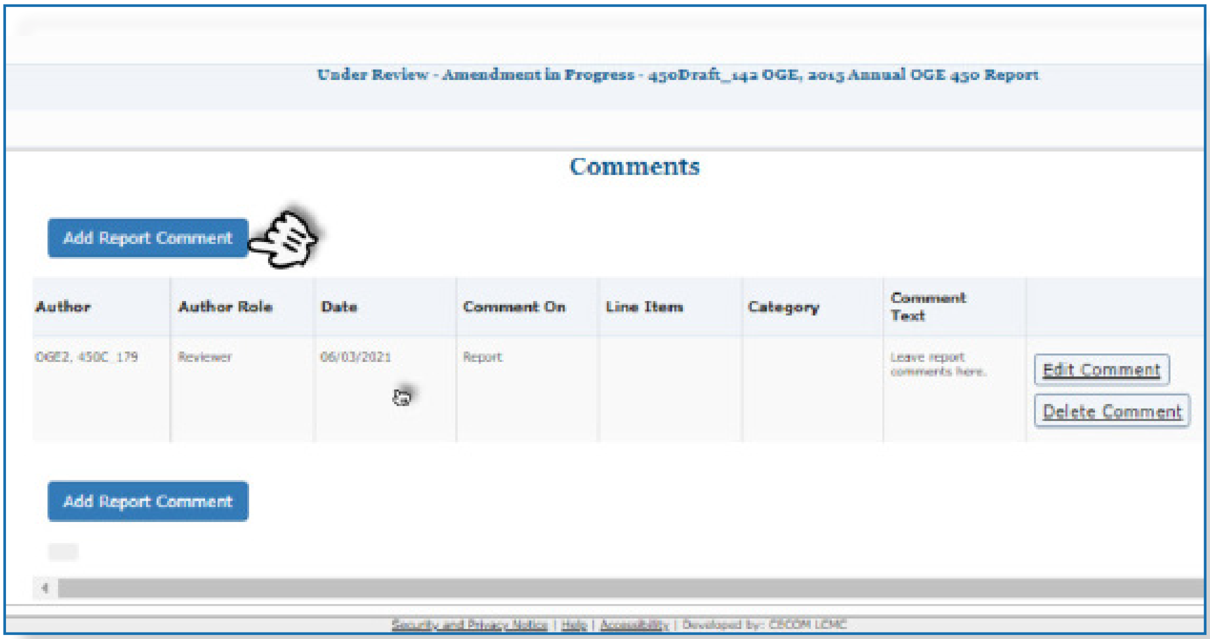
## Adding Supplemental Information

1. In the Search area select the following and click **Search.**
   - ROLE - Supervisor, 450 Certifier, 450 Certifier EC, 450 Certifier Assistant
   - FORM TYPE - OGE 450
   - YEAR - The report year
   - REPORTING STATUS- All
   - REVIEW STATUS - Complete
   - ACTION - All
   - BLANK REPORT(s) -click the checkbox to display reports that contain no reviewable data. Use this option to expedite the reviewing process of reports that require minimum time to certify.
2. Click **View** beside the appropriate report. The Getting Organized page is displayed for the report you are reviewing.

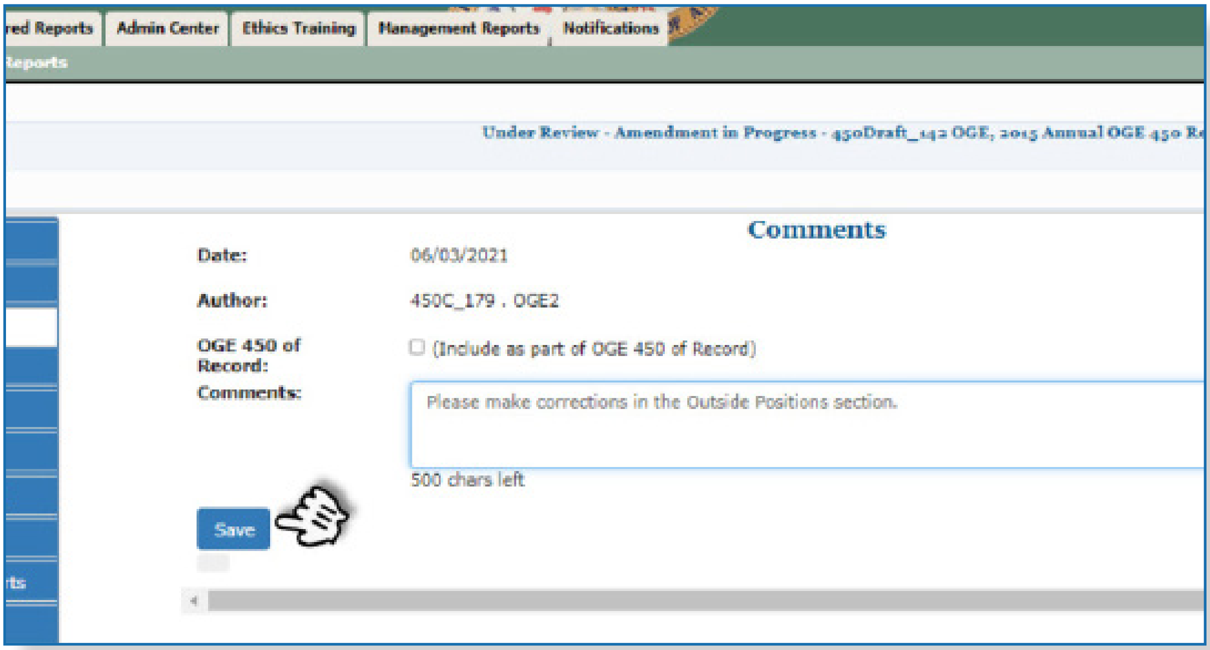
At this point, you can add either additional report comments or attachment that provides additional information, a clarification, or a correction to your completed report.

## Supplemental Report Comments

1. Click the **Comments** sub-tab. The Comments page is displayed.



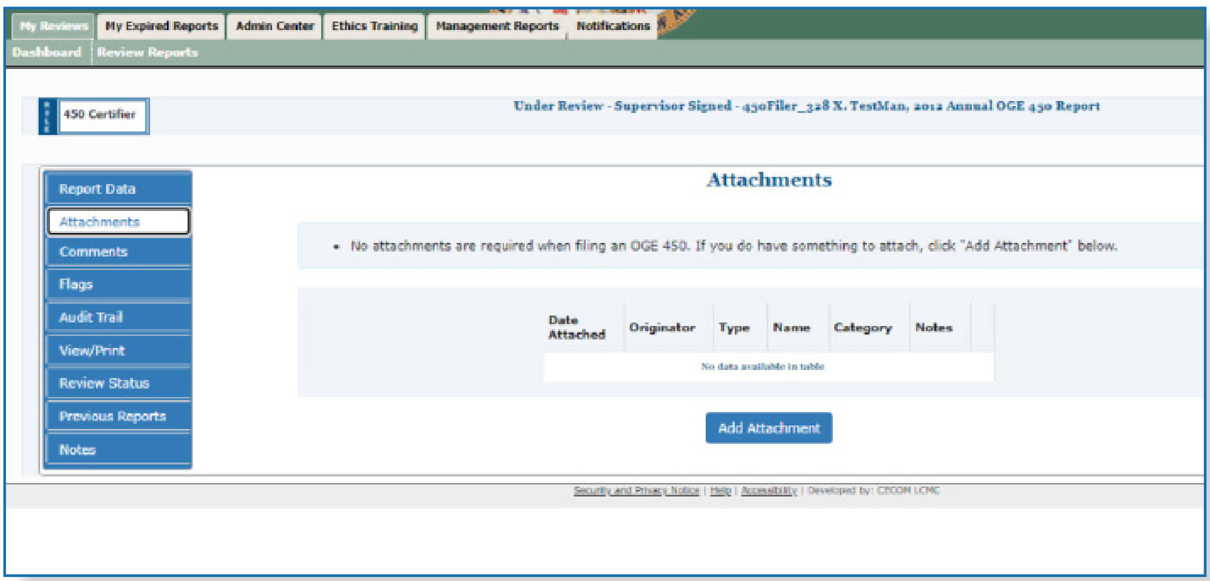

2. Click **Add Report Comment**. The Add Comment page is displayed.



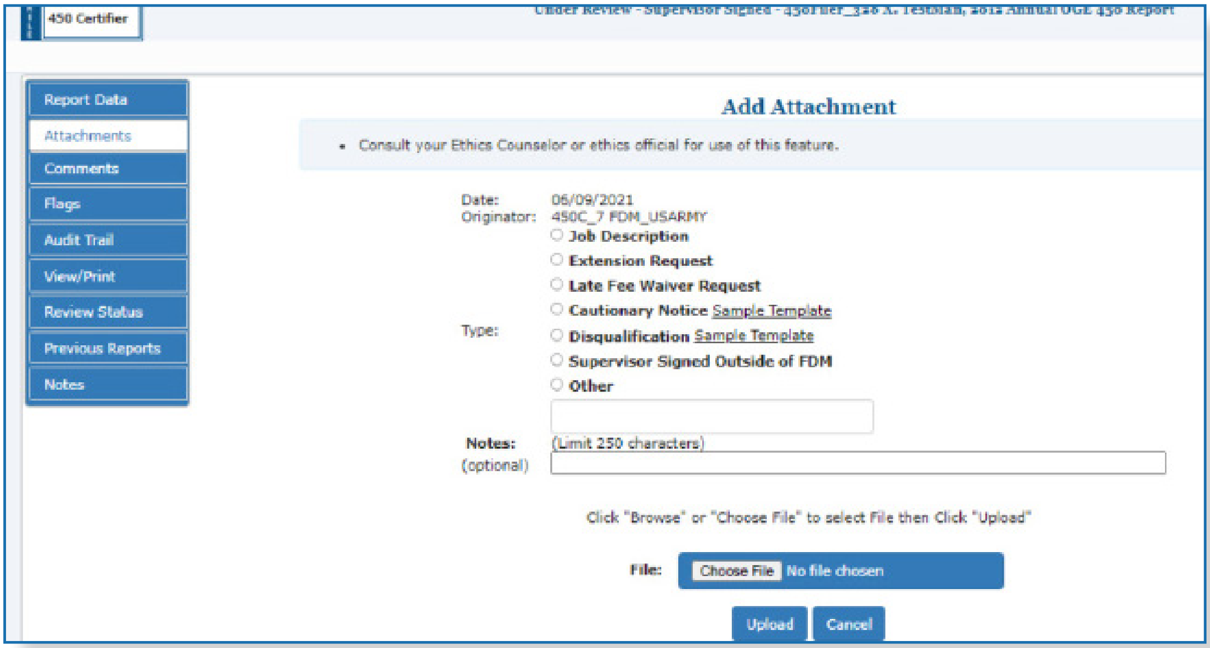

3. Type your comment and then click **Save.** The Comments page is displayed. At this point you can edit the comment you just added or add any additional report comments. Report comments cannot be deleted.

## Supplemental Report Attachments

1. In the Search area select the following and click **Search.**
   - ROLE - Supervisor, 450 Certifier, 450 Certifier EC, 450 Certifier Assistant
   - FORM TYPE - OGE 450
   - YEAR - The report year
   - REPORTING STATUS- All
   - REVIEW STATUS - Complete
   - ACTION - All
   - BLANK REPORT(s) -click the checkbox to display reports that contain no reviewable data. Use this option to expedite the reviewing process of reports that require minimum time to certify.
2. Click **View** beside the appropriate report. The Getting Organized page is displayed for the report you are reviewing.
3. Click the **Attachments** sub-tab. The Attachments page is displayed.




4. Click **Add Attachment**. The Add Attachment page is displayed.




5. Select the Attachment Type and then type a brief description of your file in the Notes field.
6. Click **Browse** to locate the file you wish to upload to your financial disclosure report.
7. Once you have found the file, click **Upload**. The Attachments page displays.

At this point, you can Replace, Delete any existing attachments or add a new attachment.

8. Click **Continue** and then click **Save.** The Comments page is displayed.

At this point, you can edit the attachment you just added or add any additional report attachment.

# Manage Exceptions

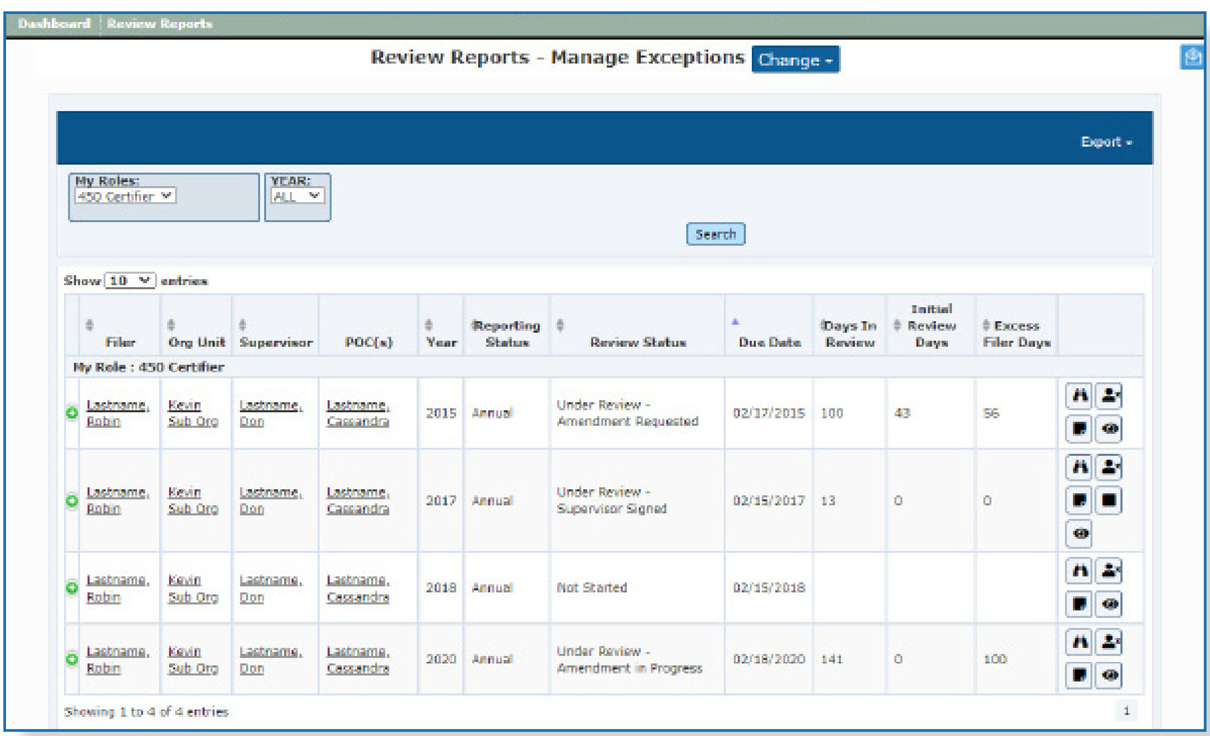
The Manage Exceptions List is a tool in FDM used by Certifying Officials to manage disclosures for compliance or disclosures that require special attention. In this way, the Certifying Official's Worklist displays only those disclosures that require their review and signature. Disclosures remain on the Manage Exceptions List until the issue is resolved and the note is either closed or deleted, or the Certifying Official e-signs the report.

Legal officials (450 Certifiers, SLCs and DAEOs) under the Manage Exceptions tab when any of the following actions occur:

- **Open Notes** - The disclosure has existing or open note that has not been closed.
- **CZ/NECZ Extension** - A National Emergency/Combat Zone extension has been recorded for the disclosure.
- **Filer Has Not e-Signed** - The Filer has started the disclosure but has not e-signed it by the disclosure's due date.
- **Supervisor or SLC not e-Signed** - More than 30 days have passed since the Filer has submitted the disclosure (or the Filer has resubmitted the report) and the Supervisor or SLC has not e-signed.
- **Filer has not Started the Report** - The Filer has not started entering data into their disclosure report.

1. Go to **My Reviews | Dashboard**.
2. Under **Manage Exceptions**, click the number link next to your reviewer role.
3. Under Search, select your **Role** (if you hold more than one role in FDM), the **Year**, and then click on the **Search** button. You also have the option of selecting **ALL** under both Search options to see all roles and all years. Your search results display.

   **Note:** Click the **Next Role** button to view results in another FDM role that you may have.



## Reviewing Options for Reports that Need Special Action

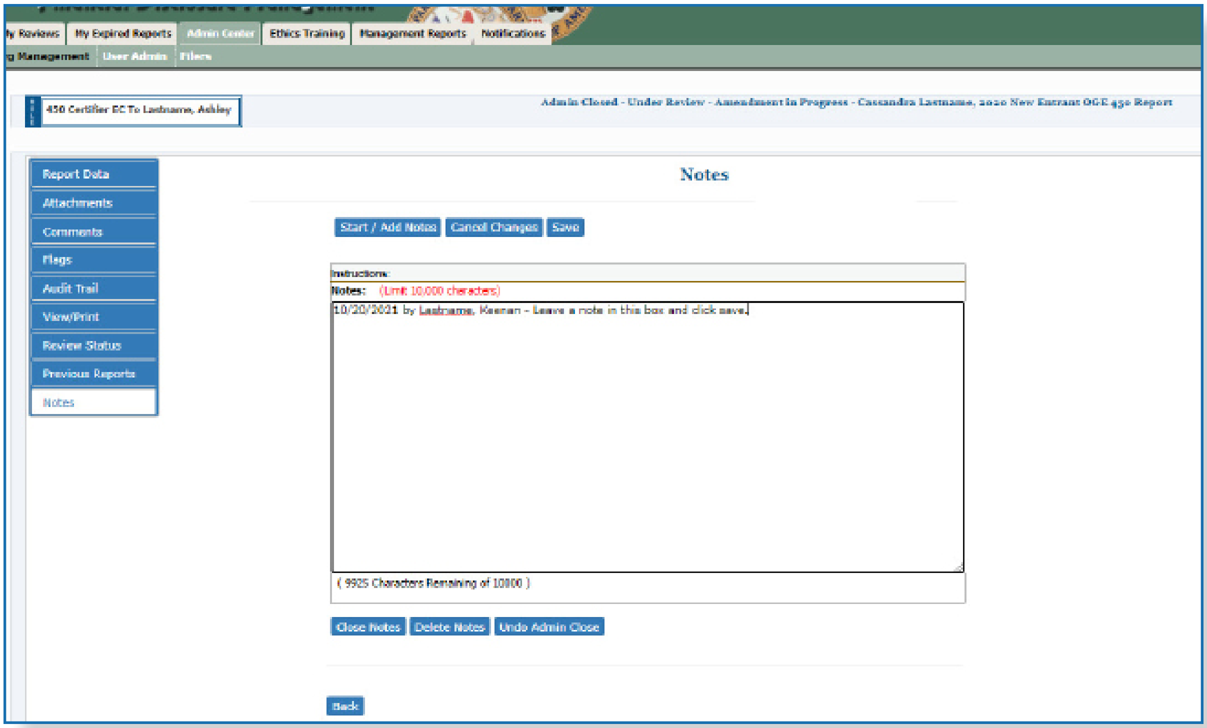
From the Reports that Need Special Action page you can:

| Field | Description |
|---|---|
| eSign & Complete | when you have completed your review and are confident there are no conflicts of interest |
| View | allows you to review the financial disclosure report |
| Review Status | allows you to view the Review Status page of a financial disclosure report |
| Assign | allows you to assign a report that the Filer has already started |
| Remove Assignment | allows you to remove the report assignment if it was assigned erroneously; iff the report Review Status is Not Started or Draft, the report is removed from FDM when the assignment is removed |

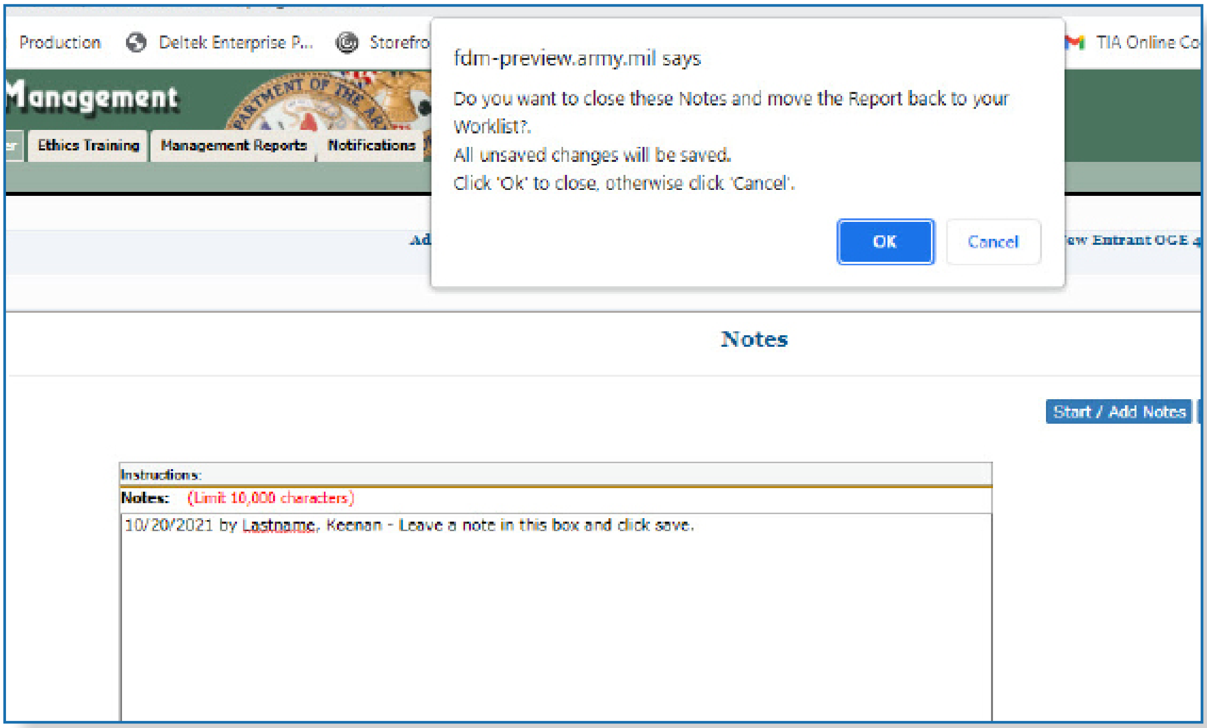
# Reviewing Reports with Notes

To complete your review of a report with notes on the Manage Exceptions list:

1. If a Note exists for the report, click **Notes** beside the appropriate report. The Notes page is displayed.




2. Review the notes. When complete, you can click either **Close** or **Delete Notes** to indicate that the report review can now be completed. A confirmation message is displayed indicating the report will now move back to your Reports Worklist.




3. Click **OK.**

If the report is ready for certification, i.e., the Filer and Supervisor have eSigned:

4. Select the **Review Status** tab. The Review Status page is displayed.
5. Click **eSign and Complete.** Your review has been recorded and the Note is closed for the report.

# Deleting a Report

450 Certifiers and their ECs can delete or remove OGE 450 reports that are unneeded, erroneous, and/or "Admin Closed." This feature allows you to get rid of abandoned Draft reports left in FDM after a Filer was deleted, as well as incomplete reports that will never be completed and those reports that are "Admin Closed.

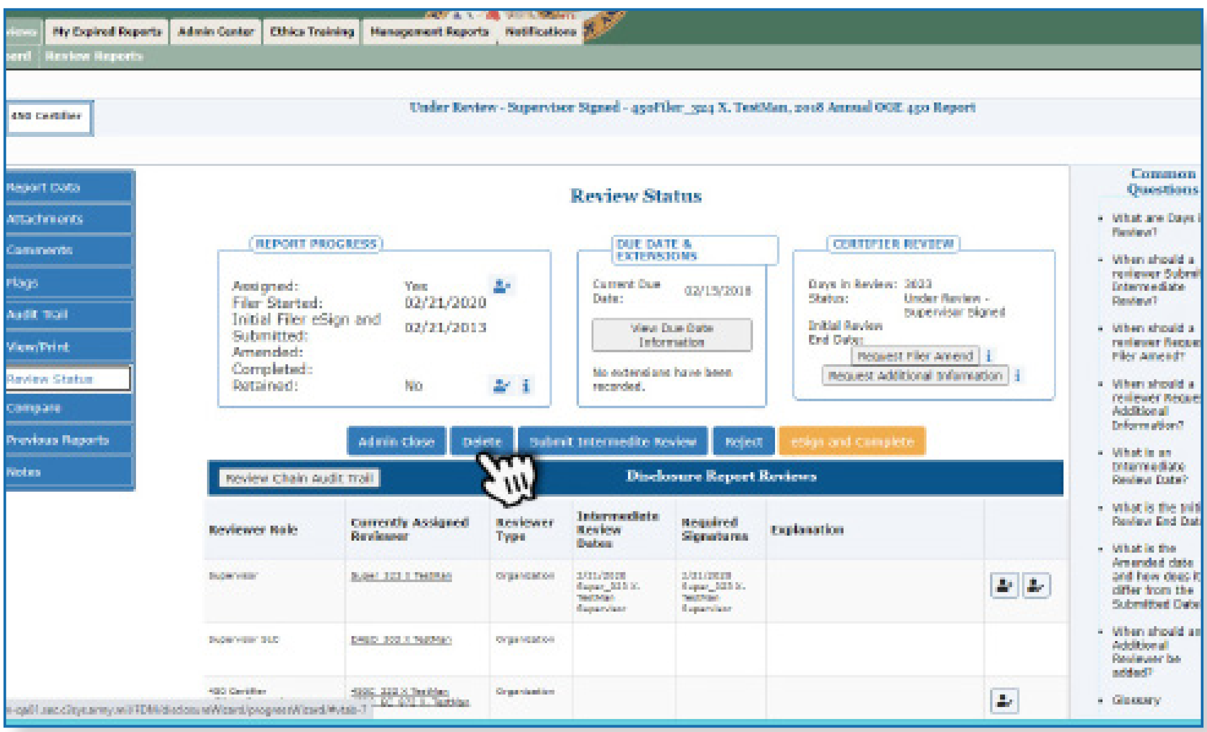
A report is eligible for deletion if:

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

**Note:** Once a report is deleted from FDM, it cannot be recovered.

To delete a report from the Reports Worklist View or Org Unit view:

1. Click **My Reviews | Review Reports.**
2. In the Search area select the appropriate filers and click **Search.**
3. Click on **Review Status** beside the report you wish to delete.




4. On the Review Status page, click on the **Delete** button. The Delete Confirmation page is displayed.

5. Select **Yes, permanently delete this report** check box and then click the **Confirm** button. The report is now permanently removed from FDM.

# Management Reports

FDM administrative and legal users can now easily:

- Monitor the daily and annual filing/reviewing of filers' reports
- Generate charts that allow you to instantly see report status and filing/reviewing trends
- Download/export report data for reference and creation of your own customized report(s) Periodic Management Reports

## Periodic Reports

The Periodic Management Reports can be accessed via the Periodic Management Reports tab:

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

## OGE Agency Management Reports

The following Program Management Reports can be accessed via the OGE Agency Reports tab:

- Timely Filing & Certification Metrics
- Annual Extension Tracking
- Annual Ethics Training Report

## Legacy Management Reports

The following Legacy Management reports can be accessed via the Management Reports | Legacy Reports tab:

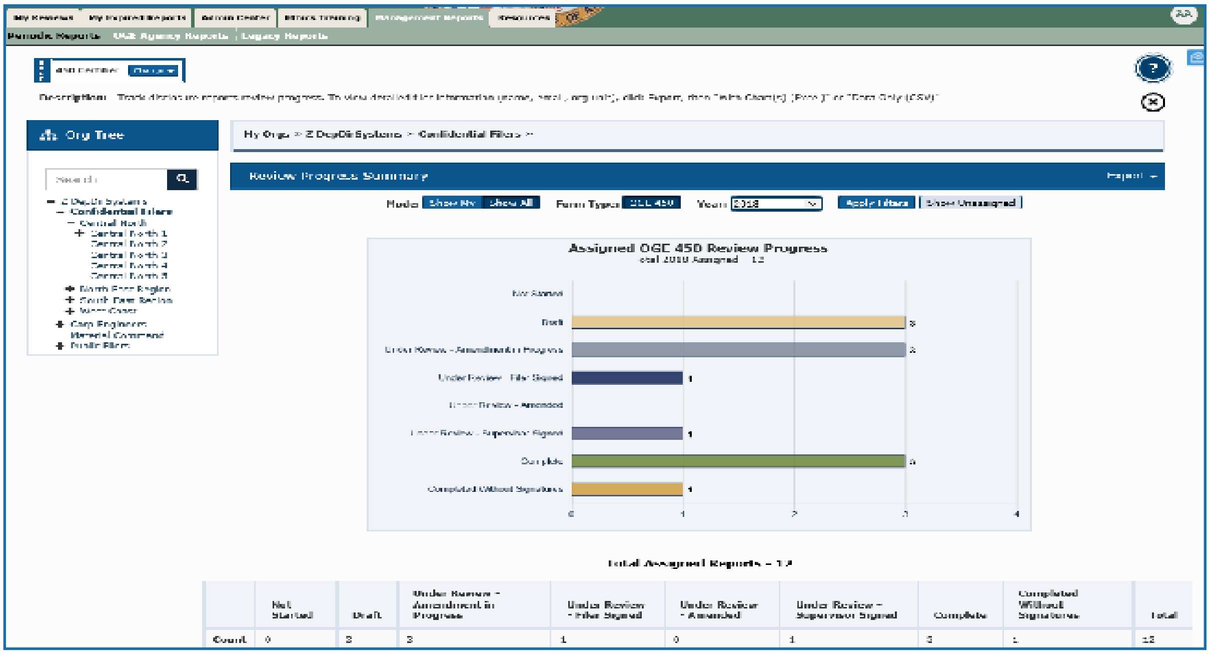
- Registered Filers Summary
- Disclosure Report Detail
- Filers with No Disclosure Reports
- Supervisors' Org Units
- Currently Overdue OGE 450 Annual Reports
- Success Score for 450 Certifier
- Ethics Training Reports

Each standard report can be run by selecting filter options and then clicking 'Generate Report.'

# Generating a Management Report

To generate a Management Report:

1. Go to **Management Reports** and then select one of the Management Report tabs.
2. Select an Org Unit in the Org Tree.
3. Select the appropriate report filter(s) and click **Apply Filters** to generate a report**.**




| Filter | Description |
|---|---|
| Show My | Limits your report information to org units for which you are responsible. |
| Show All | Allows you to view all of the relevant information for the org units assigned to you and other FDM users with the same role. |
| Form Type | Select either OGE 278 or OGE 450. |
| Year | Limits the data in your report to the selected year. |

# Exporting (Downloading) a Report to Excel

(Does not apply to Legacy Reports)

To Export data:

1. After generating a report, click Export then select Export to Excel or Export to .csv.

| | |
|---|---|
| Export to .csv | Select Export to .csv (comma-separated value) to work with the management report data in an application other than Excel such as Numbers, LibreOffice or Google Spreadsheets. |
| Export to Excel | Select Export to Excel to work with the management report data in Excel.<br>Exporting a report graph 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. |

2. Click **Open** to open the file in Excel or your default database program or click **Save** to save to your local network drive.
3. Once the Excel page generates, click the **Enable Editing** button at the top of the page.
4. Select the **DATA** tab to sort and filter the data.
5. You can use any of Excel's features/tools to sort and filter your data.

## Filtering and Sorting Data in Excel

(Does not apply to Legacy Reports)

To filter data:

1. Click the arrow in the table header of the column you wish to filter.
2. In the list of text below the search bar, uncheck the **Select All** box at the top of the list, then check the boxes of the items that you wish to display in your table.
3. Click **OK**. The data will be filtered, temporarily hiding the content that does not match the selected criteria.

To sort data:

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

# Printing a Report

### For Periodic and Agency reports:

1. Generate a report.
2. Click **Export** and select **With Chart(s) (Excel)**.
3. Click **Open** after prompted.
4. Select **File** then **Print.**
5. Below where it says "Printer," find the drop-down menu and select which printer you plan on using.
6. Click **Print** to print the report.

### For Legacy Reports:

1. Generate a report.
2. Click on the **Printer Friendly** link directly right to the text that says "Report Result." A new window will emerge.
3. Select **Print** in the upper right corner.
4. In the General tab, choose which printer you plan to use under "Select a Printer."
5. Click **Print** to print the report.

# Saving a Report

### For Periodic and Agency reports:

1. Generate a report.
2. Click **Export** then select **Export to Excel** or **Export to .csv**.
3. Click the down arrow next to the 'Save' button.
4. Select **Save and Open** and the document will automatically save to your local network drive before Excel opens with the report.

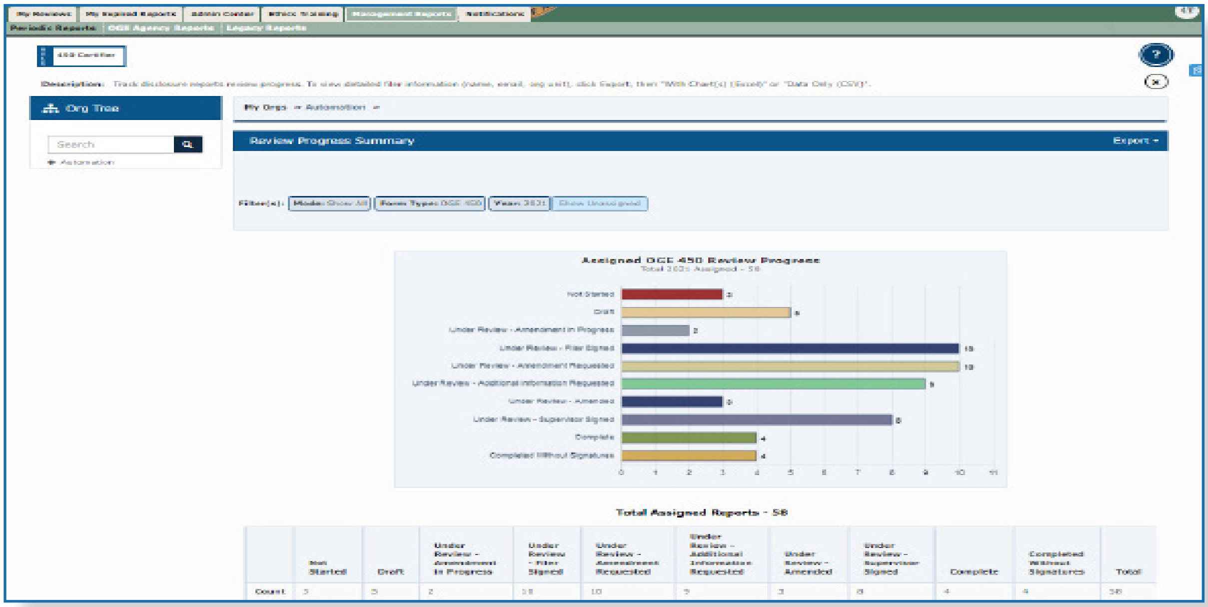
### For Legacy Reports:

1. Generate a report.
2. Click on the **Printer Friendly** link directly right to the text that says "Report Result." A new window will emerge.
3. Find the Tools button (or, hold down the 'alt' key and press 'x') at the top of the page and click on it.
4. Scroll down and click where it says **File**.
5. Select **Save As...**
6. Navigate to the folder where you intend to save your report, name your document in the 'File Name' field and click **Save**.

# Periodic Reports

## Review Progress Summary

The Review Progress Summary provides a single report that displays submission and review status metrics for reports in FDM. Use this report to track how many reports for the selected year have or have not been submitted, along with their review progress.




- **Export** Use this to export data to an Excel spreadsheet where you can filter and modify.
- **Show Unassigned** Use this to view the status of any "self-started" unassigned reports.

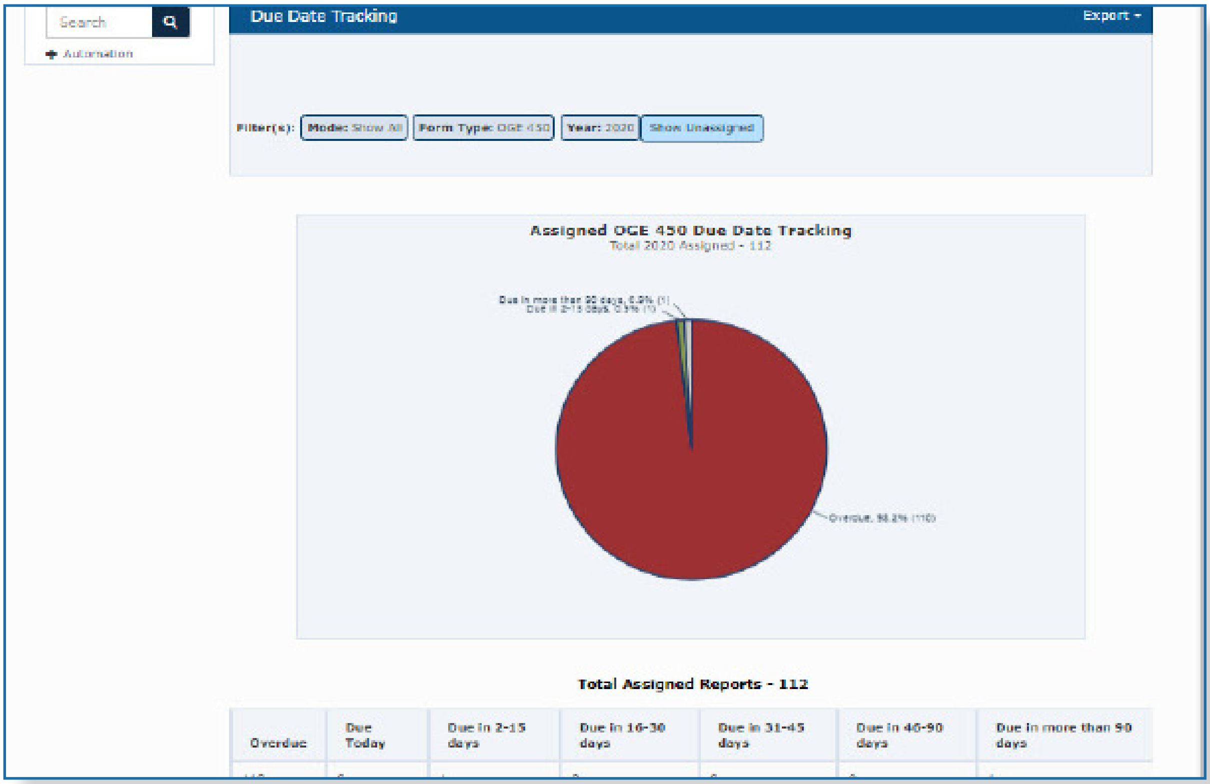
| Filter | Description |
|---|---|
| Not Started | Count of reports that have been assigned but not begun. |
| Draft | Count of reports that have been started but not yet signed by a Filer. |
| Under Review Amendment in Progress | Count of reports that were originally submitted and now are having changes made. |
| Under Review Filer Signed | Count of reports that have been signed by a filer. |
| Under Review Supervisor Signed | Count of reports that have been signed by a Filer and the supervisor reviewer. |
| Under Review SLC Signed | Count of reports that have been signed by the filer and the SLC reviewer. |

| | |
|---|---|
| Undo Submitted to DAEO | Count of reports where a reviewer undid the action of submitting to DAEO. |
| Submitted to DAEO | Count of reports that have both an SLC and Supervisor signature. |
| Complete | Count of reports that have completed the submission and review process.. |
| Completed without Signatures | All reviews of the report are complete, however the report does not have a Filer's signature. |

| Excel Export Field | Description |
|---|---|
| Filer Name | Refers to the name of the Filer. |
| Filer Email Address | Refers to the Filer's Email address. |
| Org Unit | The Org Unit where the Filer is a member. |
| Year | This is the filing year of the report. |
| Reporting Status | The report type: New Entrant, Annual, Incumbent, Incumbent/Termination or Termination report. |
| Review Status | Lists the current review state of the report. |
| Assigned | Assigned = Y = Assigned; N = Unassigned. Unassigned Report Assignments are initiated by the filer or filer assistant. |
| Amended | Indicates if report has been amended by the Filer.  Y = amended and N = not amended. |

## Due Date Tracking

The Due Date Tracking report consolidates Filers with No Disclosures and Currently Overdue reports. Use this report to track reports as they near the due date or are simply overdue.

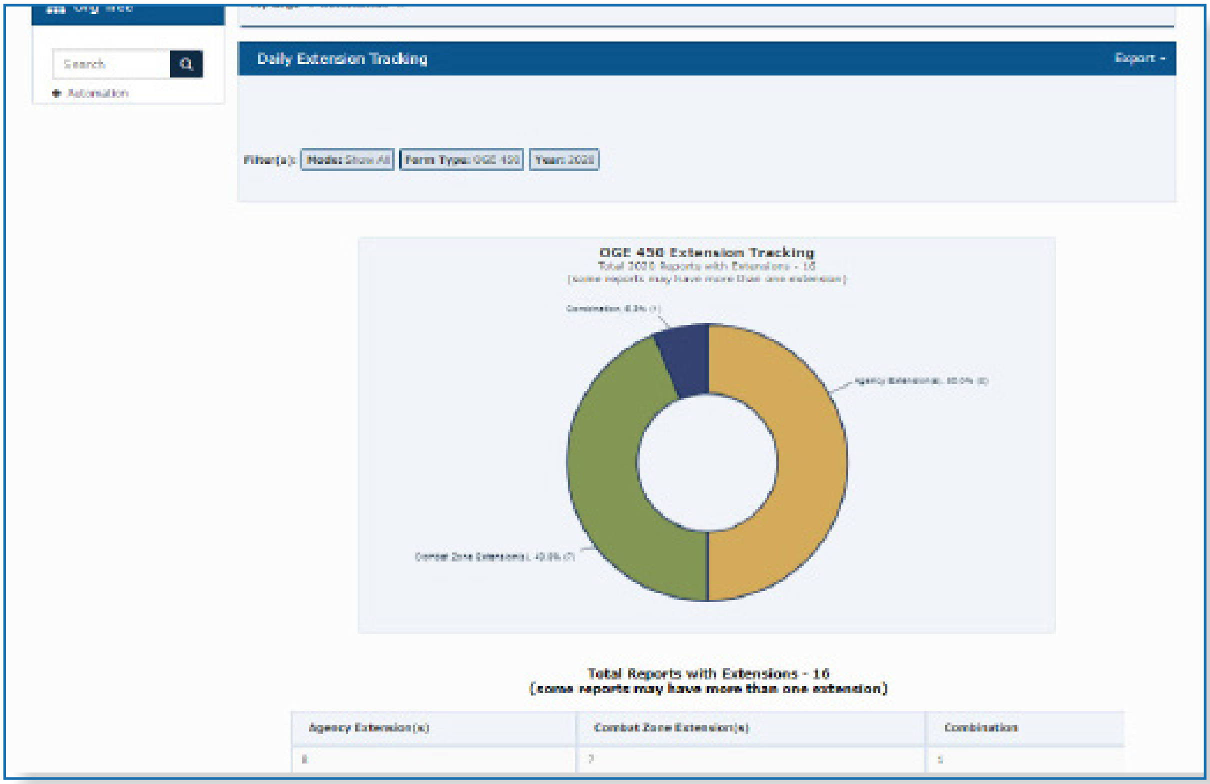



| Field | Description |
|---|---|
| Overdue | Count of reports that have not been completed by its due date. |
| Due Today | Count of reports due today. |
| Due in 2-15 days | Count of reports due in 2-15 days. |
| Due in 16-30 days | Count of reports due in 16-30 days. |
| Due in 31-45 days | Count of reports due in 31-45 days. |
| Due in 46-90 days | Count of reports due in 46-90 days. |
| Due in more than 90 days | Count of reports due in more than 90 days. |

| Excel Export Field | Description |
|---|---|
| Filer Name | Refers to the name of the Filer. |
| Filer Email Address | Refers to the Filer's Email address. |
| Org Unit | The Org Unit where the Filer is a member. |
| Year | This is the filing year of the report. |
| Reporting Status | The report type: New Entrant, Annual, Incumbent, Incumbent/Termination or Termination report. |
| Assigned | Assigned = Y = Assigned; N = Unassigned. Unassigned Report Assignments are initiated by the filer or filer assistant. |
| Due Date | The date on which the report should be completed. |
| # of Days until Due/ # of Days Past Due | The number of days until a report is due OR the number of days that have passed since the report was due. If the number is in parentheses, this indicates the number of days the report is past due.<br>Example: 47 = due in 47 days. (47) = report was due 47 days ago. |
| Overdue | 'Yes' if report has not been submitted by the Filer's Due Date. |
| Due Today | 'Yes' if report is due the same day that the report was exported. |
| Due in 2-15 days | 'Yes' if report is due in 2-15 calendar days. |
| Due in 16-30 days | 'Yes' if report is due in 16-30 calendar days. |
| Due in 31-45 Days | 'Yes' if report is due in 31-45 calendar days. |
| Due in 46-90 Days | 'Yes' if report is due in 46-90 calendar days. |
| # of Extension Due Days | The number of extension days granted to a report. |
| Extension Type | The type extension that was granted. There are two types of Extensions: Agency Extension and National Emergency/Combat Zone. |

## Daily Extension Tracking

This report tracks the number of reports that have extensions. Some reports may have more than one extension granted to them.



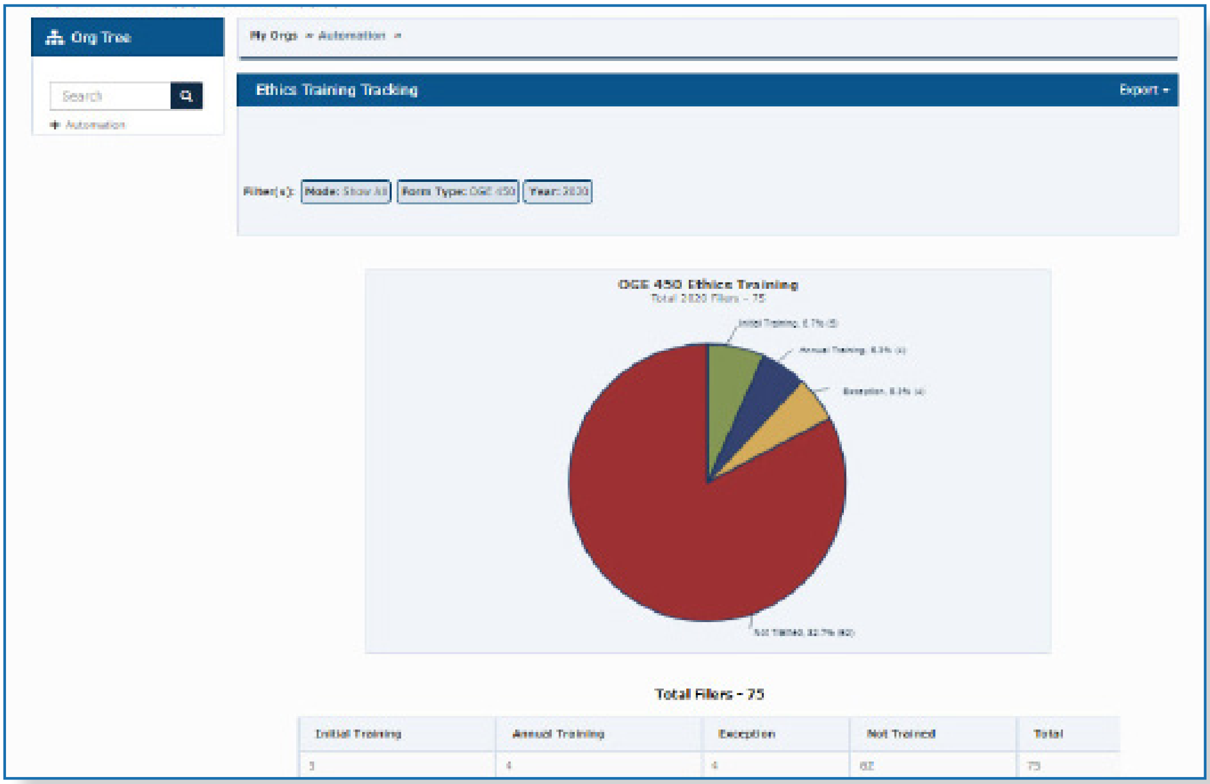

| Field | Description |
|---|---|
| Agency Extension (s) | Count of reports with agency extensions. |
| Combat Zone Extension(s) | Count of reports with combat zone extensions. |
| Combination | Count of reports with both agency and combat zone extensions. |

| Excel Export Field | Description |
|---|---|
| Filer Name | Refers to the name of the Filer. |
| Filer Email Address | Refers to the Filer’s Email address. |
| Org Unit | The Org Unit where the Filer is a member. |
| Year | This is the filing year of the report. |

| | |
|---|---|
| Reporting Status | The report type: New Entrant, Annual, Incumbent, Incumbent/Termination or Termination report. |
| Assigned | Assigned = Y = Assigned; N = Unassigned. Unassigned Report Assignments are initiated by the filer or filer assistant. |
| Review Status | Lists the current review state of the report. |
| Original Due Date | The original due date of the report. Specifically: February 15th for Annual Filers and May 15th for Incumbent and for New Entrant and Termination Filers, the due date automatically calculates to 30 days from the date of assignment. |
| Extension Create Date | The date that the report extension was granted in FDM. |
| # of Extension Days | The number of extra days a Filer was given if granted a report extension by an SLC, Ethics Counselor or DAEO. |
| Current Due Date | The due date of the Filer's initial submittal of the report, extensions included. Specifically, February 15th for Annual filers and May 15th for Incumbent. For New Entrant and Termination filers, the due date automatically calculates to 30 days from the date of assignment. |
| Extension Type | The type extension that was granted. There are two types of Extensions: Agency Extension and National Emergency/Combat Zone. |
| Extension Reason | The reason for granting the extension. Extension reasons include: Convenience of filing combined reports, extremely pressing assignments, long period of official travel, significant illness and other. |
| Original Filer Submit Date | The original due date of the report. Specifically: February 15th for Annual Filers and May 15th for Incumbent and for New Entrant and Termination Filers, the due date automatically calculates to 30 days from the date of assignment. |

## Ethics Training Tracking

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




| Field | Description |
|---|---|
| Initial Training | Count of Filers who received initial training. |
| Annual Training | Count of Filers who received annual training. |
| Exception | Count of Filers who were granted a training exception. |
| Not Trained | Count of Filers who have not received ethics training. |
| Total | Count of all Filers included within the generated management report |

| Excel Export Field | Description |
|---|---|
| Filer Name | Refers to the name of the Filer. |
| Filer Email Address | Refers to the Filer's Email address. |
| Org Unit | The Org Unit where the Filer is a member. |
| Agency | The FDM agency in which the org unit is under. |

| | |
|---|---|
| Year | This is the filing year of the report. |
| Training Type | The type of training Filer underwent: either Annual (repeat user in that Org Unit) or Initial (first time training). |
| Training Date | Displays the recorded date of when Filer received ethics training. |
| SGE | Displays “Yes” if Filer indicated in their report that they are a Special Government Employee. |
| PAS | Displays ‘Yes’ if Filer indicated on their report that they are a Presidential Appointees-Senate Confirm Filer. |
| Filer currently in Reviewer Org | Displays ‘Yes’ if the Filer has a Filer role in the org unit that has assigned the corresponding report, as of the day that the Excel document was generated. |

## 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 All lists the ten ethics official with the highest counts of reports that are past their retention period within their Span of Responsibility or Span of Control.

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

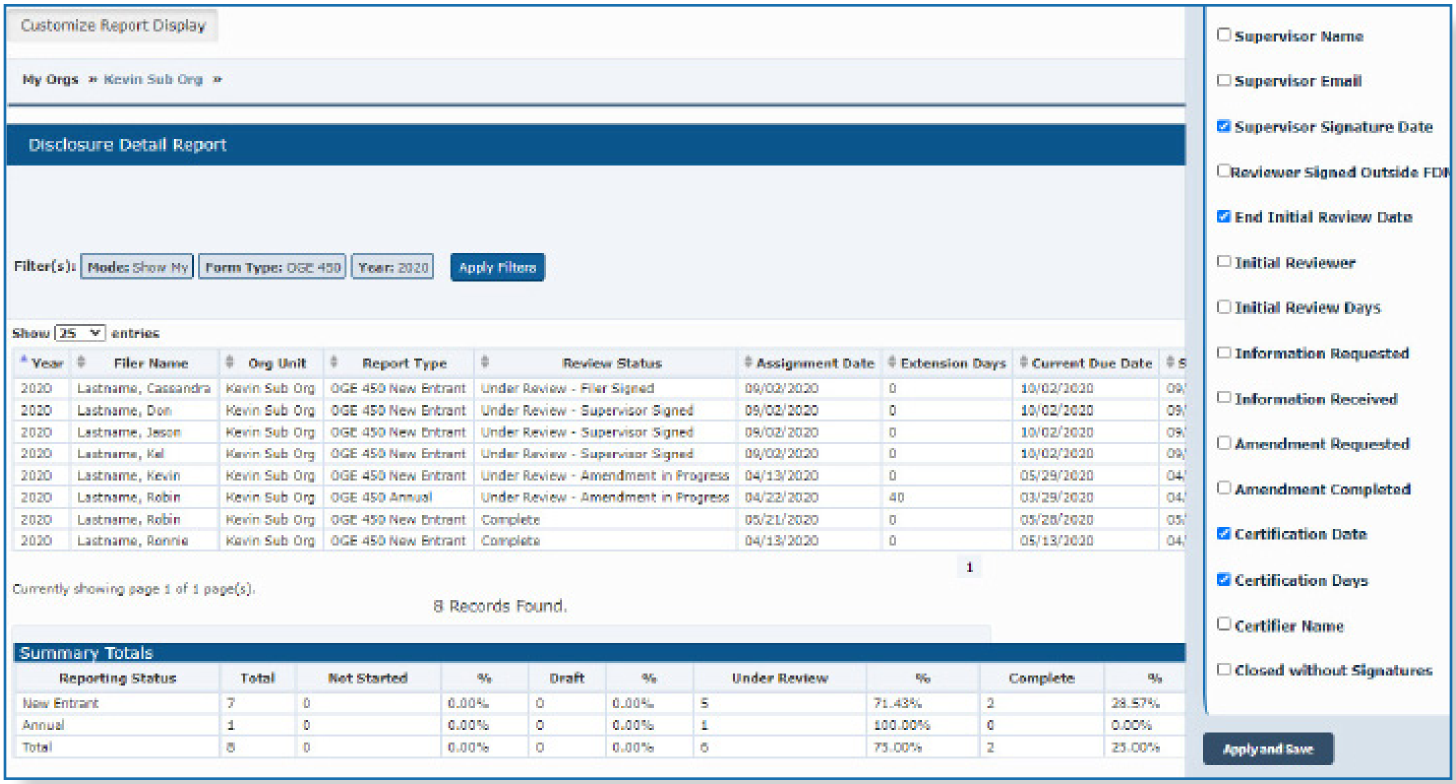
| Field | Description |
|---|---|
| Expired more than 60 Days ago | Count of reports that expired more than 60 days ago. |
| Expired in past 60 Days | Count of reports that expired within the past 60 days. |
| Expires in 60 Days | Count of reports that expire in 60 days. |
| Total Expired Reports | Count of reports that have passed the period of retention. The retention period of a report is six years after the Filer submitted (eSigned by the Filer) the report. |

| Excel Export Field | Description |
|---|---|
| Ethics Official Name | Refers to the Ethics Official who has expired reports or expiring reports that need to be purged. |
| Ethics Official Email Address | Refers to the Ethics Official’s email address. |
| Expired more than 60 days ago | Count of reports that have exceeded the retention period more than 60 days ago. |
| Expired in 60 days | Count of reports that have expired within the past 60 days, at the time that this report was generated. |
| Expires in 60 days | Count of reports that expire in 60 days. |
| Retained | Count of reports that have been selected to be retained in FDM. |
| Total Expired Reports | Count of reports that have passed the period of retention. |

## Disclosure Detail Report

The enhanced Disclosure Detail Report provides reporting and reviewing status details by Org Unit, form type, year and various other customizable filters.

Click **Customize Report Display** to display additional filter selections on the right side of the page. Check/uncheck any of the optional filters.



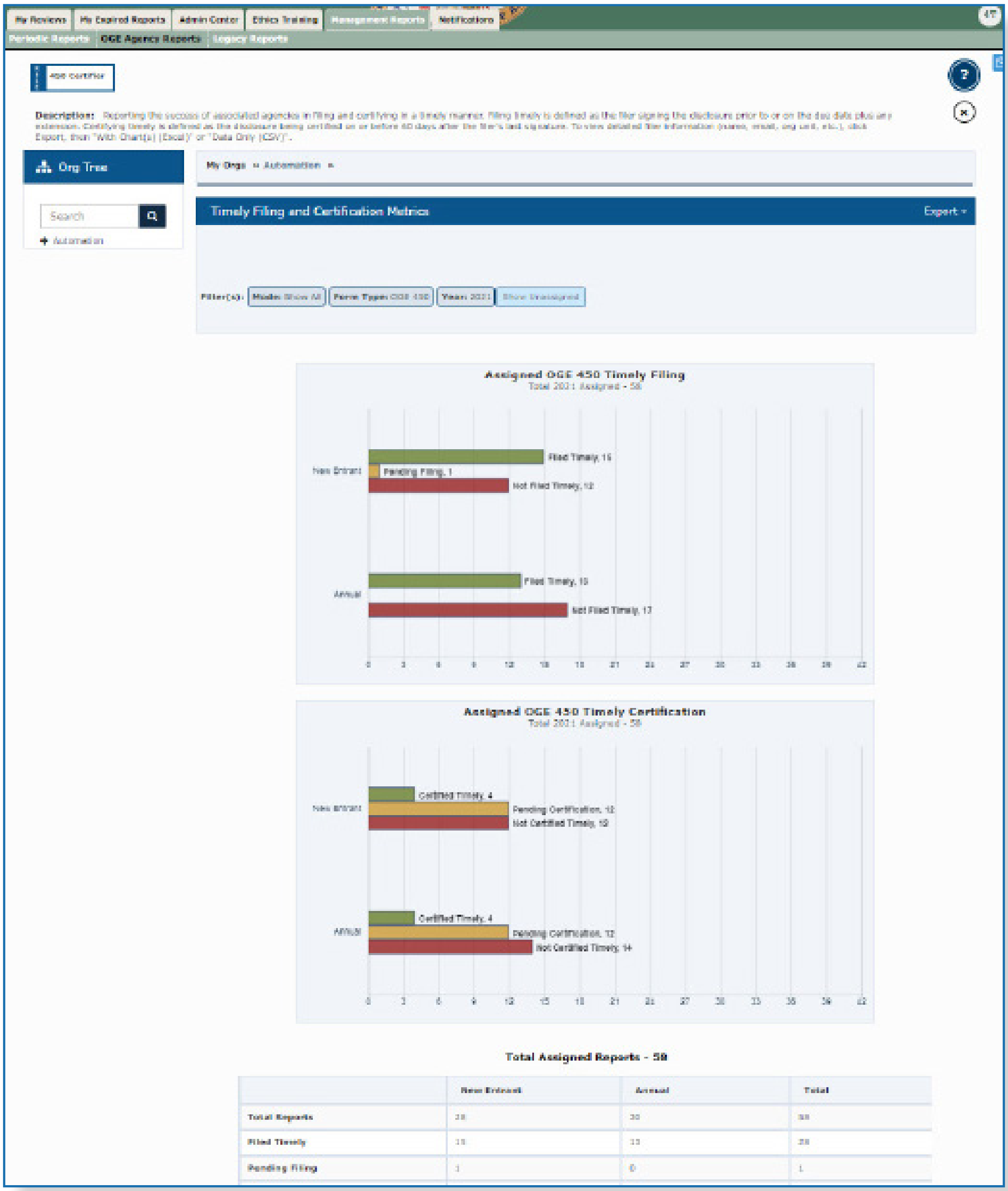

| Field | Description |
|---|---|
| Year | This is the filing year of the report. |
| Filer Name | Refers to the name of the Filer. |
| Org Unit | The Org Unit where the Filer is a member. |
| Report Type | Specifiies Annual or New Entrant OGE 450 Report. |
| Review Status | Shows the review status of a report. |
| Extension Days | The number of extra days a Filer was given if granted a report extension by an SLC, Ethics Counselor or DAEO. |
| Current Due Date | The due date of the Filer's initial submittal of the report, extensions included. Specifically, February 15th for Annual filers and May 15th for Incumbent. For New Entrant and Termination filers, the due date automatically calculates to 30 days from the date of assignment. |

| | |
|---|---|
| Submission Date | Date report was submitted. |
| Supervisor Signature Date | The date that the Supervisor signed the report. |
| End Initial Review Date | The date that a reviewer recorded that they conducted an initial review of a financial diclosure. |
| Certified Date | The date that an ethics counselor certified a report as Complete. |

# Agency Reports

## Timely Filing & Certification Metrics

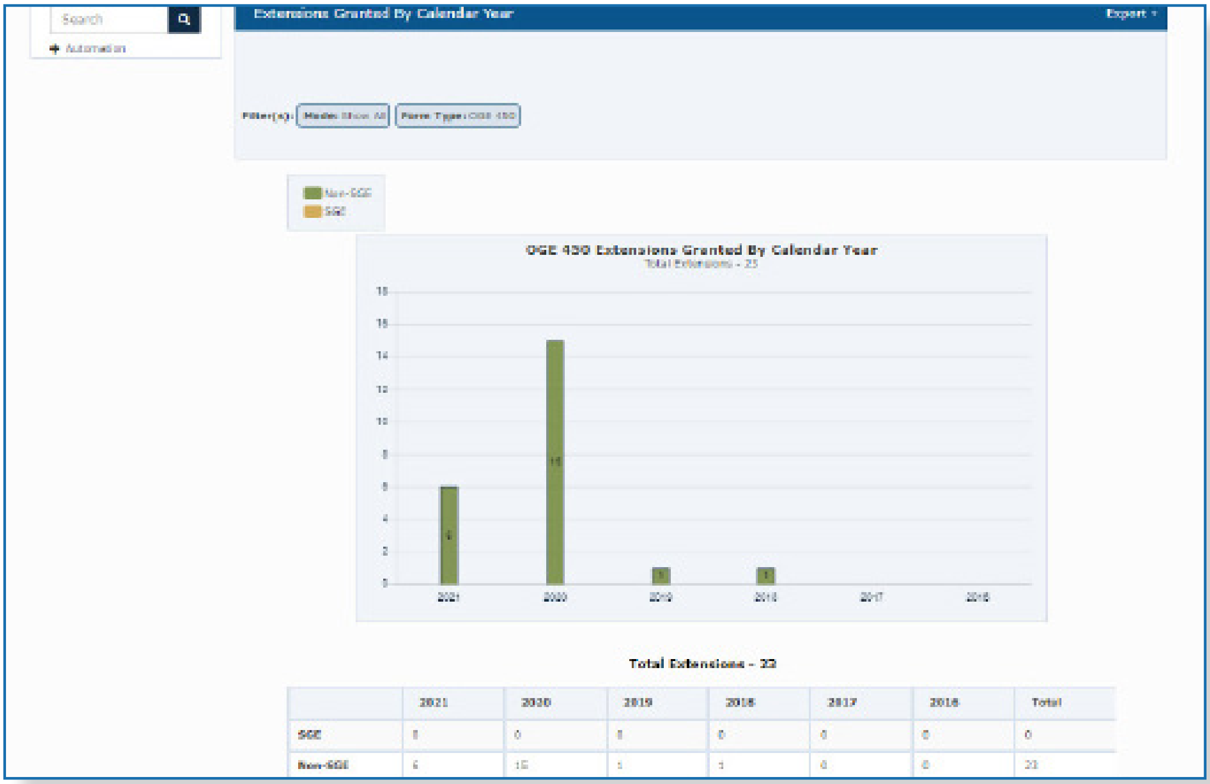
This report updates the *450 Certifier Success Score* report.  Use this report to determine the count of reports that were filed and certified in a timely manner in accordance with OGE requirements.  Timely filing is defined as the Filer eSigning prior to or on the due date, plus any extension.  Timely certification occurs when the report is certified on or before 60 days after the Filer's last signature.



| Excel Export Field | Description |
| --- | --- |
| Filer Name | Refers to the name of the Filer. |
| Filer Email Address | Refers to the Filer's Email address. |
| Org Unit | The Org Unit where the Filer is a member. |
| Year | This is the filing year of the report. |
| Reporting Status | The report type: New Entrant, Annual, Incumbent, Incumbent/Termination or Termination report. |
| Review Status | Lists the current review state of the report. |
| Assigned | Assigned = Y; N = Unassigned. Indicates whether or not the report is assigned or unassigned. |
| # Of Extension Days | The number of extra days a Filer was given if granted a report extension by an SLC, Ethics Counselor or DAEO. |
| Current Due Date | The due date of the filer's initial submittal of the report, extensions included. |
| Last Filer Submit Date | The date in which the Filer submitted their most recent report. |
| Completion Date | This is the date that the office of the 450 Certifier (for 450s) or Office of the DAEO (for 278s) eSigned the report. |
| Filed On Time | Indicates if filer has submitted his or her report before or on the Current Due Date. |
| Certified On Time | Indicates if the report has been eSigned by the 450 Certifier (for 450s) or Office of the DAEO (for 278s) on or before 60 days after the Filer's last signature |
| Pending Completion Date | The date on which the report must be signed by the 450 Certifier (for 450s) or Office of the DAEO (for 278s). |

## Extensions Granted by Calendar Year

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



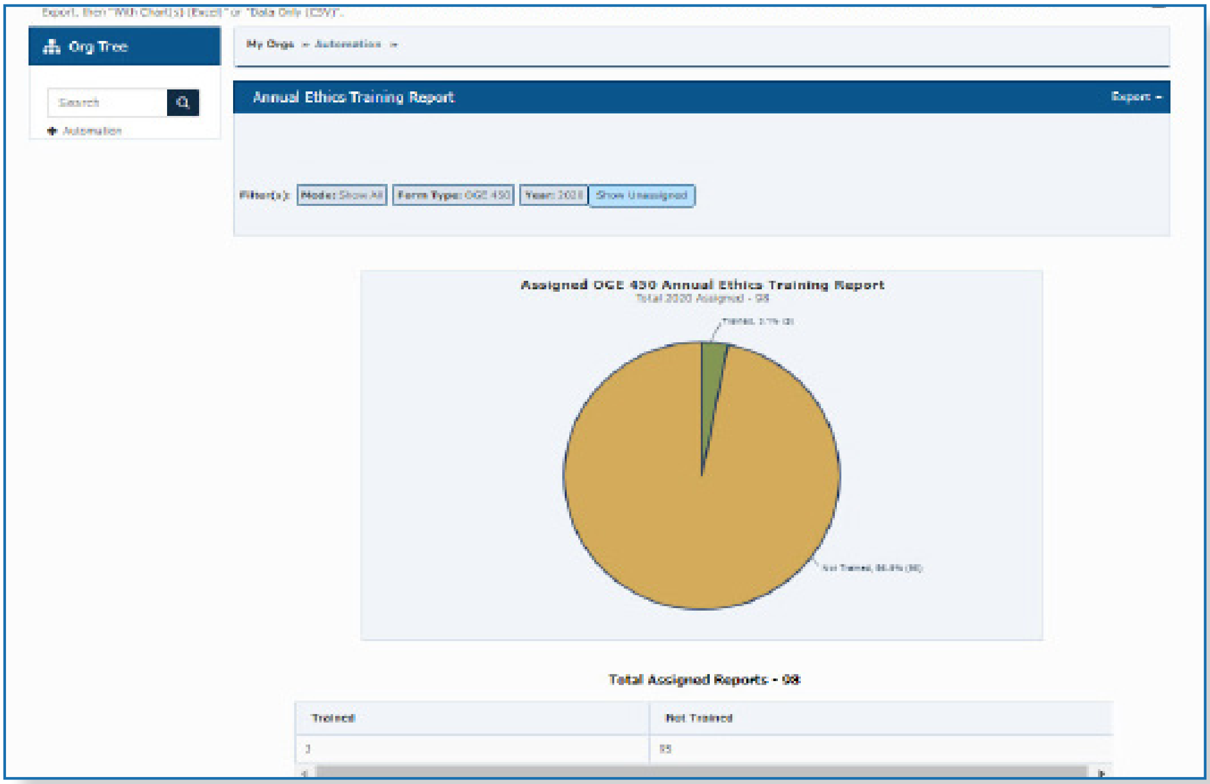

| Field | Description |
|---|---|
| SGE | Count of reports which received an extension and where the filer indicated they are a Special Government Employee. |
| Non-SEG | Count which received an extension and the filer did not indicate they were a Special Government Employee. |

| Excel Export Field | Description |
|---|---|
| Filer Name | Refers to the name of the Filer. |
| Filer Email Address | Refers to the Filer's Email address. |
| Org Unit | The Org Unit where the Filer is a member. |
| Year | This is the filing year of the report. |

| | |
|---|---|
| Reporting Status | The report type: New Entrant, Annual, Incumbent, Incumbent/Termination or Termination report. |
| Assigned | Assigned = Y = Assigned; N = Unassigned. Unassigned Report Assignments are initiated by the filer or filer assistant. |
| Review Status | This is the current review state of the report. |
| Original Due Date | The original due date of the report. |
| Extension Create Date | The date that the report extension was granted in FDM. |
| # of Extension Days | The number of extra days a Filer was given if granted a report extension by an SLC, Ethics Counselor or DAEO. |
| Current Due Date | The due date of the Filer's initial submittal of the report, extensions included. |
| Extension Type | The type of extension that was granted. |
| Extension Reason | The reason for granting the extension. |
| Original Filer Submit | The date of the filer's initial submittal or eSign. |
| SGE | Displays "Yes" if Filer indicated in their report that they are a Special Government Employee. |

## Annual Ethics Training Report

This report tracks ethics training recorded for Filers that were in your Org Units during the selected calendar year. The Excel export of this report ties the Filer's ethics training record to a report in FDM.




| Field | Description |
|---|---|
| Trained | Count of Filers who have received annual ethics training. |
| Not Trained | Count of Filers who have not received annual ethics training. |

# Working in Excel

## 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 application

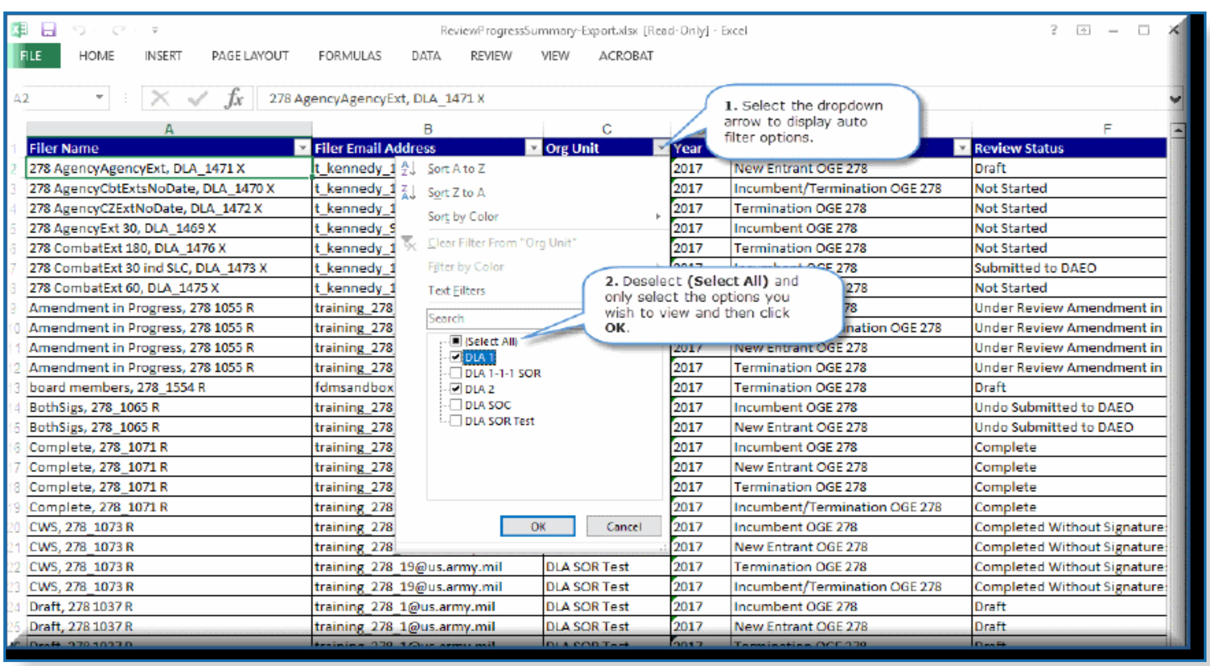
## Organize Your Data

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 the 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.

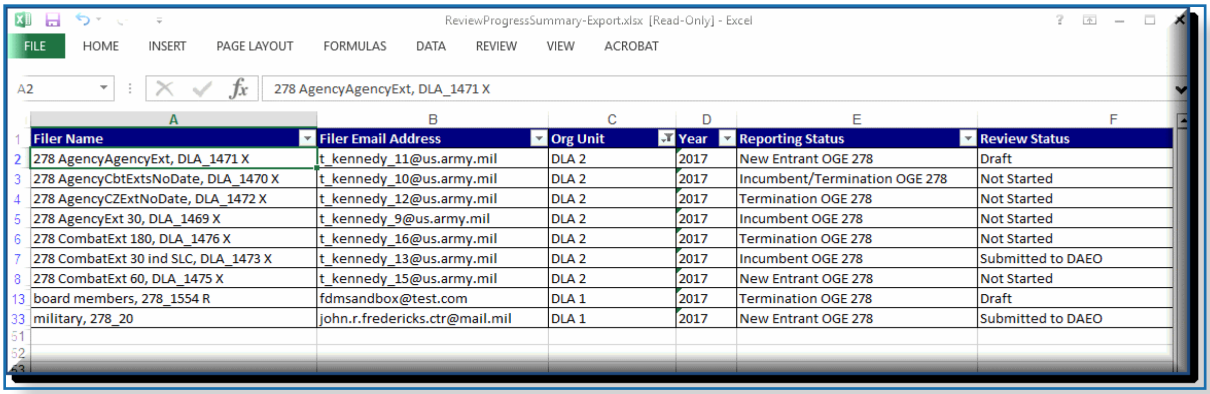
**Note:** Filtered results can be cleared at any time to re-display all rows that the filtering temporarily suppressed.

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 on. The Filter menu displays.



3. Uncheck the box beside Select All to quickly 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.




| | Filer Name | Filer Email Address | Org Unit | Year | Reporting Status | Review Status |
|---|---|---|---|---|---|---|
| 2 | 278 AgencyAgencyExt, DLA_1471 X | t_kennedy_11@us.army.mil | DLA 2 | 2017 | New Entrant OGE 278 | Draft |
| 3 | 278 AgencyCbtExtsNoDate, DLA_1470 X | t_kennedy_10@us.army.mil | DLA 2 | 2017 | Incumbent/Termination OGE 278 | Not Started |
| 4 | 278 AgencyCZExtNoDate, DLA_1472 X | t_kennedy_12@us.army.mil | DLA 2 | 2017 | Termination OGE 278 | Not Started |
| 5 | 278 AgencyExt 30, DLA_1469 X | t_kennedy_9@us.army.mil | DLA 2 | 2017 | Incumbent OGE 278 | Not Started |
| 6 | 278 CombatExt 180, DLA_1476 X | t_kennedy_16@us.army.mil | DLA 2 | 2017 | Termination OGE 278 | Not Started |
| 7 | 278 CombatExt 30 ind SLC, DLA_1473 X | t_kennedy_13@us.army.mil | DLA 2 | 2017 | Incumbent OGE 278 | Submitted to DAEO |
| 8 | 278 CombatExt 60, DLA_1475 X | t_kennedy_15@us.army.mil | DLA 2 | 2017 | New Entrant OGE 278 | Not Started |
| 13 | board members, 278_1554 R | fdmsandbox@test.com | DLA 1 | 2017 | Termination OGE 278 | Draft |
| 33 | military, 278_20 | john.r.fredericks.ctr@mail.mil | DLA 1 | 2017 | New Entrant OGE 278 | Submitted to DAEO |

**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 drop-down arrow in multiple columns and deselecting/selecting specific data in the column to display.

To clear a filter:

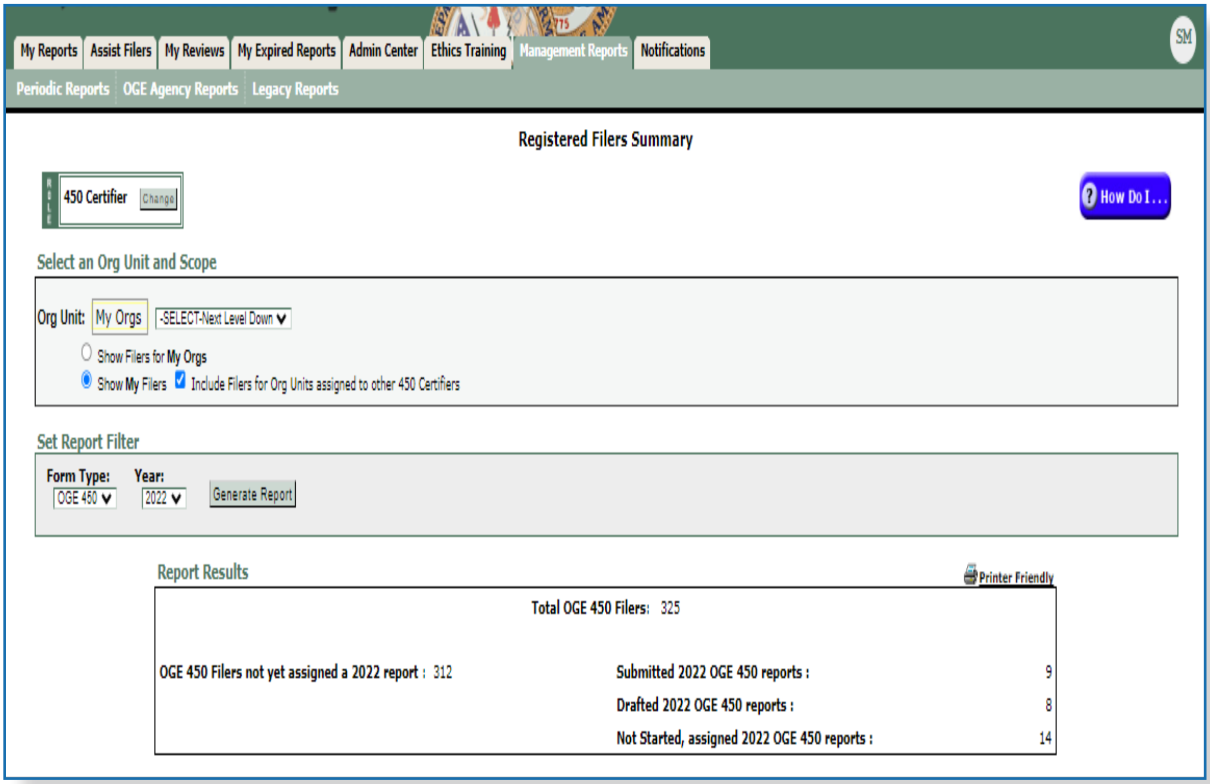
5. Click the drop-down arrow for the filter you wish to clear and select Clear Filter from in the Filter menu. The previously hidden data will redisplay.

# Legacy Reports

## Registered Filer Summary

The Registered Filer Summary 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 reports in FDM.

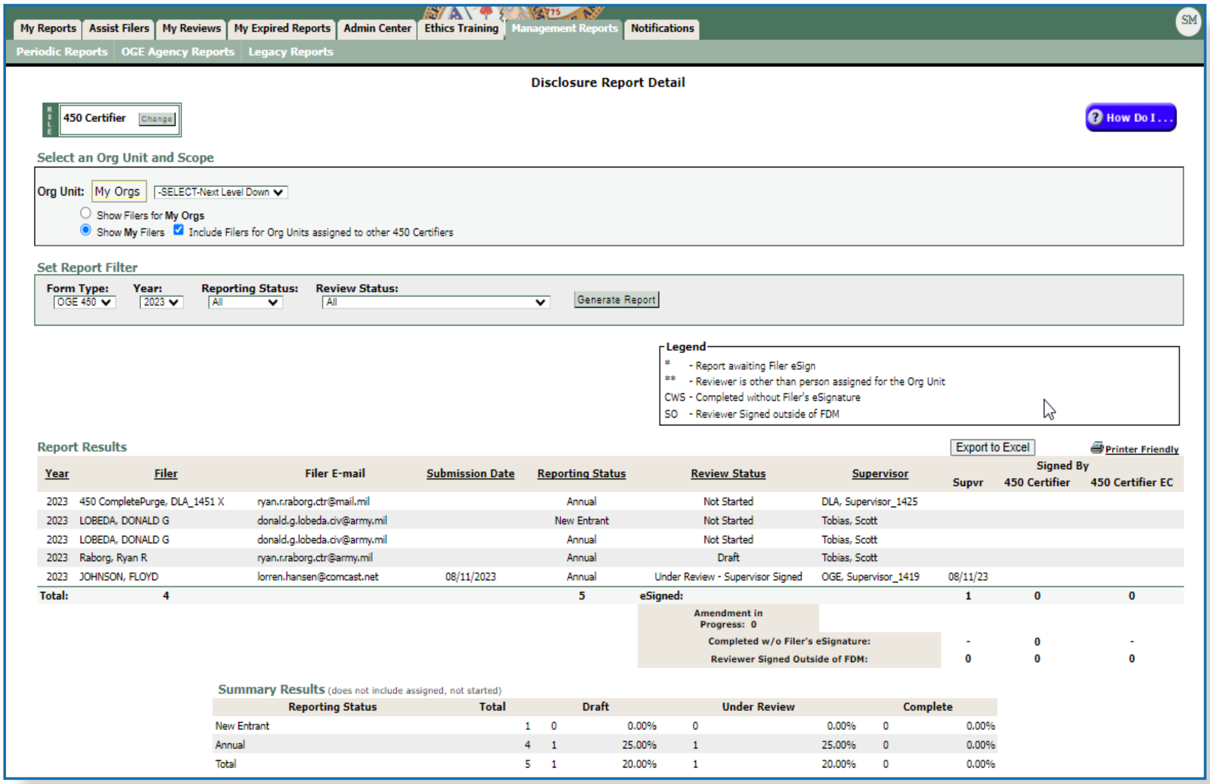
- **Printer Friendly** To print Management Reports into a convenient, easy-to-read format, locate the 'Printer Friendly link after generating a report.




| Field | Description |
|---|---|
| Total OGE Filers | Count of Filers with specified form type role. |
| OGE Filers Not Yet Assigned a report | Count of Filers without a report assignment for the specified form type. |
| Submitted OGE reports | Count of reports with a status of Under Review, Submitted to DAEO or Complete. |
| Drafted OGE Reports | Count of reports with a status of draft. |
| Not Started, assigned reports | Count of reports that are assigned with a status of Not Started. |

## Disclosure Report Detail

The Disclosure Detail Report provides reporting and reviewing status detail by org unit, form type and year. Use this report to track review progress of Filers' reports.

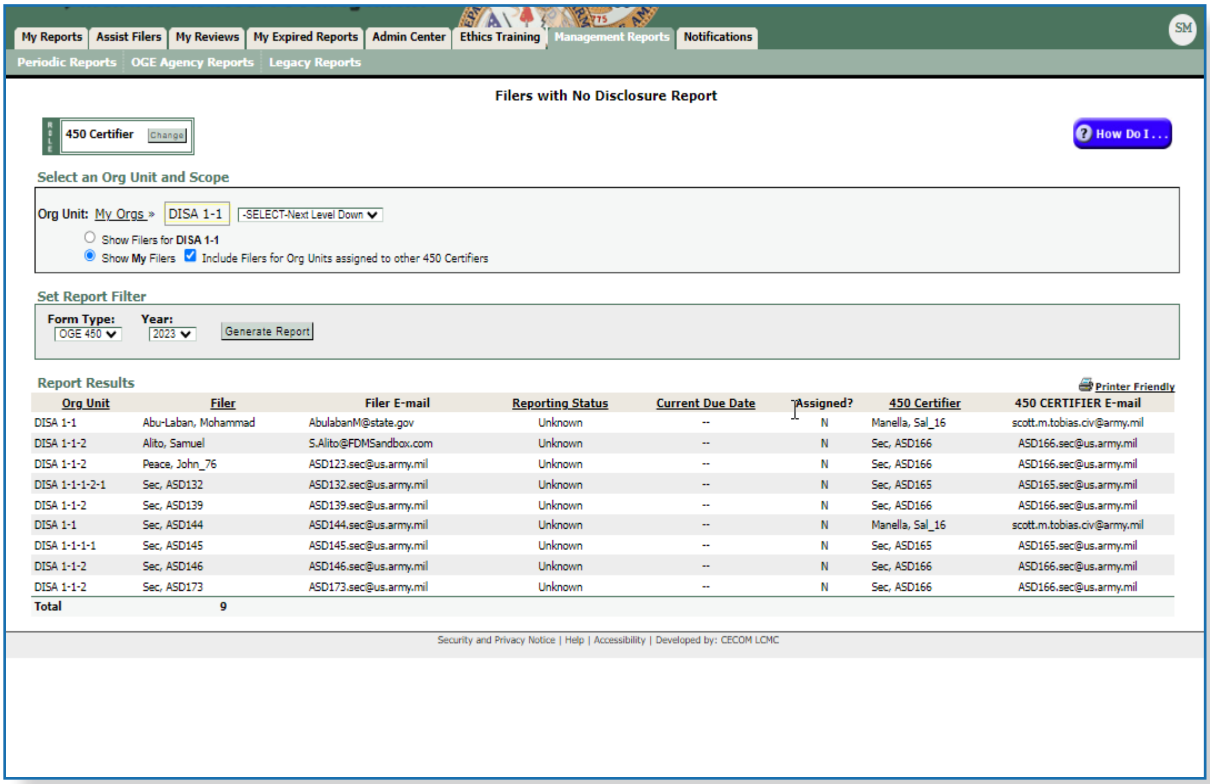



| Field | Description |
|---|---|
| Year | This is the filing year of the report. |
| Filer | Displays the first and last name of the Filer. |
| Filer E-mail | Refers to the Filer's Email address. |
| Submission Date | Date report was submitted. |
| Reporting Status | The report type: New Entrant, Annual, Incumbent, Incumbent/Termination or Termination report. |
| Review Status | Current review state of the report: Not Started, Draft, Under Review, Under Review Amendment in Progress, Submitted to DAEO (for 278s only) or Complete. |
| Supervisor | Lists the Filer's Supervisor. |
| Signed by (Suprv, SLC, ect.) | Displays the date that a reviewer has signed a report, if applicable; field remains blank if reviewer has not signed. |

| | |
|---|---|
| Amendment in Progress | Count of reports in which corresponding Filers are currently making amendments (adjustments or corrections). |
| Completed w/o Filer's eSignature | Count of reports that were certified without a Filer's eSignature. |
| Reviewer Signed Outside of FDM | Count of reports certified outside of the FDM website. |
| Total | Count of reports by type. |
| Draft | Count and percentage of total reports that are currently in progress without signatures or certifications. |
| Under Review | Court and percentage of total reports that were signed and submitted for review. |
| Submitted to DAEO | Count and percentage of total reports in which Filer's SLC has eSigned and submitted the report to the DAEO for review. |
| Complete | Count and percentage of completed report reviews. |

## Filers with No Disclosure Reports

Filers with No Disclosure Report lists any registered Filers who have not started a report, assigned or not assigned, by the specified year and report type. This report facilitates the annual data cleanup process prior to the upcoming filing season. Use this report to track delinquent filers and manage Filer-org unit associations.




| Org Unit | Filer | Filer E-mail | Reporting Status | Current Due Date | Assigned? | 450 Certifier | 450 CERTIFIER E-mail |
|---|---|---|---|---|---|---|---|
| DISA 1-1 | Abu-Laban, Mohammad | AbulabanM@state.gov | Unknown | -- | N | Manella, Sal_16 | scott.m.tobias.civ@army.mil |
| DISA 1-1-2 | Alito, Samuel | S.Alito@FDMSandbox.com | Unknown | -- | N | Sec, ASD166 | ASD166.sec@us.army.mil |
| DISA 1-1-2 | Peace, John_76 | ASD123.sec@us.army.mil | Unknown | -- | N | Sec, ASD166 | ASD166.sec@us.army.mil |
| DISA 1-1-1-2-1 | Sec, ASD132 | ASD132.sec@us.army.mil | Unknown | -- | N | Sec, ASD165 | ASD165.sec@us.army.mil |
| DISA 1-1-2 | Sec, ASD139 | ASD139.sec@us.army.mil | Unknown | -- | N | Sec, ASD166 | ASD166.sec@us.army.mil |
| DISA 1-1 | Sec, ASD144 | ASD144.sec@us.army.mil | Unknown | -- | N | Manella, Sal_16 | scott.m.tobias.civ@army.mil |
| DISA 1-1-1-1 | Sec, ASD145 | ASD145.sec@us.army.mil | Unknown | -- | N | Sec, ASD165 | ASD165.sec@us.army.mil |
| DISA 1-1-2 | Sec, ASD146 | ASD146.sec@us.army.mil | Unknown | -- | N | Sec, ASD166 | ASD166.sec@us.army.mil |
| DISA 1-1-2 | Sec, ASD173 | ASD173.sec@us.army.mil | Unknown | -- | N | Sec, ASD166 | ASD166.sec@us.army.mil |
| Total | 9 | | | | | | |

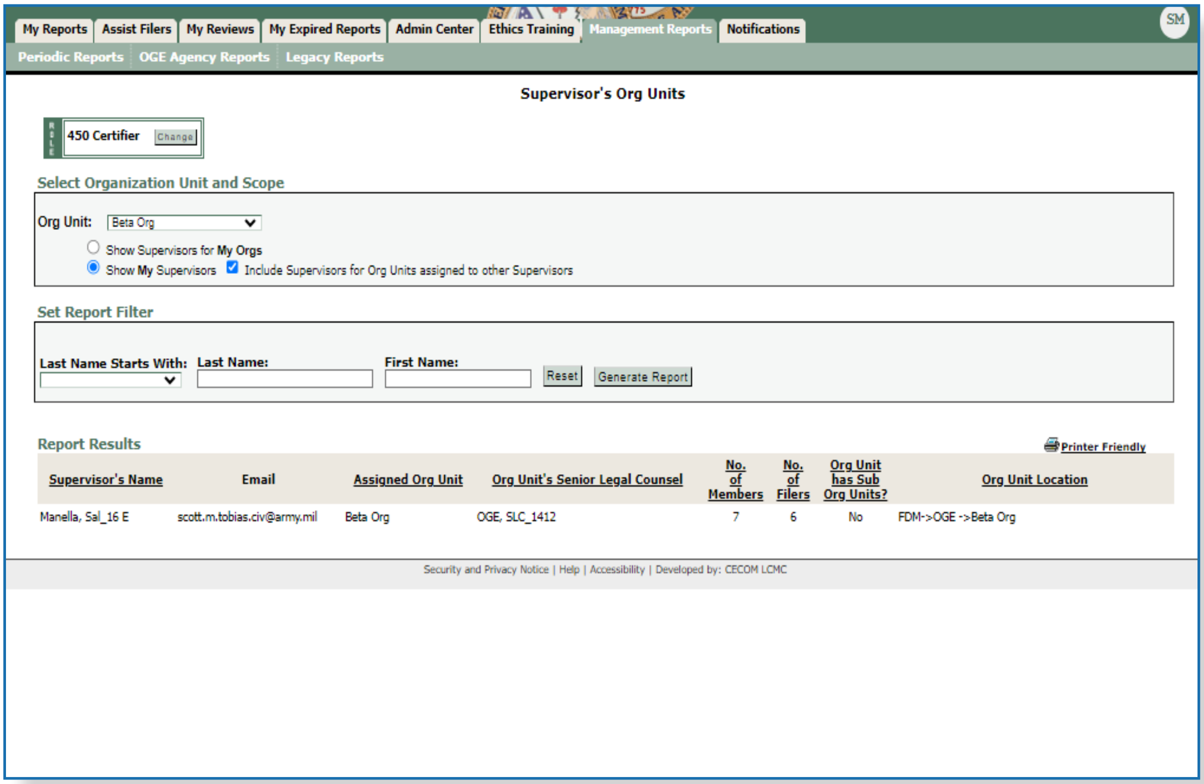
| Field | Description |
|---|---|
| Org Unit | The Org Unit where the Filer is a member. |
| Filer | Displays the first and last name of the Filer. |
| Filer Email | Refers to the Filer's Email address. |
| Reporting Status | The report type: New Entrant, Annual, Incumbent, Incumbent/Termination or Termination report. |
| Current Due Date | The due date of the Filer's initial submittal of the report, extensions included. Specifically, February 15th for Annual filers and May 15th for Incumbent. For New Entrant and Termination filers, the due date automatically calculates to 30 days from the date of assignment. |

| | |
|---|---|
| Assigned | Indicates whether the report is assigned or unassigned. Assigned reports are assigned during the automatic assignment process or are manually assigned. Unassigned Report Assignments are initiated by the filer or filer assistant. Assigned = Y = Assigned; N = Unassigned. |
| SLC | Displays the Filer's SLC. |
| SLC Email | Displays the Email of the Filer's SLC. |
| DAEO | Displays the Filer's DAEO. |

## Supervisor's Org Units

The Supervisor's Org Unit report provides a listing of Supervisors and the org units they are assigned to in FDM. This report facilitates the annual data cleanup process prior to the upcoming filing season. Use this report to manage Supervisor to org unit associations. You should consider deleting an org unit if a Supervisor is listed for an org unit that has no Filers.

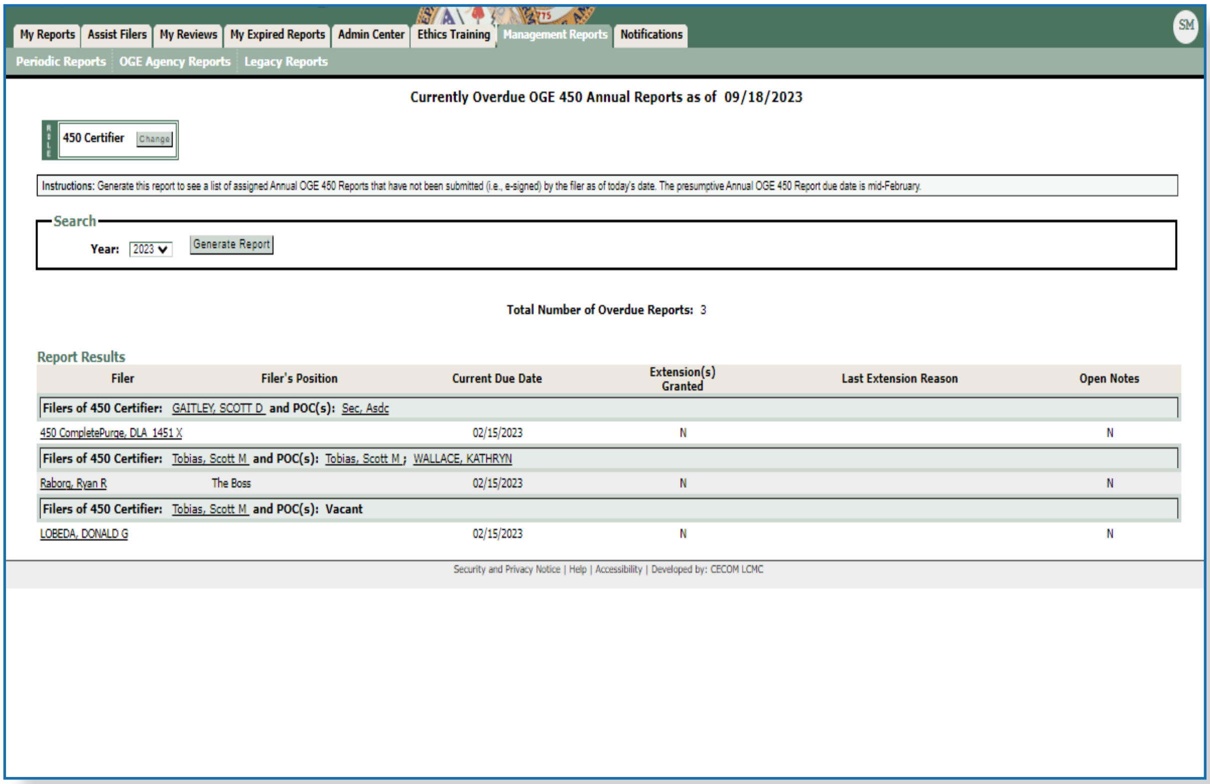
When deleting org units from FDM, check the Subordinate Org Units for Assigned Org Unit column first. If the assigned org unit has sub org units listed, then you must first delete or move the sub org units before deleting the Supervisor's Org Unit.




| Field | Description |
|---|---|
| Supervisor's Name | Displays the first and last name of the Supervisor. |
| Email | Displays the Supervisor's Email address. |
| Assigned Org Unit | Displays the org unit in which the Supervisor supervises. |
| Org Unit's Senior Legal Counsel | Displays the SLC of the org unit in which the corresponding Supervisor supervises. |
| No. of Members | Displays the unique number of reviewers in the org unit. |
| No. of Filers | Displays the number of Filers in the org unit. |
| Org Unit has Sub Org Units? | Displays 'Yes' if the org unit has subordinate org units in same hierarchy. |
| Org Unit Location | Displays the hierarchical location of the org unit and following subordinate org units within FDM. |

## Currently Overdue OGE 450 Annual Reports

The Currently Overdue OGE 450 Annual Reports can be used by DAEOs, SLCs and 450 Certifiers to view data about late annual reports for the current year.  A report will display if it was assigned, has a Review Status of Not Started or Draft, or the reporting due date has already passed.

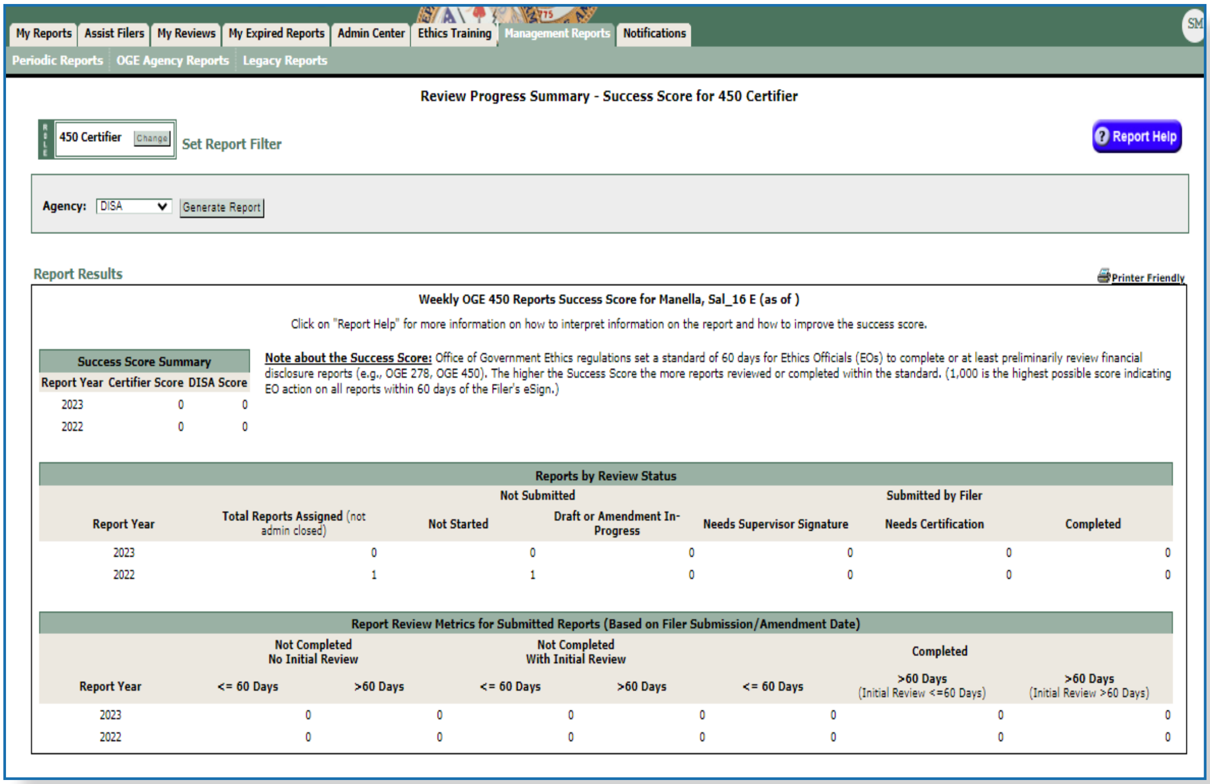



| Field | Description |
|---|---|
| Total Number of Overdue Reports | Count of all overdue OGE 450 reports. |
| Filer | Displays the first and last name of the Filer. |
| OGE 450 Certifier | Displays the name of the Filer’s 450 Certifier. |
| Filer’s Position | Displays the Filer’s job title. |
| Current Due Date | The due date of the Filer’s initial submittal of the report, extensions included. Specifically, February 15th for Annual filers and May 15th for Incumbent. For New Entrant and Termination filers, the due date automatically calculates to 30 days from the date of assignment. |
| Extension(s) Granted | Displays ‘Y’ (yes) if Filer has been granted an extension and displays ‘N’ (no) if Filer has not. |

| | |
|---|---|
| Last Extension Reason | Displays the reason for latest extension. |
| Open Notes | Displays ‘Y’ (yes) if Filer has open notes in their report and displays ‘N’ (no) if Filer does not. |

## Score for 450 Certifier

This report shows 450 Certifiers their review progress with regards to the Office of Government Ethics' 60-day review rule. FDM displays for 450 Certifiers a summary table and a Success Score. The Review Progress Summary is available under Management Reports | Review Metrics.


My Reports | Assist Filers | My Reviews | My Expired Reports | Admin Center | Ethics Training | Management Reports | Notifications

Periodic Reports | OGE Agency Reports | Legacy Reports

Review Progress Summary - Success Score for 450 Certifier

450 Certifier Change Set Report Filter

Report Help

Agency: DISA Generate Report

Report Results

Printer Friendly

Weekly OGE 450 Reports Success Score for Manella, Sal_16 E (as of )

Click on "Report Help" for more information on how to interpret information on the report and how to improve the success score.

| Success Score Summary | | |
|---|---|---|
| Report Year | Certifier Score | DISA Score |
| 2023 | 0 | 0 |
| 2022 | 0 | 0 |

Note about the Success Score: Office of Government Ethics regulations set a standard of 60 days for Ethics Officials (EOs) to complete or at least preliminarily review financial disclosure reports (e.g., OGE 278, OGE 450). The higher the Success Score the more reports reviewed or completed within the standard. (1,000 is the highest possible score indicating EO action on all reports within 60 days of the Filer's eSign.)

Reports by Review Status

| Report Year | Total Reports Assigned (not admin closed) | Not Submitted: Not Started | Not Submitted: Draft or Amendment In-Progress | Submitted by Filer: Needs Supervisor Signature | Submitted by Filer: Needs Certification | Completed |
|---|---|---|---|---|---|---|
| 2023 | 0 | 0 | 0 | 0 | 0 | 0 |
| 2022 | 1 | 1 | 0 | 0 | 0 | 0 |

Report Review Metrics for Submitted Reports (Based on Filer Submission/Amendment Date)

| Report Year | Not Completed No Initial Review: <= 60 Days | Not Completed No Initial Review: >60 Days | Not Completed With Initial Review: <= 60 Days | Not Completed With Initial Review: >60 Days | Completed: <= 60 Days | Completed: >60 Days (Initial Review <=60 Days) | Completed: >60 Days (Initial Review >60 Days) |
|---|---|---|---|---|---|---|---|
| 2023 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 2022 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |

| Field | Description |
|---|---|
| Report Year | The filing year of the reports. |
| Certifier Score | Refers to the OGE's set standard of 60 days suspense time for ethics officials to complete a review. The higher the score (1,000 being the highest), the more reports which were reviewed and completed. |
| 'Org Unit' Score | Displays the average combined Certifier Score for the agency you are in. |
| Total Reports Assigned | Count of reports assigned to Filers in your org unit. |
| Not Started | Count of reports not started by Filers in your org unit. |
| Draft or Amendment In-Progress | Count of reports that are started but not submitted as well as disclosures that are in the midst of Filer edits or corrections. |
| Needs Supervisor Signature | Count of reports that have not been signed by Filer's Supervisor. |

| | |
|---|---|
| Needs Certification | Court of reports needing a 450 Certifier signature. |
| Completed (by Review Status) | Count of reports eSigned by the 450 Certifier. |
| Not Completed<br>No Initial Review | Count of reports that were not completed without initial review within the 60 days suspense time for reviewers. |
| Not Completed<br>With Initial Review | Count of reports that were not completed with initial review within the 60 days suspense time for reviewers. |
| Completed | Count of reports that were completed with initial review within the 60 days suspense time for reviewers. |

# 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 Ethics Counselors to notify Filers about ethics training and to 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.

## Type of Ethics Training

There are two types of ethics training:

- Initial Training -- All Filers who are required to file an OGE 450 or OGE 278 New Entrant Report are to receive initial ethics training within 90 days after entering a covered position in a new agency.
- Annual Training -- All personnel required to file the OGE 278 or an OGE Form 450 must receive annual ethics training.

## Training Recorders

The following roles in FDM can record and report ethics training:

- DAEO or DAEO EC
- Agency Administrator
- SLC, SLC EC or SLC Assistants
- 450 Certifier, 450 Certifier EC or 450 Certifier Assistant (for 450 Filers only)
- POCs (for 450 Filers only)

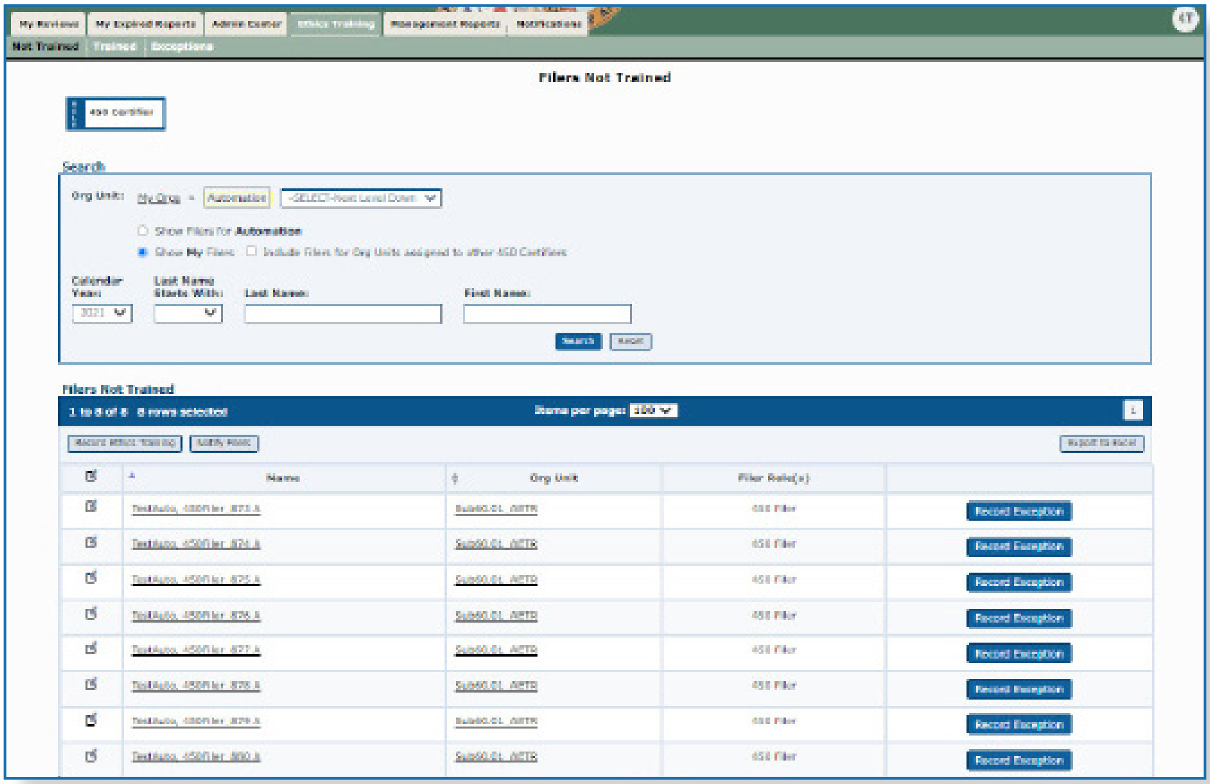
Note: A training recorder may create, view or update a Filer’s training record only for Filers within their organization.

# Notifying Filers of Ethics Training Requirement

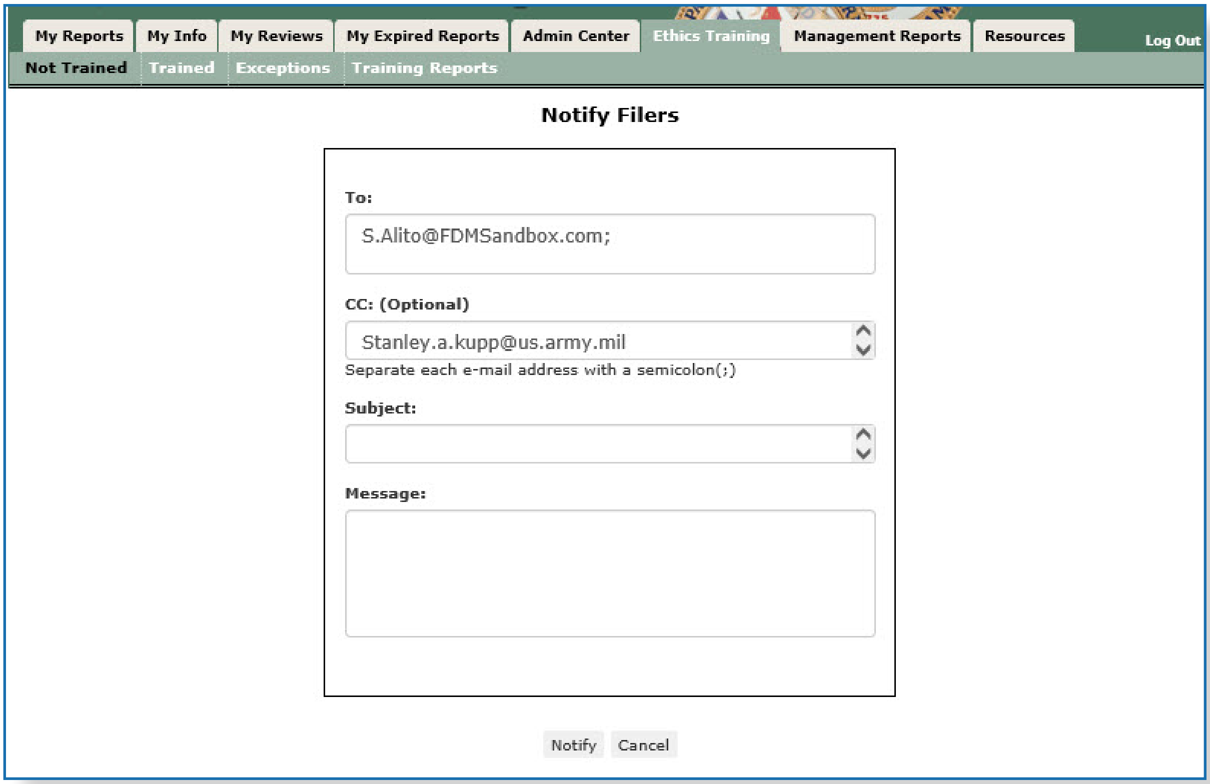
On the Filers Not Trained page, you can notify Filers of where and when ethics training will be held and record that a Filer has completed their ethics training. You can send out an e-mail to multiple Filers if they are to attend the same ethics training.  In addition, if multiple Filers took the same 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, and this is generally very rare, the exception can also be recorded from this page.

To notify Filers of their requirement to attend ethics training:

1. In FDM, select **Ethics Training | Not Trained**.




2. On the breadcrumb trail, select the Org Unit of the Filers you wish to notify, or select S**how 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 on the **Notify Filers** button.  The Notify Filers screen is displayed.




5. Enter a **Subject** in the Subject field and type a **message** in the Message field.
6. When all information is entered, click on the **Notify** button. 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.

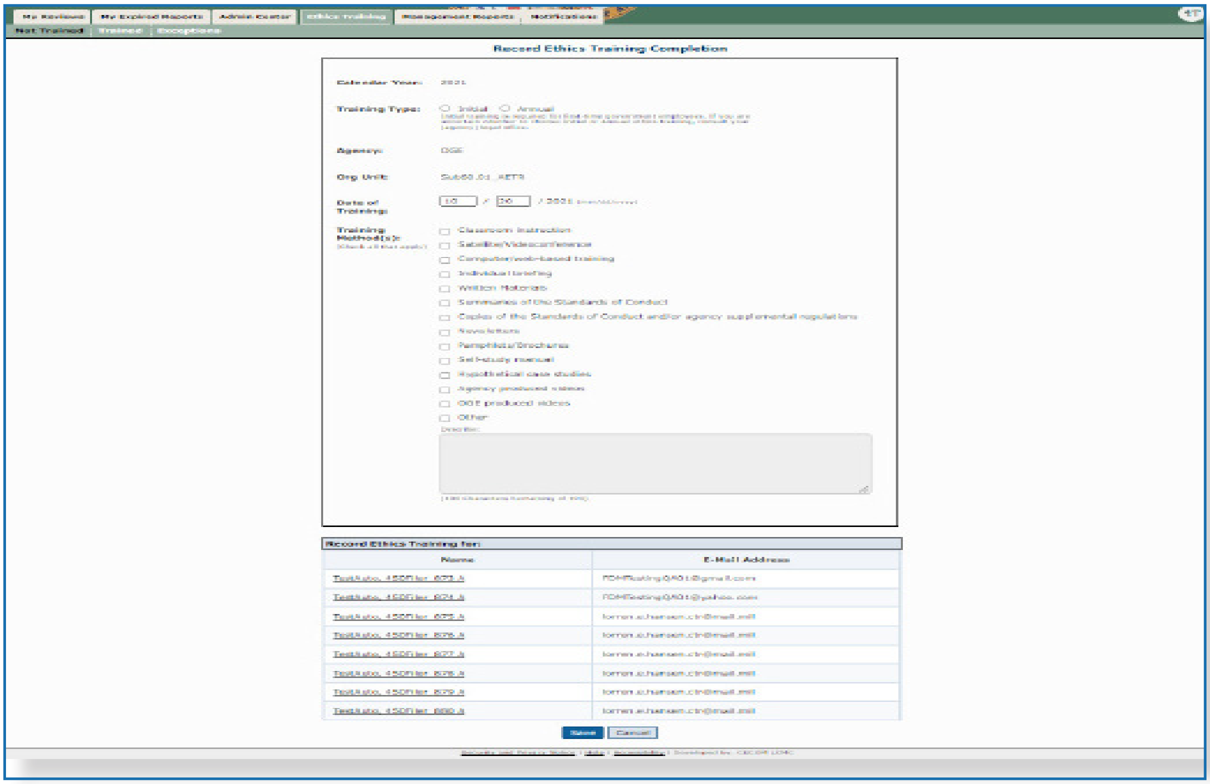
# Recording Ethics Training Completion

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 check box 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, and using the same training method type. Initial training has to be entered for one Filer at a time.

3. Click on the **Record Ethics Training** button. The Record Ethics Training Completion screen is displayed.




4. Enter the date of training.
5. Select the method of training (more than one check box can be selected.
6. When complete, click on **Save**. You return to the Not Trained screen and the Filers’ names are removed from this screen and display on the Trained screen.

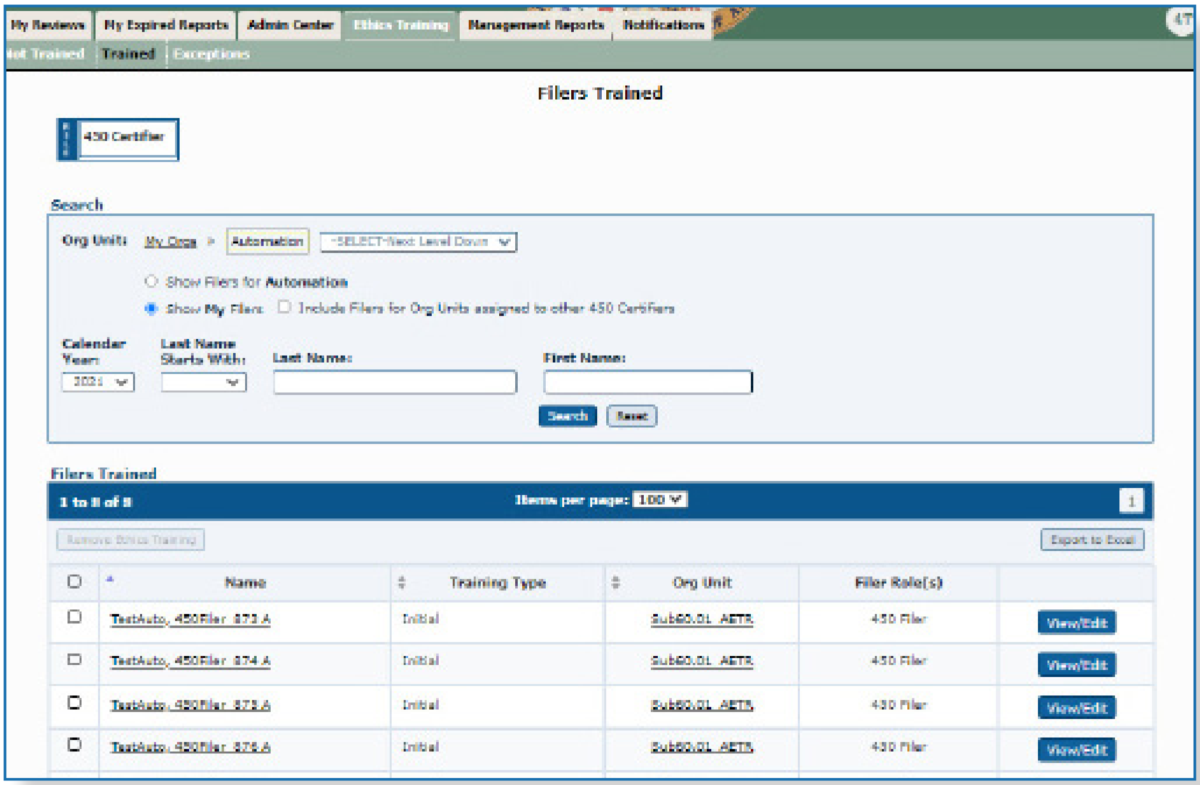
# Trained

## View or Change a Training Record

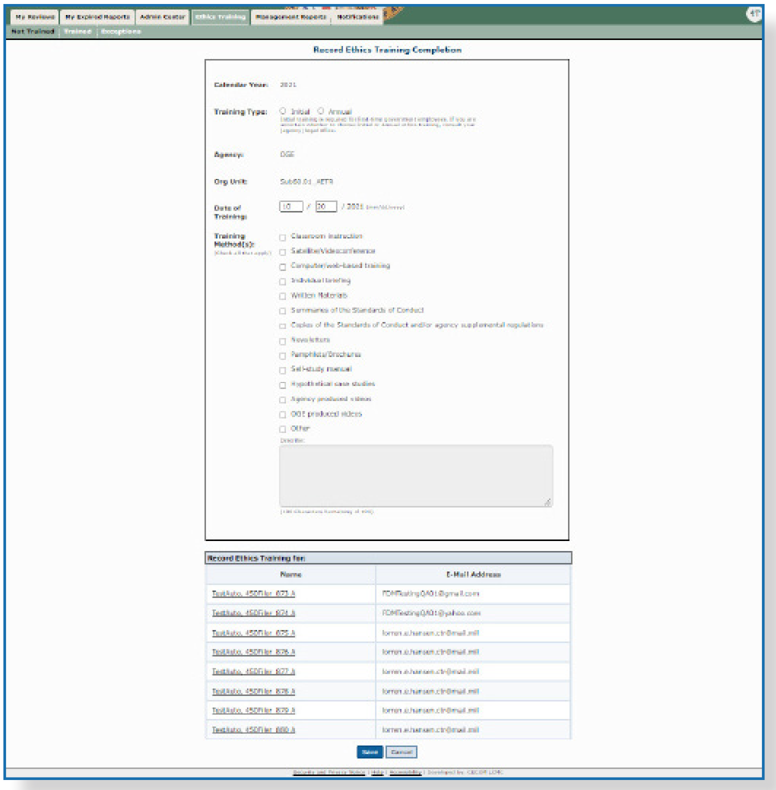
Once you have recorded training for your Filers, you can view, edit or remove a training record on a Filer.

To view or change a training record:

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




2. Locate the Filer on the list and click on the **View/Edit** button located next to the Filer's name. The Filers Trained page is displayed. You can change the date, the training type and method of training.

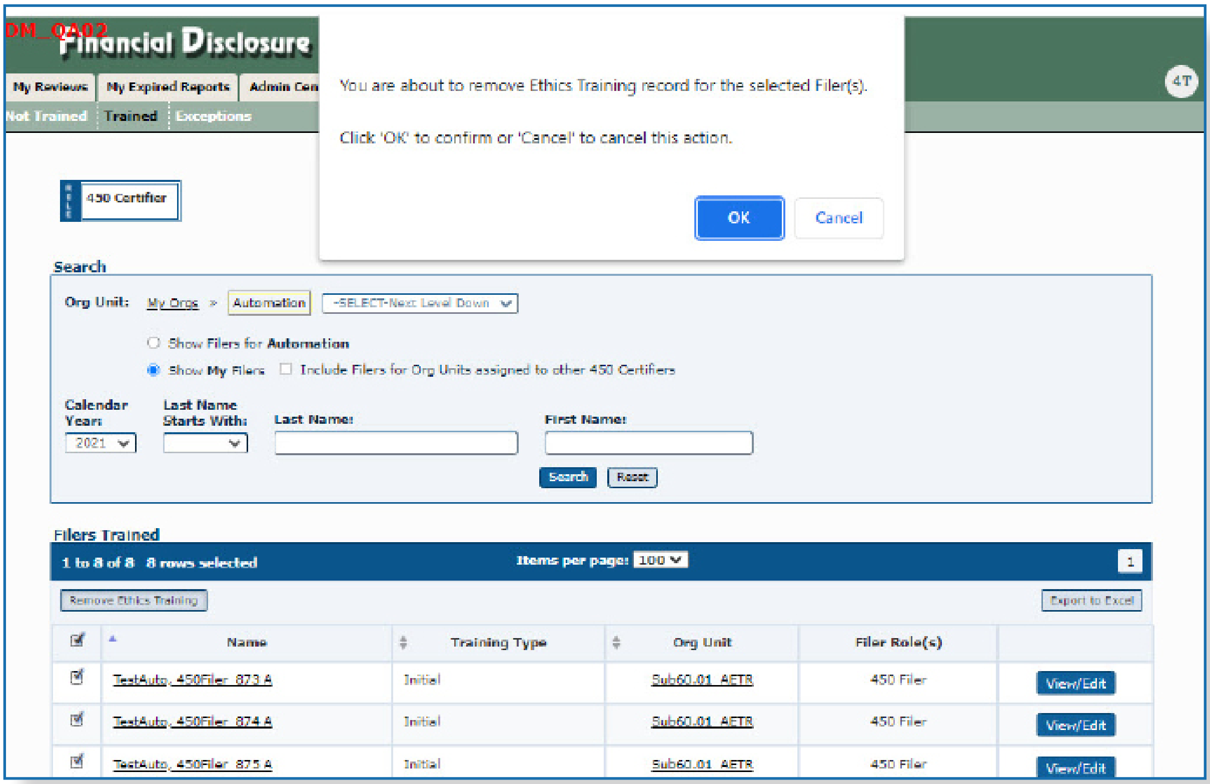



**3.** When complete, click on **Save**.

# Removing a Training Record

To remove a training record:

1. Select the **Ethics Training / Trained** tabs.
2. Click on the check box next to the Filer whose training record you wish to remove (more than one can be selected at a time).
3. Click on the **Remove Ethics Training** button. A message displays confirming that you wish to remove this training record.




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 shown above, the exception is recorded from the Not Trained page, and all exceptions recorded are displayed on the Exceptions page.

## Recording an Exception to Ethics Training

It is extremely rare for a Filer to be excused from ethics training since this training can be delivered in many different ways. However, there are some circumstances where a Filer's requirement to receive ethics training can be waived:

**Exceptions for OGE278 Filers:**

- Verbal training without a qualified instructor available or written training prepared 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 or 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:**

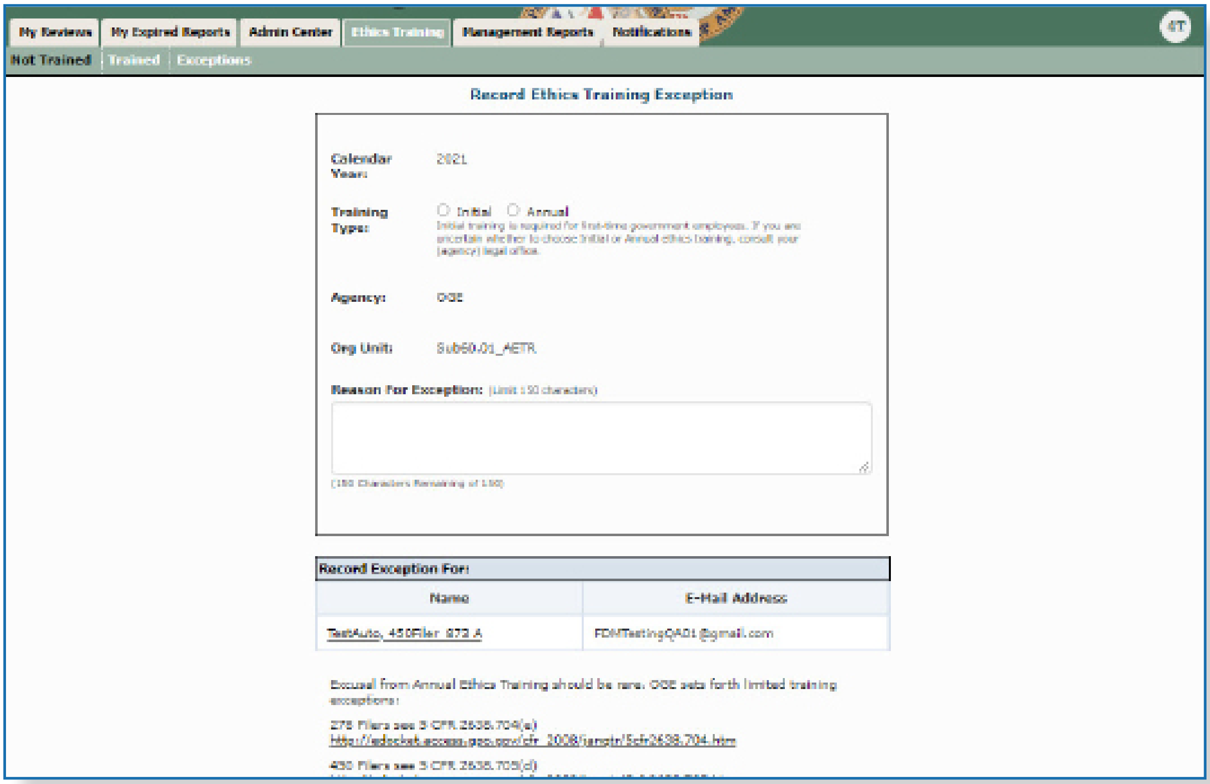
- Written ethics training prepared by a qualified instructor will satisfy the verbal training requirement for a covered employee (or group of covered employees) if sufficient official duty time is provided for the training; and
- The designated agency ethics official (or his or her designee) makes a 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

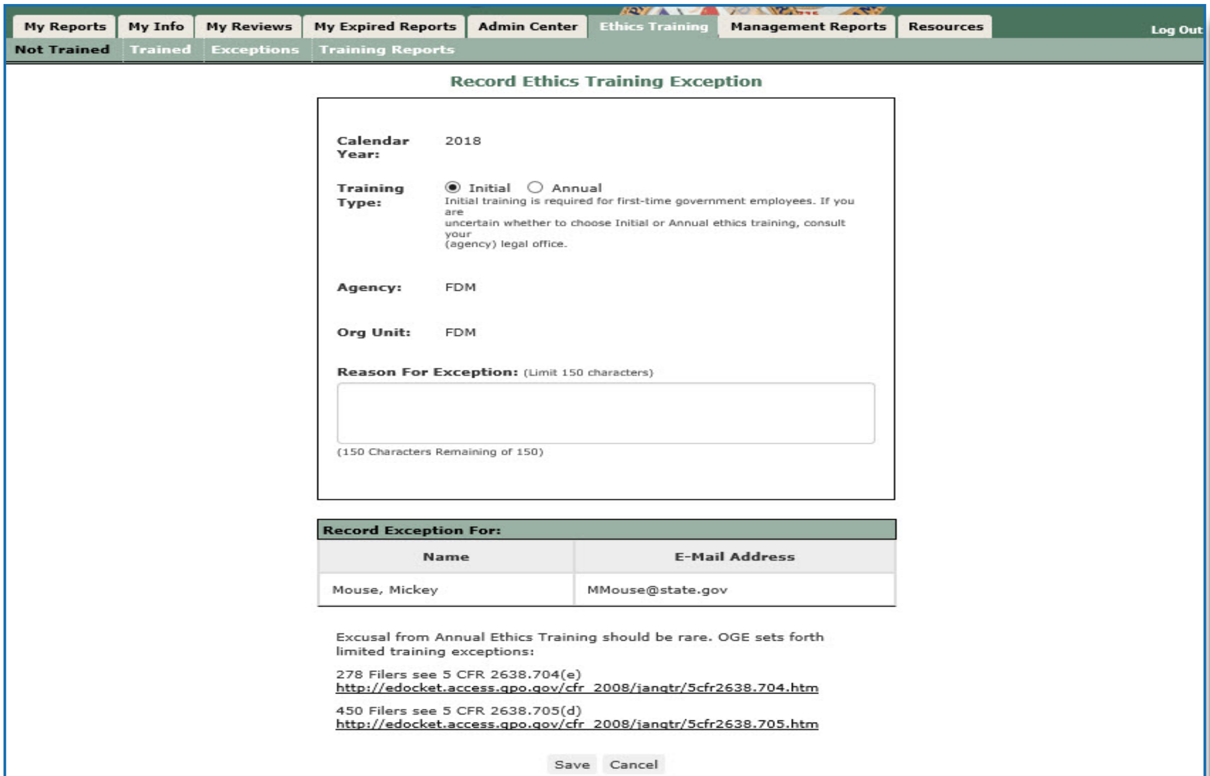
NOTE: For more information for OGE 450 Filers, click on the following link: http://edocket.access.gpo.gov/cfr_2002/janqtr/5cfr2638.705.htm

To record an exception:

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




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

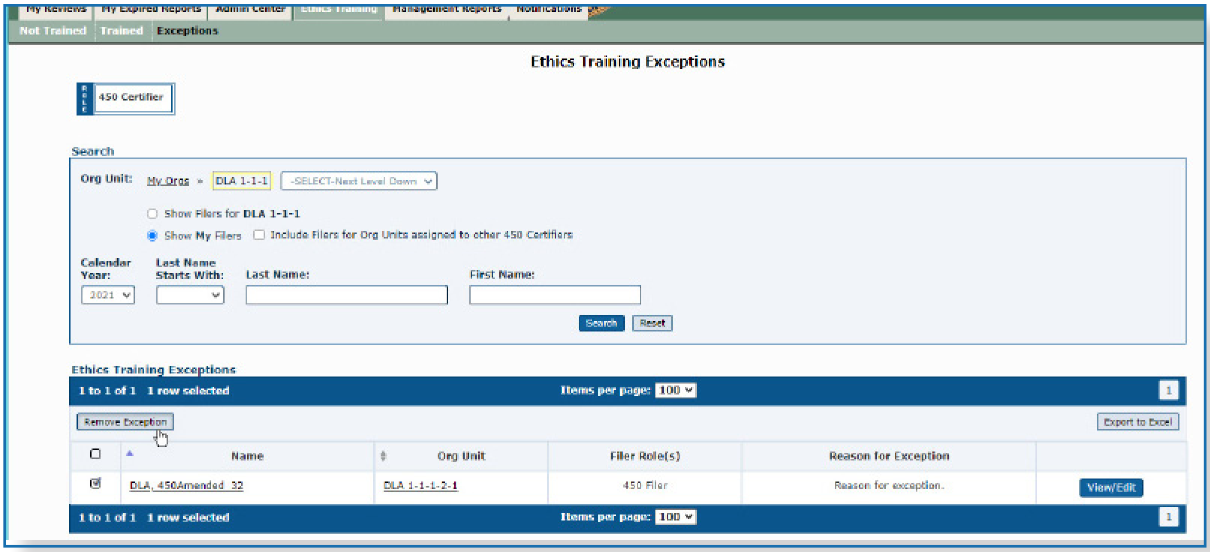



5. Select the radio button next to the type of training the Filer was to receive.
6. Enter a reason for the exception in the **Reason for Exception** text box.
7. Click on **Save**. You return to the Not Trained screen and the Filer who received the exception is removed from this list and now displays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

# Removing an Exception to Training

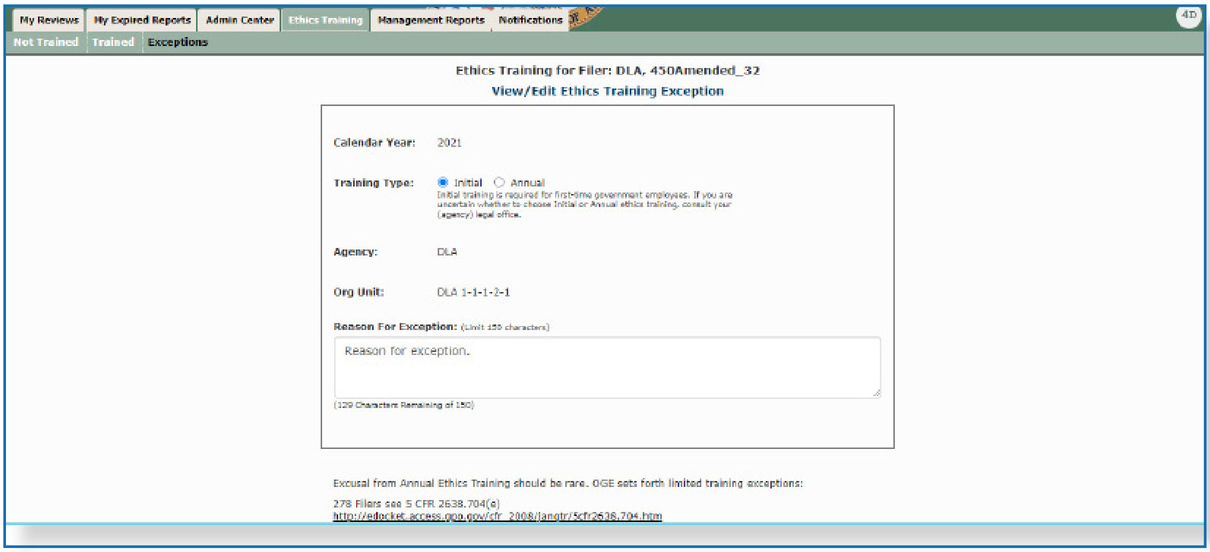
To remove an exception to training:

1. Select the **Ethics Training / Exceptions** tabs. The Exceptions page is displayed.
2. Click on the check box next to the Filer whose exception you wish to remove (more than one can be selected at a time).
3. Click on the **Remove Exception** button. A message displays confirming that you wish to remove the exception from this Filer.
4. Click **OK**. The exception is removed and the Filer is moved back to the Not Trained page.



# 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 on the **View/Edit** button located next to the Filer's name.
3. You can change the Reason for Exception.
4. If changes were made, click on the **Save** button. You return to the Exceptions page and any changes made are saved.



# Expired Reports (Purge)

In FDM, DAEOs, 450 Certifiers and their ECs can manage and permanently delete OGE 450 and OGE 278 reports that are expired. Per the record retention rules in the Code of Federal Regulations, reports expire six years after the Filer filed (eSigned by the Filer) the report.

**Note:** Go to 5 CFR2634.603 (g) Custody of and access to public reports and 5 CFR 2634.604(a) and (b) Custody of and denial of public access to confidential reports for the Code of Federal Regulations directives regarding deleting reports.

**IMPORTANT INFORMATION: Once a report is Purged (deleted) from FDM, it cannot be recovered. Review the Expired Reports list first to determine if any report should be retained.**

A report displays on the Expired Reports page if it is:

- An OGE 278 or OGE 450 report and does not include a Qualified Trust Agreement, and six (6) years have passed since the report was filed.
- An OGE 278 report that contains a Qualified Trust Agreements (QTA) and assets related to the trust agreement and six (6) years have passed since the Filer's final 278 submission with the agency.

# Purge Reports

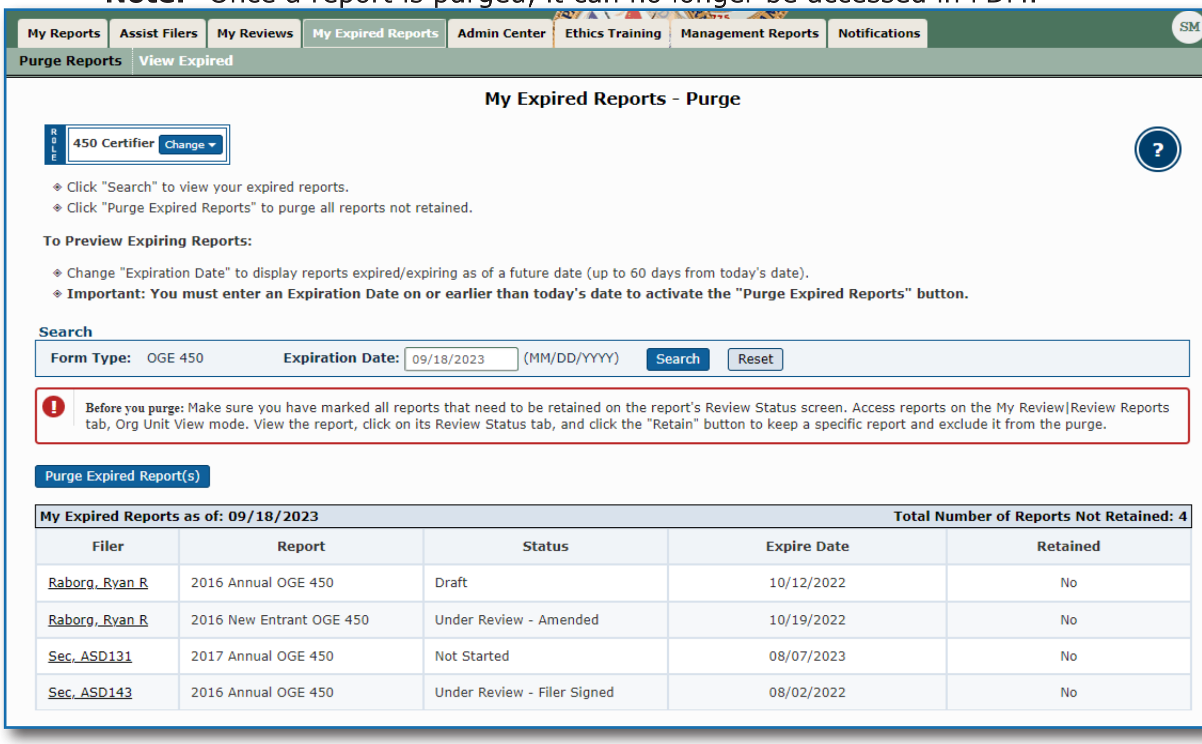
To remove expired reports:

1. Click on the **My Expired Reports** tab.
2. The Expiration Date defaults to the current date.

   **Note:** You can change the Expiration date to a future date, up to 60 days after the current date to view a list of reports that will be expiring.

3. Click **Purge Expired Reports**. All reports that did not have a Yes in the Retained column are removed from FDM.

   **Note:** Once a report is purged, it can no longer be accessed in FDM.



# Retain Reports

A DAEO, 450 Certifier and their ECs can select to retain a report due to an investigation or a Qualified Trust Attachment on the Review Status page of a report. If a report has a Yes in the Retained column, it will not be included in the purge process.

To retain any reports you do not want to delete:

1. Review and then print the Expired Reports list.
2. Once you determine which report to retain, go to **My Reviews | Review Reports** and search for the specific report.
3. Click **View** beside the report and then go to the **Review Status** page.
4. Click **Retain** in the Report Progress box. The report will be retained in FDM.