Financial Disclosure Management

This guide will give you a brief overview of some of the main features and components of FDM. Separate Quick Reference Cards (QRCs) will give you a more in depth, step-by-step look at the various processes contained within FDM.
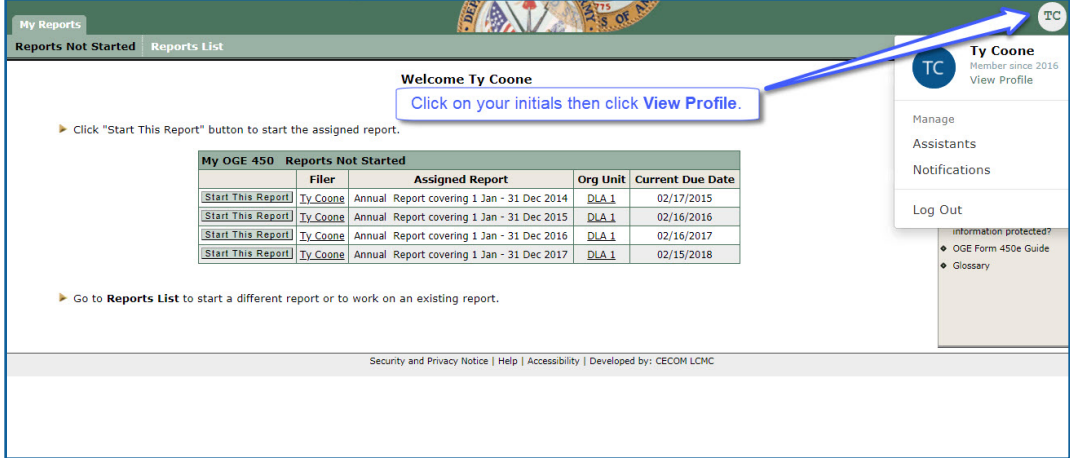
ACCOUNT PROFILE

The account profile section provides you access to personal details such as name and email address, report contact information, roles that you hold in FDM, a listing of assistants/ECs, and a history of actions that have been appliEd to your account.

PROFILE

The Profile contains your personal contact information, such as email address, phone and mailing address. Information on this page can be updated and saved at any time. This page displays the first time a FDM user logs into the system for editing and/or verification.

For Filers, the Report Related section will automatically update into your report.

Assistants

FDM users with a 450 Certifier or SLC role can designate someone to assist them with their FDM tasks. Use the Assistants section to add or remove an assistant to yourself. You can also see a list of users who have added you as an assistant to them.

ECS

FDM users with a 450 Certifier, SLC or DAEO role can designate someone as an EC to them to assist with their FDM reviewer tasks. Use the ECs section to add or remove an EC to yourself. You can also see a list of users who have added you as an EC to them.

Roles

The Roles section of your Profile contains a listing of all your roles in FDM along with the Org Units to which they are associated. FDM Reviewers can also view a list of their Custom Reviewer roles along with the associated report and Filer.

History

The History section of your Profile allows you to view a history of your FDM account activity.

MY REVIEWS

My Reviews is the main FDM Reviewer work area for reviewing FDM 278 and 450 reports. My Reviews | Review Reports has two views - Worklist View and Org Unit View. The Worklist view shows those reports that are ready for Ethics Counselor action. The Org Unit view lists reports by Filer Org Unit. The Manage Exceptions list is a watch list of reports older than 30 days or with Notes indicating an Ethics Official has reviewed the report, but is not ready to complete and certify the report. The reviewing Options available on the My Reviews sub-tabs are:

- **End Initial Review** to complete your initial technical review.

- **eSign** to complete your review and "certify" the report.

- **View** to see the financial disclosure report information online.

- **Assign** to assign a report that the Filer has already started.

- **Remove Assignment** to remove the report assignment if it was assigned erroneously. If the report Review Status is Not Started, the report is removed from FDM when the assignment is removed.

- **Submit to DAEO** - The Submit to DAEO button does not display until a FDM Supervisor and Senior Legal Counsel eSigns a 278. A DAEO or DAEO EC will not be able to eSign and complete a disclosure report until it has been submitted to DAEO. However, a DAEO or DAEO EC can "pull" a report forward to the Submit to DAEO status for their review by clicking Submit to DAEO button.

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

| Review Reports | Manage Exceptions |

Review Reports - Worklist View Mode

OrgUnit View Mode

Search

| My Roles: | Form Type: | Year: | Reporting Status: | Review Status: | Action: |
| All | ALL | ALL | ALL | ALL | ALL |

| Last Name Starts With: | Last Name: | First Name: |

Search   Reset

Printer-Frie

1 to 91 of 91   Items per page: 100

Filer	Org Unit	Supervisor	Form Type	Year	Reporting Status	Review Status	Days In Review	Initial Review Days ▼	My Review/ Signature Date	
My Role: DAEO										
278 CompletePurge, DLA_1453 X	DLA SOC	DLA, Supervisor_1425	OGE 278	2013	Incumbent	Complete	0	0	07/27/2017	View
My Role: SLC EC to GAITLEY, CYNTHIA										
Amendment in Progress, 278 1055 R	Level B	GAITLEY, CYNTHIA	OGE 278	2017	Incumbent/Termination	Submitted to DAEO	593	0	03/07/2018	View Assig
My Role: Supervisor SLC										
Sec, ASD134		BEACH, Sandy X	OGE 450	2016	Annual	Under Review - Filer Signed	1155			View Remo Assignm End Ini Revie
			OGE			Under Review - Filer				View Remo

REVIEW REPORTS

Report's Worklist

Use the Worklist to see the recent (less than 30 days since Filer eSigned) reports that are ready for your action. Click Search to see the reports that require your attention.

Report's Org Unit View

Use the Org Unit view to list all reports by Filer Org Unit. This displays all reports in any selected status (e.g., Draft, Under Review, Complete) and even if the Filer eSigned the report over 30 days ago.

MANAGE EXCEPTIONS

The Manage Exceptions tool displays reports over 30 days old since the Filer eSigned or otherwise require special action(s) or more information without cluttering the Worklist view of reports. Reports remain in the Manage Exceptions list until the report issue is resolved.

Reports display on the Manage Exceptions list if:

- **Oen Notes -** The Report has existing Notes that are not "Closed."

- **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 their Amended report in FDM) and the Supervisor has not eSigned.

- **SLC not eSigned** - More than 30 days have passed since the Filer has submitted (or re-submitted their Amended report in FDM) and the SLC has not eSigned.

- **Filer not Started** – The Filer has not started entering data into their report by the report's due date.

> Note: A report that has an Amendment Request will remain on the Manage Exceptions list until the report is certified complete in FDM.

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

Review Reports **Manage Exceptions**

Reports that Need Special Action

── Search ──
My Roles: [Senior Legal Counsel ▼]   Year: [ALL ▼]   [Search] [Reset]

1 to 12 of 12   Items per page: [100 ▼]

Filer	Org Unit	Supervisor	POC(s)	Year	Reporting Status	Review Status	Exception Reason	Days In Review	Initial Review Days ▾	Notes Description (partial)
My Role: Senior Legal Counsel										
Brekinridge, John	CIO	Tuesday, Ruby X	ADAMS, Ansel X	2017	Incumbent	Under Review - Amendment in Progress	Filer not eSigned			
Brekinridge, John	CIO	Tuesday, Ruby X	ADAMS, Ansel X	2017	Incumbent	Under Review - Amendment in Progress	Filer not eSigned			
Brekinridge, John	CIO	Tuesday, Ruby X	ADAMS, Ansel X	2017	New Entrant	Draft	Filer not eSigned			
Gosling, James C	DLA	GAITLEY, CYNTHIA		2018	Incumbent	Not Started	Filer not Started			
Gosling, James C	DLA	GAITLEY, CYNTHIA		2018	New Entrant	Not Started	Filer not Started			
Gosling, James C	DLA	GAITLEY, CYNTHIA		2018	Termination	Not Started	Filer not Started			

REPORT DATA

Clicking View beside a financial disclosure report on the Review Reports - Worklist, Org List or Management Exceptions list opens the report and displays the Report Progress Bar Report Wizard (below) that lets you Continue to advance through the report sections. Most Ethics Officials prefer to click the Compare tab on the Report Data menu bar to see a comparison of this report with the Filer's prior report.

Other useful Report pages are:

- **Report Data -** Report Data is the main area used for preparing and reviewing a financial disclosure report with FDM's report wizard. Reviewers may click Continue and advance through the report section by section if desired.

- **Flags -** Identifies missing or invalid information within a report that must be provided before a report is certified.

- **Compare -** The Compare feature is only available if the Filer has two or more reports in FDM and opted to pre-populate their current report from a previous report. Compare highlights for the reviewer all changes the Filer made in the last submitted report.

- **Attachments -** Reviewer can view, add, replace or delete attachments associated with a report. Reviewers can also add supplemental report attachments once the report is complete.

- **Comments -** Reviewers can record their comments on a financial disclosure report. Reviewers can also add supplemental report comments once the report is complete.

- **Audit Trail -** The Audit Trail tracks and time stamps all changes made to the report.

- **View/Print -** Within View/Print, a Reviewer can view and print a financial disclosure report, flags, comments, job description. A PDF displays for SF278 reports and a single scrollable web page displays for OGE 450 reports.

- **Review Status -** Review Status page shows the progress of a financial disclosure report, which includes signing status, a list of assigned reviewers and their role as well as their review and signature date.

- **Previous Reports -** FDM reviewers can view a copy of a Filer's previous report for comparison.

- **Notes -** The Notes tool allows reviewers to record an electronic "post-it" note to indicate that there are items within the filer's report that require a follow up before the report can be certified. Adding a report note moves the report from the Reports Worklist to the Manage Exceptions List.
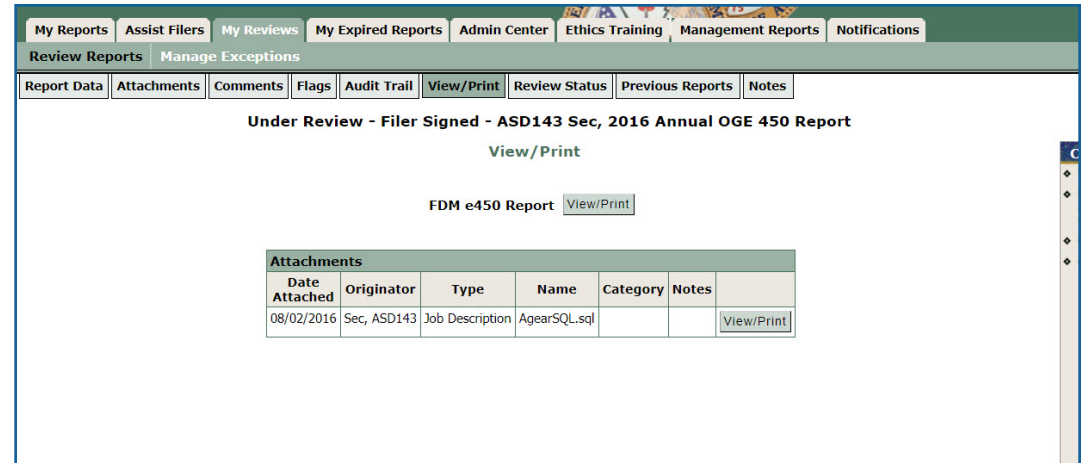
Review Status

The Review Status page gives reviewers a snapshot of the Filer's report progress and review status. From this page, reviewers can record/view extension information and manage the reviewers for a specific report.

- **Admin Close** - Click Admin Close when further processing of the SF 278 or OGE 450 is not appropriate.

- **Delete** - Click Delete to delete reports that are past the 6 year retention period, unneeded, erroneous, and/or "Admin Closed." Only available to DAEOs, 450 Certifiers and their ECs.
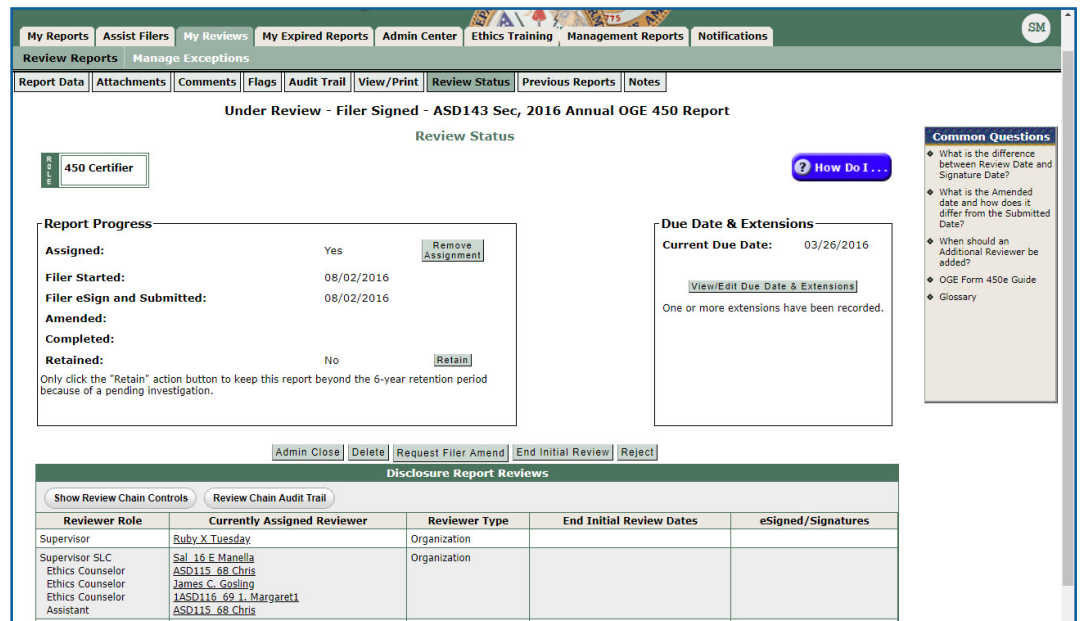
- **Request Filer Amend** - Click Request Filer Amend to notify a Filer to amend their report directly from FDM. Once the reviewer clicks Request Filer Amend, the report is only accessible on the Manage Exceptions page. Only available to DAEOs, Senior Legal Counsels (SLCs), 450 Certifiers and their ECs.

- **End Initial Review** - Click End Initial Review to signify that you have conducted an initial review of the disclosure report. The End Initial Review button helps Ethics Officials demonstrate compliance with OGE's 60-day report review rule.

- **Complete w/o Signature** - Click Complete w/o Signature to mark a disclosure as complete that does not have a Filer's signature. Only available to DAEOs, 450 Certifiers, and their ECs.

- **Show Review Chain Controls** - Click Show Review Chain Controls if you need to change or add an additional reviewer on a particular FDM 278 or FDM 450.

NOTIFICATIONS

Use the Notification tool to identify, monitor and send notifications to users who have not completed a filing or reviewing action. You can also now send bulk notifications to a group of FDM users at the same time.

Reminder Notifications

Use the Remind Filter to identify filers, supervisors and SLCs who have not completed a filing or reviewing process and send them reminder to complete the action.

Bulk Notifications

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

ADMIN CENTER

Org Management

Filers are added to specific org units in FDM through Org Management. You can add individual or groups of Filers to any Org Unit you are associated to in FDM. An Org Unit must already exist before Filers are added. Filers can only be added, individually or bulk, through Org Unit Filers so they can be associated with a specific Org Unit. In Admin Center | Org Management, you can:

- ◆ Add a Filer to an Org Unit
- ◆ Assign a report to a Filer
- ◆ Remove an assignment from a Filer
- ◆ Move a Filer from one Org Unit to another Org Unit
- ◆ Remove a Filer's Filer role

User Admin

User Admin allows you to search for any FDM user and view their profile information. You can also use the Browse tool to update or view a list of POCs, Supervisors, Senior Legal Counsels, 450 Certifiers or DAEOs in FDM.

Filers

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

ETHICS TRAINING

FDM provides an "Ethics Training" tab for Ethics Counselors to notify Filers about required ethics training and to record who attended training. Ethics Counselors who record all Filer training in FDM may generate statistical reports to prepare that portion of the annual agency report to OGE.

MANAEMENT REPORTS

FDM Management Reports provide Administrative and Legal FDM Users tools for monitoring the filing and reviewing progress of disclosure reports. All FDM roles, except Filers and Filer Assistants can generate Management Reports.