



Using Financial Disclosure Management (FDM)

Secure, professional OGE 278 & OGE 450 reporting

Office of the General Counsel
Ethics & Fiscal

April 2012

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Topics

- Using FDM Fundamentals
- Keys for Success
- FDM Website & Resources

Software tool to help do job better, easier, faster—streamline the financial disclosure reporting, review, & storage process.

Simple goal—replace paper-based process with an efficient, accurate, & more secure one.



Financial Disclosure Report (FDR) Process

- Administration
 - Identify Filers
 - Notify Filers, Supervisors
 - Collect reports (e.g., OGE 278, OGE 450)
 - Due dates, deadlines, extensions
 - Records
- Report Reviews
 - Remind Supervisors
 - Ethics official Technical review – OGE's 60-day rule
 - Report reconciliation review
 - Conflict of interest analysis
 - Certification/signature



W3IFM?

- Tool available 24 x 7 to delegate/assign helpers
 - Administration delegation, report progress monitoring
 - Remind & notify Filers, Supervisors tools
 - Supplemental information and reporting examples
 - Improved paperless reporting
- Reports
 - Comparison view for report reconciliation reviews
 - Screening capability, e.g., paralegal reviewers
 - Store notes, complete online,
 - Purge at record retention expiration



FDM is . . .

- Office of Government Ethics (OGE) approved, secure, web-based application that improves the financial disclosure report preparation, filing, and review process:
 - *TurboTax*-like
 - Guides filer through questions about reportable financial information
 - Flags missing and incorrect information
 - Starts each report with prior report information – “prepopulation”
 - Reduces common errors
 - Increases data accuracy
 - Report “*Compare*” for reviewers (when filer has 2 or more reports in FDM)
- Paperless report and online review with eSignature

Software tool . . .



Benefits

OGE recognized – Award for Excellence & Innovation (2011); Best eFiling (2011); an OGE Agency Model Practice (2009)

Efficient

Report wizard leads users through the report form filling and review process. FDM's paperless workflow eliminates the physical hand-offs between filers and reviewers. Second time filers "prepopulate" reports from earlier ones. Reviewers have a report "Compare" for repeat filers (2 reports in FDM).

Accurate

Incorporates Office of Government Ethics (OGE) business rules ensuring accurate and consistent reports.

Secure

Only a filer and his/her review chain can see the report. All personal information is protected through the use of security features such as SSL 128-bit encryption and user authentication.

Access

Convenient access via Internet

... assist reviewers get to Conflict of Interest analysis



Vision

- DoD/Agency-wide use
- Improved Financial Disclosure Report (FDR) processing/reviewing/approval
- Extract certain statistics for annual agency report to OGE due (1 Feb), e.g.,
 - Number of Filers required to file
 - Number actually filed
 - Number required to receive training
- Record annual ethics training for Filers (*maybe integrate online training for automatic tracking*)



FDM Users

Department of Defense

- Army (*Executive Agent*)
- Other Military Services
- Defense Information System Agency
- Defense Contract Management Agency
- Defense Logistics Agency
- National Geospatial Intelligence Agency (2011)
- Defense Finance & Accounting Service (2011)
- Defense Intelligence Agency (2012)
- Armed Services Board of Contract Appeals (2012)

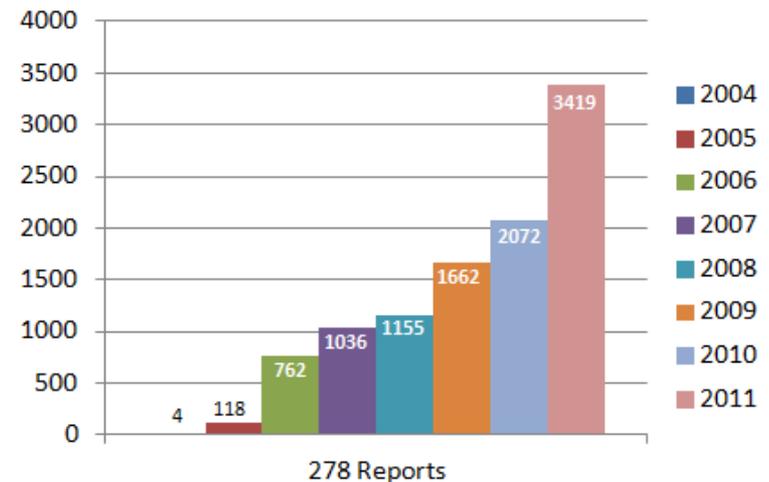
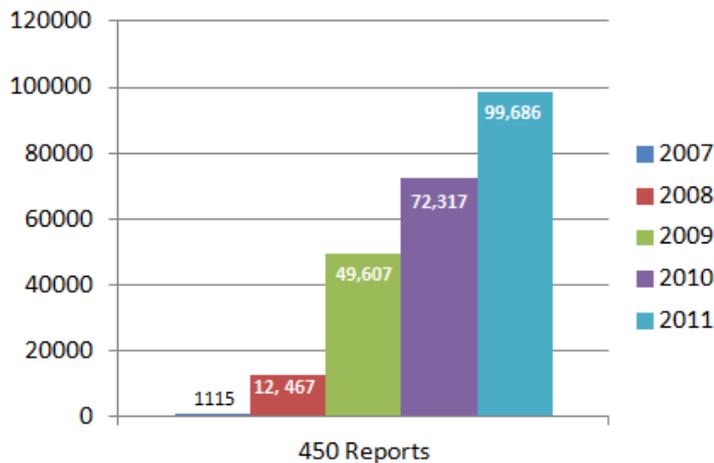
Executive Branch

- OGE (2006)
- Veterans Affairs (2006)
- Center for Disease Control (SGEs, 2007)
- Homeland Security (2011)
- Federal Bureau of Investigation (2012)



Statistics

- Army developed; has used successfully since 2004
- Over 350,000 OGE 450 reports submitted (over 104,000 so far in 2012)
- Over 7,500 SF/OGE 278 reports submitted
- Over 118,000 Confidential and Public Filers use FDM
- Historical eFiling (through 2011)



Getting Started in FDM

- Take the short, narrated FDM web site tour:
https://www.fdm.army.mil/PM_Reference_Docs/GCFDMIntro/GCIntro.html
- Scan the Resources area:
<https://www.fdm.army.mil/helpSupport/resources.htm>
 - Read the Quick Starts
 - Scan the SOPs & User Guides
- Ethics roles Frequent Task How To Guides:
 - 450 Certifier Frequent Task How to Guide
https://www.fdm.army.mil/PM_Reference_Docs/450CertifierFDMTasks.doc
 - FDM SLC Frequent Task How to Guide,
https://www.fdm.army.mil/PM_Reference_Docs/SLCFDMTasks.doc
 - DAEO Frequent Task How to Guide:
https://www.fdm.army.mil/PM_Reference_Docs/DAEOFDMTasks.doc
- Key Features
 - Filers– https://www.fdm.army.mil/documents/QRC_Key_Features_Filers.pdf
 - Reviewers– https://www.fdm.army.mil/documents/QRC_Key_Features_Reviewers.pdf
- FDM Release Notes <https://www.fdm.army.mil/helpSupport/releaseNotes.htm>



Web Site – Home

<https://www.fdm.army.mil>

Narrated tour: https://www.fdm.army.mil/PM_Reference_Docs/GCFDMIntro/GCIntro.html

Financial Disclosure Management
Secure, professional OGE 278, OGE 450 reporting

[Home](#) | [What is FDM](#) | [Learning Center](#) | [Help & Support](#) | [Agency Contact & Information](#)

Registered Users

[LOG IN](#)

[NEED ACCESS ASSISTANCE?](#)

Need to Register as a Filer or Supervisor? Contact your local legal advisor or your [Agency POC](#)

Information for . . .

- [New Users](#)
- [Filers](#)
- [Supervisors \(DoD\) & Report Reviewers](#)
- [POCs/Administrators](#)
- [Ethics Officials & Staff](#)
- [DAEOs](#)
- [Other Agencies interested in FDM](#)

DoD only: After Government Employment Advice Repository (AGEAR)

Employees . . .

- [Request an Opinion](#)
- [Employee Request Tutorial](#)

Ethics Officials (EOs) . . .

- [Ethics Officials \(EO\)](#)
- [EO Tutorial](#)
- [EO AGEAR FAQs](#)
- [AGEAR EO Quick Start](#)

Want more information?

- ♦ [Take a tour of the web site](#)
- ♦ Select your user role under "Information for . . ." area (left side) for more information.
- ♦ [Ask FDM](#)
- ♦ [eMail FDM Help Desk](#)

Notices:

Status: Available

FDM may be unavailable Sundays, 5:00 to 7:00 pm Central time due to recurring DISA maintenance

Reminders:

New Entrant reports due 30 days after appointment date

OGE 450s:

- Annual OGE 450s are due 15 February 2012
- [FDM 450 Filer Quick Start](#)
- Contact your Ethics Counselor for assistance or if you need an extension.

OGE 278s:

- Incumbent OGE 278s are due 15 May 2012
- [FDM 278 Filer Quick Start](#)
- Contact your Ethics Counselor for assistance or if you need an extension.

Do you need an extension?
Ethics officials may grant an extension for good cause. Contact your Ethics official to request an extension.
[See more information on extensions](#)

FAQs:

- [How do I print my report in FDM?](#)
- [Will my computer work with FDM?](#)
- [How do I access FDM?](#)
- [How do I navigate FDM?](#)
- [Need help opening PDF or DOC files?](#)
- [How can I get pages to load faster?](#)

More FAQs

[Home](#) | [About FDM](#) | [Privacy](#) | [Accessibility](#) | [Help](#) | [Get FDM](#) | [Resources](#) | [User guide](#) | [Feedback](#) | [Technology](#) | [Site Index](#) | Powered by: CECOM SEC

<https://www.fdm.army.mil>

Help – Resources



Financial Disclosure Management

Secure, professional OGE 278, OGE 450 reporting

Home | What is FDM | Learning Center | **Help & Support** | Agency Contact & Information

FAQs | Knowledge Center | Resources | Release Notes |

Resources Page

General

- ◆ [Rule: Executive Branch Financial Disclosure, Qualified Trusts, and Certificates of Divestiture, 5 C.F.R. Part 2634](#)
- ◆ [Extensions](#): Check your agency delegations to see who may grant extensions. See [Extensions](#) for general information on extensions including, combat zone and national emergency extensions. (Dec 2010)
- ◆ [Glossary](#)
- ◆ [Useful Internet Resources for Reviewing Financial Disclosure Reports](#) (from OGE) a collection of Internet sites for researching financial holdings when reviewing OGE 278s/OGE 450s.
- ◆ [FDM Filer and Org Unit Registration Spreadsheet](#)
This spreadsheet is for legal office staff and organizational POCs to manage and organize filers for FDM registration. Legal office staff may find it helpful to distribute the spreadsheet so organization POCs can provide the required information on filers and their supervisors. Group filers in a named organization that corresponds to a specific reviewing supervisor. Instructions are included on the Instructions tab of the spreadsheet.
Note: DoD Users Only: Use AKO email addresses for Army. For non-Army personnel you need the CAC-embedded email address. Often you can see that in a digitally signed email from them or in your local directory by checking email properties.

◆ [Download Adobe Reader](#)



OGE 278

(OGE renamed the "SF" 278 to "OGE" Form 278 in December 2010. [DAEOgram announcement](#): The DAEOgram includes an attachment listing the (mostly labeling) changes.

- ◆ [OGE Form 278](#) (New blank form and instructions) (Dec 2011)
- ◆ [OGE 278 Instructions only](#) (Dec 2011)
- ◆ [OGE's OGE Form 278 FAQs](#) (OGE website)
- ◆ [FDM 278 Common Questions & Answers](#)
- ◆ Clarification of the Scope of an Exception and an Exclusion to the Public Financial Disclosure Reporting Requirements: The Office of Government Ethics (OGE) clarified the scope of (1) a reporting exception for reimbursement of certain political travel expenses and (2) a reporting exclusion for the acceptance of certain food and beverages not consumed in

Scroll to see similar OGE 450 resources

Home | About FDM | Privacy | Accessibility | Help | Get FDM | Resources | User guide | Feedback | Technology | Site Index | Powered by: CECOM SEC

Key Dates/Events

- *January* –
 - Annual/Incumbent Report “Assigned” automatically for registered Filers in FDM with an OGE 450 or 278 Filer role on 31 Dec
 - FDM 220 extract available; online submission of your input for Annual Army report to OGE (replaces email attachments of MS Word document)
 - 450 Certifiers/POCs Remind OGE 450 Filers to file (**My Reviews | Remind Filers** tab)
- *February* – Annual OGE 450s due NLT 15 Feb (Filer eSign on/before that date; reviews w/in 60 days after receipt)
- *April* – Notify Incumbent OGE 278 Filers to file (**Admin | Filers** tab)
- *May* – Incumbent OGE 278s due NLT 15 May (Filer eSign on/before that date (or obtain an extension); reviews w/in 60 days after receipt)
- *November/December* –
 - Finish (**Complete**) unfinished OGE 278s; OGE 450s
 - Have Org Unit POCs update their Filer lists in FDM; replace departed Supervisors



Understanding FDM

- Role based – a user has one or more “roles” that determine what that user may do/see in FDM
- OGE 278/OGE 450 “*Process Flow*” for reported information
- Structure – FDM “connects” reported information to filers & authorized reviewers
- FDM “org units” connect filers, reviewer/supervisors, legal community users, & report certifiers



Key FDM 278 User Roles

- **DAEOs** (& Deputy “DAEO) – 278 certifying authority
- **SLC** – Senior Legal Counsel (e.g., General Counsel, Staff Judge Advocate) at Command, organization
 - **SLC EC** – Ethics Counselor (e.g., often an additional duty for a member of OSJA)
 - **SLC Assistant** – Assists SLC/SLC EC manage report progress
- **Supervisor** – Filer’s Supervisor (Joint Ethics Regulation (JER) requires Supervisor review the financial disclosure (except for Termination reports))
- **Filer** – files an OGE 278
 - **Filer Assistant** – optional; may draft Filer’s report; cannot eSign for Filer; cannot amend for Filer



Key FDM 450 User Roles

- **450 Certifier** – local approving authority for OGE 450
 - 450 Certifier EC
 - 450 Assistant – often Ethics paralegal who “screens” reports; assists manage organization use
 - **450 POC** – organization point of contact (POC) for managing organization’s OGE 450 filers/supervisors in FDM; supports 450 Certifier
 - **Supervisor** – Filer’s Supervisor (Joint Ethics Regulation (JER) requires Supervisor review the financial disclosure)
 - **Filer** – files an OGE 450
 - **Filer Assistant** – optional; may draft Filer’s report; cannot eSign for Filer; cannot amend for Filer
-
- **SLC** – Senior Legal Counsel (e.g., General Counsel, Staff Judge Advocate) at Command, organization
 - **SLC EC** – Ethics Counselor (e.g., often an additional duty for a member of OSJA)
 - Appoints 450 Certifier for Org Unit (**Admin | 450 Certifier** tab)



Registering Other Users

- SLCs/450 Certifiers/POCs may create new “Org Unit”
- Assign roles to the Org Unit
- Add Filers – **Admin | Filers**
 - SLC Ethics Counselors (SLC ECs) – **My Info | My ECs**
 - SLC Assistants – **My Info | My Assistants**
 - SLCs Assign 450 Certifiers – **Admin | 450 Certifiers**
- See FDM User Guides



Caution

- Filer's personal and financial information is private and sensitive in nature.
- Limits on who may see it (e.g., Privacy Act)
- Supervisors have official purpose
- Pick the right "John Smith" – avoid a Privacy Act violation
- DISA Global Directory Service (GDS), <https://dod411.gds.disa.mil/>, listing email address embedded on DoD CACs

Address  <https://dod411.gds.disa.mil/>  

DoD Global Directory Service

For Official Use Only

Last name
First name
Email address
Where C/S/A is:

[Download CRLs and CA Certificates](#)



Org Unit POCs

- Most organizations with over 20 OGE 450 Filers will assign someone to “manage” Filers and report processing
- Legal Office POC
- Use **Admin | POC** (or **Admin | Org Unit**) tab to add/delete POC
 - POC can then register Filers
 - Assign requirement to file
 - Notify Filers to file
 - Monitor report filing – remind Filers (if needed)



Organization POCs

- Orient New POCs
 - POC User Guide – narrated tutorial:
https://www.fdm.army.mil/documents/POC_Basic_User_Guide_Tutorial_for_Website/POC_Basic_User_Guide_TOC.html
 - POC Quick Start –
<https://www.fdm.army.mil/documents/450POCQuickStart.doc>
- Annual Filing Season Update (FDM Resources tab:
<https://www.fdm.army.mil/helpSupport/resources.htm>)
 - *POC Quick Start*
 - 450 Certifier User Guide (updated annually)
- Remember to thank POCs after successful filing season – Certificate of Appreciation template



Key Features - Filers

https://www.fdm.army.mil/documents/QRC_Key_Features_Filers.pdf

- Filers can prepare the report themselves or add an assistant who can draft it
- A report Q&A “wizard” & progress bar guides the Filer through with questions and tailored help
- Pre-population simplifies the filing:
 - Filers carry forward previous report data to their next reports
 - edit changes
- FDM flags incomplete items
- Filer eSigns the report securely online
- eMail notifications go to reviewers when Filer eSigns or amends



Key Features - Filers

Transferring or prepopulating the previous year's report data to new report saves time.

Financial Disclosure Management

My Reports | My Info | My Reviews | Admin | Ethics Training | Management Reports | Resources | Log Out

Reports Not Started | Reports List

Report Data | Attachments | Comments | Flags | Audit Trail | View/Print | Review Status

Getting Started | Non-Investment Income | Assets | Liabilities | Outside Positions | Agreements | Gifts | Wrap Up

Pre-Populate Report

Pre-populate my report with the report I have selected below - this option allows you to use the data from a previous report as a starting point for the new one. Note: Virtually all filers should use this option and choose their most recent report.

Report

2009 Annual - Under Review

Don't pre-populate my report - use this

Security and Privacy Notice | Help

GPS-like “*progress bar*” – tracks Filer location in the report.

Financial Disclosure Management

My Reports | My Info | My Reviews | Admin | Ethics Training | Management Reports | Resources | Log Out

Reports Not Started | Reports List

Report Data | Attachments | Comments | Flags | Audit Trail | View/Print | Review Status | Compare

Draft - Sue X. Zuki, 2010 Annual OGE 450 Report

Getting Started | **Non-Investment Income** | Assets | Liabilities | Outside Positions | Agreements | Gifts | Wrap Up

Non-Investment Income

Instructions: Report for yourself: (1) all sources of salary, fees, commissions, and other earned income greater than \$200, (2) honoraria greater than \$200, and (3) other non-investment income such as scholarships, prizes, and gambling income greater than \$200. Report for your spouse: (1) all sources of salary, fees, commissions, and other earned income greater than \$1,000, and (2) honoraria greater than \$200.

Reporting Period: 01/01/2009 through 12/31/2009

Source of Income	Type of Income	Recipient	
Mutual Life, Philadelphia, PA, USA	Salary (other than Federal Government)	Spouse	<input type="button" value="Edit Income"/> <input type="button" value="Delete Income"/> <input type="button" value="Add Comment"/>

Common Questions

- What are some common mistakes I should avoid?
- My spouse works outside the home and earned \$75,000 during the reporting period. Do I have to list her employer on the form?
- I am employed part-time as a professor at a local college. I'm paid only \$500 for teaching one class. Do I have to list the college on my report?
- What non-investment income can I exclude?



Key Features - Reviewers

https://www.fdm.army.mil/documents/QRC_Key_Features_Reviewers.pdf

- e-Mail notices alert reviewers of report review readiness status
- Worklist view shows reports ready for review & tracks in-progress reports
- OGE reporting business rules applied to flagging issues requiring additional information or special attention
- Reviewers can add comments directly to a report
- Reviewer eSigns report securely online
- Audit trail records report status changes
- Compare view shows changes Filers make between reports saving Reviewers report reconciliation time



Navigating FDM

Tabs

Click to display the first page for the tab and any tab menu items

Report Data | Add Asset
Page Title

Tab Menu Items
Click to display

Log Out
Click to exit FDM

Progress Bar

Use to move to different report section

Instructions

Provide directions on how to enter data

My Reports | My Info | Resources | Log Out

Reports List | Report Data | Attachments | Comments | Flags | Audit Trail | View/Print | Review Status

Draft - Asdg Sec, 2004 Incumbent SF 278 Report

Getting Started | Assets | Other Income | Transactions | Gifts, etc | Liabilities | Agreements | Positions | Wrap Up

Add Asset

Instructions: Enter a name for the asset, for example, the company name for a stock or bond. Optionally, you can choose the owner. Then choose the type of asset, including providing any indicated additional information (e.g., Publicly traded for a Stock, Bond, Option, or Security). Provide the location. Select the appropriate Asset Value. For Assets that also provide income, choose the type(s) of income (more than one is permitted) and select the appropriate Income Amount. If this asset is an underlying asset to another asset, check the appropriate box and select the parent asset.

Reporting Period: Calendar Year 2003.

Asset Name:

Asset Owner: (optional)

Self
 Joint
 Spouse
 Dependent Child

Asset Type:

- Checking, Savings, or Money Market Account
- Stock, Bond, Option, or Security
 - Publicly Traded
- Real Estate
- Partnership, LLC, or S Corp
- Mutual Fund, Investment Fund, or Pool
 - Publicly Traded
 - Excepted Investment Fund
- Trust (mm/dd/yyyy)
 - Excepted - Creation Date: / /
 - Qualified
 - Not Excepted or Qualified
- Retirement Plan or Account
- Other

Asset Income Information:

- No Reportable Income (or less than \$201)
- Investment Income
 - Dividends
 - Capital Gains
 - Interest
 - Rent or Royalties
- Amount:
- Other Investment Income
 - Description:
 - Actual Amount: \$

Common Questions

- What should I enter for the "Asset Name"?
- Should I enter a street address for a rental property?
- What is an Excepted Investment Fund?
- What is an Excepted Trust?
- What is a Qualified Trust?
- What are publicly traded stocks or securities?
- What do I report if I own a mutual fund?
- If I have a money market account, how do I report the asset?

Common Questions
Click to display

- When do I report underlying assets?
- How do I report a "529" or similar prepaid tuition plan?
- How do I report a "529" college savings plan?
- What are examples of the other asset type?

Using FDM 278

- SLC Frequent Tasks How To Guide,
https://www.fdm.army.mil/PM_Reference_Docs/SLCFDMTasks.doc
- Resources: <https://www.fdm.army.mil/helpSupport/resources.htm>
 - SLC Quick Start
 - SLC FDM 278 User Guide
- View the Using FDM 278 narrated presentation and slides:
 - https://www.fdm.army.mil/PM_Reference_Docs/278/UsingFDM278.html
 - https://www.fdm.army.mil/PM_Reference_Docs/UsingFDM278.ppt
- Monitor 278 progress on the Management Reports tab, Disclosure Report Details (*Using FDM Management Reports*):
 - Slides: https://www.fdm.army.mil/PM_Reference_Docs/SLCStatus.ppt
 - Narrated:
https://www.fdm.army.mil/PM_Reference_Docs/SLCStatus/SLCStatus.html
 - Management Reports Quick Reference:
https://www.fdm.army.mil/documents/QRC_FDM_Management_Reports.pdf



FDM 278 Pre-Filing Season

- Read the updated SLC Quick Start in the FDM Resources area, <https://www.fdm.army.mil/helpSupport/resources.htm>
- Review FDM 278 SOP & Enclosures: <https://www.fdm.army.mil/helpSupport/resources.htm> (a customizable template for legal offices to adapt to use to electronically file (eFile) and manage the OGE 278, Public Financial Disclosure Report, process using FDM. It offers "get ready" type information and a review checklist)
- Early in the year
 - Finish any reviews on your 278s (**My Reviews | Review Reports**)
 - Do you see correct Supervisors (**Admin | Supervisors** tab)?
 - **Admin | Filers** (or **My Reviews | Filers**) tab – right 278 Filers?
 - Do Filers have the right “Assigned” 2012 Incumbent (for CY11)?
 - Presumed “Assign” Incumbent OGE 278 Report (**My Reviews | Review Reports** tab)
 - Remove any unneeded, not started
 - Need to register/move any 278 Filers/Supervisors? (**Admin | Filers**) tab



278 Filing Season Tasks

- Mid to late April notify Filer to file (FDM Notify email tool available on the **Admin | Filer** tab)
 - Filer Quick Start link on FDM home page (SOP has sample email notice content)
- Assist Filer (as needed)
- Review reports (**My Reviews | Review Reports**)
 - SLC Quick Start, <https://www.fdm.army.mil/documents/SLCQuickStart.doc>
 - End Initial Review and/or
 - eSign (SLC EC in place of SLC)
 - Submit to DAEO after Supervisor has eSigned
- May assist 278 Supervisor review – when eSigning, Filer will cause FDM to email Supervisor or SLC
 - Supervisor review:
<https://www.fdm.army.mil/documents/SupervisorReviewQuickStart.doc>



Reviewing 278s

- Visit the FDM Learning Center for:
 - Video: Reviewing an OGE 278
<https://www.fdm.army.mil/learningCenter/tutorials.htm>
 - Quick Reference: Reviewing an OGE 278
<https://www.fdm.army.mil/learningCenter/documentation.htm>
- Report “Compare” view when Filer has two or more OGE 278s in FDM – *highlights Filer’s changes*
- Check the FDM 278 SOP for useful a review checklist
<https://www.fdm.army.mil/helpSupport/resources.htm>
- Remember OGE 60-day review rule – agency complete within 60 days unless more information required (5 CFR § 2634.605)



Review Filer's 278 Report

After picking a Filer's report to review, most SLCs (or SLC ECs or Assistants) first will select **Flags** and **Comment** Tabs to confirm there are no Flags or Comments needing attention/resolution then proceed to **Compare** when available or **Report Data**.



- Watch the short video, *Reviewing an OGE 278*, https://www.fdm.army.mil/documents/FDM_REVIEWING_A_SF_278_FOR_WEBSITE_53/Reviewing_an_SF_278_TOC.html. The FDM Learning Center | Documentation includes a Quick Reference, [QRC](#) *Reviewing an OGE 278*.
- Check the FDM 278 SOP on the FDM Resources page, <https://www.fdm.army.mil/helpSupport/resources.htm>, for a review checklist.



Review 278s - Compare

- Compare
 - Summary table, then scrollable page highlighting changes between Filer's reports section-by-section
 - Quick view of what changed to help you focus on Conflict of Interest

Disclosure Report: Comparison

Compare-to Report: Submitted to DAEO 2008 Incumbent
 Comparison Date: February 20, 2008 11:01:22

Change Summary

	Changed	Added	Deleted	Unchanged
Assets	0	1	2	0
Income	0	0	1	1
Liabilities	0	1	0	0
Agreements	0	1	0	0
Positions	0	1	0	1

Current to Previous Disclosure Totals

	Current Disclosure Report	Previous Disclosure Report
Transactions	0	2
Gifts	0	1
Compensations	*	*

* Not reported

Assets

Instructions: For you, your spouse, and dependent children, report each asset held for investment or the production of income which had a fair market value exceeding \$1,000 at the close of the reporting period, or which generated more than \$200 in income during the reporting period, together with such income. Report personal savings and/or checking accounts in a single financial institution if they total more than \$5,000. (Note: This is a different requirement than for the OGE 450.)

Compare Result	Seq.#	Asset Name	Type of Asset	Owner	Value	Type of Income	Amount of Income
✖	1	Comcast	Stock, Bond, Option, or Security	Self	\$100,001-\$250,000		No Income (or less than \$201)
✖	2	Bank of Jersey	Checking, Savings, or Money Market Account	Spouse	\$100,001-\$250,000	Interest	\$2,501-\$5,000
✖	3	Investor Capital, Wilmington, DE, USA	Investment Partnership	Self	\$100,001-\$250,000	Dividends, Capital Gains	

Quick Reference, Reviewing an OGE 278, https://www.fdm.army.mil/documents/QRC_Reviewing_a_278.pdf



Report Options

Report's "Review Status" screen has role-based action buttons:

My Info My Reviews Admin Ethics Training Management Reports Resources Log Out

Filers Review Reports Manage Exceptions

Report Data Attachments Comments Flags Audit Trail View/Print Review Status Previous Reports Notes

Under Review - A X. Franken_6, 2010 Incumbent SF 278 Report
Review Status

Senior Legal Counsel

How Do I...

Common Questions

- What is the difference between Review Date and Signature Date?
- What is the Amended date and how does it differ from the Submitted Date?
- When should an Additional Reviewer be added?
- Glossary

Report Progress

Assigned: Yes [Remove Assignment](#)

Filed Started: 11/23/2010

Filer eSign and Submitted: 11/23/2010

Amended:

Submitted for Certification:

Completed:

Due Date & Extensions

Current Due Date: 05/17/2010

[View/Edit Due Date & Extensions](#)

No extensions have been recorded.

Admin Close; Request Filer Amend; End Initial Review; eSign

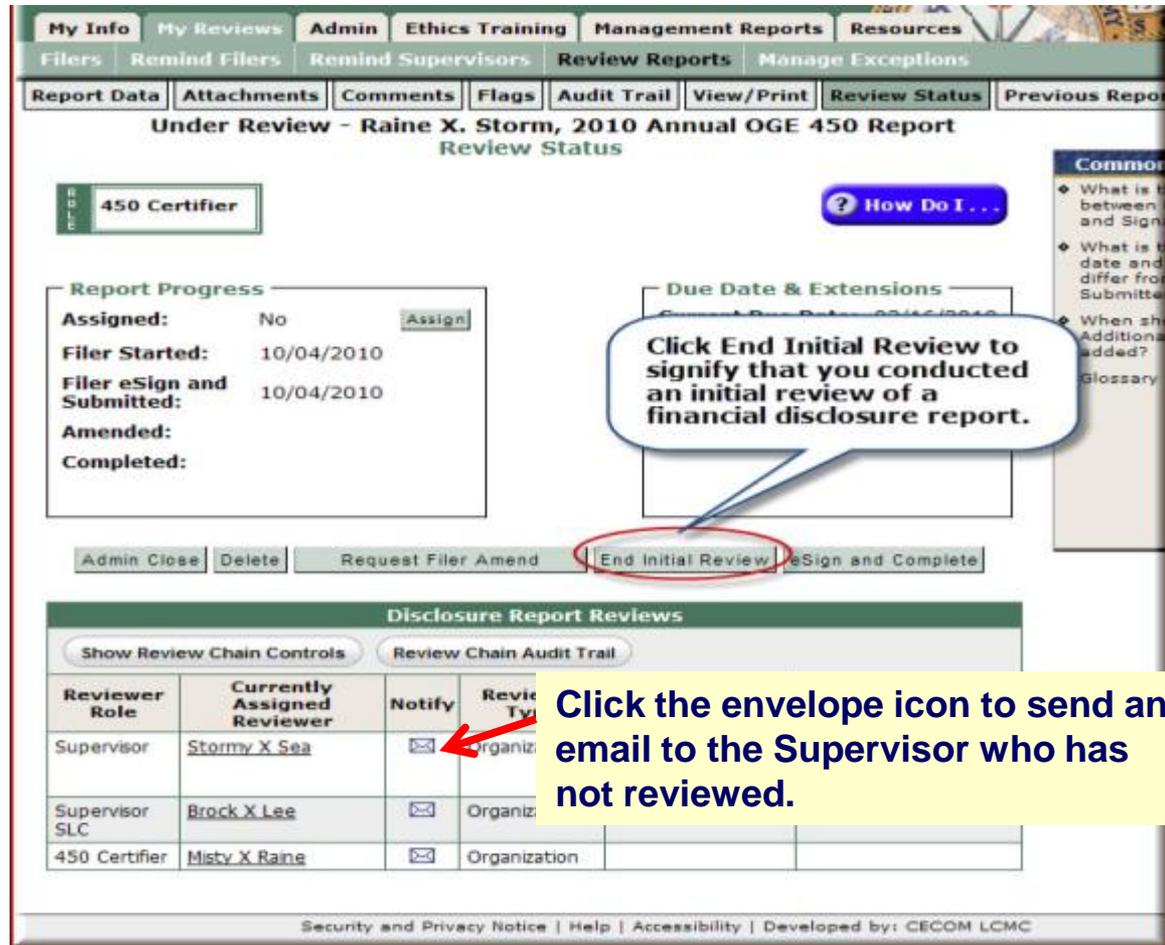


End Initial Review

“Review Status” screen has “*End Initial Review*” action button to use when you are not ready to eSign



- The End Initial Review feature helps Ethics Officials demonstrate compliance with OGE’s 60-day report review rule.
- Not necessary to use when you will eSign or report is Completed within 60 days of Filer’s eSign.



The screenshot shows the 'Review Status' page for a report under review. The 'Report Progress' section shows the report is assigned to the user, started on 10/04/2010, and submitted on 10/04/2010. The 'Due Date & Extensions' section shows a due date of 10/04/2010. A callout bubble points to the 'End Initial Review' button, stating: "Click End Initial Review to signify that you conducted an initial review of a financial disclosure report." Below this, a table titled 'Disclosure Report Reviews' lists reviewers. A red arrow points to an envelope icon in the 'Notify' column for the Supervisor role, with a callout stating: "Click the envelope icon to send an email to the Supervisor who has not reviewed." The table has the following data:

Reviewer Role	Currently Assigned Reviewer	Notify	Review Type
Supervisor	Stormy X Sea		Organiz
Supervisor SLC	Brock X Lee		Organiz
450 Certifier	Misty X Raine		Organization



SLC Tasks How to Guide

https://www.fdm.army.mil/PM_Reference_Docs/SLCFDMTasks.doc

Contents

(Click the hyperlinked topic to see a short summary and a link to a more detailed explanation of the topic with step-by-step instructions)

<i>Administrative/Maintenance Tasks</i>	When
Update my FDM contact info	As needed
Add SLC EC	As needed
See my 278 Filer(s)	As needed
Add a 278 Filer	As needed
Inform/Remind my 278 Filer(s) to eFile	NLT 2 weeks before 278 is due; repeat as needed
Coordinate a Filer Assistant to draft Filer's 278	As needed
Remove a departed Filer	As needed
Edit an existing FDM org unit	As needed
Add new/replace departed users (other than Filer) for an existing FDM org unit	As needed
<i>Report Processing Tasks</i>	
Record an Extension	NLT due date being extended
Review/eSign a 278	As needed, generally within 30 days* after Filer eSigns
Advise Supervisor how to review in FDM	As needed, usually within 30 days after Filer eSigns
<i>Overseeing Report Processing Tasks</i>	
Oversee FDM 450 report processing	As needed, starting mid-March annually
See overdue 450s	As needed, starting mid-March
Assign/change 450 Certifiers	As needed

*OGE regulations require final certification within 60 days of report receipt when the reports do not require additional information or remedial action. (See OGE Program Management Advisory PA-11-04, <http://www.oge.gov/DisplayTemplates/ModelSub.aspx?id=2147484468>.)



Using FDM 278 Summary

- My 278 Filers (**Admin | Filers** tab, “Show My Filers”)
 - Incumbents (due in May)
 - Add New Entrants during the year
- Auto assign Reports to eFile
- Notify Filers to eFile (agency FDM DAEO or local SLC?)
- Approve Extensions (Record in FDM)
- Remind Supervisors to eReview
- Review Reports

SLC How To Guide: https://www.fdm.army.mil/PM_Reference_Docs/SLCFDMTasks.doc

SLC Quick Start: <https://www.fdm.army.mil/documents/SLCQuickStart.doc>



Filer

- Common Access Card (CAC)/PIN access*
- Main work space: My Reports tab; Reports Not Started
- May add Filer Assistant to draft report
- Help available:
 - Filer Quick Start,
<https://www.fdm.army.mil/documents/278FilerQuickStart.doc>
 - Video tutorial/Quick Reference – Filing an OGE 278
 - Legal Advisor for report content
 - FDM Service Center
 - Telephone: 732-720-6454 , 443-861-8679, DSN 848-8679 (7:00 a.m. – 5:00 p.m. Eastern M-F (during filing season))
 - Email: usarmy.APG.cecom.mbx.FDMSpt@mail.mil
 - FDM 450/278 User Guides for Legal Staff

Mention when you notify Filer to File

*Army Knowledge Online user access available



Returning FDM Incumbent 278 Filer

- Starts on FDM web site, <https://www.fdm.army.mil>
- Quick Start:
<https://www.fdm.army.mil/documents/278FilerQuickStart.doc>
- Many SJAs/staff members serve as Filer Assistant to draft report
- Pre-populate in Getting Started
- Add Assets prompts for create Transactions (New Entrant Filers do not report Transactions)
- FDM 278 SLC User Guide, chapter 5



Filer eSign

The screenshot shows the top navigation bar with tabs: My Reports, My Info, Resources, and Log Out. Below this is a sub-menu with: Reports List, Report Data, Attachments, Comments, Flags, Audit Trail, View/Print, and Review Status. The main header displays the report title: Draft - Asdi Sec, 2007 New Entrant (01/01/2007) SF 278 Report. A progress bar below the header contains buttons for: Getting Started, Assets, Other Income, Liabilities, Agreements, Positions, Compensation, and Wrap Up. The 'Wrap Up' button is highlighted with a red box.

A sidebar titled 'Common Questions' containing a single link: Glossary.

[View this report](#)

View opens PDF of 278 report

Step 1: By eSigning...

I hereby certify that the report data I have entered and all files I have attached are true, complete, and correct to the best of my knowledge.

I certify that I am aware of the [Annual Post-Employment Certification and Notification to Senior Officials on Post-Government Employment Restrictions](#) under 18 USC § 207, and that I have not knowingly violated those restrictions that apply to Federal personnel while they are in Federal service.

In accordance with the Digital Signature Act of 1999, I recognize (Signature) shall be given the same legal status as a signature. An eSignature may not be denied legal effect, validity, or enforceability here by consent to the use of eSignature.

Link opens post-employment information for DoD users

I understand that my eSignature is applied to the information that I have provided and not the presentation formatting of the information on the screen or printed page.

Step 2: Submit my report to...

- Asdj Sec (Senior Legal Counsel)
- Asdh Sec (Supervisor)

Checking one or both names enables the eSign feature (Step 3)

Step 3: eSign your report

[View this report](#)



Using FDM 450

- 450 Certifier Frequent Task How To Guide:
https://www.fdm.army.mil/PM_Reference_Docs/450CertifierFDMTasks.doc
- Resources: <https://www.fdm.army.mil/helpSupport/resources.htm>
 - FDM 450 Certifier Quick Start
 - FDM 450 Certifier User Guide
- View the Using FDM 450 narrated presentation and slides:
 - https://www.fdm.army.mil/PM_Reference_Docs/450/UsingFDM450.html
 - https://www.fdm.army.mil/PM_Reference_Docs/UsingFDM450.ppt
- Best practices:
https://www.fdm.army.mil/PM_Reference_Docs/BP450Certifier.doc
- Monitor OGE 450 progress on the Management Reports tab, Disclosure Report Details (*Using FDM Management Reports*):
 - Slides: https://www.fdm.army.mil/PM_Reference_Docs/SLCStatus.ppt
 - Narrated:
https://www.fdm.army.mil/PM_Reference_Docs/SLCStatus/SLCStatus.html



My ECs/Assistants

- Add (or remove) SLC Ethics Counselor (EC) (**My Info | My ECs** tab) to assist with 278 review

The screenshot shows the 'My Ethics Counselors' page. At the top, there is a navigation bar with tabs for 'My Info', 'My Reviews', 'Admin', 'Ethics Training', 'Management Reports', and 'Resources'. Below this is a secondary navigation bar with 'Contact Info', 'My ECs', 'My Assistants', and 'My Profile'. The 'My ECs' tab is selected. The main content area is titled 'My Ethics Counselors' and contains a section for 'My SLC ECs'. A green button with a right-pointing arrow and the text 'Add SLC EC' is visible at the bottom right of the 'My SLC ECs' section.

- Add (or remove) SLC Assistant (**My Info | My Assistants** tab) to assist with input for annual Army report to OGE

The screenshot shows the 'My Assistants' page. At the top, there is a navigation bar with tabs for 'My Info', 'My Reviews', 'Admin', 'Ethics Training', 'Management Reports', and 'Resources'. Below this is a secondary navigation bar with 'Contact Info', 'My ECs', 'My Assistants', and 'My Profile'. The 'My Assistants' tab is selected. The main content area is titled 'My Assistants' and contains a section for 'My SLC Assistants'. A green button with a right-pointing arrow and the text 'Add Assistant' is visible at the bottom right of the 'My SLC Assistants' section. On the right side of the page, there is a 'Common Questions' sidebar with a list of questions and a 'Glossary' link.



My Reviews | Remind Filers

- Notify to file using FDM (Jan) (**My Reviews | Remind Filers** tab)

Financial Disclosure Management

My Info | My Reviews | Admin | Management Reports | Resources

Remind Filers | Remind Supervisors | Review Reports | Manage Exceptions

Remind OGE 450 Filers

450 Certifier [Change]

How Do I...

Find Filers

Org Unit: My Orgs [-SELECT-Next Level Down]

Show Filer's Reports for My Orgs

Show My Filers Include Filers for Org Units assigned to other 450 Certifiers

Find:

- OGE 450 Annual Filers who need an Initial Notification to
- All OGE 450 Filers who have not started their Report
- All OGE 450 Filers who have not submitted their Report
- All OGE 450 Filers who are late

- Initial notice to file Annual OGE 450 in Jan
- Later in Jan, remind those who haven't started by a date you/your POC picks
- After filing deadline, search and ID those who are late and notify them/their Supervisors

https://www.fdm.army.mil/documents/QRC_Remind_Filers.pdf

Unselect any Filer to Exclude	Filer	Filer's e-mail	Report Year	Reporting Status	Supervisor	Supervisor's e-mail
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In your notice you might mention the OGE 450 Filer Quick Start,
<https://www.fdm.army.mil/documents/450FilerQuickStart.doc>



My Reviews | Remind Supervisors

- Notify Supervisors to review using FDM (My Reviews | Remind Supervisors tab)



Remind Supervisors who have not eSigned 450 Reports

450 Certifier

[? How Do I ...](#)

Find Supervisors who have not eSigned

Org Unit: [My Orgs >](#)

- Show Filer's Reports for **USARMY**
 Show **My** Supervisors Include Supervisors for Org Units assigned to this 450 Certifier

Customary to use regularly starting 1 Feb & after the mid-Feb filing deadline to “Remind” (notify) Supervisors to review using FDM (My Reviews | Remind Supervisors tab). Filer is timely with report if filed on/by the due date.

Confirm Supervisors

Printer Friendly

0 to 0 of 0

Items per page:

<input type="checkbox"/> Unselect any Supervisor to Exclude	Supervisor	Supervisor's Org Unit	Supervisor's e-mail	Filer	Report Year	Reporting Status
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Quick Reference: https://www.fdm.army.mil/documents/FDM_QRC_Remind_Supervisors.pdf



Reviewing OGE 450s

- Check the FDM 450 SOP for a review checklist
<https://www.fdm.army.mil/helpSupport/resources.htm>
- Visit the FDM Learning Center for:
 - Video: Reviewing an OGE 450
<https://www.fdm.army.mil/learningCenter/tutorials.htm>
 - Quick Reference: Reviewing an OGE 450
<https://www.fdm.army.mil/learningCenter/documentation.htm>
- Report “Compare” view when Filer has two or more OGE 450s in FDM – *highlights Filer’s changes*
- OGE 60-day review rule



Extensions

- Filers request outside FDM
- Ethics Officials approve outside FDM
- DAEO/SLC (& ECs) roles may record extensions in FDM
- Start on **Review Status** screen of Assigned, Not Started or a Draft report
- Info in FDM will be available for SLC input to annual Agency report to OGE

Extensions information: https://www.fdm.army.mil/PM_Reference_Docs/extensions.pdf

Quick Reference: https://www.fdm.army.mil/documents/QRC_Managing_Extensions.pdf



Management Reports



- Disclosure
 - Registered Filers
 - Details
 - Filers with no reports
- Administration (Supervisors)
- Currently Overdue (OGE 450 only)
- SLC-220 Worksheet
- Review Metrics (450 Certifier success score)



Quick Reference: https://www.fdm.army.mil/documents/QRC_FDM_Management_Reports.pdf

Using FDM Management Reports:

Slides: https://www.fdm.army.mil/PM_Reference_Docs/SLCStatus.ppt

Narrated: https://www.fdm.army.mil/PM_Reference_Docs/SLCStatus/SLCStatus.html



Management Reports - Disclosures

Select Disclosure Report

1. [Registered Filers Summary](#)
2. [Disclosure Report Detail](#)
3. [Filers with No Disclosure Reports](#)

Registered Filer Summary

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

Disclosure Detail Report

Disclosure tab - Provides disclosure reporting and reviewing status detail by Org Unit, Form Type and Year. Use this report to track review progress of a disclosure report.

Filer's with No Disclosure Report

Disclosure tab - Lists any registered Filers who have not started a report, assigned or not assigned, by the specified year and report type. Use this report to track delinquent filers in FDM.

Note: Some Filers shown on this list who have not been assigned a report are not delinquent (e.g., they filed a New Entrant in last 60 days of prior year and do not owe the Annual or Incumbent until 2010).



Currently Overdue OGE 450s

My Reports Assist Filers My Info My Reviews Admin Ethics Training Management Reports Resources Log Out
Disclosure Administration **Currently Overdue** SLC-220 Worksheet

Currently Overdue OGE 450 Annual Reports as of

Senior Legal Counsel

Instructions: Generate this report to see a list of assigned Annual OGE 450 Reports that have not been submitted (i.e., e-signed) by the filer as of today's date. The presumptive Annual OGE 450 Report due date is mid-February.

Search
Year:

Currently Overdue OGE 450 Annual Reports	Currently Overdue tab - The Currently Overdue report can be used by DDAEOS, Senior Legal Counsels 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, and the reporting due date already occurred.
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Quick Reference: https://www.fdm.army.mil/documents/QRC_FDM_Management_Reports.pdf



“Success Score”

Scores 450 Certifier report processing time and displays agency average for comparison

Review Progress Summary - Success Score for 450 Certifier

450 Certifier

Set Report Filter
 Agency: Demo Agency | Generate Report

Report Results

Weekly OGE 450 Reports Success Score for Raine, Misty X (as of)

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

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., SF 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.)

Success Score Summary		
Report Year	Certifier Score	Demo Agency Score
2010	1000	0
2009	1000	0

Reports by Review Status						
Report Year	Total Reports Assigned (not admin closed)	Not Submitted			Submitted by Filer	
		Not Started	Draft or Amendment In-Progress	Needs Supervisor Signature	Needs Certification	Completed
2010	1	0	0	0	0	1
2009	1	0	0	0	0	1

Report Review Metrics for Submitted Reports (Based on Filer Submission/Amendment Date)						
Report Year	Not Completed No Initial Review		Not Completed With Initial Review		Completed	
	<= 60 Days	>60 Days	<= 60 Days	>60 Days	<= 60 Days	>60 Days (Initial Review >60 Days)
2010	0	0	0	0	1	0
2009	0	0	0	0	1	0



Ethics Training



- Legal official roles may notify Filers & record Ethics Training for Filers
- Tabs:
 - Not Trained
 - Trained
 - Exceptions
- Use is optional; info in FDM will be available for SLC input to annual Agency report to OGE
- **Print 2012 Training Record *BEFORE* 31 Dec 2012**
 - Ethics Training | Trained
 - Ethics Training | Not Trained

? How Do I ...

Quick Reference: https://www.fdm.army.mil/documents/QRC_Manage_Ethics_Training.pdf



Annual Ethics Report

- **Management Reports | SLC-220 Worksheet** tab
- Click **Generate Worksheet** to extract FDM info on Filers, reports, & ET for your part of the annual agency ethics report to OGE



Senior Legal Counsel

SLC EC(s), SLC Assistant(s) may also see this report.

Instructions for the Legal Office Senior Legal Counsel (SLC):

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





Conclusion



- Software tool to support FDR process
- Narrated FDM web site tour:
https://www.fdm.army.mil/PM_Reference_Docs/GCFDMIntro/GCIntro.html
- FDM Home page – role information area
- Using FDM 278:
 - Slides: https://www.fdm.army.mil/PM_Reference_Docs/UsingFDM278.ppt
 - Narrated: https://www.fdm.army.mil/PM_Reference_Docs/278/UsingFDM278.html
 - SLC How To Guide: https://www.fdm.army.mil/PM_Reference_Docs/SLCFDMTasks.doc
- Using FDM 450:
 - Slides: https://www.fdm.army.mil/PM_Reference_Docs/UsingFDM450.ppt
 - Narrated: https://www.fdm.army.mil/PM_Reference_Docs/450/UsingFDM450.html
 - 450 Certifier How To Guide:
https://www.fdm.army.mil/PM_Reference_Docs/450CertifierFDMTasks.doc
 - Best practices:
https://www.fdm.army.mil/PM_Reference_Docs/BP450Certifier.doc

Financial disclosure report program management made

