U.S. Office of Government Ethics

Integrity User Guide

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Table of Contents

Introduction	<u>10</u>
Objectives	_
Contents	
Section 1: System Overview	
1.1 - Purpose	
1.2 - Types of Public Financial Disclosure Forms	
1.3 - Forms Supported by <i>Integrity</i>	
1.4 - Design of the Forms	
1.4.1 - OGE Form 278e	
1.4.2 - OGE Form 278-T	<u>15</u>
1.5 - Basic Navigation Structure	<u>15</u>
1.5.1 - Primary v. Secondary Windows	<u>15</u>
1.5.2 - Primary Window Menu Options	16
1.5.3 - Display within a Primary Window	17
1.5.4 - Secondary Window Menu Options and Display	
1.5.5 - Navigate within a Window	
1.5.6 - Icons	18
1.6 - Organizational Hierarchy	
1.6.1 - Agency	
1.6.2 - Group	
1.7 - Report Lifecycle	
1.7.1 - General 278 Lifecycle	
1.7.2 - PAS/DAEO Lifecycle (excluding Nominee reports)	21
1.7.3 - PAS/DAEO Nominee Report Lifecycle	22
1.8 - Workflows	
1.8.1 - General 278 Workflow Ontions	$\frac{22}{22}$
1.8.1 - General 278 Workflow Options1.8.2 - PAS/DAEO Workflow Options (excluding Nominees)	$\frac{22}{23}$
1.8.3 - PAS/DAEO Nominee Report Workflow Options	$\frac{23}{23}$
1.9 - Roles	$\frac{23}{23}$
1.9.1 - Primary v. Alternate Role Holders	
1.9.2 - Regular Agency Roles	$\frac{25}{25}$
1.9.3 - OGE Oversight Roles	
1.7.5 - OOL Oversignt Roles	20
Section 2: Accessing the System	31
2.1 - Technical Requirements	
2.1.1 - System Requirements	
2.1.2 - Internet Browser Requirements	
2.1.3 - Disabling Compatibility View in Internet Explorer.	32
2.2 - Integrity Security and Available Login Methods	32
 2.1.3 - Disabling Compatibility View in Internet Explorer 2.2 - <i>Integrity</i> Security and Available Login Methods 2.2.1 - Relationship to MAX.gov 2.2.2 - Login Methods by Security Level 	32
2.2.2 - Login Methods by Security Level	33
2.2.2 Determining a User's Security Level	33
2.3 - Logging In	

2.3.1 - Get to the <i>Integrity</i> Home Page2.3.2 - Start the Login Process	<u>34</u>
2.3.3 - Complete Initial Login with an Existing MAX Account (Filers)	
2.3.4 - Complete Initial Login with an Existing MAX Account (Other Roles)	<u>35</u>
2.3.5 - Complete Login for a New Account (Filers and Filer Designees)	<u>35</u>
2.3.6 - Complete Login for a New Account (Other Roles)	<u>37</u>
2.3.7 - Multiple Login IDs	<u>39</u>
2.3.8 - Login Problems2.3.9 - Alternate Login Method	<u>39</u>
2.3.9 - Alternate Login Method	<u>42</u>
2.4 - Logging Out	<u>42</u>
2.4.1 - Use the Log Out Button	
2.4.2 - Close the Internet Browser	<u>43</u>
Section 3: User Settings	44
3.1 - Login ID	
3.1.1 - Changed Agencies	
3.1.2 - Did Not Change Agencies	
3.1.3 - Missing Access to One's Reports	
3.2 - Login Password or Pin	
	44
3.2.2 - Personal Identity Verification (PIV) Card / Common Access Card (CAC) Pin .	
3.3 - Contact Information	
3.3.1 - View at Initial Login	
3.3.2 - View at a Later Date	<u>45</u>
3.3.3 - Change Contact Information	
3.4 - Filer Designees	<u>45</u>
3.4.1 - What Does a Filer Designee Do?	<u>45</u>
3.4.2 - Filer Designee v. Reviewer	<u>46</u>
3.4.3 - Add a Filer Designee	<u>47</u>
3.4.4 - Remove a Filer Designee	
3.4.5 - Resend a Notice to a Filer Designee	
3.5 - Display Size	
3.5.1 - Increase or Decrease Display Size	<u>48</u>
3.5.2 - Issues Related to Increased Display Size	<u>48</u>
3.6 - Font Compatibility	<u>48</u>
Section A. Ellen Actions (OCE From 279-)	40
Section 4: Filer Actions (OGE Form 278e)	
4.1 - Primary Filer Window	
4.1.1 - Filer Interface	
4.1.2 - Menu Options	<u>49</u>
4.1.3 - My Tasks	<u>50</u>
4.2 - Start a Report	<u>50</u>
4.2.1 - Select an Assigned Report	<u>30</u>
4.2.2 - Self-Assign a Report	<u>50</u>
4.2.3 - Pre-Population	
4.2.4 - Getting Started Page4.2.5 - Reset a Report	<u>51</u>

4.3 - File a Report	
4.3.1 - Basics	
4.3.2 - Steps and Menu Options	
4.3.3 - Filing Wizards	
4.3.4 - Data Entry Grids: Introduction	
4.3.5 - Data Entry Grids: Add an Entry	
4.3.6 - Data Entry Grids: Edit or Move an Entry	
4.3.7 - Data Entry Grids: Delete an Entry	
4.3.8 - Data Entry Grids: Endnotes	
4.3.9 - Data Entry Grids: Bulk Actions	
4.3.10 - Data Entry Grids: Import Entries	
4.3.11 - Review the Report Data (Summary)	
4.3.12 - Submit the Report	
4.3.13 - Submit an Early Termination Report	
4.3.14 - Print the Report	
4.4 - Resume a Report Prior to Filing	
4.5 - View and Edit a Report under Review	
4.5.1 - Open a Report	
4.5.2 - Menu Options	
4.5.3 - Edit Entries	
4.5.4 - Comments	
4.5.5 - Public Annotations	
4.5.6 - Re-Submit a Report	100
4.5.7 - Compare	
4.5.8 - Documents	104
4.5.9 - Audit Trail	<u>106</u>
4.5.10 - Notifications	109
4.6 - View and Amend a Certified Report	<u>110</u>
4.6.1 - Open a Report	<u>110</u>
4.6.2 - View a Report	<u>111</u>
4.6.3 - Compare	<u>111</u>
4.6.4 - Documents	<u>111</u>
4.6.5 - Audit Trail	<u>111</u>
4.6.6 - Notifications	<u>111</u>
4.6.7 - Amendments	<u>111</u>
Section 5: Filer Actions (OGE Form 278-T)	
5.1 - Primary Filer Window	
5.1.1 - Filer Interface	
5.1.2 - Menu Options	
5.1.3 - My Tasks	
5.2 - Start a Report	
5.2.1 - Select an Assigned Report	
5.2.2 - Self-Assign a Report	
5.2.3 - Getting Started Page	
5.3 - File a Report	<u>115</u>

5.3.1 - Basics	. <u>115</u>
5.3.2 - Steps and Menu Options	. 115
5.3.3 - Data Entry Grid: Introduction	. 117
5.3.4 - Data Entry Grid: Add an Entry	
5.3.5 - Data Entry Grid: Import Entries from a Spreadsheet	
5.3.6 - Data Entry Grid: Edit an Entry	
5.3.7 - Data Entry Grid: Delete an Entry	. 121
5.3.8 - Submit the Report	. <u>121</u>
5.3.9 - Print the Report	
5.4 - Resume a Report Prior to Filing	. 122
5.5 - View and Edit a Report under Review	. <u>122</u>
5.5.1 - Open a Report	. <u>122</u>
5.5.2 - Menu Options	. 123
5.5.3 - Edit Entries	. <u>123</u>
5.5.4 - Comments	. <u>124</u>
5.5.5 - Public Annotations	. <u>126</u>
5.5.6 - Re-Submit a Report	. 128
5.5.7 - Documents	. <u>128</u>
5.5.8 - Audit Trail	. <u>128</u>
5.5.9 - Notifications	. <u>128</u>
5.6 - View and Amend a Certified Report	. 128
5.6.1 - Open a Report	
5.6.2 - View a Report	. 129
5.6.3 - Documents	. <u>129</u>
5.6.4 - Audit Trail	. 129
5.6.5 - Notifications	. 129
5.6.6 - Amendments	. <u>129</u>
Section 6: Reviewer Actions	
6.1 - Primary Reviewer Window	
6.1.1 - Reviewer Interface	
6.1.2 - Menu Options	
6.2 - My Queue	
6.2.1 - Filter Options	
6.2.2 - Customize and Further Filter the Display of Results	
6.2.3 - Check the Workflow Status	
6.2.4 - Assign a Report	
6.2.5 - Open a Report Assigned to Oneself	
6.2.6 - Find Other Reports	
6.2.7 - Cannot Find a Report?	
6.3 - Search	
6.3.1 - Search v. My Queue	
6.3.2 - Filter Options	
6.3.3 - Wildcard Searches	
6.3.4 - Customize and Further Filter the Display of Results	
6.3.5 - Open a Report	. 144
6.3.6 - Cannot Find a Report?	

6.4 - Review an OGE Form 278e	145
6.4.1 - Basics	145
6.4.2 - Menu Options	146
6.4.3 - General Information Page	
6.4.4 - Edit Grid Entries	
6.4.5 - Comments	
6.4.6 - Public Annotations	
6.4.7 - Submit, Return, or Close a Report	-
6.4.8 - Change the Workflow of a Started Report	
6.5 - Review an OGE Form 278-T	. 161
6.5.1 - Basics	
6.5.2 - Menu Options	
6.5.3 - General Information Page	
6.5.4 - Edit Entries	
6.5.5 - Comments	
6.5.6 - Public Annotations	
6.5.7 - Submit, Return, or Close a Report	
6.5.8 - Change the Workflow of a Started Report	
6.6 - Additional Report-Level Features	
6.6.1 - Compare	
6.6.2 - Memo	
6.6.3 - Documents	
6.6.4 - Audit Trail	-
6.6.5 - Notifications	
6.7 - View and Amend a Certified or Closed Report	
6.7.1 - Open a Report	
6.7.2 - View a Report	
6.7.3 - Edit General Information Page Fields	
6.7.4 - Compare	
6.7.5 - Documents	
6.7.6 - Audit Trail	-
6.7.7 - Notifications	_
6.7.8 - Amendments to General 278 Reports	
6.7.9 - Amendments to PAS/DAEO Reports	
6.8 - Manage Records	
6.8.1 - Access the Records Management Page	
6.8.2 - View and Edit Rights	
6.8.3 - View Reports	
6.8.4 - Retain a Report	
6.8.5 - Purge or Delete a Report	
6.8.6 - Bulk Record Actions	
	<u>1/4</u>
Section 7: Administrative Actions	177
7.1 - Primary Admin Window	
7.1.1 - Admin Interface	
7.1.2 - Menu Options	-
1	

7.2 - Agency Set-up	<u>178</u>
7.2.1 - Access the Agency Set-up Page	
7.2.2 - Edit the Basic Information Tab	
7.2.3 - Edit the Agency Staff Tab	179
7.2.4 - Edit the Workflows Tab	
7.2.5 - Edit the System Tab	181
7.2.6 - Edit the Support Tab	
7.2.7 - Edit the Notices Tab	183
7.2.8 - Save Edits to the Agency Set-up Page	187
7.2.9 - View the Permission Change Log	
7.3 - Manage Groups	188
7.3.1 - Access Groups	188
7.3.2 - View and Edit Rights	
7.3.3 - Add a Group	189
7.3.4 - Edit Basic Information for a Group	
7.3.5 - Move a Group	
7.3.6 - Delete a Group	
7.3.7 - View the Permission Change Log	
7.4 - Manage Staff	
7.4.1 - Access Staff Roles	
7.4.2 - View Rights	
7.4.3 - Edit Rights	
7.4.4 - Add a Primary Role	
7.4.5 - Remove a Primary Role	
7.4.6 - Add an Alternate Role	
7.4.7 - Remove an Alternate Role	
7.5 - Manage Filers	
7.5.1 - Access Filer Information	
7.5.2 - View and Edit Rights	
7.5.3 - Add a Single Filer	
7.5.4 - Remove a Single Filer	
7.5.5 - Add Multiple Filers to One Group	
7.5.6 - Add Multiple Filers to Different Groups	
7.5.7 - Delete Multiple Filers	
7.5.8 - Notify Filers	
7.5.9 - Transfer Filers to a Group at the Agency	
7.5.10 - Transfer Filers to a Group at Another Agency	
7.6 - Manage Assigned Reports	
7.6.1 - Access the Manage Assigned Reports Page	
7.6.2 - View and Edit Rights	
7.6.3 - View Current Reports	
7.6.4 - Assign Reports to Filers in a Group and Any Subordinate Groups	
7.6.5 - Assign a Termination Report to a Filer Using a Personal Email Address	
7.6.6 - Assign Annual Reports to Multiple Filers across an Agency	
7.6.7 - Edit a Report Assignment	
7.6.8 - Notify a Filer after Report Assignment	
,	<u> </u>

7.6.9 - Remove a Report Assignment	<u>218</u>
7.6.10 - Year Labeling Convention	. 219
7.6.11 - Bulk Export Reports	. <u>220</u>
7.7 - Find Users	
7.7.1 - Access Find Users	. 223
7.7.2 - View Rights	. <u>224</u>
7.7.3 - Find a Specific User	. <u>224</u>
7.7.4 - View a User's Information	. <u>225</u>
7.7.5 - Update a User's Name	. <u>226</u>
7.7.6 - Merge Multiple Login IDs for a Single User	. <u>227</u>
7.7.7 - Update a User's Roles	. <u>227</u>
7.8 - Reporting Tools	. <u>229</u>
7.8.1 - Access Management Reports	<u>229</u>
7.8.2 - View Rights to Management Reports	<u>229</u>
7.8.3 - Open a Management Report	. <u>229</u>
7.8.4 - Export a Management Report to Excel	<u>231</u>
7.8.5 - Annual Data Extract	<u>231</u>
Section 8: Nominee Reports	
8.1 - Overview	. <u>243</u>
8.1.1 - Scope	. <u>243</u>
8.1.2 - Nominee Report Lifecycle	
8.1.3 - Functionality Specific to Nominee Reports	<u>246</u>
8.2 - Agency Nominee Group	. <u>246</u>
8.2.1 - Set-up Requirements	
8.2.2 - Staff Roles	
8.2.3 - Filers	. <u>248</u>
8.3 - Draft Reports	
8.3.1 - Submission by the Filer	. <u>248</u>
8.3.2 - Release by a Special Agency	
8.3.3 - Receipt by a Router	
8.3.4 - Review by a Router	
8.3.5 - Route a Draft Report	. <u>250</u>
8.3.6 - Assign a Draft Report	
8.3.7 - Edit a Draft Report	
8.3.8 - Comments	
8.3.9 - Additional Features	
8.3.10 - Preclearance	
8.4 - Official Reports	. <u>255</u>
8.4.1 - Preconditions for Filing	. <u>255</u>
8.4.2 - File an Official Report	. <u>256</u>
8.4.3 - Display of the Signature Date	<u>257</u>
8.4.4 - Review an Official Report	
8.5 - After OGE Certification	
8.5.1 - Effects of OGE Certification	
8.5.2 - Required Actions if the Filer is Confirmed	<u>258</u>

8.5.3 - Required Actions if the Filer is Not Confirmed	260
8.5.4 - Required Actions if a Filer is Re-nominated	
8.6 - Locate a Cloaked ID	
8.6.1 - Locate a Cloaked ID prior to OGE/Agency Review	261
8.6.2 - Locate a Filer's Cloaked ID during the Review Process	
8.6.3 - Locate a Filer's Cloaked ID after Certification	
8.6.4 - Locate a Filer Designee's Cloaked ID	262

Introduction

This guide is intended as a reference manual for Agency ethics officials using *Integrity*, the web-based system developed by the U.S. Office of Government Ethics (OGE) for filing and reviewing executive branch public financial disclosure reports (OGE Form 278e and OGE Form 278-T).

Contents

The guide contains eight sections:

- <u>Section 1</u> provides a brief overview of the purpose and design of *Integrity*.
- <u>Section 2</u> explains the technical requirements for using *Integrity* as well as the steps for logging into and out of the system.
- <u>Section 3</u> explains how to change user settings.
- <u>Section 4</u> explains how Filers complete an OGE Form 278e, respond to Reviewer comments, and view old OGE Form 278e reports.
- <u>Section 5</u> explains how Filers complete an OGE Form 278-T, respond to Reviewer comments, and view old OGE Form 278-T reports.
- <u>Section 6</u> explains the Reviewer functions available to an authorized Agency user, including instructions on locating reports that require review, adding comments or public annotations, editing entries, approving the report, and managing records.
- <u>Section 7</u> explains the administrative functions available to an authorized Agency user, including instructions on configuring an Agency, creating or modifying a Group, assigning users to Groups, assigning reports to Filers, and accessing management reports.
- <u>Section 8</u> explains the special processes and features applicable to Nominee reports.

Section 1 provides a brief overview of the purpose and design of Integrity.

1.1 - Purpose

Integrity provides a secure, web-based system through which individuals may file an executive branch public financial disclosure report. A combination of data entry grids and context-dependent questions helps Filers to identify all of their reportable interests and to report those interests correctly. *Integrity* also provides ethics officials with a way to assign, review, and manage the reports electronically.

1.2 - Types of Public Financial Disclosure Forms

The Ethics in Government Act of 1978, as amended, requires certain current and prospective Government officials to make public disclosures of specified financial interests and affiliations. The Act charges OGE with developing forms for making the required disclosures.

OGE currently provides two forms for public financial disclosures.

- OGE Form 278e: Used to file Candidate, Nominee, New Entrant, Annual (also known as "Incumbent"), and Termination reports. In certain cases, Filers may need to complete multiple reports and are permitted to use a single form (e.g., a combined Annual and Termination report).
- OGE Form 278-T: Used to file Periodic Transaction reports.

1.3 - Forms Supported by Integrity

Integrity currently supports the following reports and forms:

- Nominee, New Entrant, Annual, and Termination reports using the OGE Form 278e. Filers may also complete a combined Annual and Termination report if appropriate.
- Periodic Transaction reports using the OGE Form 278-T.

1.4 - Design of the Forms

1.4.1 - OGE Form 278e

Content

The OGE Form 278e consists of a Cover Page and nine substantive Parts.

- Part 1 Filer's Positions Held Outside United States Government: Part 1 discloses positions that the Filer held at any time during the reporting period (excluding positions with the United States Government). Positions are reportable even if the Filer did not receive compensation. This Part does not include the following:
 (1) positions with religious, social, fraternal, or political organizations; (2) positions solely of an honorary nature; (3) positions held as part of the Filer's official duties with the United States Government; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.
- Part 2 Filer's Employment Assets & Income and Retirement Accounts: Part 2 discloses sources of earned and other non-investment income for the Filer greater than \$200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes) and assets related to the Filer's business, employment, or other income-generating activities (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received during the reporting period (e.g., equity in a business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents). This Part does not include assets or income from United States Government employment or assets that were acquired separately from the Filer's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 \$200 or if the asset qualifies as an excepted investment fund (EIF).
- Part 3 Filer's Employment Agreements and Arrangements: Part 3 discloses agreements or arrangements that the Filer had during the reporting period with an employer or former employer (except the United States Government) for the following: future employment; leave of absence; continuing payments from an employer, including severance and payments not yet received for previous work (excluding ordinary salary from a current employer); continuing participation in an employee welfare, retirement, or other benefit plan, such as a pension or a deferred compensation plan; and retention or disposition of employer-awarded equity, sharing in profits, or carried interests (e.g., vested and unvested stock options, restricted stock, future share of a company's profits, etc.).
- Part 4 Filer's Sources of Compensation Exceeding \$5,000 in a Year: Part 4 discloses sources (except the United States Government) that paid more than \$5,000 in a calendar year for the Filer's services during any year of the reporting period. The

Filer discloses employers and any clients to whom the Filer personally provided services. The Filer discloses a source even if the source made its payment to the Filer's employer and not to the Filer. The Filer does not disclose a client who paid the Filer's employer if the Filer did not provide the services for which the client made the payment.

- Part 5 Spouse's Employment Assets & Income and Retirement Accounts: Part 5 • discloses the following for the Filer's spouse: sources of earned income (excluding honoraria) greater than \$1,000 during the reporting period (e.g., salary, consulting fees, and partnership share); sources of honoraria greater than \$200 during the reporting period; and assets related to the spouse's business, employment, or other income-generating activities (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received during the reporting period (e.g., equity in a business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents). This Part does not include assets or income from United States Government employment or assets that were acquired separately from the spouse's business, employment, or other incomegenerating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF). Amounts of income are not required for a spouse's earned income (excluding honoraria).
- Part 6 Other Assets and Income: Part 6 discloses assets, not already reported, (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in investment income was received during the reporting period. For purposes of the value and income thresholds, the Filer aggregates the Filer's interests with those of the Filer's spouse and dependent children. This Part does not include the following types of assets: (1) a personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., checking, savings, CDs, money market accounts) at a single financial institution with a value of \$5,000 or less (unless more than \$200 in income was received). Additional exceptions apply. Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).
- Part 7 Transactions: Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of \$1,000 made by the Filer, the Filer's spouse, or dependent child during the reporting period. This Part does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) U.S. Treasury bills, notes, and bonds; and (4) holdings within a Thrift Savings Plan account. Additional exceptions apply.
- Part 8 Liabilities: Part 8 discloses liabilities over \$10,000 that the Filer, the Filer's spouse, or dependent child owed at any time during the reporting period. This Part does not include the following types of liabilities: (1) mortgages on a personal

residence, unless rented out (exception not available to many PAS Filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed \$10,000 at the end of the reporting period. Additional exceptions apply.

Part 9 – Gifts and Travel Reimbursements: Part 9 discloses (1) gifts totaling more than \$415 that the Filer, the Filer's spouse, and dependent children received from any one source during the reporting period and (2) travel reimbursements totaling more than \$415 that the Filer, the Filer's spouse, and dependent children received from any one source during the reporting period. The Filer need not include any gift or travel reimbursement with a value of \$166 or less. In addition, this Part does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government, the District of Columbia, a State, or a local government; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the Filer's agency in connection with the Filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the Filer's spouse or dependent children totally independent of their relationship to the Filer. Additional exceptions apply.

Reporting Period

The type of public financial disclosure report being filed will determine which Parts a Filer must complete and the applicable reporting periods covered by those Parts.

Part	New Entrant /	Annual	Termination	Annual /
	Nominee			Termination
1	Preceding Two Calendar Years to Filing Date	Preceding Calendar Year to Filing Date	Current Calendar Year to Term Date (in addition, the preceding calendar year if an Annual report for that year is required but has not yet been filed)	Preceding Calendar Year to Term Date
2	Preceding Calendar Year to Filing Date	Preceding Calendar Year	Same as Part 1	Same as Part 1
3	As of Filing Date	Preceding Calendar Year to Filing Date	Same as Part 1	Same as Part 1
4	Preceding Two Calendar Years to Filing Date	N/A – Leave this Part blank	N/A – Leave this Part blank	N/A – Leave this Part blank

Part	New Entrant / Nominee	Annual	Termination	Annual / Termination
5	Preceding Calendar Year to Filing Date	Preceding Calendar Year	Same as Part 1	Same as Part 1
6	Preceding Calendar Year to Filing Date	Preceding Calendar Year	Same as Part 1	Same as Part 1
7	N/A – Leave this Part blank	Preceding Calendar Year	Same as Part 1	Same as Part 1
8	Preceding Calendar Year to Filing Date	Preceding Calendar Year	Same as Part 1	Same as Part 1
9	N/A – Leave this Part blank	Preceding Calendar Year	Same as Part 1	Same as Part 1

1.4.2 - OGE Form 278-T

Content

The OGE Form 278-T consists of a general information section and a section for reporting transactions. Filers report purchases, sales, or exchanges of securities in excess of \$1,000 made by the Filer, the Filer's spouse, or dependent child. Filers need not disclose (1) mutual funds and other excepted investment funds; (2) certificates of deposit, savings or checking accounts, and money market accounts; (3) U.S. Treasury bills, notes, and bonds; (4) Thrift Savings Plan accounts; (5) real property; and (6) transactions that are solely by and between the Filer, the Filer's spouse, and the Filer's dependent children.

Reporting Period

Periodic transaction reporting is subject to two different deadlines. Under the Ethics in Government Act, a covered individual must file a report within 30 days of receiving notification of a transaction, but not later than 45 days after the transaction.

1.5 - Basic Navigation Structure

1.5.1 - Primary v. Secondary Windows

Primary Window

Upon logging into *Integrity*, the user sees a single browser window. That window is the "primary" window, which contains the main menu options. Uses need to keep that window open while working within *Integrity*. Closing the primary window will log the user out of the system.

Secondary Windows

Performing certain functions within *Integrity*, such as opening a report to file or review, will open a secondary window. The menu options within that window are specific to the task the user is performing in that window. Once finished with that task, the user may close the window. Closing a secondary window will not affect the primary window.

1.5.2 - Primary Window Menu Options

In the upper left corner of the primary window, there are one or more tabs, depending on the user's access rights. These tabs form the top-level menu of navigation options within the system and provide access to three major groupings of functions (or "interfaces").

Underneath each tab, the user will see a second-level menu of navigation options, which display along the left side of the page. The options will vary depending on the tab selected. This guide will refer to the second-level menu as the "left-side navigation menu" within the interface.

• Filer Interface: Used to file a report and view old reports.

E	My Tasks	Tabs / Interfaces			
# MY TASKS	MY CURRENT REPORTS				
<u>My Tasks</u>	No reports available.				8
SETTINGS					
• HELP					
🕞 LOG OUT	MY TOOLS				
Î	Start an OGE Form 278-T		>	Update My Contact Information	>
Left-side	Manage My Designees		>		
navigation					
menu	MY PAST REPORTS				
	No past reports available.				

• Reviewer Interface: Used to review reports filed by others and to manage records.

Eiler Reviewer Admin	My Queue						
MY QUEUE	ITEMS	ТҮРЕ	YEAR		AGENCY		GROUP
My Oueue	All	All	All	•	All	٣	All
E RECORDS MANAGEMENT	STATUS	ASSIGN	ED TO		PENDING ACTION		
Q SEARCH	All	• All			▼ All	٣	Go Reset
SETTINGS							
HELP	Manage Reviewer						Customize Display ~
🕒 LOG OUT	20 • records per page					St	earch:

• Admin Interface: Used to set up Agencies and Groups, assign Reviewers and Filers to Groups, assign reports to Filers, and access management reports.

Filer Reviewer Admin	Manage Agencies & Gro	ıps			
2 ADMINISTRATION	AGENCIES & GROUPS				
<u>Manage Agencies & Groups</u> Find Users Management Reports Annual Data Extract	Agencies Groups Hierarchy				Add an Agency
Provision Users Status	5 • records per page				Search:
SETTINGS	AGENCY NAME	 DAEO / LEAD / DIRECTOR 	SECURITY LEVEL		
HELP	Sample Agency 2018	DAEO1, Sample M	1	Select an Action	•
C+ LOG OUT					

1.5.3 - Display within a Primary Window

The content of a page will display to the right of the left-side navigation menu.

Example – Display of	the My Tasks Pag	ge within the Filer Menu
----------------------	------------------	--------------------------

Filer Reviewer Admin	My Tasks		
🕷 MY TASKS	MY CURRENT REPORTS		
<u>My Tasks</u>	No reports available.		0
SETTINGS			
€ HELP			
🕒 LOG OUT	MY TOOLS		
	Start an OGE Form 278-T	> Update My Contact Information	>
	Manage My Designees	>	
	MY PAST REPORTS		

Selecting a different menu option will change the content displayed.

Example - Display of the My Designees Page within the Filer Menu

E Filer Reviewer Admin MY TASKS	My Designees ADD A New Designee Space is available to invite another designee to assist with your filing.
SETTINGS My Contact Info My Designees	No designees have been invited.
HELP LOG OUT	

1.5.4 - Secondary Window Menu Options and Display

Secondary windows will have menu options that are specific to that window. The menu options will also display on the left side of the screen. The content of the page will display to the right of the menu.

1.5.5 - Navigate within a Window

There are two ways to navigate within a window. First, one can use the menu options at the left to move between pages. Second, if available, one can select buttons within the right-side display area to move between pages. These buttons are usually labeled "Next" to go forward and "Previous" to go back.

HELP	25 • records per page	Search:		
CLOSE WINDOW	🖻 # 👱 DESCRIPTION	÷ EIF ÷ VALUE	INCOME TYPE	INCOME AMOUNT
	No rows to display			
	Showing 0 to 0 of 0 entries			← Previous 1 Next→
	Previous Step			Next Step

1.5.6 - Icons

Integrity uses a number of icons in place of labeled action buttons. The most commonly used icons are included below.

Icon	Name	Description
Arrest Co.	Menu	Also known as the "Hamburger" icon (found in the left-side
		navigation menu, upper right corner). Clicking the icon hides or
		displays the left-side navigation menu.
6	Tool Tip	Clicking the white question mark in a blue circle displays
•		explanatory information on the topic.
_	Down	Clicking the down-pointing arrow displays a drop-down list of
•	Arrow	choices.
	Comments /	Also known as the "Caption" icon (found within filed reports).
>	Annotations	The icon heads the column used to indicate whether a comment
		or public annotation exists for a particular line entry.
	View / Add	Also known as the "+" or "Plus" icon (found within filed
•		reports). Users can click the icon to view or add comments and
		public annotations.

1.6 - Organizational Hierarchy

Integrity organizes user roles and reports according to Agencies and Groups.

1.6.1 - Agency

Description

"Agency" is the highest organizational level within the system. Certain configuration decisions are made at the Agency level for all Groups within the Agency. Users who are assigned access rights at the Agency level will have access rights to all Groups within that Agency.

Types

There are two main types of Agencies.

- Regular Agency: The most common type of Agency, which generally corresponds to an "agency" as defined for purposes of ethics program management (i.e., each organizational unit with its own Designated Agency Ethics Official is a single Agency within *Integrity*). Almost all users are assigned rights to Groups within one or more Regular Agencies. Unless otherwise noted, all references to "Agency" or "Agencies" in this guide refer to Regular Agencies.
- OGE Oversight: This Agency supports the central *Integrity* Helpdesk and OGE's role in the review of reports filed by PAS and DAEO Filers.

Integrity supports additional "Special Agency" types for use in the Nominee report workflow. Discussion of those Agency types is beyond the scope of this guide.

1.6.2 - Group

Description

"Group" is the primary organizational unit within the system. All units below the Agency level are Groups. Each Agency must have at least one Group because Filers and reports are assigned at the Group level.

Example 1

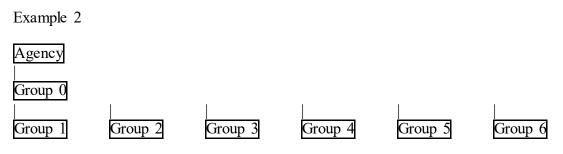


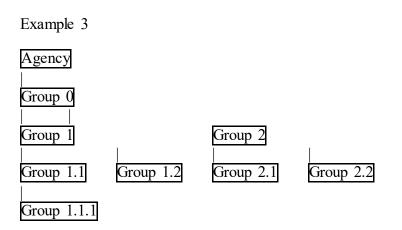
[for making basic configuration decisions]



[for managing Filers and reports]

However, an Agency may establish more Groups as needed, using a flat or tiered structure.





A user with Reviewer rights to one Group will have rights to all Groups below that Group within the same hierarchy. In example 3 above, a Reviewer in Group 1 will have rights to Groups 1, 1.1, 1.2, and 1.1.1 but not to Groups 2, 2.1, or 2.2. A Reviewer in Group 1.1 will have rights to 1.1 and 1.1.1. The scope of a Reviewer's rights within a Group hierarchy will depend on whether the Reviewer is a Primary or Alternate role holder and whether the Agency has enabled the Cascade All Roles feature. See <u>section 1.9.1</u> for more information.

Types of Groups

Groups are the same across Agencies in terms of basic functionality. However, a Group supports only the workflows and roles authorized for that Agency.

1.7 - Report Lifecycle

A report goes through a standard lifecycle in *Integrity* as it proceeds from initial assignment to final destruction, which varies based on whether the report is reviewed by OGE (called "PAS/DAEO" reports) or not (called "General 278" reports).

1.7.1 - General 278 Lifecycle

#	Lifecycle Step	Integrity Status Code
1	The report is assigned by the Agency or, in the case	Not Started
	of an OGE Form 278-T, self-assigned by the Filer.	
2	The Filer starts working on the report but has not yet	Draft, Pre-Review
	filed the report.	
3	The Filer files the report. The report is reviewed by	Report,
	authorized users at the Agency. As needed, the	Under Agency Review
	Agency Reviewers ask follow-up questions of the	
	Filer and/or return the report to the Filer for updates.	
4	The Agency ends the review process by certifying the	Report, Agency Certified
	report or declining certification.	OR
		Report, Closed w/o
		Agency Certification

#	Lifecycle Step	Integrity Status Code
5	The report is retained for the duration specified by	Report, Agency Certified
	the applicable records retention rules. During this	OR
	period, users may view the report but can no longer	Report, Closed w/o
	edit the report data. Any required amendments are	Agency Certification
	addressed through an amendment notation and	
	supplemental documents. See section 6.7.8.	
6	Once the report has reached the applicable	N/A – Once deleted, the
	disposition age, the Agency deletes the report record,	report no longer exists.
	unless otherwise required to retain.	
	(Optional) If the report has reached the applicable	Report, Agency Certified
	disposition age but the Agency needs related	OR
	materials such as review notes for reports that have	Report, Closed w/o
	not yet reached the disposition age, the Agency may	Agency Certification
	"purge" the expired report while keeping the related	
	materials.	
7	(Optional) If the Agency "purged" the report but kept	N/A – Once deleted, the
	related materials, the Agency must delete the entire	report no longer exists.
	report record, including related materials, at a later	
	date once those materials are no longer needed.	

1.7.2 - PAS/DAEO Lifecycle (excluding Nominee reports)

#	Lifecycle Step	Integrity Status Code
1	The report is assigned by the Agency or, in the case	Not Started
	of an OGE Form 278-T, self-assigned by the Filer.	
2	The Filer starts working on the report but has not yet	Draft, Pre-Review
	filed the report.	
3	The Filer files the report. The report is reviewed by	Report,
	authorized users at the Agency. As needed, the	Under Agency Review
	Agency Reviewers ask follow-up questions of the	
	Filer and/or return the report to the Filer for updates.	
4	The Agency ends its review process by certifying the	Report,
	report, which forwards the report to OGE for review.	Under OGE Review
	As needed, the OGE Reviewer asks follow-up	
	questions of the Agency and/or returns the report to	
	the Agency for updates.	
5	OGE ends the review process by certifying the report	Report, OGE Certified
	or declining certification.	OR
		Report, Closed w/o OGE
		Certification

#	Lifecycle Step	Integrity Status Code
6	The report is retained for the duration specified by	Report, OGE Certified
	the applicable records retention rules. During this	OR
	period, users may view the report but can no longer	Report, Closed w/o OGE
	edit the report data. Any required amendments are	Certification
	addressed through an amendment notation and	
	supplemental documents. See section 6.7.9.	
7	Once the report has reached the applicable	N/A – Once deleted, the
	disposition age, OGE deletes the report record, unless	report no longer exists.
	otherwise required to retain.	
	(Optional) If the report has reached the applicable	Report, OGE Certified
	disposition age but OGE needs related materials such	OR
	as review notes for reports that have not yet reached	Report, Closed w/o OGE
	the disposition age, OGE may "purge" the expired	Certification
	report while keeping the related materials.	
8	(Optional) If OGE "purged" the report but kept	N/A – Once deleted, the
	related materials, OGE must delete the entire report	report no longer exists.
	record, including related materials, at a later date	
	once those materials are no longer needed.	

1.7.3 - PAS/DAEO Nominee Report Lifecycle

See section 8.1.2.

1.8 - Workflows

Within the standard report lifecycle, the sequence of steps can vary based on the workflows that are specified at the Agency level. Each Agency selects one workflow for PAS/DAEO reports and another workflow for all other reports ("General 278" reports).

1.8.1 - General 278 Workflow Options

Used for reports that do not go to OGE for additional review.

- Filer to Certifying Official
- Filer to Supervisor to Certifying Official
- Filer to Screener to Certifying Official
- Filer to Ethics Official to Certifying Official
- Filer to Supervisor to Ethics Official to Certifying Official
- Filer to Supervisor to Screener to Ethics Official to Certifying Official

1.8.2 - PAS/DAEO Workflow Options (excluding Nominees)

Used for reports filed by Designated Agency Ethics Officials (DAEO), reports filed by Presidential appointees to positions that require Senate confirmation (PAS), and any other reports that are reviewed first at the Agency level and then reviewed again by OGE.

- Filer to Certifying Official
- Filer to Screener to Certifying Official
- Filer to Ethics Official to Certifying Official
- Filer to Screener to Ethics Official to Certifying Official

Certain individuals who hold positions subject to Presidential appointment and Senate confirmation do not file public financial disclosure reports that are reviewed by OGE. These Filers are considered "General 278" Filers for purposes of *Integrity* and this guide. Once released to OGE, a PAS/DAEO report follows a single workflow, regardless of the originating Agency: OGE Reviewer to OGE Certifying Official.

1.8.3 - PAS/DAEO Nominee Report Workflow Options

All Nominee reports follow a single workflow while in draft status: (1) Filer to (2) Special Agencies to (3) Agency Nominee Router and OGE Nominee Router to (4) Agency Nominee Reviewer and OGE Nominee Reviewer to (5) OGE Program Manager. As needed, draft reports can skip the Agency Nominee Reviewer and/or OGE Nominee Reviewer roles, proceeding directly to the OGE Program Manager step. After a Nominee Filer has been nominated and files a formal report, the report follows the standard PAS/DAEO workflow selected by the Agency before going to OGE.

1.9 - Roles

A user can access data or take actions for an Agency or Group only if the user has the appropriate role within that Agency or Group. Users may have multiple roles within the same Agency/Group or across different Agencies/Groups. A user with the requisite permissions for an Agency/Group can assign roles to other users within that Agency/Group. A user cannot self-assign roles.

1.9.1 - Primary v. Alternate Role Holders

Primary Role Holders

Each role, whether assigned at the Agency or Group level, has a single Primary role holder. Every Agency needs a Primary DAEO role holder. In addition, the routing of reports requires a Primary role holder for each step in the workflow. To facilitate proper routing, *Integrity* will automatically assign an "acting" Primary Supervisor, Screener, Ethics Official, or Certifying Official to a Group if (1) the Agency uses that role in its workflow; (2) that role was not assigned to any user; and (3) an individual holds that role in a parent Group. For example, Sample Reviewer1 is the Certifying Official of Group 1

and Sample Reviewer1.1 is the Certifying Official of Group 1.1. If a user removes Sample Reviewer1.1 as the Certifying Official of Group 1.1 without selecting a replacement, *Integrity* will assign Sample Reviewer1 as the "acting" Primary Certifying Official for Group 1.1. An "acting" Primary role holder has all the same rights as an individual who was manually assigned as the Primary role holder.

Alternate Role Holders

Many roles allow for the addition of optional "Alternate" role holders. Because these roles are not required, *Integrity* does not assign "acting" Alternate role holders to Groups.

Primary v. Alternate Rights for Agency-Level Roles

There are no differences in rights between Primary and Alternate role holders for those roles assigned at the Agency level.

Primary v. Alternate Rights for Group-Level Roles in the Assigned Group

Primary and Alternate role holders have the same access rights to the Group in which they have been assigned as a Primary or Alternate. For example, Sample Reviewer1 is the Primary Certifying Official for Group 1 and Sample Reviewer2 is the Alternate Certifying Official. Sample Reviewer1 and Sample Reviewer2 can take all the same actions within Group 1.

The only difference between these roles is that the Primary role holder will receive a report, by default, once the report reaches the appropriate stage in the workflow. For example, assume that the Agency has chosen the Filer to Certifying Official workflow. After a Group 1 Filer files a report, the report will go to Sample Reviewer1, by default, and Sample Reviewer1 will receive an email notification. Sample Reviewer2, however, can still take actions on the report. See <u>section 6.2.4</u> for more information about assignments and re-assignments.

Primary v. Alternate Rights for Group-Level Roles in the Subordinate Groups

As noted in section 1.6.2, Agencies can have multiple levels of Groups.

If the Agency has enabled the Cascade All Roles feature, Primary and Alternate role holders at one level of the Group hierarchy will have the same access rights to subordinate Groups at lower levels in the Group hierarchy. For example, Agency A assigned Sample Reviewer1 as the Primary Certifying Official for Group 1, Sample Reviewer2 as the Alternate Certifying Official for Group 1, and Sample Reviewer3 as the Primary Certifying Official for Group 1.1. Sample Reviewer1 and Sample Reviewer2 can act as Certifying Officials in Group 1 and Group 1.1. Sample Reviewer3 can act as a Certifying Official only in Group 1.1. However, for purposes of report assignments and email notifications, a report filed in Group 1 is assigned, by default, to Sample Reviewer1 and a report filed in Group 1.1 is assigned, by default, to Sample Reviewer3. If the Agency has not enabled the Cascade All Roles feature, then Primary and Alternate role holders at one level of the Group hierarchy will have only partial rights to subordinate Groups at lower levels in the Group hierarchy. Specifically, these role holders will not be able to edit data or perform workflow functions within reports at lower levels in the Group hierarchy. So, using the same example above, Sample Reviewer1 and Sample Reviewer2 could open reports filed in Group 1.1, but they would not be able to edit row entries within the report, certify the report, or return the report to the Filer.

See section 7.2.5 for more information about enabling the Cascade All Roles feature.

Role	#	Description
Filer	No limit	Permits user to file reports in a particular Group. A user may have a Filer role in multiple Groups at once or may move between Groups over time. A user has access to all of his or her reports filed within <i>Integrity</i> until they are removed as part of the records management process.
Filer Designee	No limit	 Permits user to log in and view reports associated with a particular Filer across all of the Filer's Groups. A Filer Designee can also edit information and respond to Reviewer comments; however, a Filer Designee may not file the report. Only a Filer may file the Filer's report. Filer Designee roles are assigned by the Filer. Each Filer Designee role for each Filer receives a unique user name.
DAEO	1 per Agency (required)	Serves as "super-user" for an Agency. The DAEO may change Agency-level configuration settings, such as workflow and email notification defaults. The DAEO may also add/edit all Groups within the Agency and act as a Certifying Official and Records Manager in those Groups. The DAEO role may only be assigned by the <i>Integrity</i> Helpdesk.
DAEO (Alternate)	No limit	Has same rights as the DAEO role. The DAEO (Alternate) role may only be assigned by the <i>Integrity</i> Helpdesk.
Agency Administrator	1 per Agency	Permits user to change Agency-level configuration settings, add/edit all Groups, and assign roles and reports for those Groups. The Agency Administrator role, however, does not have access rights to view or edit report data.

1.9.2 - Regular Agency Roles

Role	#	Description
Agency	No limit	Has same rights as the Agency Administrator
Administrator		role.
(Alternate)		
Certifying Official	1 per workflow per	Permits user to add/edit subordinate Groups,
	Group	assign roles, assign reports, and certify reports.
	(required)	The user, by default, receives reports pending
		action by a Certifying Official, but such reports
		may be re-assigned to Alternates. A Certifying
		Official also has the authority to "pull" a report
		forward directly to the Certifying Official step in
		the workflow, bypassing any intermediate steps.
		The signature of the Certifying Official displays
		on the Cover Page of the report in the section for
		the "Agency Ethics Official's Opinion."
Certifying Official	No limit	Has same rights as the Certifying Official role to
(Alternate)		the Group in question. Also has the same
		administrative rights to subordinate Groups.
		Reviewer rights to edit or certify subordinate
		Group reports depend on whether the Agency
		uses the Cascade All Roles feature.
Ethics Official	1 per workflow per	Permits user to add/edit subordinate Groups,
	Group	assign the Filer role, assign reports, and sign
	(required if role	reports. The user, by default, receives reports
	used in workflow)	pending action by an Ethics Official, but such
		reports may be re-assigned to Alternates.
		The signature of the Ethics Official reflects a
		determination that the report meets the
		requirements of 5 C.F.R. § 2634.605(b) (i.e.,
		same standard as the Certifying Official). The
		signature displays on the Cover Page of the report
		in the section for "Other Review."
Ethics Official	No limit	Has same rights as the Ethics Official role to the
(Alternate)		Group in question. Also has the same
		administrative rights to subordinate Groups.
		Reviewer rights to edit or sign subordinate Group
		reports depend on whether the Agency uses the
	1 1 7	Cascade All Roles feature.
Screener	1 per workflow per	Permits user to add/edit subordinate Groups,
	Group	assign the Filer role, assign reports, and sign
	(required if role	reports. The user, by default, receives reports
	used in workflow)	pending action by a Screener, but such reports
		may be re-assigned to Alternates.

Role	#	Description
		The signature of a Screener reflects a
		determination that the report meets the technical reporting requirements. The signature does not display on the Cover Page, unless the Agency enables that option.
Screener (Alternate)	No limit	Has same rights as the Screener role to the Group in question. Also has the same administrative rights to subordinate Groups. Reviewer rights to edit or sign subordinate Group reports depend on whether the Agency uses the Cascade All Roles feature.
Supervisor	1 per workflow per Group (required if role used in workflow)	Permits user to add/edit subordinate Groups, assign the Filer role, assign reports, and sign reports. The signature of a Supervisor reflects a determination that, on the basis of the information contained in the report, the Filer does not have any apparent conflicts of interest. The signature does not display on the Cover Page, unless the Agency enables that option.
Supervisor	No limit	Has same rights as the Supervisor role to the
(Alternate)		Group in question. Also has the same administrative rights to subordinate Groups. Reviewer rights to edit or sign subordinate Group reports depend on whether the Agency uses the Cascade All Roles feature.
Records Manager	1 per Group	Permits user to manage records for the Group.
Records Manager (Alternate)	No limit	Has same rights as the Records Manager role.
Nominee Router	1 per Agency (required)	Permits user to access a draft Nominee report once the draft is released to the Agency. The user can route the draft to the Nominee Reviewer step.
Nominee Router (Alternate)	No limit (within Nominee Group)	Has same rights as the Nominee Router role.
Nominee Reviewer	1 per Agency	Permits user to access a draft Nominee report once the Nominee Router routes the draft to Nominee Reviewers.
Nominee Reviewer (Alternate)	No limit (within Nominee Group)	Has same rights as the Nominee Reviewer role.
POC	1 per Group	Stands for "Point-of-Contact." Permits user to add/edit subordinate Groups, assign the Filer role, and assign the Supervisor role. The POC role, however, does not have access rights to view or edit report data.

Role	#	Description
POC	No limit	Has same rights as the POC role.
(Alternate)		

1.9.3 - OGE Oversight Roles

Role	#	Description
OGE Director	1 (required)	Permits user to assign most OGE Oversight roles. The OGE Director can also view all Regular Agency Groups and PAS/DAEO reports within those Groups. The <i>Integrity</i> Helpdesk must assign the OGE Director role.
OGE Administrator		Permits user to change OGE Oversight configuration settings, add/edit OGE Oversight Groups, and assign roles for those Groups. The OGE Administrator role, however, does not have access rights to report data.
OGE Administrator (Alternate)	No limit	Has the same rights as the OGE Administrator role.
OGE Certifying Official	1 (required)	 Permits user to assign Reviewer and Certifying Official roles within OGE Oversight and certify PAS/DAEO reports (excluding Nominee reports). The user, by default, receives PAS/DAEO reports pending action by an OGE Certifying Official, but such reports may be re-assigned to Alternates. An OGE Certifying Official also has the authority to "pull" a report forward directly to the OGE Certifying Official step in the workflow, bypassing the OGE Reviewer step. The signature of the OGE Certifying Official displays on the Cover Page of the report in the section for the "U.S. Office of Government Ethics
OGE Certifying Official (Alternate)	No limit	Has same rights as the OGE Certifying Official role.
OGE Reviewer	1 (required)	Permits user to sign PAS/DAEO reports as an intermediate Reviewer (excluding Nominee reports). The user, by default, receives PAS/DAEO reports pending action by an OGE Reviewer, but such reports may be re-assigned to Alternates.

Role	#	Description
		The signature of the OGE Reviewer reflects a
		determination that the report meets the
		requirements of 5 C.F.R. § 2634.605(b)(i.e., same
		standard as the Certifying Official). The signature
		does not display on the Cover Page.
OGE Reviewer	No limit	Has same rights as the OGE Reviewer role.
(Alternate)		Thus sume rights us the OOL Reviewer role.
OGE Records	1	Permits user to manage PAS/DAEO records
Manager	1	across the system once those records have
Wanager		reached OGE for review (excluding Nominee
		reports).
OGE Records	No limit	Has same rights as the OGE Records Manager
Manager		role.
U U		1010.
(Alternate) OGE Nominee	1	Permits the same rights as the OGE Certifying
	-	
Certifying Official	(required)	Official but specific to Nominee reports.
OGE Nominee	No limit	Has same rights as the OGE Nominee Certifying O_{1}^{∞} is the last of the term of
Certifying Official		Official role.
(Alternate)		
OGE Program		Permits user to preclear a draft Nominee report.
Manager	(required)	The user, by default, receives draft Nominee
		reports pending action by an OGE Program
		Manager, but such drafts may be re-assigned to
		Alternates. An OGE Program Manager also has
		the authority to "pull" a draft forward from the
		OGE Nominee Reviewer step to the OGE
		Program Manager step.
OGE Program	No limit	Has same rights as the OGE Program Manager
Manager		role.
(Alternate)		
OGE Nominee	1	Permits user to access a draft Nominee report
Router	(required)	once the draft is released to OGE. The user can
		route the draft to the OGE Nominee Reviewer
		step or route the draft directly to the OGE
		Program Manager step.
OGE Nominee	No limit	Has same rights as the OGE Nominee Router
Router		role.
(Alternate)		
OGE Nominee	1	Permits user to access a draft Nominee report
Reviewer	(required)	once the OGE Nominee Router routes the draft to
	(iequirea)	OGE Nominee Reviewers. The user submits the
		draft for preclearance review by forwarding the
	<u> </u>	draft to the OGE Program Manager step.

Role	#	Description
OGE Nominee Reviewer	No limit	Has same rights as the OGE Nominee Reviewer role.
(Alternate)		
OGE Nominee Records Manager	1	Permits user to manage Nominee records across the system once those records have reached OGE for review.
OGE Nominee Records Manager (Alternate)	No limit	Has same rights as the OGE Nominee Records Manager role.
Integrity Helpdesk	1 (required)	Permits user to change Agency-level configuration settings at all Regular Agencies, add/edit all Groups, and assign roles for those Groups. The <i>Integrity</i> Helpdesk may also change the DAEO, DAEO (Alternate), and OGE Director roles. The <i>Integrity</i> Helpdesk can see report assignments but cannot assign, open, or edit reports.
<i>Integrity</i> Helpdesk (Alternate)	No limit	Has same rights as the <i>Integrity</i> Helpdesk role.
Integrity Helpdesk Assistant	1	Serves as a resource for Agencies. Permits user to view Agency-level configuration settings at all Regular Agencies as well as to view Groups and roles. The <i>Integrity</i> Helpdesk Assistant can see report assignments but cannot assign, open, or edit reports.
Integrity Helpdesk Assistant (Alternate)	No limit	Has same rights as the <i>Integrity</i> Helpdesk Assistant role.

Section 2: Accessing the System

Section 2 explains the technical requirements for using *Integrity* as well as the steps for logging into and out of the system.

2.1 - Technical Requirements

2.1.1 - System Requirements

A user's system must have JavaScript, cookies, and Transport Layer Security (TLS) enabled. The recommended minimum screen resolution is 1280 x 1024 for desktops and 1366 x 768 for laptops.

2.1.2 - Internet Browser Requirements

Integrity works best with Microsoft Internet Explorer 11.0 or Edge; Google Chrome 36.0 and above; Mozilla Firefox 31.0 and above; and Apple Safari 5 and above. Users of Internet Explorer should disable "Compatibility View."

The *Integrity* login page provides a way to check whether an Internet browser meets these requirements. Users should click the link on the right side of the page that reads: "Click here to check whether your Internet browser works with *Integrity*."



In the pop-up window that appears, the user then clicks the "Check your browser" button.



The results will appear below the button.



2.1.3 - Disabling Compatibility View in Internet Explorer

Disable Compatibility View in Internet Explorer (IE) 11

Users should do the following:

- 1. Click the gear icon in the top right corner. $\stackrel{\clubsuit}{\Longrightarrow}$
- 2. Click "Compatibility View" settings.
- 3. If "integrity.gov" displays under "Websites you've added to Compatibility View," select "integrity.gov" from the list and click "Remove."

Alternate way to turn OFF Compatibility View in IE11

Users should do the following:

1. Press the "Alt" key on the keyboard, which will make the menu bar appear.

2. Click the "Tools" menu item. File Edit View Favorites Tools Help

- 3. Click "Compatibility View" settings.
- 4. Make sure the "Display all websites in Compatibility View" checkbox is unchecked.
- 5. Make sure the "Display intranet sites in Compatibility View" checkbox is unchecked.
- 6. If "integrity.gov" displays under "Websites you've added to Compatibility View," select "integrity.gov" from the list and click "Remove."

2.2 - Integrity Security and Available Login Methods

2.2.1 - Relationship to MAX.gov

Users log into *Integrity* through MAX.gov's FISMA accredited Central Authentication Service, run by the Budget Formulation and Execution Line of Business.

2.2.2 - Login Methods by Security Level

Integrity has three levels of login security.

- Level 1: Allows users to log into *Integrity* with either of the following methods:
 - A User ID and password
 - Any Level 2 or Level 3 authentication method
- Level 2: Allows users to log into *Integrity* with any of the following methods:
 - A User ID and password plus a short message service (SMS) text message, where the SMS device is only linked to an email account, but not associated with a PIV/CAC card
 - o Secure Agency Federated Partner Automated Login verified at Level 2
 - Any Level 3 authentication method
- Level 3: Allows users to log into *Integrity* with any of the following methods:
 - PIV/CAC card
 - $\circ~$ User ID and password plus a SMS device, where the SMS device is linked to a PIV/CAC card
 - Secure Agency Federated Partner Automated Login verified at Level 3

2.2.3 - Determining a User's Security Level

A user's security level is determined by the role(s) held within *Integrity* and the security selections made by the Agency associated with the role(s).

- Filers and Filer Designees: May use Level 1 (regardless of the Agency) if they are only a Filer or Filer Designee.
- Any Other Roles: Will use the security level that the Agency has selected. If the user holds other roles at multiple Agencies, the user will use the most-restrictive security level chosen by the different Agencies at which the user roles. For example, if the user holds the Supervisor role at a Level 2 Agency and the Supervisor role at a Level 3 Agency, the user will log into *Integrity* using Level 3.

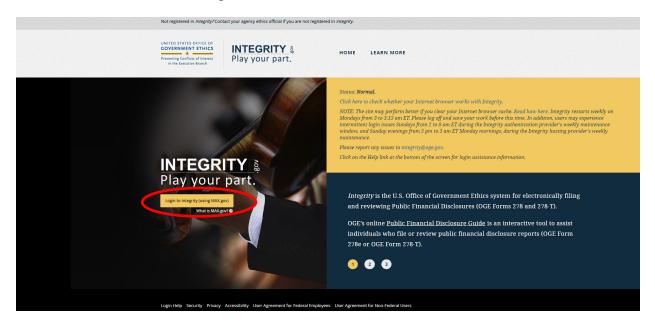
2.3 - Logging In

2.3.1 - Get to the Integrity Home Page

Users should open an Internet browser and go to https://integrity.gov.

2.3.2 - Start the Login Process

Users then click the "Login" button.



After clicking the "Login" button, the login screen will appear.

UNITED STATES OFFICE OF GOVERNMENT ETHICS Preventing Conflicts of Interest in the Executive Branch	INTEGRITY	Integrity.gov uses MAX.gov for authentication. Please sign in using your MAX.gov account to continue.
Trouble signing in? Use the links above, or <u>contact MAX Support</u> for assistance.		

SIGN IN USING ...

PIV OR CAC CARD	MAX.gov User ID
Plug in Your PIV/CAC Card	User ID User ID (your email address) Password: Your MAX.gov Password
Continue with PIV/CAC	Continue with User ID
	Forgot, Set, or Change Your Password

2.3.3 - Complete Initial Login with an Existing MAX Account (Filers)

Filers use their existing MAX User ID and password. If the Filer receives a message that the login information is incorrect, the Filer would click the "Forgot, Set, or Change Your Password?" link. If the Filer is unable to reset the password, the email address has not been registered with MAX.gov. The Filer would then contact the Agency *Integrity* administrator or an ethics official for assistance.

2.3.4 - Complete Initial Login with an Existing MAX Account (Other Roles)

The login method will depend on the security level that applies. See <u>section 2.2</u> above to determine the applicable security level.

User Name and Password Only (available only at Level 1)

The user should use the existing MAX User ID and password.

User Name and Password plus SMS (available at Level 1 and Level 2)

The user should enter the existing MAX User ID and password and check the box next to "Use Max Secure+ SMS 2-Factor." If the user has not already registered a SMS device, the user should follow the instructions that will appear for registering the device.

PIV/CAC Card (available at Level 1, Level 2, and Level 3)

The user should log in with the user's existing PIV/CAC card and pin. If the user has not already registered the PIV/CAC with MAX.gov, the user should follow the instructions that will appear.

Agency Federated Partner Automated Login (available only at participating agencies)

The user should log into *Integrity* as the user typically would with this option.

2.3.5 - Complete Login for a New Account (Filers and Filer Designees)

Before the user can log into Integrity for the first time, they need to set a password.

In some cases, the Agency registering a new user will direct *Integrity* to send the user a registration notice, which includes a link to resetting a password. If the user did not receive or cannot find this notice, the user can set a password from the MAX Login page by clicking the "Forgot, Set, or Change Your Password?" link.





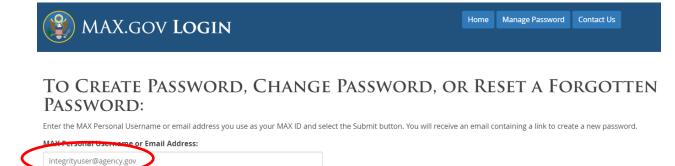
Integrity.gov uses MAX.gov for authentication. Please sign in using your MAX.gov account to continue.

Trouble signing in? Use the links above, or <u>contact MAX Support</u> for assistance.

SIGN IN USING ...

PIV OR CAC CARD	MAX.GOV USER ID
Plug in Your Piv/CAC Card	User ID User ID (your email address) Password: Your MAX.gov Password Use Secure+ (Authenticator App or SMS) 😯
Continue with PIV/CAC	Continue with User ID <u>Forgot, Set, or Change Your Password</u>

The MAX.gov Password Request page will appear. The user should enter the MAX User ID as specified by the Agency. Normally, the MAX User ID will be the user's official email address; however, in some cases, users may have several valid email addresses (e.g., integrityuser@agency.gov, integrity.user@agency.gov, and iuser@agency.gov). Users should check with their Agency if they are unsure of the email address used to register them.



(If you do not have immediate access to your registered e-mail address but need access right away, please contact MAX Support using the contact information provided below.)

After clicking "Submit," the user will receive an email from MAX.gov. The user clicks the password reset link in that email.

Dear Integrity User Integrity User,

You have requested the setting/resetting of your MAX.gov account password on the MAX.gov Manage Password page.

To set your password, click on the Password Reset Link below within 2 hours (i.e. by 07:06 PM, February 02, 2016).

PASSWORD RESET LINK (you may need to copy and paste this link into your browser): https://test.max.gov/chpw?token=4cb26d52&email

Then follow the instructions on the webpage.

A page will open that will ask the user to agree to the MAX User Agreement. After the user agrees, the user will be able to set a password. The user then returns to the Login page and enters the MAX User ID and the newly set password.

2.3.6 - Complete Login for a New Account (Other Roles)

The login method will depend on the security level that applies. See <u>section 2.2</u> above to determine the applicable security level.

User Name and Password Only (available only at Level 1)

The user should follow the instructions in $\underline{\text{section } 2.3.5}$ to set the password.

User Name and Password plus SMS (available at Level 1 and Level 2)

The user should follow the instructions in <u>section 2.3.5</u> to set the password. Next, the user should return to the Login page and check the box next to "Use Max Secure+ SMS 2-Factor." The user would then follow the instructions for registering the device.



SIGN IN USING ...

PIV OR CAC CARD	MAX.GOV USER ID
PLUG IN YOUR PIV/CAC CARD	User ID User ID (your email address) Password: Your MAX.gov Password
Continue with PIV/CAC	Continue with User ID <u>Forgot, Set, or Change Your Password</u>

PIV/CAC Card (available at Level 1, Level 2, and Level 3)

The user should follow the instructions in $\underline{\text{section } 2.3.5}$ to set the password. Next, the user should return to the Login page and choose "Login with PIV/CAC."



SIGN IN USING ...

PIV OR CAC CARD	MAX.GOV USER ID
PLUG IN YOUR PIV/CAC CARD	User ID User ID (your email address) Password:
	Your MAX.gov Password
Continue with PIV/CAC	Continue with User ID
	Forgot, Set, or Change Your Password

Agency Federated Partner Automated Login (available only at participating agencies)

The user logs as normal with this option, clicking the Agency icon. Checking the "Use this agency login every time I log into MAX" option speeds future logins.

NASA	CLICK	ON YOUR AGENCY TO C		
NASA NASA	Plus Capable		Plus Capable	
NAVMED Secure Plus Capable	Treasury Enterprise	OGE Secure Plus Capable	Department of Education Secure Plus Capable	Veterans Administration
DHS Office of Inspector General	GSA Secure Plus Capable	Department of Energy OneID	US Courts JENIE	OMB Secure Plus Capable
EOP Secure Plus Capable	MAX Internal ADFS	MAX Desktop Secure Plus Capable	US Courts JENIE Test	US Courts JENIE Staging

2.3.7 - Multiple Login IDs

Most Integrity users will have a single MAX User ID and password.

Each Filer Designee role, however, is associated with a unique MAX User ID. Therefore, if someone serves as a Filer Designee, that user may have more than one MAX User ID. The user logs in using the information appropriate for the actions the user plans to take in *Integrity*. For example, if the user is planning to edit information as a Filer Designee for John Smith, the user logs in using the Filer Designee ID and password for John Smith.

If the user plans on using multiple IDs, the user will need to log out of *Integrity*, close the Internet browser session, and, then, log in again with another ID.

2.3.8 - Login Problems

If a User Receive a "Login Information Is Incorrect" Message

PIV OR CAC CARD	9	MAX.GOV USER ID
Image: second	Plug in Your PIV/CAC Card	Your login information is incorrect, please try again. User ID integrityuser@agency.gov Password: Your MAX.gov Password Image: Use Secure+ (Authenticator App or SMS) ?
Continue	with PIV/CAC	Continue with User ID <u>Forgot, Set, or Change Your Password</u>

SIGN IN USING ...

Typically, this message results from one of the following issues:

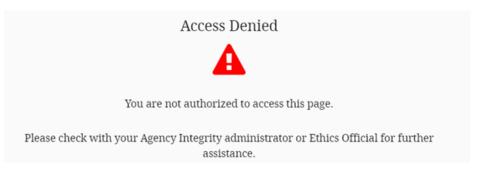
- 1. The user is not entering the correct password or have not yet set a password. Users seeing this message should click should click the "Forgot, Set, or Change Your Password?" link to reset the password.
- 2. The user is not using an email address registered with MAX.gov. If the user is unable to reset the password after clicking the "Forgot, Set, or Change Your Password?" link, the email address has not been registered with MAX.gov. The user will need to contact someone at the Agency who can register the user.

Users should contact MAX Support for login assistance if they have confirmed that they are registered but continue to receive this error message. MAX Support can be reached by email at: maxsupport@max.gov or by telephone at 202-395-6860. MAX Support team members are available weekdays between the hours of 8:30 AM and 9:00 PM EST and weekends between the hours of 9:00 AM and 6:00 PM EST.

Note for Cloaked Users: Certain users log into *Integrity* with "cloaked accounts," which take the form of inactive, system-generated email addresses (e.g., AAB11111-1111-11BB-BBB-1AAB1B11BB1B@integrity.gov). The users falling into this category include Filer Designees and Filers of Nominee reports who are not already *Integrity* users. The identity of a cloaked user is hidden from MAX Support.

- Filer Designees: Filer Designees contact the Filer who added the Filer Designee.
- Nominee Filer: If the Filer has not yet filed a Nominee draft, the Filer should contact the office that added Filer as a Nominee (e.g., the Presidential Personnel Office). If the Filer has already filed a Nominee draft that is under review or has been reviewed by an Agency, the Filer should contact that Agency.

If a User Receives an "Access Denied" Message



Typically, this message results from one of the following two issues:

- 1. The Agency has not yet added the user to *Integrity* as a Filer or Reviewer.
- 2. The Agency has added the Filer to *Integrity* using a different email address. For example, the user is attempting to log in using jsmith@agency.gov, but the Agency has added the user to *Integrity* using john.smith@agency.gov.

The user should contact an Agency *Integrity* administrator or an ethics official for assistance.

If a User Receives an "Internal system error occurred..." Message

Typically, this message means there is a temporary disruption with MAX.gov, and *Integrity* is unable to access the MAX.gov failover site.

The user should try going to <u>https://max.gov</u> and log in with his or her normal credentials. The user should then open another browser tab or window (without closing

the original tab or window) and go to <u>https://integrity.gov</u>. The user should click the "Login" button. If the user continues to have difficulties, the user should contact an Agency *Integrity* administrator or an ethics official.

If a User Receives a "More Secure Login Method Require" Message

Access Denied — More Secure Login Method Required



You are not authorized to access this page.

Visit the <u>Login Security</u> page for more information regarding two factor authentication.

Typically, this message occurs if the user logs in with only a user name and password (Level 1 security) but holds a Reviewer/Administrator role at an Agency that has required a more secure login method (Level 2 or Level 3). See <u>section 2.2</u>. If the user has a PIV/CAC card or can use Agency Federated Partner Automated Login (which will work for Level 2 and Level 3), the user should close the browser and log back into *Integrity* using one of those two methods. Otherwise, the user should contact an Agency *Integrity* administrator or an ethics official.

If the Screen Freezes after Login

Users should take the following steps if they receive this message:

- 1. Exit *Integrity* and close the Internet browser completely.
- 2. Check whether they are using an incompatible Internet browser or a browser with incompatible settings. To use *Integrity*, the user must have Internet Explorer (IE) 10 or greater, Google Chrome 36 or greater, Firefox 31 or greater, or Safari 6 or greater. *Integrity* also works with IE 9 if Adobe Flash Player is installed and enabled.
- 3. If they are using a compatible browser, clear the Internet browser's cache. A browser's cache stores various pieces of information from web pages visited. Occasionally, the cache can prevent a user from seeing updated content or cause functional problems. Users can fix many browser problems by simply clearing the cache. After clearing the cache, the user should close the Internet browser window(s) completely and, then, open a new browser window to begin the login process again.
- 4. If users continue to have this issue, they should try the link below that is applicable to their roles in *Integrity*:
 - Filers: <u>https://www.integrity.gov/efeds-forms-harness/ui/wizard.html#/dashboard/mytasks</u>

• Other registered users: <u>https://www.integrity.gov/efeds-forms-harness/ui/reviewer.html#/dashboard/myqueue</u>

2.3.9 - Alternate Login Method

Users may also log into <u>https://MAX.gov</u> and then, in another browser window or tab, click on <u>https://integrity.gov</u>. Here are the steps:

- 1. Close all Internet browser windows.
- 2. Open a new Internet browser.
- 3. Click on https://MAX.gov and log in as normal.
- Once in MAX.gov, open a new browser window or tab and click on <u>https://integrity.gov</u>. On the *Integrity* home landing page, click on "Login to *Integrity*."

2.4 - Logging Out

2.4.1 - Use the Log Out Button

To log out of *Integrity*, users select "Log Out" from the list of menu options in the leftside navigation menu.

Fil	er	Reviewer	Admin
ñ	мү т/	ASKS	
ļ	My Ta	<u>sks</u>	
•	SETTI	NGS	
0	HELP		
		DUT	

After logging out, the user will see a log out confirmation page. Closing the Internet browser completes the exit process.



2.4.2 - Close the Internet Browser

Closing the Internet browser will end the user's *Integrity* session; however, the user should always log out using the "Log Out" button before closing the browser.

Section 3: User Settings

Section 3 explains how to change user settings.

3.1 - Login ID

Access to *Integrity* is associated with a MAX User ID (normally the email address used to register the user in *Integrity*). In most cases, a MAX User ID will not change once assigned, unless the user change Agencies.

3.1.1 - Changed Agencies

A user should contact an Agency *Integrity* Administrator if the user changed Agencies and did not receive a new MAX User ID.

3.1.2 - Did Not Change Agencies

A user should contact an Agency *Integrity* Administrator if the user needs to change the MAX User ID but is not changing Agencies.

3.1.3 - Missing Access to One's Reports

In order to provide a user access to reports filed with a prior Agency, *Integrity* will relate the user's old MAX User ID to the new MAX User ID. A user should contact an Agency *Integrity* Administrator if, after logging in with the new MAX User ID, the user can no longer see the old reports that the user previously filed.

Note that a user will not have access to reports reviewed at a prior Agency.

3.2 - Login Password or Pin

3.2.1 - MAX Password

The user should follow the instructions on the Login page to reset a password.

3.2.2 - Personal Identity Verification (PIV) Card / Common Access Card (CAC) Pin

The user should contact the PIV Card or CAC issuing authority at the user's Agency.

3.3 - Contact Information

3.3.1 - View at Initial Login

Users will be asked to verify their contact information when logging into *Integrity* for the first time.

3.3.2 - View at a Later Date

Users can view their contact information at any time by selecting, first, "Settings" and, then, "My Contact Info" from the left-side navigation menu on the primary window. The menu option is available in all three interfaces.

Decigness Filer1 Sample M Please Select P MAX LOGIN MAX Please Select	Delay Made Q Filer 1 Sample MidDLE INITIAL Q Sub-Fix Q Filer 1 Sample M Please Scient Please Scient P MAX LOGIN TR_OGE_0450@training integrity gov Provide your current Government office address. If you do not have a Government office address, provide your mailing address. Provide your current Government office address. If you do not have a Government office address, provide your mailing address. Provide your Answer CITV STATE COUNTRY Washington District of Columbia United States ZIP CODE [ZIP + 4 OPTIONAL) District of Columbia United States Ziooo5 Flease enter your Answer EMAIL TO USE FOR INTEGRITY NOTIFICATIONS Q SECONDARY E-MAIL (OPTIONAL)		D STATES OFFICE OF GOVEI	RNMENT I	ETHICS		
NOG OUT FR_OGE_0450@training_integrity gov Provide your current Givee address. If you do not have a Government office address, provide your mailing address. Provide your current Givee address. If you do not have a Government office address, provide your mailing address. ADDRESS LINE 1 ADDRESS LINE 2 (OPTIONAL) 1201 New York Are. CTY STATE COUNTRY Washington District of Columbia 21P CODE (2IP + 4 OPTIONAL) 20005 EMAIL TO USE FOR INTEGRITY NOTIFICATIONS @ SECONDARY E-MAIL (OPTIONAL)	MXX LOGIN TR, OGE_0450@training integrity.gov Provide your current Government office address. If you do not have a Government office address. provide your mailing address. ADDRESS LINE 1 ADDRESS LINE 1 J201 New York Ave. I201 New York Ave. I201 New York Ave. ICITY STATE COUNTRY Washington District of Columbia United States I20 COUNTRY Mashington District of Columbia Please enter your Answer EMAIL TO USE FOR INTEGRITY NOTIFICATIONS © SECONDARY E-MAIL (OPTIONAL)	ly Designees					
ADDRESS LINE 1 ADDRESS LINE 2 (OPTIONAL) 1201 New York Ave. Please enter your Answer CITV STATE Washington District of Columbia ZIP CODE (ZIP + 4 OPTIONAL) TELEPHONE 20005 Please enter your Answer 20005 Please enter your Answer EMAIL TO USE FOR INTEGRITY NOTIFICATIONS O SECONDARY E-MAIL (OPTIONAL)	ADDRESS LINE 1 ADDRESS LINE 2 (OPTIONAL) 1201 New York Ave. CITY STATE COUNTRY Washington District of Columbia United States United States 20005 Flease enter your Answer EMAIL TO USE FOR INTEGRITY NOTIFICATIONS O SECONDARY E-MAIL (OPTIONAL)	G OUT					
I 201 New York Ave. Please enter your Answer CITV STATE Washington District of Columbia ZIP CODE (ZIP + 4 OPTIONAL) TELEPHONE Zo005 TELEPHONE Z0005 Please enter your Answer EMAIL TO SEF FOR INTEGRITY NOTIFICATIONS O SECONDARY E-MAIL (OPTIONAL)	I 2001 New York Are. Flease enter your Answer CITY STATE Washington District of Columbia ZiP CODE (ZIP +4 OPTIONAL) TELEPHONE ZiP CODE (ZIP +4 OPTIONAL) TELEPHONE Zo005 Flease enter your Answer EMAIL TO USE FOR INTEGRITY NOTIFICATIONS O SECONDARY E-MAIL (OPTIONAL)			do not have a Gov	ernment office address, provide you		
Washington District of Columbia United States ZIP CODE (ZIP +4 OPTIONAL) TELEPHONE 20005 Please enter your Answer EMAIL TO USE FOR INTEGRITY NOTIFICATIONS O SECONDARY E-MAIL (OPTIONAL)	Washington District of Columbia United States ZiP CODE (ZIP + 4 OPTIONAL) TELEPHONE 20005 Please enter your Answer EMAIL TO USE FOR INTEGRITY NOTIFICATIONS ① SECONDARY E-MAIL (OPTIONAL)						
ZIP CODE (ZIP + 4 OPTIONAL) TELEPHONE 20005 Flease enter your Answer EMAIL TO USE FOR INTEGRITY NOTIFICATIONS © SECONDARY E-MAIL (OPTIONAL)	ZIP CODE (ZIP + 4 OPTIONAL) TELEPHONE 20005 Flease enter your Answer EMAIL TO USE FOR INTEGRITY NOTIFICATIONS O SECONDARY E-MAIL (OPTIONAL)	CITY			STATE		COUNTRY
20005 Please enter your Answer EMAIL TO USE FOR INTEGRITY NOTIFICATIONS • SECONDARY E-MAIL (OPTIONAL)	20005 Please enter your Answer EMAIL TO USE FOR INTEGRITY NOTIFICATIONS • SECONDARY E-MAIL (OPTIONAL)	Washin	ngton		District of Columbia	•	United States
EMAIL TO USE FOR INTEGRITY NOTIFICATIONS • SECONDARY E-MAIL (OPTIONAL)	EMAIL TO USE FOR INTEGRITY NOTIFICATIONS • SECONDARY E-MAIL (OPTIONAL)	ZIP CODE	E (ZIP + 4 OPTIONAL)			TELEPHONE	
		20005				Please enter your Answer	
TR_OGE_0450@training_integrity.gov Please enter your Answer	TR_OGE_0450@training integrity.gov Flease enter your Answer	EMAIL TO	O USE FOR INTEGRITY NOTIFICATIONS 🚱			SECONDARY E-MAIL (OPTIONAL)	
		TR_OGE	FE_0450@training.integrity.gov			Please enter your Answer	

3.3.3 - Change Contact Information

The user can change the office address and telephone number on the "My Contact Info" page. The user should contact an Agency *Integrity* Administrator or ethics official if the user needs to change the user's name or MAX login (i.e., the email used when logging into MAX and *Integrity*).

3.4 - Filer Designees

3.4.1 - What Does a Filer Designee Do?

The Filer Designee role permits a user to log in and view reports associated with a particular Filer. A Filer Designee can also edit information and respond to Reviewer comments; however, a Filer Designee may not file the report. Only a Filer may file his or her report.

Filer Designee roles are assigned by the Filer. Each Filer Designee for each Filer receives a unique user name that the Filer Designee must use when logging in to assist that Filer.

3.4.2 - Filer Designee v. Reviewer

Both a Filer Designee and an Agency Reviewer (e.g., Supervisor, Screener, Ethics Official, and Certifying Official) may edit entries on a Filer's report but lack the ability to file the report on the Filer's behalf. The Filer Designee and Reviewer roles, nonetheless, differ substantially as discussed below.

- 1. A Filer Designee sees all of the Filer's reports, which would include past reports filed with other Agencies and Groups. This access permits the Filer Designee to reference such information when helping to complete a new report. A Reviewer, by contrast, can see reports only in Groups to which the Reviewer has access.
- 2. A Filer Designee, when working on a report, operates in the Filer interface, experiencing the form as a Filer does. Therefore, a Filer Designee has access to Filer interface features such as the filing wizards and pre-population. A Reviewer accesses and edits a report through the Reviewer interface. A Reviewer cannot use the prepopulate feature to copy data from a prior report into a new report.
- 3. A Filer Designee receives his or her access from the Filer. A Reviewer receives access from another *Integrity* user with staff assignment rights, such as the Certifying Official for that Group.
- 4. A Filer Designee role is specific to that Filer. Therefore, if a user is a Filer Designee for multiple Filers, that user will have multiple User IDs for each of those Filer Designee roles. A Reviewer uses his or her own MAX User ID.
- 5. A Filer Designee's User ID is "cloaked," meaning that the MAX User ID does not reference the individual, and the individual will not appear in the general directory of MAX users. Cloaking is required to protect the privacy of Filer Designees who may not be Government employees (e.g., the Filer's personal attorney or accountant). Reviewers, by contrast, are Government employees and, as noted above, use their own MAX User IDs.

In most cases, if a Filer wishes to receive assistance from a user who is already a Reviewer with access to the Group in question, that user would provide the assistance using the Reviewer role. However, if the Filer requires assistance from an individual who is not a Reviewer, the Filer would need to grant that individual Filer Designee access. The Filer would also make an individual a Filer Designee if that individual requires access to all of the Filer's past reports or requires the ability to pre-populate a report from a prior report. See Section 4 for more information on pre-population.

3.4.3 - Add a Filer Designee

Filers add a Filer Designee by selecting, first, "Settings" and, then, "My Designees" from the left-side navigation menu on the primary window. The "My Designees" screen will appear to the right. The Filer then clicks the "Add a New Designee" button.

MY TASKS SETTINGS My Contact Mro My Designees	My Designees Space is available to invite another designee to assist with your filing. No designees have been invited.	AD A NEW DESIGNE
• HELP		
🕒 LOG OUT		

A new screen will appear that contains fields to identify the designee. The Filer completes those fields and clicks the "Save Designee" button.

# MY TASKS				
SETTINGS	LAST NAME	FIRST NAME	MIDDLE INITIAL	SUFFIX
My Contact Info My Designees	Please enter your Answer	Please enter your Answer	Please enter your Answer	Please Select •
• HELP	ADDRESS LINE 1		ADDRESS LINE 2 (OPTIONAL)	
🕒 LOG OUT	Please enter your Answer		Please enter your Answer	
	СІТҮ	STATE	COUNTI	RY
	Please enter your Answer	Please Select	• Please	e Select
	ZIP CODE (ZIP + 4 OPTIONAL)		TELEPHONE	
	Please enter your Answer		Please enter your Answer	
	EMAIL TO USE FOR INTEGRITY NOTIFICATIONS @		CONFIRM E-MAIL TO USE FOR INTEGRITY NOTIF	ICATIONS
	Please enter your Answer		Please enter your Answer	
	Save Designee Cancel			

The Filer Designee will receive an email notification to set up the MAX User ID for this Filer Designee role.

3.4.4 - Remove a Filer Designee

Filers remove a Filer Designee by selecting, first, "Settings" and, then, "My Designees" from the left-side navigation menu on the primary window. The "My Designees" screen appears to the right. Filers select the "Remove" button to complete the process.

3.4.5 - Resend a Notice to a Filer Designee

If a Filer Designee did not receive a set-up notice from *Integrity* or if the Filer Designee cannot remember the login ID, the Filer can resend the notice. Filers go to "Settings" and, then, "My Designees" from the left-side navigation menu on the primary window. The "My Designees" screen appears to the right. Filers select the "Reinvite" button to complete the process.

3.5 - Display Size

3.5.1 - Increase or Decrease Display Size

A user can increase or decrease the display size of text within *Integrity* by using the zoom command within the Internet browser.

Increase Size

To increase the zoom, users hold the "Ctrl" button (or "Command" if they are using an Apple Macintosh) AND rotate the mouse roller wheel away from them. The browser may support other methods of zooming as well.

Decrease Size

To decrease the zoom, users hold the "Ctrl" button (or "Command" if they are using an Apple Macintosh) AND rotate the mouse roller wheel toward them. The browser may support other methods of zooming as well.

3.5.2 - Issues Related to Increased Display Size

Increasing the display size of text and images within *Integrity* by zooming may result in certain buttons or fields appearing off the screen. Users can scroll left/right or up/down to see these buttons or fields.

At higher levels of zoom, the formatting and arrangement of certain screen elements may become distorted. Reducing the display size will correct the issue.

3.6 - Font Compatibility

If text or buttons within *Integrity* are not displaying as expected for a user, the Agency may be blocking the required fonts.

Users can verify whether their system accepts the required fonts by running the *Integrity* Font Test, which is available at the following link:

https://integrity.gov/efeds-forms-harness/ui/font-test.html

Users should ask their Agency IT Help Desk for assistance if they do not see the icons at the bottom of the test screen.

Section 4: Filer Actions (OGE Form 278e)

Section 4 explains to Agency ethics officials how a Filer can complete an OGE Form 278e, respond to Reviewer comments, and view old OGE Form 278e reports.

4.1 - Primary Filer Window

4.1.1 - Filer Interface

Reports are filed in the Filer interface. If a user has only the Filer or Filer Designee role, then the user will be routed to the Filer interface automatically after login. If the user has other roles in *Integrity*, however, the user will be routed to the Reviewer interface after login. The user can switch to the Filer interface by selecting the "Filer" tab in the upper left corner of the screen.

E Filer eviewer Admin	My Tasks		
MY TASKS	MY CURRENT REPORTS		
My.Tasks	No reports available.		0
SETTINGS			
• HELP			
LOG OUT	MY TOOLS		
	Start an OGE Form 278-T	> Update My Contact Information	>
	Manage My Designees	>	
	MY PAST REPORTS		
	No past reports available.		8

4.1.2 - Menu Options

The menu options on the primary Filer interface window are:

- My Tasks: This page is used to file reports, respond to Reviewer questions, and view past reports.
- Settings: This page is used to review/update contact information and manage Filer Designees. See section 3 for more information.
- Help: This page contains basic information about *Integrity* and the public financial disclosure forms.
- Log Out: Selecting "Log Out" exits Integrity.

4.1.3 - My Tasks

"My Tasks" is the default landing page within the Filer interface. On the left side of the screen, the "My Tasks" tab will be highlighted. The "My Tasks" work area, which is divided into three parts, appears on the right side of the screen.

- My Current Reports: Displays any assigned, started, or review-in-progress reports.
- My Tools: Displays links for self-assigning a 278-T, viewing/editing contact information, and adding/removing Filer Designees.
- My Past Reports: Displays previously completed reports.

🗃 MY TASKS	My Tasks	
<u>My Tasks</u>	MY CURRENT REPORTS	
SETTINGS HELP	YEAR \$ ITEM \$ TYPE \$ AGENCY \$ GROUP \$ POSITION \$ DUE DATE \$ STATUS \$ DATE FILED \$ ACTION	
	2020 New Entrant Report 278 Sample Agency 2020 Sample Agency 2020, Group 1 Sample Position 02/01/2020 Not Started	rt
	MY TOOLS	
	Start an OGE Form 278-T > Update My Contact Information	>
	Manage My Designees >	
	MY PAST REPORTS	
	No past reports available.	

4.2 - Start a Report

4.2.1 - Select an Assigned Report

Filers click the "Start" button at the far right of the assigned report under "My Current Reports." The report will open in a new, secondary window.

4.2.2 - Self-Assign a Report

Filers cannot self-assign an OGE Form 278e within *Integrity*. If a Filer does not see an assigned report but thinks one is required, the Filer should contact an ethics official.

4.2.3 - Pre-Population

The pre-population feature allows a Filer to copy entries from a prior OGE Form 278e into a new report. Pre-population saves time because the Filer can start with the previously entered information and make changes as needed rather than typing in everything again. In addition, *Integrity* will track any changes that the Filer makes between the selected prior report and the new report. After the Filer completes the new report, the record of these changes will be available to the Filer and Reviewers in the

"Compare" feature, which should speed the review process (see <u>section 4.5.7</u>). For these reasons, Filers should generally use the pre-population feature if available.

Availability of the Pre-Population Feature

The "Pre-Populate" page appears the first time that the Filer opens a report if the Filer has any other previously assigned OGE Form 278e reports in *Integrity*. The page will also appear if the Filer resets a started report (see section 4.2.5).

Select a Report to Pre-Populate

The Filer will see a list of available reports, organized from the most recently assigned report to the oldest. The Filer would select a report and click "Next" button.

=	Dec e servite és
🚨 Filer1, Sample M	Pre-populate
MY FILINGS	CHOOSE A PRIOR REPORT AS A STARTING POINT.
Getting Started	
Printable View	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.
• HELP	Boport(s) 13 New Entrant Report - Sample Position 1 (assigned 12/18/2018)
CLOSE WINDOW	On the rest initial in equil - Sanigle Floation 1 (Bosgigles 1 of 2020 b) On the peopulate my report - use this option to tatat a new report.
	Net

Integrity will display the following message as the report is being pre-populated.

≡ ▲ Filer1, Sample M	Pre-populate
🖋 MY FILINGS	PROCESSING
Getting Started Printable View	Your report is being pre-populated. Please wait
🕑 HELP	
S CLOSE WINDOW	

Depending on the size of the report and the Filer's connection speed, the process may take a few minutes. The Filer should not close the report or attempt to move to a different page while pre-population is running. If pre-population does not finish after a few minutes, the Filer should exit the report and then reset the report (see section 4.2.5) before attempting pre-population again.

Change a Pre-Populate Selection

The Filer cannot revisit the "Pre-Populate" page after making a selection, unless the Filer resets the report (see section 4.2.5).

4.2.4 - Getting Started Page

The "Getting Started" page contains questions that populate the Cover Page of the OGE Form 278e. This page also collects additional background information to be used by the Reviewer, including a job description if required by the Filer's Agency.

≡ ▲ Filer 1, Sample M.	Getting Started: New Entrant Report 278				Rese	et Filing
MY FILINGS	GENERAL INFORMATION					
Getting Started Printable View	YOUR NAME	LAST NAME 😧	FIRST NAME	MIDDLE INITIAL 😧		
• HELP	As it will appear in your public financial disclosure report.	Filer 1	Sample	М.		
CLOSE WINDOW	If your name is not shown correctly above, please contact your Agency Ethio	cs Official for assistance before you su	bmit your report.			
	POSITION & AGENCY Provide the title and agency of the position for which you are filing.	AGENCY Sample Agency 2020	GROUP Sample Agency 2020, Group 1	POSITION TITLE Sample Position	DUE DATE 02/01/2020	
	FILER CATEGORY Please select a filer category.	Career SES	•			
	SPOUSE If you are married, you will need to report your spouse's assets and income. Select the one answer that best describes the application of the disclosure rules to your martial status. This question is required to proceed to the next question.	○ I have a spouse ② and the sp ○ This requirement does not ap	iousal disclosure requirement applies. oply.			
	DATE OF APPOINTMENT Start Date	01/02/2020				
	Tip about reporting periods: Different parts of your financial disclosur	e report will need to cover different	periods of time. Click the "?" icon on a	page to see the reporting period appli	icable to the questions being asked	i.

Getting Started Fields

The "Getting Started" page has the following fields:

- Last Name, First Name, and Middle Initial: Filers cannot edit these fields. If a correction is needed, the Filer should contact the Agency **<u>before</u>** submitting the report. Submitting the report constitutes the Filer's electronic signature and the signature cannot be revised after being added to the report. To make a change after submission, the Agency would need to assign a new report.
- Agency and Group: Filers cannot edit these fields. If the Filer believes the Agency or Group is incorrect, the Filer should contact the Agency **before** submitting the report.
- Position Title: Filers can edit this field if the title is incorrect.
- Due Date: Filers cannot edit this field. If the Filer believes the due date is incorrect or if the Filer needs an extension, the Filer should contact the Agency **before** submitting the report.
- Filer Category: An Admin user may have assigned the Filer a default Filer Category when adding the Filer to the Group. That default Filer Category pre-populated this field. Filers can change the Filer Category if it is incorrect for this position.
- Spouse: Filers must complete this field to continue. If the Filer selects "Yes," *Integrity* will ask the Filer questions later about assets or income that may be reportable for a spouse. If the Filer answers "No," *Integrity* will bypass those questions. Filers should not select "No" simply because the Filer thinks the spouse lacks reportable assets and income.

- Date of Appointment (excluding Nominee Reports): The Filer must complete this field before submitting a New Entrant report. The field is helpful but optional for Annual, Termination, and Annual/Termination reports.
- Date of Termination (Termination and Annual/Termination Reports): The Filer must complete this field before submitting a Termination or Annual/Termination report.
- Job Description (if required by the Agency): Some Agencies require Filers to upload job descriptions as part of the filing process. If this field appears on the "Getting Started" page, Filers must upload a copy before submitting the report.

Saving Changes

The Filer can save changes to the fields on the "Getting Started" by clicking the "Save" button or the "Next" button.

Start Date			
The share series and a Differen		Jillion and a fring of the source of	
Tip about reporting periods: Differen	nt parts of your financial disclosure report will need to co	ver different periods of time. Click the "?" icon on a p	age to see the reporting period applicable to the questions

4.2.5 - Reset a Report

The Filer may reset a report at any point prior to filing. Resetting a report deletes all of the information that the Filer has entered already and takes the Filer back to the starting point of the filing process. This feature is generally only used by Filers who wish to make a different selection on the "Pre-Populate" page.

To reset a report, the Filer clicks the "Reset Filing" button that appears in the upper right corner of the "Getting Started" page.

≡ Filer1, Sample M	Getting Started: Annual Report 278				Reset Fili
MY FILINGS	GENERAL INFORMATION				
Getting Started					
Federal Positions	YOUR NAME	LAST NAME 😧	FIRST NAME 🚱	MIDDLE INITIAL 😧	
Positions	As it will appear in your public financial disclosure report.	Filer1	Sample	М	
Employment Assets & Income					
Employment Arrangements					
Spouse's Employment Assets & income	If your name is not shown correctly above, please contact your Agency Eth	ics Official for assistance before you	ubmit your report.		
Other Assets & Income					
ransactions	POSITION & AGENCY	AGENCY	GROUP	POSITION TITLE	DUE DATE
iabilities	Provide the title and agency of the position for which you are filing.	Sample Agency 2019	Sample Agency 2019, Group 1	Sample Position 1	05/15/2019
ifts & Reimbursements					
Report Data (Summary)					

Integrity will ask the Filer to confirm the decision.

A CONFIRM RESET A

Are you sure you want to reset the filing? This will delete all previously entered information and return you to the prepopulation screen. **This cannot be undone.**



4.3 - File a Report

4.3.1 - Basics

Navigating the Report

The Filer can navigate through a report in two ways. First, where available, the Filer can use the "Next" and "Previous" buttons that appear in the right-side display. After the Filer reaches a section of the report, a menu option, corresponding to that section, will appear on the left-side of the page. The Filer can use the left-side menu options to skip around the report without going through each page in sequence using the "Next" and "Previous" buttons.

Grids

After the "Getting Started" page, the Filer reports interests in data entry grids that correspond to the substantive parts of the form.

Wizards

To help Filers complete the data entry grids, *Integrity* routes first-time Filers through a series of questions that vary based on the entries in prior grids as well as answers to prior questions. The Filer must complete these questions before the Filer can move forward to the next part in the filing. We call these context-dependent questions "Filing wizards."

After the initial filing, the Filer will go through the wizards for future reports only if the Filer (1) chooses not to pre-populate from a prior report; (2) adds a new non-federal position; or (3) did not report any information for the spouse on the prior report.

Submission and Printing

Once the Filer has completed each required section, the Filer will have a chance to review the report before signing and submitting it electronically. Filers can also print a copy of the report.

4.3.2 - Steps and Menu Options

The menu options on the left-side navigation menu correspond to the steps to completing the report within *Integrity*. However, the Filer will see only (1) the step that the Filer is currently completing; (2) the steps the Filer has already completed; and (3) a link to a view of what the OGE Form 278e will look like once printed, including the data the Filer has entered so far. In addition, some menu options will disappear after the Filer completes the corresponding step.

- Getting Started: This page contains questions that populate the Cover Page of the OGE Form 278e. "Getting Started" also collects additional background information to be used by the Reviewer, including a job description if required by the Agency. See section 4.2.4 for more information.
- Your Prior Federal Positions: This page is a data entry grid used to populate the relevant section of the Cover Page of the OGE Form 278e.

≡ ▲ Filer1, Sample M	Your Prior Federal Position(s)			Add New Federal Position
🖋 MY FILINGS	Report any prior positions that you held with the United States federal \sharp	government during the last 12 months. Do not include the position for wh	hich you are filing.	
Getting Started Federal Positions	25 • records per page	Se	earch:	
Printable View	* ÷ POSITION	÷ FROM	÷ то	:
• HELP	No rows to display			
CLOSE WINDOW	Showing 0 to 0 of 0 entries Previous Step			← Previous 1 Next →
	Previous Step			Next Step

• Filer's (your) Positions Held Outside the United States Government: This page is a data entry grid equivalent to Part 1 of the OGE Form 278e.

Elert, sample M VIFILINGS Geting Surted Federal Positions Positions Printable Wew	Part 1: Filer's Positions Held Outsid Report any positions that you held at any time during the reporting Do not report the following: (1) positions with religious, social, membership in an organization; and (5) passive investment int In addition, you do not need to report service as a member of service is unpaid; and (3) you have no fiduciary duties of the so	g period I for this section (excluding positions with fraternal, or political organizations; (2) positions se erests as a limited partner or non-managing mem an advisory board or committee if the following cr	h the United States federal governm olely of an honorary nature; (3) posit ber of a limited liability company.	ions held as part of your offici		
Ø HELP	25 • records per page		Search:			
S CLOSE WINDOW	8 CRGANIZATION NAME	ORGANIZATION TYPE	POSITION HELD	C TYPE	; FROM	: то :
	No rows to display					
	Showing 0 to 0 of 0 entries					$\leftarrow \text{Previous} 1 \text{Next} \rightarrow$
	Previous Step					Next Step
	I do not have any positions to report.					

• Filer's (your) Position-Related Interests: This page begins a filing wizard that appears if the Filer adds a position to the "Positions" grid. The answers to the filing wizard questions are used to complete portions of "Filer's Employment Assets & Income and

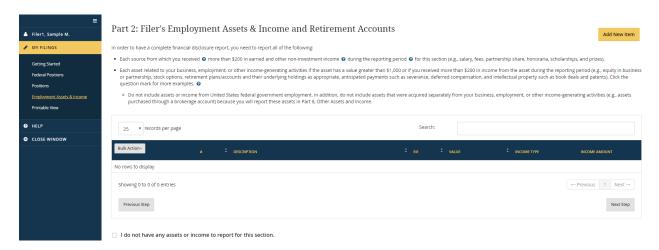
Retirement Accounts"; "Filer's Employment Agreements and Arrangements"; and "Filer's Sources of Compensation Exceeding \$5,000 in a Year."

≡ ▲ Filer1, Sample M	Position-Related Interests
MY FILINGS Getting Started Federal Positions Positions Position:Related Interests	YOUR EMPLOYMENT-RELATED ASSETS AND INCOME Under the financial disclosure rules, you need to report assets and income related to your business, employment, and other income-generating activities. To help you identify and report these interests, we will ask you a series of questions based on the positions that you have reported. We will also ask you questions related to any retirement plans or accounts that you might have. After you answer these questions, we will show you what has been reported so far and ask you to make any additions, subtractions, or changes as needed.
Printable View HELP CLOSE WINDOW	Please select the "Next" button below and we will get started. Previous Next
≡ ▲ Filer1, Sample M	Your Position-Related Interests
MY FILINGS Getting Started	MY PROGRESS
Federal Positions Positions Position-Related Interests	You will see a "Start/Edit" button next to each position. Select that button. Integrity will ask you several questions about interests commonly associated with the type of position that you reported. After answering those questions, you will return to this page. Potentially reportable items will appear underneath the position. Click the "Start/Edit" button next to each item to answer questions about that item. Once you have completed all of the items for each position, select the "Next" button to continue.
	Allied Business Computing, Chief Financial Officer
CLOSE WINDOW	Previous

• Filer's (your) Retirement Plans/Accounts: This page begins a filing wizard that appears for first-time Filers and for Filers that add a position to the "Positions" grid. The answers to the filing wizard questions are used to complete portions of "Filer's Employment Assets & Income and Retirement Accounts" and "Filer's Employment Agreements and Arrangements." After the Filer exits the "Filer's Retirement Plans/Accounts" wizard, both the "Position-Related Interests" and "Retirement Plans" menu options will disappear.

≡ ▲ Filer1, Sample M	Retirement Plans/Accounts
MY FILINGS	IDENTIFY THE TYPES OF RETIREMENT PLANS
Getting Started Federal Positions Positions	In this section, you will report your retirement plans or accounts for the reporting period 🛛 (excluding United States federal government retirement plans, which are not reportable).
Position-Related Interests Retirement Plans Printable View	TYPE OF PLAN Individual account (e.g., IRA, Roth IRA, SEP IRA, and Keogh Plans) • Select each type of retirement plan or account that you held during the reporting period. defined contribution plan • (e.g., 401k, 403b, 401a, 457, and TAA-CREF • accounts obtained through employment) Image: Contribution plan • (e.g., readitional pension) • Image: Contribution plan • (e.g., readitional pension) •
HELP CLOSE WINDOW	cash balance pension plan 🛛 other retirement plan not specified
≡ ▲ Filer1, Sample M	Previous Save Next
MY FILINGS	MY PROGRESS
Getting Started Federal Positions Positions Position-Related Interests	You will see an 'Add' button next to each type of retirement plan or account selected on the prior page. Select the 'Add' button to report a particular plan or account of that type. If you need to edit one of the plans or accounts that you already reported, select the 'Edit' button. Once you have reported all of your retirement plans or accounts, select the 'Next' button to continue.
Postuon-keiated interests <u>Retirement Plans</u> Printable View	DEFINED BENEFIT PLAN (I.E., TRADITIONAL PENSION) Add Defined Benefit Plan Progress Company
• HELP	
CLOSE WINDOW	Previous

• Filer's (your) Employment Assets & Income and Retirement Accounts: This page is a data entry grid equivalent to Part 2 of the OGE Form 278e. If the Filer was routed through the filing wizards, some entries will have been added to this grid automatically. The Filer can change these entries as needed.



• Filer's (your) Employment Agreements and Arrangements: This page is a data entry grid equivalent to Part 3 of the OGE Form 278e. If the Filer was routed through the filing wizards, some entries will have been added to this grid automatically. The Filer can change these entries as needed.

Filer1, Sample M Filer1, Sample M MY FILINGS Getting Started Federal Positions Positions Employment Assets & Income	Part 3: Filer's Employment Agreements an In order to have a complete financial disclosure report, you need to report any a 1. future employment; 2. leave of absence: 3. continuing participation in an employee weffare, reterment, or other 5. reteriot on or disposition of employee-avaided equity, sharing in pro The table below lists the agreements and arrangements that you have reported	agreements or arrangements that <u>you</u> have with an employer or i ibution;: or benefit plan (e.g., defined benefit pension plan, deferred comp for carried interests (e.g., vested and unvested stock options,	pensation, life insurance coverage); and restricted stock, etc.).	Add A New Arrangement al government; for the following:
Employment Arrangements Printable View	25 records per page		earch:	DAT
• HELP	·	÷ CITY/STATE	STATUS AND TERMS	≎ DATE ≎
CLOSE WINDOW	No rows to display			
	Showing 0 to 0 of 0 entries			\leftarrow Previous 1 Next \rightarrow
	Previous Step			Next Step

• Filer's (your) Sources of Compensation Exceeding \$5,000 in a Year (*New Entrant and Nominee Reports only*): This page is a data entry grid equivalent to Part 4 of the OGE Form 278e. If the Filer was routed through the filing wizards, some entries will have been added to this grid automatically. The Filer make changes as needed.

≡ ▲ Filer1, Sample M	Part 4: Filer's Sources of Compensatio	n Exceeding \$5,000 in	a Year	Add New Source of Compensation
🖋 MY FILINGS	Before we finish the part of your report that deals with your business ar	nd employment activities, we will check wh	ther we have captured all of your reportable sources of compensation.	
Getting Started	In this section, you need to report any source (except the United States I years. Reportable sources include your employer, your business, and an			the current calendar year and the two preceding calendar
Federal Positions	Based on your responses to the previous sections, the table below has b	been pre-populated with sources of compe	nsation. Review these entries and edit, add, or remove any entries as nee	eded, making sure to include a description of your duties.
Positions	* In certain rare cases (), you need not publicly disclose the identity of c the statute, regulation, rule of professional conduct, or other authority p		t indicate in the report that such information has been excluded, the nur	
Employment Assets & Income	by OGE.	pursuant to which disclosure of the morma	ition is specifically prohibited. For Presidential nominees, the non-disclos	ure oi coniidentiai clients must be approved in advance
Employment Arrangements				
Sources of Compensation	25 v records per page		Search:	
Printable View				
	# SOURCE NAME	CITY/STATE	BRIEF DESCRIPTION OF DUTIES	
• HELP	No rows to display			
CLOSE WINDOW				
	Showing 0 to 0 of 0 entries			$\leftarrow \text{Previous} 1 \text{Next} \rightarrow$
	Previous Step			Next Step
	I do not have any sources of compensation to report.			

• Spouse's Employment Interests: This page begins a wizard that appears for first-time Filers who indicate that they have a spouse. The wizard also appears for Filers who indicate that they have a spouse but who did not report assets for a spouse on the prior report. The answers to the wizard questions are used to complete portions of "Spouse's Employment Assets & Income and Retirement Accounts."

≡ ▲ Filer1, Sample M	Spouse's Employment Interests
MY FILINGS	YOUR SPOUSE'S EMPLOYMENT-RELATED ASSETS AND INCOME
Getting Started Federal Positions Positions Employment Assets & Income Employment Arrangements Sources of Compensation	The next several sections address your spouse's business, employment, and other income-generating activities. Similar to the process used for your interests, we will first ask you a series of questions specific to the types of interests that your spouse has. We will then show you what has been reported so far and ask you to make any additions, subtractions, or changes as needed. Please select the "Next" button below and we will get started.
Spouse's Employment Printable View	Previous
• HELP	
≡ ▲ Filer1, Sample M ✔ MY FILINGS	Spouse's Employment Interests
Getting Started	QUESTIONS RELATED TO A SPOUSE'S EMPLOYMENT INTERESTS
Federal Positions Positions	In this section, you will report your spouse's employment-related assets and income (excluding retirement plans).
Employment Assets & Income Employment Arrangements <u>Spouse's Employment</u> Printable View	EARNED INCOME (EXCLUDING HONORARIA) Ves Did your spouse receive any earned income from a single source totaling more than \$1,000 during the reporting period? • Do not include honoraria (which we ask about separately below) or income from employment with the United States forderal government.
Ø HELP	
	Examples of reportable earned income: (1) salary and/or bonus; (2) consulting fees; (3) idence for bes; (a) legal fees form a solo legal practice; (5) LLC distribution; (6) partnership share; (7) severance; and (8) trustee fees.
	HONORARIA Did your spouse receive honoraria from any one source totaling more than \$200 during the reporting period? Yes No
	ASETS Did your spouse hold any assets related to employment during the reporting period? Do not include interests held in a retirement plan. We will ask about retirement plans later.
	Previous Save

≡ ♣ Filer1, Sample M	Your Spouse's Employment Assets
MY FILINGS	MY PROGRESS
Getting Started	
Federal Positions	Select 'Add' to report your spouse's employment-related assets and sources of income. If you need to edit an asset or source of income that you already reported, select the 'Edit' button. Once you have reported all of your 📀
Positions	spouse's employment related assets and income (excluding retirement plans), select the "Next" button to continue.
Employment Assets & Income	
Employment Arrangements	SPOUSE EARNED INCOME Add Spouse Earned Income
Spouse's Employment	Progress Asset
Printable View	
HELP	
CLOSE WINDOW	Previous

• Spouse's Retirement Plans/Accounts: This page begins a wizard that appears for firsttime Filers who indicate that they have a spouse. The wizard also appears for Filers who indicate that they have a spouse but who did not report assets for a spouse on the prior report. The answers to the wizard questions are used to complete portions of "Spouse's Employment Assets & Income and Retirement Accounts." After the Filer exits the "Spouse's Retirement Plans/Accounts" wizard, both the "Spouse's Employment" and "Spouse's Retirement Plans" menu options will disappear.

≡ ▲ Filer1, Sample M	Spouse's Retirement Plans/Accounts
MY FILINGS	IDENTIFY THE TYPES OF RETIREMENT PLANS
Getting Started Federal Positions Positions	In this section, you will report any retirement plans that your spouse has or had (excluding United States federal government retirement plans, which are not reportable).
Employment Assets & Income Employment Arrangements Spouse's Employment <u>Spouse's Retirement Plans</u>	TYPE OF PLAN From the list below, select a types of retirement plans or accounts that your spouse has or had during the reporting period.
Printable View	cash balance pension plan 0 other retirement plan not specified not specified not specified not specified not specified not specified specified
HELP CLOSE WINDOW	
=	Previous Save Next
E Filer1, Sample M	Your Spouse's Retirement Plans/Accounts
MY FILINGS	MY PROGRESS
Getting Started Federal Positions Positions Employment Assets & Income	You will see an "Add" button next to each type of retirement plan or account selected on the prior page. Select the "Add" button to report a particular plan or account of that type. If you need to edit one of the plans or accounts that you already reported, select the "Edit" button. Once you have reported all of your spouse's retirement plans or accounts, select the "Next" button to continue.
Employment Arrangements Spouse's Employment	DEFINED BENEFIT PLAN (LE., TRADITIONAL PENSION) Add Defined Benefit Plan Progress Company
Spouse's Retirement Plans Printable View	
Ø HELP	Previous
S CLOSE WINDOW	

• Spouse's Employment Assets & Income and Retirement Accounts: This page is a data entry grid equivalent to Part 5 of the OGE Form 278e. The grid appears only if the Filer indicates that he or she has a spouse. Otherwise, *Integrity* automatically notes "None" on the OGE Form 278e for Part 5.

≡ ▲ Filer1, Sample M.	Part 5: Spouse's Employment Assets & Income and Retirement	Accounts		Add New Item
MY FILINGS	For this section, you need to report all of the following for your spouse:			
Getting Started	Each source from which your spouse received ② earned income ③ (excluding honoraria) greater than \$1,000 durin	ng the reporting period 🥑 for this section (e.g., salary, co	onsulting fees, and partnership share).	
Federal Positions	 Each source from which your spouse received honoraria greater than \$200 during the reporting period. 			
Positions	 Each asset related to your spouse's business, employment, or other income-generating activities if the asset has a v equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as approp examples. ● 			
Employment Assets & Income	 Do not include assets or income from United States federal government employment. In addition, do not include 	la access that were accuired cenarately from your chouse	a's husiness, employment, or other income gene	arating activities (e.g.
Employment Arrangements Sources of Compensation	assets purchased through a brokerage account) because you will report these assets in Part 6, Other Assets and		a business, employment, or other meane-gene	ruang activities (e.g.,
Spouse's Employment Assets & Income	25 • records per page	Search:		
Printable View	Bulk Action? # DESCRIPTION	¢ EIF ↓ VALUE	COME TYPE INCOM	ME AMOUNT
HELP CLOSE WINDOW	No rows to display Showing 0 to 0 of 0 entries Previous Step			us 1 Next→ Next Step
	I do not have any assets or income to report for this section.			

• Other Assets and Income: This page is a data entry grid equivalent to Part 6 of the OGE Form 278e.

≡ ▲ Filer1, Sample M.	Part 6: Other Assets and Income Add New Item
🖋 MY FILINGS	In the previous sections, you reported employment-related assets and income for you and your spouse. Now, you will report any other assets and investment income that we have not yet collected. This section applies to you, your spouse, and any dependent children that you may have.
Getting Started	For this section, report:
Federal Positions	Each asset, not already reported in prior sections, that has a value greater than \$1,000.
Positions Employment Assets & Income	• Each assets, not already reported in prior sections, from which more than \$200 in investment income 0 was received 0 during the reporting period 0 for this section. Click the question mark for examples of reportable assets. 0 For purposes of the value and income thresholds, aggregate your interests with those of your spouse and your dependent children.
Employment Arrangements Sources of Compensation	 Do not report the following types of assets: (1) your personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States federal government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., Checking, Savings, money market accounts) at a single financial institution with a value of \$5,000 or less (unless more than \$200 of income was produced).
Spouse's Employment Assets & Income Other Assets & Income	25 • records per page Search:
Printable View	Buil Action- a Description : Eff : Value : Income type Income amount owner :
• HELP	No rows to display
CLOSE WINDOW	Showing 0 to 0 of 0 entries 1 Next
	Previous Step
	□ I do not have any assets or income to report for this section.

• Transactions (*Annual, Termination, and Annual/Termination Reports only*): This page is a data entry grid equivalent to Part 7 of the OGE Form 278e.

≡ ♣ Filer1, Sample M	Part 7: Transactions Add New Transaction
🖋 MY FILINGS	In this section, you will report transactions involving your assets and those of your spouse and your dependent child, if applicable.
	Specifically, report any purchase, sale, or exchange of real property or securities 🖲 in excess of \$1,000 that was made by you or by your spouse or your dependent child during the reporting period for this section. 📀
Getting Started	• Do not report transactions that concern the following: (1) a personal residence, unless the personal residence was remediout at any point during the reporting period; (2) cash accounts (e.g., checking, savings, CDB, money market accounts) and money market mutual functions (3) Treasury bills, bonds, notes, and unleted States savings bonds; (4) clothings within a net exert bill motify and the saving shore (1) clothings within a net exert bill motify and the saving shore (3) clothings within a net exert bill motify and the saving shore (3) clothings within a net exert bill motify and the saving shore (3) clothings within a net exert bill motify and the saving shore (3) clothings within a net exert bill motify and the saving shore (3) clothings within a net exert bill motify and the saving shore (3) clothings within a net exert bill motify and the saving shore (3) clothings within a net exert bill motify and the saving shore (3) clothings within a net exert bill motify and the saving shore (3) clothings within a net exert bill motify and the saving shore (3) clothings within a net exert bill motify and the saving shore (3) clothings within a net exert bill motify and the saving shore (3) clothings within a net exert bill motify and the saving shore (3) clothings within a net exert bill motify and the saving shore (3) clothings within a net exert bill motify and the saving shore (3) clothings within a net exert bill motify and the saving shore (3) clothings within a net exert bill motify and the saving shore (3) clothings within a net exert bill motify and the saving shore (3) clothing within a net exert bill motify and the saving shore (3) clothings within a net exert bill motify and the saving shore (3) clothing within a net exert bill motify and the saving shore (3) clothing within a net exert bill motify and the saving shore (3) clothing within a net exert bill motify and the saving shore (3) clothing within a net exert bill motify and the saving shore (3) clothing within a net exert bill motify and the sav
Federal Positions	and money market induced runtes (s) measury tombs, bonds, notes, and owned states savings bonds, (e) notatings within a received ninestance (s) notatings within an excepted ninestance (res, report your burch set) of a mutual fund burd how report the mutual sinds purchases of stock).
Positions	• In addition, you do not need to report transactions that occurred when you were not a public filer or an employee of the United States federal government or transactions that occurred solely between you, your spouse, and your dependent
Employment Assets & Income	 In source, you do not need to report tensections that occurred meet you mere not a point mer or an employee or the office a section government or unaccurred soley detreem you, you spouse, and you dependent children.
Employment Arrangements	
Spouse's Employment Assets & Income	ADD TRANSACTIONS FROM A PREVIOUS 278-T REPORT Pick a Report Add to Grid
Other Assets & Income	
Transactions	
Printable View	25 records per page Search:
Ø HELP	# : DESCRIPTION : TYPE : DATE : AMOUNT : OWNER : IMPORTED :
CLOSE WINDOW	No rows to display
	Showing 0 to 0 of 0 entries 1 Next
	Previous Step
	□ I do not have any transactions to report.

• Liabilities: This page is a data entry grid equivalent to Part 8 of the OGE Form 278e.

Filer1, Sample M	Part 8: Liabilities						Add A Net	w Liabilit
MY FILINGS	For this section, report:							
	 Liabilities over \$10,000 that you, your spouse, or y 	your dependent child owed at any time	during the reporting period 📀	or this section.				
Getting Started	 Do not report the following types of liabilities: (1) loans secured by a personal motor v	ehicle, household furniture, or a	ppliances, unless the loan exce	eds the item's purchase	price; (2) revolving charge	accounts, such as credit car	rd balan
Federal Positions	if the outstanding liability did not exceed \$10,000) at the end of the reporting period; (3)	personal liabilities owed to a spi	ouse, parent, sibling, or child of	yours, your spouse, or y	our dependent child; and	(4) obligations arising from	i divorce
Positions	permanent separation.							
Employment Assets & Income	 You do not need to report a mortgage or home 						Presidentially-appointed, Se	enate-
Employment Arrangements	confirmed (PAS) position. A PAS nominee or appo	pintee generally must report a mortgag	e or home equity loan on a pers	onal residence unless a specific	additional exclusion 😧	applies.		
Spouse's Employment Assets & Income	25 • records per page			Search:				
Other Assets & Income	# _ CREDITOR NAME	÷ TYPE	- AMOUNT	• YEAR INCURRED	€ RATE	÷ TERM	OWNER	
Transactions								
Liabilities	No rows to display							
Printable View	Showing 0 to 0 of 0 entries						← Previous 1	$Next \rightarrow$
HELP	Previous Step							Next Step
, nee								

• Gifts and Travel Reimbursements (*Annual, Termination, and Annual/Termination Reports only*): This page is a data entry grid equivalent to Part 9 of the OGE Form 278e.

≡ ▲ Filer1, Sample M		Part 9: Gifts and Travel Reimbursements For this final section, report:				
MY FILINGS						
	 Gifts totali 	ing more than \$390 that you, your spouse, and	your dependent children received from any one sou	rce during the reporting period 🥹 for this section.		
Getting Started	Travel rein	nbursements totaling more than \$390 that you	, your spouse, and your dependent children receive	from any one source during the reporting period. 🥹		
Federal Positions	+ If more	than one gift or travel reimburgement was read	jund from a cingle courses (1) Determine the value of	f and item received from that course (3) impore each it	em valued at \$156 or less. (3) Add the value of those it	come valued at more
Positions		 If the total is more than \$390, then you must 		reach item received from that source. (2) ignore each i	en valued at \$150 of less. (5) Add the value of those it	enis valueu actitore
Employment Assets & Income		-				
Employment Arrangements	(3) beque	ests and other forms of inheritance; (4) gifts and		nection with your official travel; (5) gifts of hospitality (f	al government or from the District of Columbia, state, o bod, lodging, entertainment) at the donor's residence o	
Spouse's Employment Assets & Income	anu (o) ai	lything received by your spouse of your depen	dent children totally independent of their relationsh	p to you. Additional exceptions apply.		
Other Assets & Income	25	 records per page 		Search:		
Transactions		SOURCE NAME	▲ CITY/STATE	BRIEF DESCRIPTION	▲ VALUE	
Liabilities		- Source realine	÷ cinistate			÷
Gifts & Reimbursements	No rows to	display				
Printable View	Showing) to 0 of 0 entries			← Previou	us 1 Next→
HELP						
CLOSE WINDOW	Previous	Step				Next Step
	🗌 l do not	t have any gifts or travel reimbursement	s to report.			

• Report Data (Summary): This page displays the information that the Filer provided for each data entry grid.

=	Preview	
💄 Filer1, Sample M.	rieview No.	ext
🖋 MY FILINGS	YOU CAN REVIEW YOUR ENTIRE OGE FORM 278E ON THIS PAGE. SELECT THE "NEXT" BUTTON AT THE TOP OR BOTTOM OF THE PAGE TO CONTINUE.	
Getting Started		
Federal Positions	Annual Report 2020 for Calendar Year 2019 U.S. Office of Government Ethics; S C.F.R. part 2634 Form Approved: OMB No. (3209-4001) (Updated Nov. 2019)	
Positions	Executive Branch Personnel	
Employment Assets & Income	Public Financial Disclosure Report (OGE Form 278e)	
Employment Arrangements		
Spouse's Employment Assets & Income	Filer's Information Edit Part	
Other Assets & Income		
Transactions	Filer1, Sample M.	
Liabilities	Sample Position, Sample Agency 2020	
Gifts & Reimbursements	Report Year: 2020	
Report Data (Summary)		
Printable View	Other Federal Government Positions Held During the Preceding 12 Months:	
• HELP	None	
S CLOSE WINDOW		

• Submit: The Filer submits (i.e., "files") the report on this page by certifying that the information provided is true, complete, and correct to the best of the Filer's knowledge and by clicking the "Submit" button.



• Printable View: This page is used to print a hard copy of the report.

Ξ	Preview				
💄 Filer1, Sample M.	LIGNIGM		Export to PDF		
🖋 MY FILINGS	REVIEW REPORT				
Getting Started					
Federal Positions	Annual Report 2020 for Calendar Year 2019 U.S. Office of Government Ethics; 5 C.F.R. part 2634 Form Approved: OMB No. (3209-0001) (Updated Nov. 2019)				
Positions	Executive Branch Personnel				
Employment Assets & Income	Public Financial Disclosure Report (OGE Form 278e)				
Employment Arrangements					
Spouse's Employment Assets & Income	Filer's Information				
Other Assets & Income					
Transactions	Filer1, Sample M.				
Liabilities	Sample Position, Sample Agency 2020				
Gifts & Reimbursements	Report Year: 2020				
Report Data (Summary)					
Submit	Other Enderal Gouernment Bacilitions Held During the Brevening 13 Months:				
Printable View	Other Federal Government Positions Held During the Preceding 12 Months:				

4.3.3 - Filing Wizards

Overview

Integrity has two sets of filing wizards that help Filers complete the various data entry grids. One set helps with the Filer's own interests. The other set helps with the interests of the Filer's spouse.

- Filer Wizards
 - Filer's (your) Position-Related Interests Wizard: This wizard will appear if the Filer reports a new position on the "Positions" grid. If the Filer is filing for the first time or chose not to pre-populate the report, any position would be new, so the Filer will go through this wizard, unless the "Positions" grid was left blank.
 - Filer's (your) Retirement Plans/Accounts Wizard: This wizard will appear for all first-time Filers. After the first report, the Filer will go through this wizard only if the Filer chose not to pre-populate a subsequent report or added a new, non-Federal position to the "Positions" grid.

Integrity displays an "Exit Confirmation" screen before the Filer leaves the Filer wizards. After the Filer confirms being finished with those wizards, *Integrity* will take the answers to the wizard questions and populate the appropriate data entry grids.

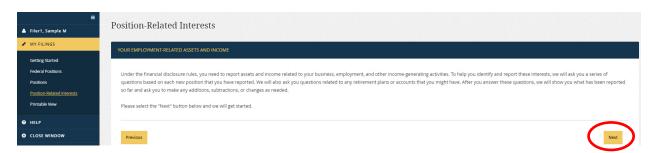
Depending on the specific interests reported in the wizards, entries may be added to Part 2 (Filer's Employment Assets & Income and Retirement Accounts), Part 3 (Filer's Employment Agreements and Arrangements), and/or Part 4 (Filer's Sources of Compensation Exceeding \$5,000 in a Year). Filers cannot return to the Filer wizards after exiting the wizards, so the Filer will need to use the data entry grids to make any further changes.

- Spouse Wizards
 - Spouse's Employment Interests Wizard: This wizard will appear for first-time Filers who indicate that they have a spouse. After the first report, the Filer will go through this wizard only if the Filer chose not to pre-populate a subsequent report or if the Filer did not report any assets for a spouse on the prior report.
 - Spouse's Retirement Plans/Accounts Wizard: This wizard will appear for firsttime Filers with spouses. After the first report, the Filer will go through this wizard only if the Filer chose not to pre-populate a subsequent report or if the Filer did not report any assets for a spouse on the prior report.

Integrity displays an "Exit Confirmation" screen before the Filer leaves the Spouse wizards. After the Filer confirms being finished with those wizards, *Integrity* will take the answers to the wizard questions and populate the appropriate data entry grid for Part 5 (Spouse's Employment Assets & Income and Retirement Accounts). The Filer cannot return to the Spouse wizards after exiting the wizards, so the Filer will need to use the Part 5 data entry grid to make any further changes.

Using the Filer's Position-Related Interests Wizard

1. Introduction: The first page of the wizard is a screen that explains the wizard process. The Filer should click "Next" to continue.



2. Chapter Page – Selecting a Position: The second page of the wizard is a list of the new positions added on the "Positions" grid. A progress bar underneath each position indicates whether the Filer has answered questions related to that position yet. At the right, there is a "Start/Edit" button. The Filer would select that button to begin.

=	Your Position-Related Interests	
🛔 Filer1, Sample M		
🖋 MY FILINGS	MY PROGRESS	
Getting Started		
Federal Positions	You will see a "Start/Edit" button next to each position. Select that button. Integrity will ask you several questions about interests commonly associated with the type of position that you reported. After answering those	
Positions	questions, you will return to this page. Potentially reportable items will appear underneath the position. Click the "Start/Edit" button next to each item to answer questions about that item. Once you have completed all of the	
Position-Related Interests	Items for each position, select the "Next" button to continue.	
Printable View	Allied Business Computing, Chief Financial Officer	
O HELP		
S CLOSE WINDOW		
	Previous	

Note: If the Filer does not see a "Start/Edit" button, the Filer should try zooming out or exiting "full screen" view. See <u>section 3.5</u> for more information.

3. Basic Questions about the Position: *Integrity* will ask several questions about assets, income, and/or arrangements commonly associated with the type of position reported.

≡ ▲ Filer1, Sample M	Corporate Position		
MY FILINGS	QUESTIONS RELATED TO OFFICERS, DIRECTORS, AND EMPLOYEES OF	- CORPORATIONS	
Getting Started Federal Positions Positions Position Related Interests Printable View	CORPORATE POSITION Questions Related to Officers, Directors, and Employees of Corporations	ORGANIZATION: Allied Business Computing POSITION: Chief Financial Officer	These fields are populated automatically and cannot be edited on this page
CLOSE WINDOW	INCOME In connection with this position, did you earn any income in excess of \$200 during the reporting period? O	YesNo	
	Select all of the following forms of income in excess of \$200 that you received from this position during the reporting period (include earned income owed to you following your separation from the company).	 salary and/or bonus director fees - paid in cash or deferred severance payment other (excluding income from assets) 	Question appears because the answer to the prior question was "Yes"
	ASSETS Select all of the following assets that you held with the organization above at any time during the reporting period.	 ✓ stock — employee stock ownership plan (ESOP) → employee stock purchase plan (ESPP) 	L

The Filer should click the "Item Completed" button at the bottom of the page after answering all of the questions.

TYPE OF COMPANY Is the organization above a privately held company?	 Yes No 	
Save - I need to finish the rest later	(Save - Item Completed

The Filer should click "I need to finish the rest later" if the Filer needs to go back to these questions later.

TYPE OF COMPANY Is the organization above a privately held company?	YesNo	
Save - I need to finish the rest later		Save - Item Completed

4. Chapter Page – Selecting an Interest: The Filer will return to the Chapter Page after exiting the questions related to a position. Entries will appear for any potentially reportable interests identified when completing the questions for the position.

In the prior example for the Chief Financial Officer position, the Filer checked the box for "salary and/or bonus" and the box for "stock." The Chapter Page, therefore, lists entries for "Salary & Bonus" and "Stock."

≡ ▲ Filer1, Sample M	Your Position-Related Interests			
🖋 MY FILINGS	MY PROGRESS			
Getting Started				
Federal Positions	You will see a "Start/Edit" button next to each position. Select that button. Integrity will ask you several questions about interests commonly associated with the type of position that you reported. After answering those			
Positions	questions, you will return to this page. Potentially reportable items will appear underread the position. Click the "Start/Edit" button next to each item to answer questions about that item. Once you have completed all of the			
Position-Related Interests	Items for each position, select the "Next" button to continue.			
Printable View	Alled Business Computing, Chief Financial Officer			
1 HELP				
CLOSE WINDOW	Progress Section			
	Salary & Bonus start/tdlt Stock start/tdlt			

The Filer should click the "Start/Edit" button next to an entry to answer additional questions about the income or asset. In this example, the Filer should click "Start/Edit" next to the "Salary & Bonus" entry in order to answer questions about income received from Allied Business Computing.



5. Specific Questions about an Interest: After clicking the "Start/Edit" button, the Filer will see a new page with questions specific to the type of asset or income. *Integrity* uses the responses to these questions to create entries on subsequent data entry grids.



CLOSE WINDOW	RECEIVED INCOME - AMOUNT Provide the exact amount 0 of salary and bonus that you received during the reporting periot 0	\$ Please enter your Answer	Type answer in this field
	*Remember, you must report the amount received during the reporting period, not the amount you receive annually.		Click "?" for more information
	RECEIVED INCOME - TYPE Does this amount represent salary or bonus?	SalaryBonusBoth	

The Filer should click the "Item Completed" button at the bottom of the page if the Filer has answered all of the questions. The Filer should click "I need to finish the rest later" if the Filer needs to go back to these questions later.

Are you owed any additional bonus payments?	O No		
OUTSTANDING BONUS PAYMENTS	○ Yes		

6. Chapter Page – Finished: After the Filer has clicked "Item Completed" for all positions and the interests associated with each position, the progress bar for each item will be completely blue.

Ξ	Your Position-Related Interests	
🏝 Filer1, Sample M		
MY FILINGS	MY PROGRESS	
Getting Started		
Federal Positions	You will see a "Start/Edit" button next to each position. Select that button. Integrity will ask you several questions about interests commonly associated with the type of position that you reported. After answering those	
Positions	questions, you will return to this page. Potentially reportable items will appear underneath the position. Click the "Start/Edit" button next to each item to answer questions about that item. Once you have completed all of the	
Position-Related Interests	Items for each position, select the "Next" button to continue.	
Printable View	Allied Business Computing, Chief Financial Officer Hide Details	
9 HELP	Section Completed	
CLOSE WINDOW	Progress Section	
	Salary & Bonus start/Edit	

If the Filer clicked "I need to finish the rest later" for an item, the progress bar for that item will be half blue.

Allied Busir	ness Co	mputing, Chief Financial Officer
Progress	Sectio	n
	Salary	/ & Bonus Start/Edit
	Stock	Start/Edit

Save - I need to finish the rest later

The Filer should click "Next" to move forward to the next section.

Save - Item Completed

E	Your Position-Related Interests
Å Filer1, Sample M	
	MY PROGRESS
Getting Started	
Federal Positions	You will see a "Start/Edit" button next to each position. Select that button. Integrity will ask you several questions about interests commonly associated with the type of position that you reported. After answering those
Positions	questions, you will return to this page. Potentially reportable items will appear underneath the position. Click the "Start/Edit" button next to each item to answer questions about that item. Once you have completed all of the items for each position, select the "Next" button to continue.
Position-Related Interests Printable View	
	Alled Business Computing, Chief Financial Officer Hide Details StartEdit
HELP	Section Completed
CLOSE WINDOW	- regime include
	Salary & Bonus startztálit
	Stock Start/Edit
	Previous

Using the Filer's Retirement Plans/Accounts Wizard

1. Identify Plan/Account Types: The first page of the wizard asks whether the Filer has various types of retirement plans or accounts to report. The Filer selects all of the types that are applicable and, then, clicks "Next" to continue.

≡ ▲ Filer1, Sample M	Retirement Plans/Accounts	
MY FILINGS	IDENTIFY THE TYPES OF RETIREMENT PLANS	
Getting Started Federal Positions Positions	In this section, you will report your retirement plans or accounts for the reporting period O (excluding United States federal government retirement plans, which are not reportable).	
Position-Related Interests <u>Retirement Plans</u> Printable View	TYPE OF PLAN individual account (e.g., IRA, Roth IRA, SEP IRA, and Keogh Plans) • defined contribution plan • (e.g., 4014, 403b, 401a, 457, and TIAA-CREF • accounts obtained through employment) defined contribution plan • (e.g., 4014, 403b, 401a, 457, and TIAA-CREF • accounts obtained through employment) defined contribution plan • (e.g., 4014, 403b, 401a, 457, and TIAA-CREF • accounts obtained through employment) 	
HELP	cash balance pension plan O other retirement plan not specified	
CLOSE WINDOW	no retirement plans or accounts (other than from United States federal government employment) Previous Save	Next

2. Chapter Page – Add a Specific Plan/Account: The second page of the wizard is a list of the plan/account types selected on the prior screen. A progress bar underneath each type indicates whether the Filer has provided an entry for that plan/account type. At the right, there is an "Add" button. The Filer should click that button to begin.

≡ ▲ Filer1, Sample M	Your Retirement Plans/Accounts
🖋 MY FILINGS	MY PROGRESS
Getting Started	
Federal Positions	You will see an "Add" button next to each type of retirement plan or account selected on the prior page. Select the "Add" button to report a particular plan or account of that type. If you need to edit one of the plans or accounts 📀
Positions	that you already reported, select the "Edit" button. Once you have reported all of your retirement plans or accounts, select the "Next" button to continue.
Position-Related Interests	
Retirement Plans	DEFINED BENEFIT PLAN (I.E., TRADITIONAL PENSION) Add Defined Benefit: Plan Add Defined Benefit: Plan
Printable View	Progress Company
Ø HELP	
	Previous

Note: To add a type of plan/account not listed on the Chapter Page, the Filer will need to return to the initial "Retirement Plan" page by clicking the "Previous" button.

3. Questions about the Plan/Account: *Integrity* will ask questions about the particular plan/account selected. The questions vary based on the type of plan/account.

≡ ▲ Filer1, Sample M	Retirement Plans/Accounts	
🖋 MY FILINGS	DEFINED BENEFIT PLAN	
Getting Started	NAME OF SPONSOR	
Federal Positions Positions	Provide the name of the employer that sponsors this defined benefit plan.	Allied Business Computing
Position-Related Interests		
<u>Retirement Plans</u> Printable View	CITY Provide the city in which the sponsor is located.	Cedar Rapids
• HELP	STATE	
CLOSE WINDOW	Provide the state in which the sponsor is located.	lowa v
	CONTINUED PARTICIPATION? Will you continue to participate in the plan during government service?	● Yes ○ No
	ARRANGEMENT START DATE	March × •
	Provide the month and year when you began participating in the defined benefit plan. This often is the date you became an employee of the organization.	2006 X *

The Filer should click "Item Completed" at the bottom of the page if the Filer has answered all of the questions. The Filer should click "I need to finish the rest later" if the Filer needs to go back to these questions later. Clicking "Add Another" adds another plan/account of that same type.

INCOME OVER \$200 Did you receive more than \$200 in payments from this defined benefit plan during the reporting period? $oldsymbol{\Theta}$	⊖ Yes ● No	
Save - Add Another Defined Benefit Plan	Save - I need to finish the rest later	Save - Item Completed

4. Chapter Page – Editing Plans/Accounts: The Filer will return to the Chapter Page after exiting the questions related to a plan/account type. Entries will appear below a plan/account type for the specific plan(s) or account(s) reported. A progress bar will indicate whether the Filer completed the questions. The Filer would click the "Edit" button to resume answering the questions for an entry.

■ Filer1, Sample M	Your Retirement Plans/Accounts		
MY FILINGS Getting Started	MY PROGRESS		
Federal Positions Positions	You will see an "Add" button next to each type of retirement plan or account selected on the prior page. Select the "Add" button to report a particular plan or account of that type. If you need that you already reported, select the "Edit" button. Once you have reported all of your retirement plans or accounts, select the "Next" button to continue.	to edit one of the	plans or accounts 🛛 🚫
Position-Related Interests Retirement Plans Printable View	DEFINED BENEFIT PLAN (I.E., TRADITIONAL PENSION)	Hide Details	Add Defined Benefit Plan
Ø HELP	Progress Company Alled Business Computing Edit		
CLOSE WINDOW			
	Previous		Next

5. Chapter Page – Finished: After clicking "Item Completed" for all of the plans and accounts, the progress bar for each item will be completely blue. The Filer should click "Next" to move forward to the next section.

([™] ≣)	Your Retirement Plans/Accounts
💄 Filer1, Sample M	
MY FILINGS	MY PROGRESS
Getting Started	
Federal Positions	You will see an "Add" button next to each type of retirement plan or account selected on the prior page. Select the "Add" button to report a particular plan or account of that type. If you need to edit one of the plans or accounts
Positions	Too win see an Ado botom next to each type or requirement plant or account is selected on the plant plags. Select the "Next" button to contrue.
Position-Related Interests	
Retirement Plans	DEFINED BENEFIT PLAN (I.E., TRADITIONAL PENSION)
Printable View	Section Completed
Ø HELP	Frogress Company
-	Alled Business Computing Edit
CLOSE WINDOW	
	Previous Next

Exit Confirmation for the Filer Wizards

The Filer will have to confirm that he or she is finished using the Filer wizards before the Filer can proceed to the next step. Then, *Integrity* will take the answers and populate the appropriate data entry grids. The Filer cannot return to these wizards once population occurs, so the Filer will need to use the data entry grids to make any further changes.

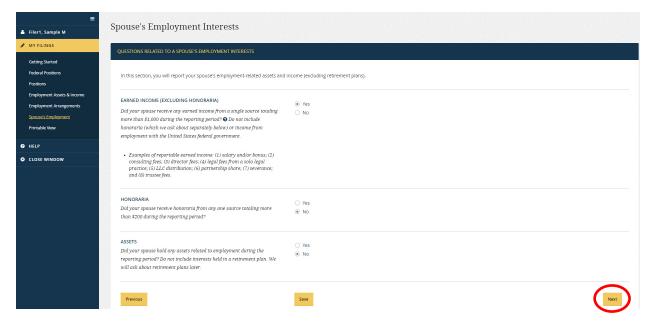
≡ ♣ Filer1, Sample M	Position-Related Interests
MY FILINGS	IMPORTANT NOTICE
Getting Started Federal Positions Positions Position-Related Interests	You have finished answering the questions related to your employment-related assets and income. The system will now use your answers to populate several parts of your financial disclosure report, which will be displayed in a table format. You will have a chance to review and make any needed changes, including additions and deletions, to these tables. However, you will not be able to return to the narrative questions you have just answered.
<u>Retirement Plans</u> Printable View	C c k here if you wish to continue to the next.
HELP CLOSE WINDOW	Previous

Using the Spouse's Employment Interests Wizard

1. Introduction: The first page of the wizard is a screen that explains the wizard process. The Filer should click "Next" to continue.

=	Spouse's Employment Interests	
💄 Filer1, Sample M	spouse's Employment interests	
MY FILINGS	YOUR SPOUSES EMPLOYMENT-RELATED ASSETS AND INCOME	
Getting Started		
Federal Positions	The next several sections address your spouse's business, employment, and other income-generating activities. Similar to the process used for your interests, we will first ask you a series of questions specific to the types of interests that	
Positions	your spouse has. We will then show you what has been reported so far and ask you to make any additions, subtractions, or changes as needed.	
Employment Assets & Income	Please select the "Next" button below and we will get started.	
Employment Arrangements	\$	
Spouse's Employment	\sim	
Printable View	Previous	
0.000		

2. Identify Assets/Income: The second page of the wizard asks whether the Filer has any earned income, honoraria, or employment-related assets to report for a spouse. The Filer should select the applicable categories and, then, click "Next" to continue.



3. Chapter Page – Add a Source or Asset: The third page of the wizard is a list of the categories selected on the prior screen. A progress bar underneath each category indicates whether an entry has been provided for that category. At the right, there is an "Add" button. The Filer should click that button to continue.

=	Your Spouse's Employment Assets
🛔 Filer1, Sample M	four spouse's Employment Assets
MY FILINGS	MY PROGRESS
Getting Started	
Federal Positions	Select "Add" to report your spouse's employment-related assets and sources of income. If you need to edit an asset or source of income that you already reported, select the "Edit" button. Once you have reported all of your 📀
Positions	spouse's employment-related assets and income (excluding retirement plans), select the "Next" button to continue.
Employment Assets & Income	
Employment Arrangements	SPOUSE EARNED INCOME Add Spouse Earned Income
Spouse's Employment	

Note: To add a category not listed on the Chapter Page, the Filer will need to return to the initial "Spouse's Employment Interests" page by clicking the "Previous" button.

4. Questions about the Source or Asset: *Integrity* will ask several questions about the source or asset that the Filer wishes to report. The questions will differ based on whether the Filer is reporting a source of earned income (excluding honoraria), a source of honoraria, or an employment-related asset. The Filer should click "Item Completed" if the Filer has answered all of the questions. The Filer should click "I need to finish the rest later" if the Filer needs to go back to these questions later. The Filer should click "Add Another" to add another source or asset.

E Filer1, Sample M	Spouse's Employment Interests, Earned Inc honoraria)	come (excluding
Getting Started Federal Positions Positions Employment Assets & Income Employment Arrangements	QUESTIONS RELATED TO A SPOUSE'S EMPLOYMENT INTERESTS In this section, report your spouse's sources of earned income in excess of \$1 separate entry.	.000 during the reporting period <table-cell> , excluding honoraria and income from employment with the United States federal government. Report each source as a</table-cell>
Spouse's Employment Printable View	NAME OF SOURCE Provide the name of the source (e.g., employer, law firm, or business).	Continental Logistics
HELP CLOSE WINDOW	TYPE OF SOURCE Is this a privately held company?	○ Yes ③ No
	INCOME TYPE Select all of the types of earned income that your spouse received from this source during the reporting period (excluding honoraria).	✓ salary ✓ bonus consulting fees director fees legal frees (polo legal practice) LLC distribution pathership share severance trustee fees € other
	Save - Add Another Source	Save - I need to finish the rest later

5. Chapter Page – Editing Sources or Assets: The Filer will return to the Chapter Page after exiting questions for a given category. Entries will appear below a category for the source(s) or asset(s) reported. A progress bar will indicate whether the Filer completed the questions or whether the Filer needs to finish the rest later. The Filer would click the "Edit" button to resume answering questions.

MY FILINGS	MY PROGRESS	
Getting Started		
Federal Positions	Select "Add" to report your spouse's employment-related assets and sources of income. If you need to edit an asset or source of income that you already reporte	d. select the "Edit" button. Once you have reported all of your
Positions	spouse's employment-related assets and income (excluding retirement plans), select the "Next" button to continue.	
Employment Assets & Income		
Employment Arrangements	SPOUSE EARNED INCOME	Hide Details Add Spouse Earned Inco
Spouse's Employment	Promote Anna	
Printable View	Progress Asset	
HELP	Continental Logist is Edit	
CLOSE WINDOW		

6. Chapter Page – Finished: After the Filer clicks "Item Completed" for all sources and assets, the progress bar for each item will be completely blue. The Filer should click "Next" to move forward to the next section.

≡ ▲ Filer1, Sample M	Your Spouse's Employment Assets
MY FILINGS Getting Started	MY PROGRESS
Federal Positions Positions	Select 'Add' to report your spouse's employment-related assets and sources of income. If you need to edit an asset or source of income that you already reported, select the 'Edit' button. Once you have reported all of your Spouse's employment-related assets and income (excluding retirement plans), select the 'Next' button to continue.
Employment Assets & Income Employment Arrangements Spouse's Employment Printable View	SPOUSE EARNED INCOME Section Completed Frogress Asset
• HELP	Continental Logistics Edit
CLOSE WINDOW	Previous

Using the Spouse's Retirement Plans/Accounts Wizard

1. Identify Plan/Account Types: The first page of the wizard asks whether the Filer has various types of retirement plans or accounts to report for a spouse. The Filer should select all of the types that are applicable and, then, click "Next" to continue.

≡ ▲ Filer1, Sample M	Spouse's Retirement Plans/Accounts
MY FILINGS	IDENTIFY THE TYPES OF RETIREMENT PLANS
Getting Started Federal Positions Positions	In this section, you will report any retirement plans that your spouse has or had (excluding United States federal government retirement plans, which are not reportable).
Employment Assets & Income Employment Arrangements Spouse's Employment Spouse's Retirement Plans	TYPE OF PLAN From the list below, select a types of retirement plans or accounts that your spouse has or had during the reporting period Individual account (e.g., IRA, Roth IRA, SEP IRA, and Keogh Plans) © defined contribution plan © (e.g., 401x, 403b, 401a, 457, and TIAA-CREF © accounts obtained through employment)
Printable View	 cash balance pension plan other retirement plan not specified no retirement plans or accounts (other than from United States federal government employment)
CLOSE WINDOW	Previous Save

2. Chapter Page – Add a Specific Plan/Account: The second page of the wizard is a list of the plan/account types that the Filer selected on the prior screen. A progress bar underneath each type indicates whether the Filer has provided an entry for that plan/account type. The Filer should click the "Add" button at the right to begin.

≡ ▲ Filer1, Sample M	Your Spouse's Retirement Plans/Accounts
MY FILINGS	MY PROGRESS
Getting Started	
Federal Positions	You will see an "Add" button next to each type of retirement plan or account selected on the prior page. Select the "Add" button to report a particular plan or account of that type. If you need to edit one of the plans or accounts
Positions	To all make and used in the case if yes or instantiants pain are reported and only any second structure prior particular pains and case if any or instantiants or the prior particular pains and case if any second structure pains and case and structure pains and case and any second structure pains and case an
Employment Assets & Income	
Employment Arrangements	DEFINED BENEFIT PLAN (I.E., TRADITIONAL PENSION)
Spouse's Employment	
Spouse's Retirement Plans	Progress Company
Printable View	
• HELP	Previous

Note: To add a type of plan/account not listed on the Chapter Page, the Filer will need to return to the initial "Retirement Plan" page by clicking the "Previous" button.

3. Questions about the Plan/Account: *Integrity* will ask several questions about the particular plan/account that the Filer wishes to report. The questions will differ based on the type of plan/account. The Filer should click "Item Completed" if the Filer has answered all of the questions. The Filer should click "I need to finish the rest later" if the Filer needs to go back to these questions later. The Filer should click "Add Another" to add another plan/account of that same type.

≡ ▲ Filer1, Sample M	Spouse's Retirement Plans/Accounts		
MY FILINGS	SPOUSE'S RETIREMENT PLANS - DEFINED BENEFIT PLAN		
Getting Started Federal Positions Positions Employment Assets & Income	NAME OF SPONSOR Provide the name of the employer that sponsors this defined benefit plan.	Continental Logistics	
Employment Assess & Income Employment Arrangements Spouse's Employment Spouse's Retirement Plans	VALUE Are you able to provide a value for this defined benefit plan?	○ Yes ④ No, a value is not readily ascertainable	
Printable View	INCOME Did your spouse receive more than \$1,000 in payments from this defined bengît plan during the reporting period?	 ○ Yes ● No 	
CLOSE WINDOW	Save - Add Another Defined Benefit Plan	Save - I need to finish the rest later	Save - Item Completed

4. Chapter Page – Editing Plans/Accounts: The Filer will return to the Chapter Page after exiting the questions related to a plan/account type. Entries will appear below a plan/account type for the specific plan(s) or account(s) reported. A progress bar will indicate whether the Filer completed the questions or whether the Filer needs to finish the rest later. The Filer would click the "Edit" button to resume answering questions for an entry.

=	Your Spouse's Retirement Plans/Accounts									
🐣 Filer1, Sample M	•									
MY FILINGS	MY PROGRESS									
Getting Started										
Federal Positions	You will see an 'Add' button next to each type of retirement plan or account selected on the prior page. Select the 'Add' button to report a particular plan or account of that type. If you need to edit one of the plans or accounts									
Positions	that you already reported, select the "Edit" button. Once you have reported all of your spouse's retirement plans or accounts, select the "Next" button to continue.									
Employment Assets & Income										
Employment Arrangements	DEFINED BENEFIT PLAN (I.E., TRADITIONAL PENSION)									
Spouse's Employment										
Spouse's Retirement Plans	Progress Company									
Printable View	Continental Logist s Edit									
@ HELP										
	Previous									

5. Chapter Page – Finished: After the Filer has clicked "Item Completed" for all plans and accounts, the progress bar for each item will be completely blue. The Filer should click "Next" to move forward to the next section.

≡ ▲ Filer1, Sample M	Your Spouse's Retirement Plans/Accounts						
MY FILINGS	MY PROGRESS						
Getting Started							
Federal Positions	You will see an "Add" button next to each type of retirement plan or account selected on the prior page. Select the "Add" button to report a particular plan or account of that type. If you need to edit one of the plans or accounts						
Positions	that you already reported, select the "Edit" button. Once you have reported all of your spouse's retirement plans or accounts, select the "Next" button to continue.						
Employment Assets & Income							
Employment Arrangements	DEFINED BENEFIT PLAN (I.E., TRADITIONAL PENSION) Hide Details Add Defined Benefit Plan						
Spouse's Employment	Section Completed						
Spouse's Retirement Plans	Progress Company						
Printable View	Continental Logistics Edit						
@ HELP							
	Previous						

Exit Confirmation for the Spouse Wizards

The Filer needs to confirm that he or she is finished using the Spouse wizards before the Filer can proceed to the next step. Then, *Integrity* will take the answers and populate the data entry grid for Part 5. The Filer cannot return to these wizards once population occurs, so the Filer will need to use the data entry grid to make any further changes.

E Filer1, Sample M	Spouse Employment-Related Interests
🖋 MY FILINGS	IMPORTANT NOTICE
Getting Started Federal Positions Positions Employment Assets & Income	You have finished answering the questions related to your spouse's employment-related assets and income. The system will now use your answers to populate another part of your financial disclosure report, which will be displayed in a table format. You will have a chance to review and make any needed changes, including additions and deletions, to these tables. However, you will not be able to return to the narrative questions you have just answered.
Employment Arrangements Spouse's Employment Spouse's Retirement Plans	Continue to the next section.
Printable View HELP	Predous

4.3.4 - Data Entry Grids: Introduction

Instructions

The instructions for completing the data entry grid appear at the top of the screen above the grid. These instructions are similar to the instructions that accompany a paper version of the OGE Form 278e; however, the instructions within *Integrity* will vary based on the type of report being filed and whether the Filer was routed through the filing wizards.

≡	Dart 2: Filer's Employment Assets & Income and Detirement Associate										
🐣 Filer1, Sample M.	Part 2: Filer's Employment Assets & Income and Retirement Accounts Add New Item										
MY FILINGS	In order to have a complete financial disclosure report, you need to report all of the following:										
Getting Started	• Each source from which you received 🛛 more than \$200 in earned and other non-investment income 🕤 during the reporting period 🚱 for this section (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes).										
- Federal Positions	• Each asset related to your business, employment, or other income-generating activities if the asset had a value greater than \$1,000 at the end of the preceding calendar year or if you received more than \$200 in income from the asset during the reporting period (e.g., equity in business or partnership, tack options, retirement plans/accounts and their underlying holdings as appropriate, anticipated payments such as severance, deferred compensation, and intellectual property with business or partnership. Both compensation, and intellectual property										
Positions	such as book deals and patents). Click the question mark for more examples. 9										
Employment Assets & Income	 Do not include assets or income from United States federal government employment. In addition, do not include assets that were acquired separately from your business, employment, or other income-generating activities (e.g., assets purchased through a brokenge account) because you will repeat these assets in Part 6, Other Assets and Income. 										
Employment Arrangements	риглазец и и изде а улже аде ассолит, реказе уол жил герот и иезе азекз и грат со, ошет эзекз ано и псоле.										
Spouse's Employment Assets & Income	25 • records per page Search:										
Other Assets & Income											
Transactions	Bulk Action- a DESCRATION : EF : VALUE : INCOME TYPE INCOME TYPE INCOME TAMOUNT										
Liabilities											
Gifts & Reimbursements	No rows to display										

The tool tip ("?") icon indicates that additional information is available. Clicking the icon displays that information.

Each source of your earned and other non-investment income 😮 totaling more than \$200 during the reporting period

Reporting Period	Tool tip		X
		-	

The reporting period is the preceding calendar year.

Grid

The data entry grid appears in the center of the screen below the instructions. Entries are displayed in the order that they were entered. The Filer can temporarily sort the entries by clicking the sort icon; however, sorting does not permanently change the order.

Employment Arrangements	purchased th		ge account) because you will repor		assets that were acquired sepa	arately from your business, e	employment, or other income	e-generating activities (e.g., assets
Spouse's Employment Assets & Income Other Assets & Income Transactions	25 • record	ds per page	C DESCRIPTION	Click to sort	Search:	value		INCOME AMOUNT
Gifts & Reimbursements		1	Allied Business Computing		N/A		Salary/Bonus	\$456,955
Report Data (Summary)		2	Allied Business Computing		N/A	None (or less than \$1,	001) Dividends Capital Gains	\$100,001 - \$1,000,000
Submit								

Nothing to Report

If the Filer has nothing to report for a grid, the Filer should select the checkbox next to the "I do not have..." statement that appears below the grid. The statement does not appear if the Filer reported entries for that grid.

ŵ	#	÷	DESCRIPTION	÷
No rows	to display			
Showin	ig 0 to 0 of 0 en	tries		
Previ	ous Step			

Change the Number of Entries Displayed on a Page

The Filer can change the number of row entries displayed on a page by selecting the "records per page" drop-down field.

25 • re	ecords per page	Search:		
10 25 All	# CESCRIPTION	÷ EIF ≑ VALUE	• INCOME TYPE	INCOME AMOUNT
	1 Allied Business Computing	N/A	Salary/Bonus	\$456,955

Move to a Different Page within a Grid

The number of row entries within a grid might exceed the number that can be displayed on a single page. To access these additional row entries, the Filer clicks the "Next" button at the bottom of the grid.

5 ▼ reco	ords per pa	ge	Search:			
Bulk Action~		DESCRIPTION	EIF \$	VALUE ‡	INCOME TYPE	INCOME AMOUNT
	1	Allied Business Computing	N/A		Salary/Bonus	\$456,955
	2	Allied Business Computing	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$100,001 - \$1,000,000
	3	Allied Business Computing, defined benefit plan (value not readily ascertainable): 2000/monthly at 65	N/A			None (or less than \$201)
	4	Sample Asset 1	N/A	\$50,001 - \$100,000		None (or less than \$201)
	5	Sample Asset 2	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
Showing 1 to 5 o	of 6 entries				← Previous	1 2 Next \rightarrow
Previous Step						Next Step

Move to a Different Step

The Filer can click the "Next Step" and "Previous Step" buttons to move between steps in the filing process. To visit a previously completed step, the Filer can also use the leftside navigation menu.



4.3.5 - Data Entry Grids: Add an Entry

Add an Entry

Clicking the "Add" button displays the "Add" section on the right.

≡ ▲ Filer1, Sample M.	Part 2: Filer's Employment Assets & Income and Retirement Accounts
🖋 MY FILINGS	In order to have a complete financial disclosure report, you need to report all of the following:
Getting Started Federal Positions Positions	 Each source from which you received IP more than \$200 in earned and other non-investment income IP during the reporting period IP for this section (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes). Each asset related to your busness, employment, or other income, generating activities if the asset had a value greater than \$1,000 at the end of the preceding calendar year or if you received more than \$200 in income from the asset during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, anticipated payments such as severance, deferred compensation, and intellectual property such as book deals and patents). Click the queation mark for more examples.
Employment Assets & Income	 Do not include assets or income from United States federal government employment. In addition, do not include assets that were acquired separately from your business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account) because you will report these assets in Part 6, Other Assets and income.

The Filer should then complete the fields in the "Add" section and click the "Save" button at the bottom of the "Add" section. The information entered in the "Add" section will appear in the data entry grid.

Other Assets & Income									EIF 😧
Transactions									Select a Response 🔻
Liabilities	25 • recor	rds per pa	ge	Sear	rch:				
Gifts & Reimbursements									Choose Item Value
Report Data (Summary)	Bulk Action~		DESCRIPTION				INCOME TYPE	INCOME AMOUNT	
Submit		1	Allied Business Computing	N/	A.		Salary/Bonus	\$456,955	INCOME TYPE
Printable View			And business computing	142					Select all that apply or one of the options below.
HELP		2	Allied Business Computing	N/		None (or less than \$1,001)	Dividends Capital Gains	\$100,001 - \$1,000,000	Not applicable (less than \$201)
CLOSE WINDOW		3	Allied Business Computing, defined benefit plan (value not ascertainable): 2000/monthly at 65	readily N/	A			None (or less than \$201)	Dividends
	Showing 1 to 3 of	f 3 entries					← Previo	us 1 Next→	Capital Gains Interest
	Previous Step							Next Step	Rent or Royalties
									Other
									Choose Income Amount 🔻
									OPTIONAL ENDNOTE O This will be visible to the public.
									Add/Edit Endnote
									Save Delete Cancel

The Filer can hide the "Add" section by clicking the "X" in the upper right.



Add an Underlying Asset

Filers sometimes need to report an asset that is held within another asset (e.g., the holdings of an investment fund that does not qualify as an excepted investment fund).

Before reporting an underlying asset, the Filer may first want to read the definition of "excepted investment fund" by clicking the tool tip next to the "EIF" field.

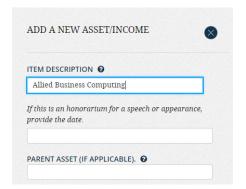
ADD A NEW ASSET/INCOME	EIF
	If you are reporting an investment vehicle that invests in assets of its own, you need to report each underlying asset that was individually worth more than \$1,000 at the end of the reporting period or from which more than \$200 in income was received during the reporting period. As an exception to this requirement, however, you do not need to report the underlying assets of an investment vehicle that qualifies as an excepted investment fund (EIF). Indicate whether your entry (1) does not have underlying assets ("N/A"); (2) does have underlying assets but qualifies as an EIF ("No").
If this is an honorarium for a speech of appearance, provide the date.	An excepted investment fund is an investment fund that is
	1. independently managed,
	2. "widely held," and
PARENT ASSET (IP APPLICABLE).	3. either "publicly traded or available" or "widely diversified"
	Additional Information about Key Terms
	 "independently managed": For purposes of the excepted investment fund definition, an investment fund is independently managed if you lack the ability to control the fund.
Select a Response TITEM VALUE	 "widely held": An investment fund is widely held if the fund involves at least 100 natural persons as direct or indirect investors.
Choose Item Value	 "publicly traded or available": An investment fund is publicly traded if it is listed on a national exchange (NYSE or NASDAO) or a regional exchange in the United States. An investment fund is publicly available if it is, or was, open to

After the Filer is sure that an underlying asset is reportable, the Filer should consider whether the underlying asset must specifically be reported as an underlying asset of its "parent." For example, according to the current rules for executive branch public financial disclosure, a Filer needs to report assets held within an IRA or brokerage account but need not specify that the assets are held in such an account. Reporting the underlying assets as separate line entries is sufficient. Filers should consult the "Public Financial Disclosure Guide," which is available on OGE's website, for assistance with the substantive reporting requirements for various investment vehicles.

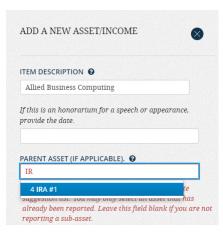
If the Filer is sure that an underlying asset is reportable and that underlying asset should be associated with its parent asset (or if the Filer would like to do so), the Filer would start the process of adding the underlying asset by adding the parent asset. For example, if the Filer is reporting a stock held within an IRA and would like to specify the IRA as the parent asset, the Filer would add an entry for the IRA first.

25 • records per	page		Searc	ch:			
Bulk Action~	#	* DESCRIPTION	÷ _{EIF}	÷	VALUE	ІЛСОМЕ ТҮРЕ	INCOME AMOUNT
	1	Allied Business Computing	N/.	A		Salary/Bonus	\$456,955
	2	Allied Business Computing	N/	A	None (or less than \$1,001)	Dividends Capital Gains	\$100,001 - \$1,000,000
	3	Allied Business Computing, defined benefit plan (value not readily ascertainable): 2000/monthly at 6	5 N/	A			None (or less than \$201)
	4	IRA #1	No)			
Showing 1 to 4 of 4 entr	ies						$\leftarrow \text{Previous} 1 \text{Next} \rightarrow$
Previous Step							Next Step

The "Add" section should still be open at the right. If the "Add" section is closed, the Filer should click the "Add" button again. The Filer should enter a description for the underlying asset. For example, if the IRA holds "Allied Business Computing" stock, the Filer would type the name of the stock into the "Item Description" field.



Next, the Filer should enter the name of the parent asset in the "Parent Asset" field. In this example, the Filer would type "IRA #1." As the Filer types, *Integrity* will suggest a list of options from the list of assets that the Filer already reported.



The Filer should select the name of the parent asset. The name of that asset will now appear in the "Parent Asset" field.

ITEM DESCRIPTION 🔞	
Allied Business Computing	
If this is an honorarium for a spee provide the date.	ch or appearance,

The Filer will receive an error message if the Filer types the name of an asset that does not appear in the list of options presented.

ITEM DESCRIPTION	ON 😧
Allied Business	s Computing
If this is an hono provide the date.	rarium for a speech or appearance,
PARENT ASSET (I	F APPLICABLE). 😧
IRA #2	

The Filer should complete the remaining fields for the underlying asset and, then, click the "Save" button. The underlying asset will now appear in the grid, and the row number will show its relationship to the parent asset.

25 • records per	page		Se	arch:				
Bulk Action~		C DESCRIPTION	÷	EIF	÷ va	ALUE 🗧	ІЛСОМЕ ТҮРЕ	INCOME AMOUNT
	1	Allied Business Computing		N/A			Salary/Bonus	\$456,955
	2	Allied Business Computing		N/A	N	ione (or less than \$1,001)	Dividends Capital Gains	\$100,001 - \$1,000,000
	3	Allied Business Computing, defined benefit plan (value not readily ascertainable): 2000/monthly at 6	55	N/A				None (or less than \$201)
	4	IRA #1		No				
	4.1	Allied Business Computing		N/A	\$1	1,001 - \$15,000		None (or less than \$201)
Showing 1 to 5 of 5 entries 1 Next -								$\leftarrow \text{Previous} 1 \text{Next} \rightarrow$
Previous Step								Next Step

4.3.6 - Data Entry Grids: Edit or Move an Entry

Edit an Entry

To edit an entry, the Filer should select the text that appears in the first column of the grid after the entry "#." For example, to edit an employment-related asset, the Filer should select the text in the "Description" column. The Filer will see the entry data appear in the "Add" section at the right side of the screen. The Filer should change the fields as needed and click the "Save" button.

Filer1, Sample M.	Part 2: Filer' Accounts	's Employment Assets & Incor	ne and Retirement	I		Add New Item	Allied Business Computing
	In order to have a com	plete financial disclosure report, you need to report all	of the following:			ر	
Getting Started	 Each source from w 	which you received 😧 more than \$200 in earned and ot	her non-investment income 🚱 du	ing the reporting	period 😧 for this s	ection (e.g., salar, rees,	Allied Business Computing
Federal Positions	partnership share, l	honoraria, scholarships, and prizes).					If this is an honorarium for a speech or appearance,
Positions		to your business, employment, or other income-genera ved more than \$200 in income from the asset during th					provide the date.
Employment Assets & Income	plans/accounts and	d their underlying holdings as appropriate, anticipated p					
Employment Arrangements		. Click the question mark for more examples. 🛛					PARENT ASSET (IF APPLICABLE).
Spouse's Employment Assets & Income		assets or income from United States federal governme oyment, or other income-generating activities (e.g., asse					
Other Assets & Income	Other Assets an	nd Income.					EIF 🚱
Transactions							N/A = No underlying assets
Liabilities	25 v records	; per page	search:				
Gifts & Reimbursements							Choose Item Value
Report Data (Summary)	Bulk Action~	# CESCRIPTION			INCOME TYPE	INCOME AMOUNT	- Choose item value -
Submit		1 Allied Business Computing			Calan (Danua	4456.055	INCOME TYPE 😧
rintable View		Ailled Business Computing	N/A		Salary/Bonus	\$456,955	Select all that apply or one of the options below.
HELP		2 Allied Business Computing		ne (or less than 001)	Dividends Capital Gains	\$100,001 - \$1,000,000	Not applicable (less than \$201)
CLOSE WINDOW		3 Allied Business Computing, defined benefit pla ascertainable): 2000/monthly at 65	an (value not readily N/A			None (or less than \$201)	Dividends
	Showing 1 to 3 of 3	entries			← Previo	ous 1 Next→	Capital Gains
	Previous Step					Next Step	Rent or Royalties
							✓ Other
							Salary/Bonus

Move Entries among Parts 2, 5, and 6

In certain cases, the Filer may need to move an entry from Part 2, 5, or 6 of the report to another one of those Parts. For example, an entry originally added to Part 2 (Filer's Employment Assets & Income and Retirement Accounts) may better meet the requirements for Part 6 (Other Assets and Income). To move an entry among these three Parts, the Filer should first open the entry by selecting the text in the "Description" column.

Bulk Action~	#	: DESCRIPTION	EIF \$	VALUE	ІЛСОМЕ ТҮРЕ	INCOME AMOUNT
	1	Allied Business Computing	N/A		Salary/Bonus	\$456,955
	2	Allied Business Computing	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$100,001 - \$1,000,000
	3	Allied Business Computing, defined benefit plan (value not readily ascertainable): 2000/monthly at 65	N/A			None (or less than \$201)
	4	Sample Text	N/A	\$1,001 - \$15,000		None (or less than \$201)

The Filer should scroll to the bottom of the "Add" section that appears to the right and click the "Move Asset" button.

4 Sample Text	N/A \$1,001 - \$15,000 \$201)	s than Capital Gains
Showing 1 to 4 of 4 entries	← Previous 1 Ne	t \rightarrow
Previous Step	Next	Other
		None (or less than \$201)
		OPTIONAL ENDNOTE O This will be visible to the public.
		Add/Edit Endnote
		Save Delete Cancel
		Move Asset
		MOVE ASSEL

In the pop-up window that appears, the Filer should select the Part to which the Filer wants to move the asset and click the "Move" button. Moving an underlying asset will move just that one underlying asset; however, moving a parent asset will move both the parent asset and all of its underlying assets.

Move Asset	X
Move asset and all of its sub-assets to:	
Part 6: Other Assets & Income	•
Select a Target Grid Part 5: Spouse's Employment Assets & Income Part 6: Other Assets & Income	
	Cancel Move

Note that "Over \$1,000,000" is a valid option for the "Value" and "Income Amount" fields in Parts 5 and 6, but this option is not available in Part 2.

4.3.7 - Data Entry Grids: Delete an Entry

The Filer should follow the instructions for editing an entry and click the "Delete" button. Deleting a parent asset will delete all of the underlying assets linked to that parent asset. For example, deleting row 4 ("IRA #1") in the grid below will also delete row number 4.1 ("Allied Business Computing"). Deletions are irreversible.

Bulk Action~		DESCRIPTION :		VALUE	COME TYPE	INCOME AMOUNT
	1	Allied Business Computing	N/A		Salary/Bonus	\$456,955
	2	Allied Business Computing	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$100,001 - \$1,000,000
	3	Allied Business Computing, defined benefit plan (value not readily ascertainable): 2000/monthly at 65	N/A			None (or less than \$201)
	4	IRA #1	No			
	4.1	Allied Business Computing	N/A	\$1,001 - \$15,000		None (or less than \$201)

4.3.8 - Data Entry Grids: Endnotes

The Filer may use endnotes in the rare case that the Filer has additional information to disclose that does not fit within the standard data entry fields provided.

How Endnotes Differ from Comments and Public Annotations

An endnote is considered an integral part of the associated line entry. Therefore, the endnote will be included on the printable, publicly releasable report and will be retained until the report reaches the end of the applicable records retention period. The Filer should not use endnotes to communicate information meant only for the Reviewer.

The "Comments" feature provides a way for Filers and Reviewers to communicate with each other in *Integrity* after a report has been filed (i.e., the equivalent of an email or phone call about the report). Comments are not part of the releasable report and are removed at the conclusion of the review process. See <u>section 4.5.4</u>.

The "Public Annotation" feature provides a way for Reviewers to add a note that will be included on the printable, publicly releasable version of the report (i.e., the equivalent of a pen-and-ink note on the face of a paper form). These annotations will be retained until the report reaches the end of the applicable records retention period. See <u>section 4.5.5</u>.

Add Endnotes

The Filer should open the "Add" section at the right side of the screen by clicking the "Add" button (for a new entry) or selecting the text in the "Description" column (for an existing entry).

Filer1, Sample M.	Part 2: File Accounts	er's Er	nployment Assets & Income and Re	etirem	ent		Add New Item	Allied Business Computing	8
MY FILINGS			ancial disclosure report, you need to report all of the following:						
Getting Started		1.1	Allied Business Computing						
Federal Positions	 Each source from partnership share 		section (e.g., salary, fees,						
ositions	Each asset relate	ed to your	business, employment, or other income-generating activities if the	e asset had	a value greater than \$	1,000 at the end of	the preceding calendar	If this is an honorarium for a speech or appearan provide the date.	ice,
mployment Assets & Income			e than \$200 in income from the asset during the reporting period nderlying holdings as appropriate, anticipated payments such as						
mployment Arrangements			e question mark for more examples. 🛛	Jeverance,	derented compensation	n, und intellectual p	roperty such as book	PARENT ASSET (IF APPLICABLE).	
pouse's Employment Assets &			r income from United States federal government employment. In					FARENT ASSET (II AFFEICABLE).	
ncome Dther Assets & Income	Other Assets		, or other income-generating activities (e.g., assets purchased thro ne.	ougn a brok	erage account) becaus	e you will report the	ese assets in Part 6,	EIF Q	
ransactions								N/A = No underlying assets	
iabilities	25 • recor	rds per pa	70	Search:				NACE NO UNDERVING 035CD	
ifts & Reimbursements	25 • 1000	ius pei pa	je					ITEM VALUE 🚱	
eport Data (Summary)	Bulk Action~		DESCRIPTION	: _{EIF} :		INCOME TYPE	INCOME AMOUNT	Choose Item Value	•
ubmit		.	DESCRIPTION		VALUE	INCOME ITPE	INCOME AMOUNT	INCOME TYPE	
rintable View		1	Allied Business Computing	N/A		Salary/Bonus	\$456,955	Select all that apply or one of the options below.	
IELP		2	Allied Business Computing	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$100,001 - \$1,000,000	Not applicable (less than \$201)	
LOSE WINDOW		3	Allied Business Computing, defined benefit plan (value not read ascertainable): 2000/monthly at 65	ily N/A			None (or less than \$201)	Dividends	
								Capital Gains	
	Showing 1 to 3 of	f 3 entries				← Previ	ous 1 Next→	Interest	
	Previous Step						Next Step	Rent or Royalties	
								✓ Other	
								AMOUNT DESCRIPTION	
								Salary/Bonus	

The Filer should scroll to the bottom of the "Add" section and click the "Add/Edit Endnote" button.

Submit								INCOME TYPE 😧
Printable View		1	Allied Business Computing	N/A		Salary/Bonus	\$456,955	Select all that apply or one of the options below.
• HELP		2	Allied Business Computing	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$100,001 - \$1,000,000	Not applicable (less than \$201)
CLOSE WINDOW		3	Allied Business Computing, defined benefit plan (value not readily ascertainable): 2000/monthly at 65	N/A			None (or less than \$201)	Dividends
								Capital Gains
	Showing 1 to 3 of	f 3 entrie:	s			← Previ	ious 1 Next→	Interest
	Previous Step						Next Step	Rent or Royalties
								☑ Other
								AMOUNT DESCRIPTION
								Salary/Bonus
								INCOME AMOUNT 😧
l i i i i i i i i i i i i i i i i i i i								456955
								OPTIONAL ENDNOTE O This will be visible to the public.
								Add/Edit Endnote

In the "Endnote" window that appears, the Filer should enter the text of the endnote and click "Save."

ENDNOTE	X
Sample text	
	Candel Save

• HELP		2	Ailied Business Computing	N/A	\$1,001)	Capital Gains	\$1,000,000	
		3	Allied Business Computing, defined benefit plan (value not readily ascertainable): 2000/monthly at 65	N/A			None (or less than \$201)	Dividends
	Showing 1 to 3 Previous Step		5			← Previou	us 1 Next→ Next Step	Capital Gains Interest Rent or Royalites Other
								AMOUNT DESCRIPTION
								INCOME AMOUNT @ 456955
								OPTIONAL ENDANCE This will be visible to the public. Add/Edit Endnote
								You have an unsaved endnote. Please save it by clicking the Save button below.
							C	Save Delet Cancel

Next, the Filer should click the "Save" button at the bottom of the "Add" section.

The phrase "See Endnote" now appears in the Description field for the line entry associated with the endnote.

Gifts & Reimbursements Report Data (Summary)	Bulk Action~	. :	description :	: _{EIF} ‡	VALUE ÷	INCOME TYPE	INCOME AMOUNT	Choose Item Value
Submit Printable View		1	Allied Business Computing See Endnote.	N/A		Salary/Bonus	\$456,955	INCOME TYPE O Select all that apply or one of the options below.
		2	Allied Business Computing	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$100,001 - \$1,000,000	Not applicable (less than \$201)
HELP		3	Allied Business Computing, defined benefit plan (value not readil ascertainable): 2000/monthly at 65	V _{N/A}			None (or less than \$201)	Dividends
	Showing 1 to 3 of	3 entries				← Previ	ous 1 Next→	Capital Gains
	Previous Step						Next Step	Rent or Royalties
								Other INCOME AMOUNT
								Choose Income Amount
								OPTIONAL ENDNOTE O This will be visible to the public.
								Add/Edit Endnote
								Save Delete Cancel

View Endnotes

The Filer can view an endnote directly from the data entry grid by clicking the word "Endnote" in the "Description" column.

Bulk Action~		DESCRIPTION	≑ EIF ∓ VALUE	÷ INCOME TYPE	INCOME AMOUNT
	1	Allied Business Computing See Endnote	N/A	Salary/Bonus	\$456,955

The Filer will not be able to edit the endnote within the window that appears. To edit an endnote, see the "Edit Endnotes" section below.

The Filer can also view endnotes on the "Report Data (Summary)" and "Printable View" pages. The endnotes are grouped together at the end of the report in a special "Endnotes" section. The "Part" column indicates the Part of the report; the "#" column indicates the entry number within that Part; and the "Endnote" column includes the text of the endnote.

8. Liabilities None
9. Gifs and Travel Reimbursements None
Endnotes
PART # ENGNOTE
2. 1 Sample Text
Summary of Contents
1. Filer's Positions Held Outside United States Government
Part 1 discloses positions that the filer held at any time during the reporting period (excluding positions with the United States Government). Positions are reportable even if the filer did not receive compensation. This section does not include the following; (1) positions with religious, social, fratemal, or political organizations; (2) positions solely of an honorary nature; (3) positions held as part of the filer's official duties with the United States
ms section does not include the following (1) positions with religious, social, internet, or policial organizations; (2) positions solely or an include (3) positions net us part of the inter's unital doues with the united states Government; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.
2. Filer's Employment Assets & Income and Retirement Accounts

Edit Endnotes

The Filer should open the "Add" section at the right side of the screen by selecting the text in the "Description" column. The Filer should scroll to the bottom of the "Add" section and click the "Add/Edit Endnote" button.

Gifts & Reimbursements	Ĥ			- 1	DESCRIPTION	-	EIF	VALUE	-	INCOME TYPE	INCOME AMOUNT	Choose Item Value *
Report Data (Summary) Printable View	_			-			N/A			6 Jan 10	4154.055	INCOME TYPE
Philable view			1		Allied Business Computing See Endnote.		N/A			Salary/Bonus	\$456,955	Select all that apply or one of the options below.
• HELP			2		Allied Business Computing		N/A	None (or less than \$1,001)	١	Dividends Capital Gains	\$100,001 - \$1,000,000	Not applicable (less than \$201)
CLOSE WINDOW			3		Allied Business Computing, defined benefit plan (value not readily ascertainable): 2000/monthly at 65		N/A				None (or less than \$201)	Dividends
	sh	nowir	ng 1 t	030	of 3 entries					← Pre	vious 1 Next→	Capital Gains
		Previ	ious SI	tep							Next Step	Rent or Royalties
												Choose Income Amount 🔻
												OPTIONAL ENDNOTE O This will be visible to the public.
												Add/Edit Endnote
												Save Delete Cancel

In the "Endnote" window that appears, the Filer should make the desired changes and click "Save."

ENDNOTE	X
Sample text - edit	
	Cance

The Filer completes the process by clicking the "Save" button at the bottom of the "Add" section.

B HELP		2	Allied Business Computing	N/A	\$1,001)	Capital Gains	\$1,000,000	
CLOSE WINDOW		3	Allied Business Computing, defined benefit plan (value not readily ascertainable): 2000/monthly at 65	N/A			None (or less than \$201)	Dividends
	Showing 1 to 3	of 3 entrie	5			← Previou	us 1 Next→	Capital Gains
	Previous Step						Next Step	Rent or Royalties
								Other AMOUNT DESCRIPTION
								Salary/Bonus
								INCOME AMOUNT @ 456955
								OPTIONAL ENDNOTE O This will be visible to the public.
								Add/Edit Endnote
								You have an unsaved endnote. Please save it by clicking the Save button below.
							(Save Delet Cancel

Delete Endnotes

The Filer deletes an endnote by following the basic steps for editing an endnote; however, when the "Endnote" window is open, the Filer should delete all of the endnote text and click "Save" in the now-empty window.

ENDNOTE		×
1		
		//
		Cance Save

4.3.9 - Data Entry Grids: Bulk Actions

Part 2, Part 5, and Part 6 have a "Bulk Action" button at the far left of the data entry grid. Below that button, there is a column of checkboxes. The Filer can use this button to delete, move, or select a parent asset for multiple entries.

To begin, the Filer should select the checkbox for each entry being deleted, moved, or associated with a parent. The "Bulk Action" button is inactive until the Filer checks at least one box.

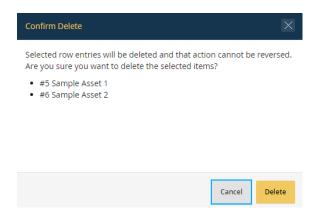
Bulk Action~		DESCRIPTION :		VALUE	COME TYPE	INCOME AMOUNT
	1	Allied Business Computing See Endnote.	N/A		Salary/Bonus	\$456,955
	2	Alled Business Computing	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$100,001 - \$1,000,000
	3	Allied Business Computing, defined benefit plan (value not readily ascertainable): 2000/monthly at 65	N/A			None (or less than \$201)
	4	IRA #1	No			
	5	Sample Asset 1	N/A	\$1,001 - \$15,000		None (or less than \$201)
	6	Sample Asset 2	Yes	\$15,001 - \$50,000		None (or less than \$201)

The Filer should click the "Bulk Action" button and choose Delete, Move to Different Part, or Select Parent Asset.

Bulk Action~		C DESCRIPTION		VALUE	ІNCOME ТҮРЕ	INCOME AMOUNT
DELETE MOVE TO DIFFERENT PART	1	Allied Business Computing See Endnote.	N/A		Salary/Bonus	\$456,955
SELECT PARENT ASSET	2	Allied Business Computing	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$100,001 - \$1,000,000
	3	Allied Business Computing, defined benefit plan (value not readily ascertainable): 2000/monthly at 6	5 N/A			None (or less than \$201)
	4	IRA #1	No			
V	5	Sample Asset 1	N/A	\$1,001 - \$15,000		None (or less than \$201)
×	6	Sample Asset 2	Yes	\$15,001 - \$50,000		None (or less than \$201)

Delete

If the Filer chose Delete, the Filer will be asked to confirm the entries to be deleted by clicking the "Delete" button. Deleting a parent asset will delete that asset and its underlying assets.



Move to Different Part

If the Filer chose Move to Different Part, the Filer will be asked to specify the Part to which to move the selected entries. The Filer should choose a Part from the drop-down list and click the "Move" button. Moving a parent asset will move that asset and its underlying assets.

Confirm Move									
The selected row entries will be moved to the Part of the report that you designate. Are you sure you want to move the selected items?									
#5 Sample Asset 1#6 Sample Asset 2									
Move asset and all of its sub-assets to:									
Select a Target Grid		•							
Select a Target Grid									
Part 5: Spouse's Employment Assets & Income									
Part 6: Other Assets & Income									
	Cancel	Move							

Select Parent Asset

If the Filer chose Select Parent Asset, the Filer will be asked to specify the entry that should be made the parent asset of the selected entries. The Filer should enter the name of the parent asset in the "Parent Asset" field. In this example, the Filer would type "IRA #1." As the Filer types, *Integrity* will suggest a list of options from the list of assets that the Filer has already reported. The Filer should choose the name of the parent asset and click the "Select Parent" button.

Confirm Parent Assignment	X
The selected row entries will be made child/subordinate assets of Are you sure you want to make the selected items child/subordin • #5 Sample Asset 1 • #6 Sample Asset 2	
PARENT ASSET	1
4 IRA #1 Suggestant tist. Tou may only select an asset that has already been reported.	
Ca	ncel Select Parent

4.3.10 - Data Entry Grids: Import Entries

Import Assets and Sources of Income from a Microsoft Excel Spreadsheet

The Filer can import up to 1,000 entries at one time from a Microsoft Excel spreadsheet into Parts 2, 5, and 6. Note: If the Filer is completing a pre-populated report, the Filer should generally update existing assets through editing individual rows, leaving the import function for new, not-previously-reported assets.

First, the Filer should click the "Download Template" link above the data entry grid.



The Filer should then specify where to save a copy of the template. After doing this, the Filer should open the template and begin adding information. The first row of the template has the header labels for each column, which correspond to fields on the data entry grid. The second row is a sample entry, which shows how to enter data into the template.

	Α	В	С	D	E	F	G	Н	I
1	Item Description	Honorarium Date	Parent Asset	EIF	Item Value	Income Type: Not applicable (less than \$201)	Income Type: Dividends	Income Type: Capital Gains	Income Type:
2	Item 1	7/27/2002		N = Not EIF	\$50,001 - \$100,000		Yes	Yes	
3									
4									
5									

After adding the rows to import, the Filer should save the template. The Filer should next click the "Choose File" button.



The Filer should select the template from the location in which the Filer saved it. The Filer should click the "Upload" button.

≡ ▲ Filer1, Sample M	Part 2: Filer's Employment Assets & Income and Retirement Accounts
🖋 MY FILINGS	In order to have a complete financial disclosure report, you need to report all of the following:
Getting Started	• Each source from which you received ID more than \$200 in earned and other non-investment income ID during the reporting period ID for this section (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes).
Federal Positions Positions	 Each asset related to your business, employment, or other income-generating activities if the asset has a value greater than \$1,000 or if you received more than \$200 in income from the asset during the reporting period (e.g., equity in business, partnership, stock options, returnent plans/accounts and their underlying holdings as appropriate, anticipated payments such as severance, deferred compensation, and intellectual property such as book deals and patents). Click the question mark for more examples.
Employment Assets & Income	 Do not include assets or income from United States federal government employment. In addition, do not include assets that were acquired separately from your business, employment, or other income-generating activities (e.g., assets purchased through a brokenage account) because you will report these assets in Part 6, Other Assets and income.
Employment Arrangements	purchased univogri a drokelage account, because por uni report unese assess in rati o, curei. Assess and income.
Sources of Compensation	IMPORT FROM SPREADSHEET D Download Part 2 Template
Other Assets & Income	
Printable View	Choose File EmployeeAssmplate.xist. Upload Emrove

The entries from the spreadsheet will be added after the existing entries.

HELP CLOSE WINDOW	25 v record	s per page			Search:		
-	Bulk Action~					INCOME TYPE	INCOME AMOUNT
		1	Sample Asset 1	N/A	\$1,001 - \$15,000		None (or less than \$201)
		2	Sample Asset 2	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
		3	Sample Asset 3	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500

Imported entries must include a description in the Item Description field and follow the data validation rules for EIF, Income Type, and Income Amount. If one of the entries does not meet these criteria, the import process will fail and the Filer will receive an error message that identifies the problematic row(s) in the template.

IMPORT FROM SPREADSHEET	\times
Row 3 Item Description is required. Row 4 For an EIF, 'Income Type: Dividends' must be blank or 'No'	

Import Transactions from a Periodic Transaction Report into the Transactions Grid

If the Filer is required to report transactions on an Annual or Termination report that have been previously disclosed on a Periodic Transaction report (or if the Filer would prefer to make such duplicate reporting), *Integrity* allows the Filer to import transactions directly from prior Periodic Transaction reports into the Part 7 grid.

To import transactions, the Filer goes to the "Transactions" grid and selects a report from the "Add Transactions" drop-down field. Then, the Filer clicks the "Add to Grid" button.

≡ ▲ Filer1, Sample M.	Part 7: Transactions			Add New Transaction
🖋 MY FILINGS	In this section, you will report transactions involving your assets and those of			
Getting Started Federal Positions Positions Employment Assets & Income	 Do not report transactions that concern the following: (1) a personal res and money market mutual funds; (3) Treasury bills, bonds, notes, and Un a mutual fund but do not report the mutual fund's purchases of stock). 	etes © in excess of \$1,000 that was made by you or by your spouse or your depend subserve, unless the personal readence was rented out at any point during the repo- tited States savings bonds; (4) holdings within a federal Thrift Savings Plan account; you were not a public filer or an employee of the United States federal governmen	rting period; (2) cash accounts (e.g., checking, savings, CDs and (5) holdings within an excepted investment fund $oldsymbol{0}$ (e	.g., report your purchase of
Employment Arrangements Spouse's Employment Assets & Income Other Assets & Income	ADD TRANSACTIONS FROM A PREVIOUS 278-T REPORT	Pick a Report - Pick a Report - 0204/2020 12:36 pm	Add to Grid	
<u>Transactions</u> Liabilities	25 • records per page	Search:		

The transactions from the selected report appear in the data entry grid. The "Imported" column will display the date of the imported report. This column does not appear on the printable, publicly releasable version of the report.

25	25 • records per page			Search:			
#		÷ TYPE	≑ DATE	÷ AMOUNT	÷ OWNER		
1	Allied Business Computing	Sale	12/18/2019	\$100,001 - \$250,000		02/04/2020	

If the Filer edits an imported transaction, the "Imported" column will note the edit.

25 records per page Search:								
#	:	DESCRIPTION	÷ TYPE	≑ DATE	÷ AMOUNT		IMPORTED	2
1		Allied Business Computing edit	Sale	12/18/2019	\$100,001 - \$250,000		02/04/2020 Edited	J

4.3.11 - Review the Report Data (Summary)

The "Report Data (Summary)" page displays all of the information that the Filer has provided. If the Filer wishes to make a change, the Filer should select the "Edit" button for that section. The Filer can also use the left-side navigation menu.

Filer1, Sample M.	Previe	W						
MY FILINGS	YOU CAN	I REVIEW YOUR ENTIRE OGE FORM 278E ON THIS P	AGE. SELECT THE "NEXT" BUTTON AT THE	TOP OR BOTTOM C	OF THE PAGE TO CONTINUE.			
Getting Started Federal Positions Positions Employment Assets & Income Employment Arrangements	Exec	Report 2020 for Calendar Year 2019 U.S. Office og cutive Branch Personnel lic Financial Disclosure Repo		Form Approved: O.	MB No. (3209-0001) (Updated Nov. 2		arted"	
oouse's Employment Assets & come	Filer's I	Information						Edit Pa
Transactions Jabilities Sifts & Reimbursements Report Data (Summary)	Sample	Sample M. Position, Sample Agency 2020 Year: 2020						
	1. Filer's None	s Positions Held Outside United States Gover	nment		To edit "Pa	art 1"		Edit
	2. Filer's	s Employment Assets & Income and Retirem	ent Accounts		To edit "P	art 2"		Edit
		DESCRIPTION		BF	VALUE	INCOME TYPE	INCOME AMOUNT	
	1	Allied Business Computing	See Endnote	N/A		Salary/Bonus	\$456,955	

4.3.12 - Submit the Report

To sign and submit the report, the Filer takes the following actions:

- 1. Scroll to the portion of the "Submit" page that displays the Filer Statement checkbox. Select that checkbox to indicate agreement with the corresponding statement.
- 2. Click the "Submit" button. The Filer will receive a message stating that the report was submitted.





4.3.13 - Submit an Early Termination Report

Agencies may permit Filers to submit Termination and Annual/Termination reports up to 15 days prior the actual termination date, provided that the Filer agrees to update the report if there are any changes between the filing date and the termination date.

Today's Date is No More Than 15 Days before Termination Date

If today's date is no more than 15 days before the termination date on the "Getting Started" page, the "Submit" page will display the following additional text in the Filer statement: "I understand that I am responsible for reporting information effective through my termination date. As a condition to filing before that date, I agree to report to the certifying official any changes in the information I reported. I will do so not later than thirty (30) days after my actual termination date."

Submit Executive Branch Public Financial Disclosure Report (OGE Form 278e)
In accordance with the Digital Signature Act of 1999, I recognize that my eSignature (Electronic or Digital Signature) shall be given the same legal status as a signature made with a pen. I further recognize that the eSignature may not be denied legal effect, validity, or enforceability soley because it is in electronic form. I hereby consent to the use of eSignature.
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.
i understand that I am responsible for reporting information effective through my termination date. As a condition to filing before that date, I agree to report to the certifying official any changes in the information I reported. I will do so not later than thirty (30) days after my actual termination date.
☑ I certify that the statements I have made in this report are true, complete, and correct to the best of my knowledge.
Submit OGE Form 278e

After submitting the report, the Filer's commitment to update, as needed, will appear on the Cover Page of the report.



Today's Date is More Than 15 Days before Termination Date

If today's date is more than 15 days before the termination date on the "Getting Started" page, the "Submit" page will display an error message.

You cannot sign this report more than 15 days prior to your termination date.

The Filer will not be able to submit the report until the Filer is within the 15-day period prior to the termination date. If the termination date on the "Getting Started" page is incorrect, the Filer can update the date and then submit the report.

The Filer's Agency Does Not Permit Early Filing

If the Agency does not permit early filing, the "Submit" page will display an error message. The Filer will not be able to submit the report until the termination date. If the Filer has any questions about the Agency's policy regarding early Termination reports, the Filer should contact an ethics official at the Agency.

You cannot sign this report before your termination date.

4.3.14 - Print the Report

To print the OGE Form 278e, the Filer should select the "Printable View" menu option. After the "Printable View" page opens, the Filer can print directly from the Internet browser or the Filer can first export the report to PDF.

Print after Exporting to PDF

The Filer should click the "Export to PDF" button in the upper right corner of the screen. The PDF will appear in a new window.

≡ ▲ Filer1, Sample M.	Preview Enable Basic For D	Export to PDF
🖋 MY FILINGS	REVIEW REPORT	
Getting Started Federal Positions Positions Employment Assets & Income Employment Arrangements Spouce's Employment Assets & Income // Assets & Income	Annual Report 2020 for Calendar Year 2019 U.S. Office of Government Ethics; S.C.F.R. part 2634 Form Approved: OMB No. (3209-0001) (Updated Nov. 2019) Executive Branch Personnel Public Financial Disclosure Report (OGE Form 278e) Filer's Information	
Transactions Liabilities Gifts & Reimbursements	Filer1, Sample M. Sample Position, Sample Agency 2020 Report Year: 2020	

Print from Internet Browser

The Filer would print the page as the Filer would normally print a web page in the Filer's Internet browser. If the Filer experiences any difficulties printing from the browser, the Filer should try clicking the "Enable Basic Fonts" button. If the Filer still experiences difficulties printing, the Filer will need to use the "Export to PDF" option.

4.4 - Resume a Report Prior to Filing

The Filer may have to end a session prior to filing a started report. After logging back into *Integrity*, the Filer should go to the "My Tasks" page within the Filer interface and look for a partially completed report under "My Current Reports." Instead of a "Start" button, the Filer will see an "Update" button next to the report. Clicking that button opens the report.

E MY TASKS	My Tasks
<u>My Tasks</u>	MY CURRENT REPORTS
	YEAR © ITEM © TYPE © AGENCY © GROUP © POSITION © DUE DATE © STATUS © DATE FILED © ACTION
HELP	
E LOG OUT	2020 Annual Report 278 Sample Agency 2020 Sample Agency 2020, Group 1 Sample Position 05/15/2020 Draft, Pre-Review Updat

The Filer will begin the report on "Getting Started" again; however, the Filer can use the left-side navigation menu or the "Next" buttons to move to the appropriate section.

4.5 - View and Edit a Report under Review

In many cases, the Filer will not have to view or edit the report while it is under review by the Agency. In some cases, however, the Agency may have questions or request changes. *Integrity* permits the Filer to view the report, respond to Agency comments within the system, and, with the Agency's permission, make changes.

4.5.1 - Open a Report

To open a report that is under review, the Filer goes to the "My Tasks" page within the Filer interface and looks for the report in "My Current Reports." A "View" or "Update" button is displayed at the far right. "View" means that the Filer cannot edit the report but can respond to Reviewer comments. "Update" means that a Reviewer has returned the report to the Filer for editing. Clicking the "View" or "Update" button opens the report.

🚍	Му	y Tasl	ks												
<u>My Tasks</u>	м	IY CURRE	NT REPORTS												
SETTINGS	,	YEAR 0	ITEM	ф Т	PE	AGENCY	¢	GROUP	÷	POSITION	¢ D	OUE DATE	STATUS	DATE FILED	ACTION
1 HELP															
🕒 LOG OUT	3	2020	Annual Report	27	8	Sample Agency 2020		Sample Agency 2020, Group 1		Sample Position	0	5/15/2020	Report, Under Agency Review	02/04/20	View

4.5.2 - Menu Options

The left-side navigation menu for the report provides the following options:

- Review Report: "Review Report" includes links to the main data entry grids of the report and to a page for re-submitting a report that has been returned to the Filer.
 - General Information: This page displays information that was collected on the "Getting Started" page or was provided by Reviewers.
 - General Comments: This page provides access to comments and public annotations that are not linked to a specific grid entry.
 - Filer's Federal Positions: This page displays information that the Filer provided on the "Federal Positions" data entry grid prior to filing. This page also displays comments and public annotations linked to specific grid entries.

- Filer's Positions: This page displays information that the Filer provided on the "Positions" data entry grid prior to filing. This page also displays comments and public annotations linked to specific grid entries.
- Filer's Employment-Related Assets and Income: This page displays information that the Filer provided on the "Employment Assets & Income" data entry grid prior to filing. This page also displays comments and public annotations linked to specific grid entries.
- Filer's Employment-Related Arrangements: This page displays information that the Filer provided on the "Employment Arrangements" data entry grid prior to filing. This page also displays comments and public annotations linked to specific grid entries.
- Filer's Sources of Compensation (*New Entrant and Nominee Reports only*): This page displays information that the Filer provided on the "Sources of Compensation" data entry grid prior to filing (if applicable). This page also displays comments and public annotations linked to specific grid entries.
- Spouse's Employment-Related Assets and Income: This page displays information that the Filer provided on the "Spouse's Employment Assets & Income" data entry grid prior to filing. This page also displays comments and public annotations linked to specific grid entries.
- Other Assets and Income: This page displays information that the Filer provided on the "Other Assets & Income" data entry grid prior to filing. This page also displays comments and public annotations linked to specific grid entries.
- Transactions (*Annual, Termination, and Annual/Termination Reports only*): This page displays information that the Filer provided on the "Transactions" data entry grid prior to filing (if applicable). This page also displays comments and public annotations linked to specific grid entries.
- Liabilities: This page displays information that the Filer provided on the "Liabilities" data entry grid prior to filing. This page also displays comments and public annotations linked to specific grid entries.
- Gifts and Reimbursements (Annual, Termination, and Annual/Termination Reports only): This page displays information that the Filer provided on the "Gifts & Reimbursements" data entry grid prior to filing (if applicable). This page also displays comments and public annotations linked to specific grid entries.
- Report Data (Summary): This page displays information provided on the preceding data entry grids. Comments and public annotations are displayed in special sections at the top of the page.
- Submit Report: The Filer would use this page to re-submit the report if the report was returned by a Reviewer.

- Printable View: This page is used to print a hard copy of the OGE Form 278e. The printout will include any public annotations made by Reviewers but will not include comments.
- Compare: The "Compare" feature will track changes made to a report that the Filer pre-populated from another report. The Filer and Reviewers can check the "Compare" page to see if there are any differences between the reports. See <u>section 4.5.7</u> for more information.
- Documents: The "Documents" page provides a location for the Filer and Reviewers to upload documents related to the report (e.g., a job description or ethics counseling memo). See section 4.5.8 for more information.
- Audit Trail: The "Audit Trail" page provides a record of workflow actions and edits to reports after filing. See <u>section 4.5.9</u> for more information.
- Notifications: The "Notifications" page provides a record of email notifications sent to the Filer through *Integrity*. See <u>section 4.5.10</u> for more information.

4.5.3 - Edit Entries

The Filer cannot edit the entries on a report after filing, unless a Reviewer returns the report to the Filer

Report Returned

The Filer will ordinarily receive an email notice if a Reviewer returns the report for updating. The notice will originate from *Integrity* or the Reviewer directly, depending on the settings selected by the Agency. A returned report will appear on the "My Tasks" page with an "Update" action button. If the button reads "View" instead, the report has not been returned and the Filer cannot make edits.

The Filer edits entries on a returned report in the same manner as the Filer made edits to the data entry grids before filing the report. See section 4.3.6 for more information.

Report Not Returned

A report that has not been returned will appear on the "My Tasks" page with a "View" action button. The Filer cannot edit the report data.

4.5.4 - Comments

The "Comments" feature allows Filers and Reviewers to communicate with each other within the *Integrity* after a report has been filed (i.e., the equivalent of an email or phone call about the report).

How Comments Differ from Endnotes and Public Annotations

See section 4.3.8.

Access to Comments

A comment is visible to any *Integrity* user with access rights to the report, which would include the Filer, any Filer Designee(s), and Reviewers. Comments, however, do not display on the printable, publicly releasable version of the OGE Form 278e. *Integrity* removes all comments after the review process ends.

Ability to Add or Delete Comments

The Filers can add comments. Reviewers can add or delete comments.

General Comments

General comments are comments made by a Filer or Reviewer that are not linked to any particular line entry. To access these comments, the Filer should go to the "General Comments" page.

At the top of the page, there is a space in which the Filer can enter text for a new comment. The Filer should enter the comment and click the "Share as Comment" button.



Comments display from most recent to oldest, so the newly added comment will appear at the top of the list of comments.

≡ ▲ Filer1, Sample M	General Comments
# REVIEW REPORT	GENERAL COMMENTS
General Information General Comments	Type a comment
Filer's Federal Positions Filer's Positions	
Filer's Employment-Related Assets and Income Filer's Employment-Related	Share as Comment Clear
Arrangements Other Assets and Income	Filer1, Sample M Comment:
Transactions Liabilities	September 1st 2020, 3:25:05 pm EST Second general comment
Gifts and Reimbursements Report Data (Summary)	
Submit Report Printable View	Filer1, Sample M Comment: September 1st 2020, 3:19:23 pm EST General comment

Line Entry Comments

Line entry comments are comments made by a Filer or Reviewer that are linked to a particular line entry in a data entry grid.

Within a data entry grid, the caption (\square) column indicates whether a line entry has an existing comment. The Filer should click the "+" icon to the left of the entry to access this comment or to add a new comment for this entry.

	•		DESCRIPTION	‡ EIF ‡ VALUE	INCOME TYPE	INCOME AMOUNT
\bigcirc	No	1	Allied Business Computing	N/A	Salary/Bonus	\$456,955

After clicking the "+" icon, the row will expand to show a space in which the Filer can enter text for a new comment. The Filer should enter the comment and click the "Share as Comment" button.

	•		DESCRIPTION	C EIF C VALUE	INCOME TYPE	INCOME AMOUNT
•	No	1	Allied Business Computing	N/A	Salary/Bonus	\$456,955
Type a	comment					
Share a	s Comment	Clear				

Comments display from most recent to oldest, so the newly added comment will appear at the top of the list of comments.

	۶			DESCRIPTION			VALUE	INCO	МЕ ТҮРЕ	INCOME AMOUNT
•	Yes	1		Allied Business Computing		N/A		Sala	ry/Bonus	\$456,955
Type a cor		Clear								
	С	iler1, Sample N reated at Sep 1: ine entry comm	st 2020,	ent: 3:17:42 pm EST						

Report Data (Summary)

The "Report Data (Summary)" page groups all comments together into one section at the top of the report. The section also notes the author of the comment, the date of the comment, and, for line entry comments, the line reference.

Comments of Reviewing Officials (not publicly displayed on report):

PART		REFERENCE	соммент
N/A	N/A	General	(09/01/20, Filer1, Sample M): General comment
2.	1	Allied Business Computing	(09/01/20, Filer1, Sample M): Line entry comment

To add a new comment, the Filer should go to the appropriate page (i.e., go to "General Comments" for general comments or to the data entry grid on which a line entry comment should appear). To open a particular comment, the Filer can go to the appropriate page using the navigation buttons or the Filer can click the text in the "Reference" column.

Printable View

Comments do not appear on the "Printable View" page because comments are not part of the final version of the OGE Form 278e that is printed and releasable to the public.

4.5.5 - Public Annotations

The "Public Annotations" feature allows Reviewers to add a note that will be included on the printable, publicly releasable version of the report (i.e., the equivalent of a pen-andink note on the face of a paper form).

How Public Annotations Differ from Endnotes and Comments

See section 4.3.8.

Access to Public Annotations

A public annotation is visible to any *Integrity* user with access rights to the report, which would include the Filer, any Filer Designee(s), and Reviewers. In addition, public annotations will display on the printable, publicly releasable version of the report and will be retained until the report reaches the end of the applicable records retention period.

Ability to Add or Delete Public Annotations

Reviewers can add or delete public annotations. Filers can only view them.

General Public Annotations

General public annotations are annotations made by a Reviewer that are not linked to any particular line entry. To access these public annotations, the Filer should go to the "General Comments" page. Public annotations display from most recent to oldest in the same list as comments; however, a public annotation will be marked as a "Public Annotation."

Line Entry Public Annotations

Line entry public annotations are annotations made by a Reviewer that are linked to a particular line entry in a data entry grid.

Within a data entry grid, the caption () column indicates whether a line entry has an existing public annotation. The Filer should click the "+" icon to the left of the entry to access this public annotation. Public annotations display from most recent to oldest in the

same list as comments; however, a public annotation will be marked as a "Public Annotation."

	•	# CESCRIPTION	÷ EIF ÷ VALUE	🗧 INCOME ТУРЕ	INCOME AMOUNT
0	Yes	1 Allied Business Computing	N/A	Salary/Bonus	\$456,955
	comment	Clear			
	CI	eviewer1, Sample M Public Annotation: reated at Sep 1st 2020, 3:21:06 pm EST ine entry public annotation			

Report Data (Summary)

The "Report Data (Summary)" page groups all public annotations together into one section at the top of the report. The section also notes the author of the public annotation, the date of the annotation, and, for line entry annotations, the line reference.

comments of Rev	mments or reviewing Omciais (public annotations):											
PART		REFERENCE	соммент									
2.	1	Allied Business Computing	(09/01/20, Reviewer1, Sample M): Line entry public annotation									

Printable View

Public annotations appear on the "Printable View" page because they are part of the final version of the OGE Form 278e that is printed and releasable to the public.

4.5.6 - Re-Submit a Report

If a Reviewer has returned a report to the Filer for editing, the Filer will need to re-submit the report after making those edits. The Filer should go to the "Submit" page, check the box next to the Filer Statement, and select the "Submit" button. A new signature will not appear on the Cover Page of the report because the Filer has already filed the report; however, the re-submission will be tracked in the "Audit Trail" of the report.

4.5.7 - Compare

The "Compare" feature will track changes made to a report that was pre-populated from another report. The Filer and Reviewers can check the "Compare" page to see if there are any differences between the reports.

Requirements for Compare

The "Compare" feature will work only if the Filer chooses to pre-populate the report from a previous report. If the Filer does not pre-populate, the system will not have any way to track changes and compare the new report to a previous report. In addition, "Compare" is available only after the new report is filed.

Using Compare

A checkmark appears next to the "Compare" menu option if there are changes between the current report and the prior report from which the Filer pre-populated. Additional checkmarks appear next to the specific data entry grids that have changes. For example, in the image below, the checkmark next to "Other Assets & Income" indicates that there are differences between the "Other Assets & Income" data entry grid of the current report and the "Other Assets & Income" data entry grid of the prior report.

🗮 COMPARE 🗸
Federal Positions
Employment Positions 🗸
Employment Assets & Income 🗸
Employment Arrangements
Spouse Assets & Income
Other Assets & Income 🗸
Liabilities
Download Prior Report

The Filer should select a link for which there is a checkmark to see any differences between that grid on the new report and the grid as it appeared on the prior report (if applicable). The Filer can use the filter conditions to view all differences, all entries, only unchanged entries, only new entries, only changed entries, or only deleted entries.

All Differences

By default, "Compare" displays all of the entries that have been added, changed, or deleted. The "Change" column at the left will display the letter "N" for each added entry, the letter "C" for each changed entry, and the letter "D" for each deleted entry.

≡ Filer1, Sample M.	Com	pare	2020 Ai	nnual Report [,]	with 2019 Ne	ew Ent	trant <mark>R</mark> eport - F	'iler1, Sa	ample M.		
# REVIEW REPORT ■ COMPARE ✓		New, Ch	anged, and Del	e 🔹 Go							
Federal Positions Employment Positions 🗸	20	▼ re	ecords per page	2							Search:
Employment Assets & Income 🗸 Employment Arrangements		* :	CHANGE 🗧	DESCRIPTION	; PARENT ASSET ;	EIF 🚦	VALUE	с туре	:	; AMOUNT	COWNER CONDICION
Spouse Assets & Income Other Assets & Income			D	Positron Fund	n/a	Yes	\$100,001 - \$250,000			\$2,501 - \$5,000	
Liabilities	•	1	с	XYZ Corporation	n/a	N/A	\$1,001 - \$15,000	Not ap	oplicable (less than \$201)	None (or less than \$201)	
Download Prior Report		3	N	Widgets, Inc.	n/a	N/A	\$15,001 - \$50,000	Divider	nds	\$201 - \$1,000	
DOCUMENTS											
AUDIT TRAIL	Show	ving 1 to	3 of 3 entries								← Previous 1 Nex

All Entries

To see all entries that appeared on either report, the Filer should select the "All Entries" filter option. In addition to the added, changed, and deleted entries, this filter option displays unchanged entries, which are marked with the letter "U."

≡ ▲ Filer1, Sample M.	Com	pare	e 2020 Ai	nnual Report w	rith 2019 N	ew Ent	rant Report - Fi	ler1, Sample M.		
 REVIEW REPORT I≡ COMPARE ✓ 	All	Entries		Go	1					
Federal Positions Employment Positions 🗸	20	•	ecords per page	2						Search:
Employment Assets & Income 🗸 Employment Arrangements										; Owner ; endnote ;
Spouse Assets & Income Other Assets & Income			D	Positron Fund	n/a	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000	
Liabilities	0	1	с	XYZ Corporation	n/a	N/A	\$1,001 - \$15,000	Not applicable (less than \$201)	None (or less than \$201)	
Download Prior Report		2	U	WQX Systems, Inc.	n/a	N/A	\$15,001 - \$50,000	Not applicable (less than \$201)	None (or less than \$201)	
		3	N	Widgets, Inc.	n/a	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	
AUDIT TRAIL										
	Shov	ving 1 to	4 of 4 entries							← Previous 1 Next →

Unchanged Entries

To see just entries that did not change relative to the prior report, the Filer should select the "All Unchanged Entries" filter option. The entries are marked with the letter "U."

■ Filer1, Sample M.	Compare 2020 Annual Report with 2019 Ne	w Entrant Report - Filer1, Sample M.		
# REVIEW REPORT	All Unchanged Entries Go			
Ecompare Federal Positions				
Employment Positions 🗸	20 records per page			Search:
Employment Assets & Income 🗸 Employment Arrangements	# CHANGE C DESCRIPTION C PARENT ASSET C			COWNER C ENDNOTE
Spouse Assets & Income Other Assets & Income.	2 U WQX Systems, Inc. n/a	N/A \$15,001 - \$50,000 Not applicable (less than \$201)	None (or less than \$201)	
Liabilities Download Prior Report	Showing 1 to 1 of 1 entries			← Previous 1 Next →

New Entries

To see just entries that were added to the current report, the Filer should select the "All New Entries" filter option.

For example, let's say that the Filer purchased stock in Widgets, Inc., in 2019 after completing the 2019 New Entrant report. "Compare" will track the addition as a "new" entry.

The row will show the new, added entry as it appears on the 2020 Annual report. The "Change" column at the left will display the letter "N," indicating that the row was added and did not appear on the 2019 New Entrant report.

E .	Compare 2020 Annual Report with 2019 New Entrant Report - Filer1, Sample M.	
Filer1, Sample M.		
REVIEW REPORT		
😑 COMPARE 🗸	All New Entries Go	
Federal Positions Employment Positions 🗸	20 • records per page	Search:
Employment Assets & Income 🛩 Employment Arrangements	# : CHANGE : DESCRIPTION : PARENT ASSET : EF : VALUE : TYPE : AMOUNT	COWNER C ENDNOTE C
Spouse Assets & Income Other Assets & Income	3 😥 Widgets, Inc. n/a N/A \$15,001 - \$50,000 Dividends \$201 - \$1,000	
Liabilities Download Prior Report	Showing 1 to 1 of 1 entries (filtered from 3 total entries)	← Previous 1 Next →

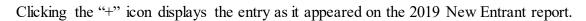
Changed Entries

To see just entries from the prior report that were changed on the current report, the Filer should select the "All Changed Entries" filter option.

For example, let's say the 2019 New Entrant report included an entry for XYZ Corporation stock with a value of \$1,001 - \$15,000 and dividends of \$201 - \$1,000. The Filer did not receive any reportable income during the period covered by the 2020 Annual report. The Filer, therefore, updated the entry for XYZ Corporation. "Compare" will track the update as a "changed entry."

The row will show the entry as it now appears on the 2020 Annual report. The "Change" column at the left will display the letter "C," which indicates that the row was changed relative to the 2019 New Entrant report.

=	Compare 2020 Annual Report with 2019 New Entrant Report - Filer1, Sample M.	
 Filer1, Sample M. REVIEW REPORT 		
I≣ COMPARE ✔	All Changed Entries	
Federal Positions Employment Positions 🗸	20 • records per page	Search:
Employment Assets & Income 🗸	# : CHMAGE : DESCRIPTION : PARENT ASSET : DF : VALUE : TYPE : AMOUNT	OWNER CENDNOTE
Employment Arrangements Spouse Assets & Income		
Other Assets & Income.	1 C XYZ Corporation n/a N/A \$1,001 - \$15,000 Not applicable (less than \$201) None (or less than \$201)	
Download Prior Report	Showing 1 to 1 of 1 entries (filtered from 3 total entries)	← Previous 1 Next →



					PARENT ASSET							¢
•	1	C	:	XYZ Corporation	n/a	N/A	\$1,001 - \$15,000	Not applicable (less than \$201)	None (or less than \$201)			
	1			XYZ Corporation	n/a	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000			

Deleted Entries

To see just entries from the prior report that were deleted from the current report, the Filer should select the "All Deleted Entries" filter option.

For example, let's say that the Filer sold the investment in the Positron Fund in 2019 after completing the 2019 New Entrant report. The Filer did not receive any reportable income

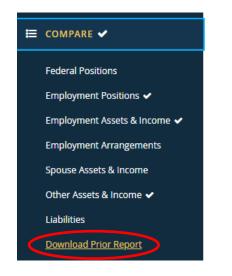
from the fund, so the Filer removed the fund from the 2020 Annual report. "Compare" will track the deletion as a "deleted entry."

The row will show the old, deleted entry as it appeared on the 2019 New Entrant report; however, the entry will appear "grayed out," and the "Change" column at the left will display the letter "D," indicating that the row was deleted and does not appear on the 2020 Annual report.

≡	Compare 2020 Annual Report	with 2019 New E	ntrant Report - Filer1, Samu	le M.	
Filer1, Sample M.	1		1 / 1		
 REVIEW REPORT I≡ COMPARE ✓ 	All Deleted Entries • Go				
Federal Positions Employment Positions 🗸	20 • records per page				Search:
Employment Assets & Income 🗸 Employment Arrangements	# CHANGE CHANGE	PARENT ASSET	teif tvalue	CTYPE C AMOUNT	COWINER C ENDINOTE C
Spouse Assets & Income	D Positron Fund	n/a	Yes \$100,001 - \$250,000	\$2,501 - \$5,000	
Liabilities Download Prior Report	Showing 1 to 1 of 1 entries (filtered from 3 total entries				← Previous 1 Next →

Download Prior Report

The Filer can also access the prior report from which the Filer pre-populated by clicking the "Download Prior Report" link. The report will download as a PDF file.



4.5.8 - Documents

"Documents" provides a location for the Filer or a Reviewer to upload documents related to the report (e.g., a job description or ethics counseling memo).

Add a Document

On the "Documents" page, the Filer should select the "Add Document" button at the upper right.

≡ ♣ Filer1, Sample M.	Documents: Annual Report 2020 - Filer1, Sample M.	Add Document
# REVIEW REPORT	DOCUMENTS	
E COMPARE		
% DOCUMENTS	There are no documents in this report yet. Click 'Add Document' to add one.	
Documents		

A "Select File to Upload" section will appear. The Filer should click the "Select File" button and choose the document to upload.

=	Documents: Annual Report 2020 - Filer1, Sample M.	Add Document
Filer1, Sample M.		
# REVIEW REPORT	ADD DOCUMENT	
E COMPARE		
ℜ DOCUMENTS	SELECTELETO UPLOAD	
Documents	Select File	
AUDIT TRAIL	Cancel	
• HELP		

After the Filer has chosen the document, additional fields will appear that permit the Filer to specify the document type and retention category. These fields are primarily for use by Reviewers and Agency records personnel. The Filer should click the "Add Document" button in the lower part of the screen to complete the process.

=	Documente: Annual P	Documents: Annual Report 2020 - Filer1, Sample M.								
💄 Filer1, Sample M.	Documents, Annual K	eport 2020 - Therr, Sample M.			Add Document					
REVIEW REPORT		ADD DOCUMENT								
	100 00000000									
% DOCUMENTS	SELECT FILE TO UPLOAD									
Documents	Select File									
AUDIT TRAIL	FILE Sample Document.docx	DOCUMENT TYPE		RETENTION CATEGORY						
	11.84 kB	Other	•	When no longer needed	•					
• HELP										
CLOSE WINDOW			Add Document	Cancel						

A checkmark will appear next to the "Documents" menu option, signaling that a document exists.

View a Document

On the "Documents" page, the Filer will see a list of documents along with basic metadata, such as the type of document, the retention category, who added the document, and when the document was added. The Filer should select the file name of the document to open the document.



Delete a Document

Filers cannot delete documents. To delete a document, the Filer should contact someone with a Reviewer role for the report.

Edit Document Metadata

Filers cannot edit metadata for a document.

Auditing Changes to Documents

Additions, deletions, and edits to metadata are tracked on the "Audit Trail" page.

4.5.9 - Audit Trail

The "Audit Trail" page provides a record of workflow actions, edits to reports after filing, and changes to uploaded documents. Auditable events are ordered from the most recent event to the oldest.

	■ Audit Trail: File	r1 Sample M					
Filer1, Sample M.	flucit fruit, flic	ri, oumpie m.					
REVIEW REPORT	NAME		ROLE			EVENT	
🗮 COMPARE 🖌	All		• All		•	All	
🗞 DOCUMENTS 🗸	FROM DATE	FROM TIME		TO DATE	TO TIME		
AUDIT TRAIL Audit Trail						¥	Go Reset
NOTIFICATIONS	25 • records per pa	ge			Search:		
CLOSE WINDOW	EXPAND ALL	DATE	C NAME		≎ ROLE		: EVENT
	ø	Feb 4th 2020, 3:41:19 pm	Sample Reviewe	r1	Ethics Officia	1	Other Assets Income Deleted
	ø	Feb 4th 2020, 3:30:28 pm	Sample Reviewe	rl	Ethics Officia	I	Other Assets Income Updated
	ø	Feb 4th 2020, 3:29:56 pm	Sample Reviewe	r1	Ethics Officia	I.	Other Assets Income Inserted
		Feb 4th 2020, 3:28:16 pm	Sample Reviewe	r2	Certifying Of	icial	Returned to Ethics Official Updated
		Feb 4th 2020, 3:27:07 pm	Sample Reviewe	r1	Ethics Officia	I	Report Signed by Ethics Official
	o	Feb 4th 2020, 3:27:06 pm	Sample Reviewe	rt	Ethics Officia		End Initial Review Date Updated
	o	Feb 4th 2020, 3:26:51 pm	Sample Reviewe	r1	Ethics Officia	I	Filer Status Updated
	o	Feb 4th 2020, 3:26:33 pm	Sample Reviewe	rt	Ethics Officia		Document Inserted
		Feb 4th 2020, 2:39:06 pm	Sample Filer1		Filer		Report Signed by Filer

Filters

Filers can limit "Audit Trail" events based on several filter conditions. To change the filters, the Filer should select the desired filter conditions and click the "Go" button. To return to the default filter conditions, the Filer should click the "Reset" button.

- Name: The "Name" filter limits results based on the name of the individual who took the action.
- Role: The "Role" filter" limits results based on the role in which the user took the action.

- Event: The "Event" filter limits results based on the type of action that occurred.
- From Date / From Time: The "From Date" filter limits results to any action that occurred on or after the date specified. Once a date is selected, the Filer can filter results further by selecting a time.
- To Date / To Time: The "To Date" filter limits results to any action that occurred on or before the date specified. Once a date is selected, the Filer may filter results further by selecting a time.

Columns

The columns on the "Audit Trail" page provide the following information:

- Date: The "Date" column indicates when the action occurred.
- Name: The "Name" column indicates who took the action.
- Role: The "Role" column indicates the role in which the user took the action.
- Event: The "Event" column briefly describes the action that occurred. A "+" icon appears for certain types of auditable events that allows users to find out more information about the event.

Workflow Events

"Audit Trail" will identify when a role holder has signed the report (i.e., submitted the report), returned the report to another user, declined to certify the report, or "pulled" the report forward to the Certifying Official.

EXPAND ALL	DATE	€ NAME	÷ ROLE	: EVENT	\$
	Feb 4th 2020, 3:28:16 pm	Sample Reviewer2	Certifying Official	Returned to Ethics Official Updated	

Changes to Documents

"Audit Trail" will identify that a document has been inserted, deleted, or has had its metadata changed. Clicking the "+" icon displays for more information.

EXPAND ALL	DATE	‡ NAME	: ROLE :	; EVENT ;
•	Feb 4th 2020, 3:26:33 pm	Sample Reviewer1	Ethics Official	Document Inserted
FILE		DOCUMENT TYPE	RETENTION CATEGORY	
Sample Document.docx		Other	When no longer needed	

Changes to the General Information Page

"Audit Trail" will identify the field that was changed on the "General Information" page. Clicking the "+" icon displays the new and previous values for that field.

EXPAND ALL	DATE	¢ NAME	÷ ROLE	; EVENT	÷
•	Feb 4th 2020, 3:26:51 pm	Sample Reviewer1	Ethics Official	Filer Status Updated	
FILER STATUS					
Full-Time					
No values entered by user					

New Grid Entry

"Audit Trail" will identify the addition of a grid entry on a report after filing as an "insertion." Clicking the "+" icon displays the values of the entry that was inserted.

EXPAND ALL	DATE		÷ NAME		ROLE		EVENT	
•	Feb 4th 2020, 3	:29:56 pm	Sample R	eviewer1	Ethics Official		Other Assets Income Inserted	
DESCRIPTION	PARENT ASSET	EIF	VALUE	түре	AMC	UNT		OWNER
Widgets, Inc.	n/a	N/A	\$1,001 - \$15,000	Not applicable (less than \$201)	Nor	ne (or l	ess than \$201)	

Changed Grid Entry

"Audit Trail" will identify a change to a grid entry on a report after filing as an "update." Clicking the "+" icon displays see the new and previous values for that entry.

EXPAND ALL	DATE		≎ NAME		ROLE	÷ EVENT	
•	Feb 4th 2020, 3:30:28 pm		Sample Reviewer1		Ethics Official	Other Assets Income Updated	
DESCRIPTION	PARENT ASSET	EIF	VALUE	туре		AMOUNT	OWNER
WQX Systems, Inc.	n/a	N/A	\$15,001 - \$50,000	Dividends		\$201 - \$1,000	
WQX Systems, Inc.	n/a	N/A	\$15,001 - \$50,000	Not applicable (less than \$201)		None (or less than \$201)	

Deleted Grid Entry

"Audit Trail" will identify the deletion of a grid entry on a report after filing as a "deletion." Clicking the "+" icon displays the values of the entry that was deleted.

EXPAND ALL	DATE		÷ NAME	:	ROLE	÷ EVENT	:
•	Feb 4th 2020, 3:41:19 pm		Sample Reviewer1		Ethics Official	Other Assets Income Deleted	
DESCRIPTION	PARENT ASSET	EIF	VALUE	туре		AMOUNT	OWNER
XYZ Corporation	n/a	N/A	\$1,001 - \$15,000	Not applicable (less than \$201)		None (or less than \$201)	

See Details for All Events

Clicking the "Expand All" button that appears in the header row of the "Audit Trail" table displays the details for all events.

 NOTIFICATIONS HELP 	25 • records per page			Search:		
CLOSE WINDOW	EXPAND ALL		: NAME			÷
	0	Feb 4th 2020, 3:41:19 pm	Sample Reviewer1	Ethics Official	Other Assets Income Deleted	
	•	Feb 4th 2020, 3:30:28 pm	Sample Reviewer1	Ethics Official	Other Assets Income Updated	

Clicking the "Collapse All" button hides the details for all events.

NOTIFICATIONS					Sa	arch:		
HELP	25 • records per page				36	arcn.		
CLOSE WINDOW	COLLAPSE ALL			‡ NAME				
	•	Feb 4th 2020, 3:41:19	pm	Sample Reviewer1		Ethics Official	Other Assets Income Deleted	
	DESCRIPTION	PARENT ASSET	EIF	VALUE	туре		AMOUNT	OWNER
	XYZ Corporation	n/a	N/A	\$1,001 - \$15,000	Not applicable (less than \$2	01)	None (or less than \$201)	
	•	Feb 4th 2020, 3:30:28	pm	Sample Reviewer1		Ethics Official	Other Assets Income Updated	
	DESCRIPTION	PARENT ASSET	EIF	VALUE	түре		AMOUNT	OWNER
	WQX Systems, Inc.	n/a	N/A	\$15,001 - \$50,000	Dividends		\$201 - \$1,000	
	WQX Systems, Inc.	n/a	N/A	\$15,001 - \$50,000	Not applicable (less than	\$201)	None (or less than \$201)	

4.5.10 - Notifications

The "Notifications" page provides a record of email notifications sent to the Filer through *Integrity* for the report being viewed. Notifications are ordered from the most recent notification to the oldest.

≡ ♣ Filer1, Sample M.	Notifications		
REVIEW REPORT	FROM DATE	TO DATE	
≡ COMPARE ✓			Go Reset
❀ DOCUMENTS ✓			Go Reset
AUDIT TRAIL			Search:
NOTIFICATIONS	10 • records per page		search
Notifications	NOTIFICATION TYPE	• STATUS	: DATE :
O HELP	Amend Report	Sent	02/04/2020
CLOSE WINDOW			

<u>Filters</u>

At the top of the "Notifications" page, there are two date filters The Filer can use these filters to display notifications sent within a specific date range.

≡ ▲ Filer1, Sample M.	Notifications				
REVIEW REPORT	FROM DATE	TO DA	ATE		
E COMPARE V	02/04/2020	02/0-	4/2020		Go Reset
S DOCUMENTS ✓				-	

Columns

The columns on the "Notifications" page provide the following information:

- Notification Type: The "Notification Type" column specifies the general type of notification sent (e.g., notification of a new report assignment or notification that the report needs to be amended).
- Status: The "Status" column indicates whether the notification request was sent.
- Date: The "Date" column indicates when the notice was sent.

Notification Text

Clicking the text in the "Notification Type" field displays the text of the notification.

Amend Repo	rt	×
Integ	rity.gov: Report Returned	
Integri	ty.gov Notification <integritynotifications@tcg.com></integritynotifications@tcg.com>	
Sent:	02/04/2020 3:58pm EST	
To:	TR_OGE_0590@training.integrity.gov	
Cc:	TR_OGE_0586@training.integrity.gov	
Sample R	nple Filer1, leviewer1 has requested that you amend your 2020 Annual Report filed 2/4/2020. You may e report by logging into Integrity at www.integrity.gov.	

Notification Displayed but Not Received

If the "Notifications" page displays a notification that the Filer did not receive, the Filer should first check his or her junk/spam folder. If the Filer still cannot find a record of having received the notification, the Filer should contact an Agency *Integrity* administrator or an ethics official.

4.6 - View and Amend a Certified Report

Certified OGE Form 278e reports are ordinarily retained for 6 years from the date that the Filer filed the report. The Filer will have access to all of old certified reports still held within *Integrity*. Some features, however, will not be available because final certification prevents any further changes to the report data.

4.6.1 - Open a Report

To open a report that has already been certified, the Filer should go to the "My Tasks" page within the Filer interface and look for the report in "My Past Reports." Instead of a "Start" button, the Filer will see a "View" button next to the report. Clicking that button opens the report.

4.6.2 - View a Report

The Filer cannot make any changes or comments to a report after the review is complete, so the Filer cannot access the data entry grids. However, the Filer can view the final version of information as displayed on the "Printable View" page.

4.6.3 - Compare

If the report was originally pre-populated from a prior report, the Filer can still view the differences between the two reports using the "Compare" feature. See <u>section 4.5.7</u> for more information.

4.6.4 - Documents

The Filer can still upload documents related to this report. See <u>section 4.5.8</u> for more information.

4.6.5 - Audit Trail

The Filer can still view the history of workflow events and changes to the report after filing. See section 4.5.9 for more information.

4.6.6 - Notifications

The Filer can still view the notifications for this report. See <u>section 4.5.10</u> for more information.

4.6.7 - Amendments

The Filer should contact an ethics official if the Filer needs to amend a report after it has been certified and moved to "My Past Reports." In lieu of an edit within the system, the Filer may be asked to provide an amendment letter or other document that will be uploaded into *Integrity* as a separate document under "Documents."

Section 5: Filer Actions (OGE Form 278-T)

Section 5 explains to Agency ethics officials how a Filer can complete an OGE Form 278-T, respond to Reviewer comments, and view old OGE Form 278-T reports.

5.1 - Primary Filer Window

5.1.1 - Filer Interface

Reports are filed in the Filer interface. If a user has only the Filer or Filer Designee role, then the user will be routed to the Filer interface automatically after login. If the user has other roles in *Integrity*, however, the user will be routed to the Reviewer interface after login. The user can switch to the Filer interface by selecting the "Filer" tab in the upper left corner of the screen.

≡ Filer reviewer Admin	My Tasks		
# MY TASKS	MY CURRENT REPORTS		
My.Tasks	No reports available.		8
• SETTINGS			·
• HELP			
🕩 LOG OUT	MYTOOLS		
	Start an OGE Form 278-T	> Update My Contact Information	>
	Manage My Designees	>	
	MY PAST REPORTS		
	No past reports available.		8

5.1.2 - Menu Options

The menu options on the primary Filer interface window are:

- My Tasks: This page is used to file reports, respond to Reviewer questions, and view past reports.
- Settings: This page is used to update contact information and manage Filer Designees. See section 3 for more information.
- Help: This page is used to find basic information about *Integrity* and the public financial disclosure forms.
- Log Out: Selecting "Log Out" exits Integrity.

5.1.3 - My Tasks

"My Tasks" is the default landing page within the Filer interface. On the left side of the screen, the "My Tasks" tab will be highlighted. The "My Tasks" work area, which is divided into three parts, appears on the right side of the screen.

- My Current Reports: Displays any assigned, started, or review-in-progress reports.
- My Tools: Displays links for self-assigning a 278-T, viewing/editing contact information, and adding/removing Filer Designees.
- My Past Reports: Displays previously completed reports.

🖷 🕷 MY TASKS	My Tasks
My_Tasks	MY CURRENT REPORTS
• SETTINGS	YEAR © ITEM © TYPE © AGENCY © GROUP © POSITION © DUE DATE © STATUS © DATE FILED © ACTION
	2020 Periodic Transaction Report 278-T Sample Agency 2020 Sample Agency 2020, Group 1 Sample Position 03/01/2020 Not Started Start
	MYTOOLS
	Start an OGE Form 278-T > Update My Contact Information >
	Manage My Designees
	MY PAST REPORTS
	No past reports available.

5.2 - Start a Report

5.2.1 - Select an Assigned Report

Filers click the "Start" button at the far right of the assigned report under "My Current Reports." The report will open in a new, secondary window.

E MY TASKS	My Tasks						
<u>My Tasks</u>	MY CURRENT REPORTS						
SETTINGS	YEAR 🔶 ITEM	¢ TYPE ¢ AGENCY	GROUP	POSITION	DUE DATE		¢ ACTION
Ø HELP							\frown
€ LOG OUT	2020 Periodic Transaction Report	278-T Sample Agency 2020	Sample Agency 2020, Group 1	Sample Position	03/01/2020	Not Started	Start

5.2.2 - Self-Assign a Report

Filers can self-assign an OGE Form 278-T within *Integrity* by going to "My Tools" and selecting "Start an OGE Form 278-T."

 MY TOOLS

 Start an OGE Form 278-T

 Manage My Designees

A pop-up window will appear that asks the Filer to specify the position and the Group in which the Filer is filing the report. The Filer can choose only Groups in which he or she is a Filer.

Enter details for your Periodic Transaction Report	\times
GROUP	
Sample Agency 2020 - Sample Agency 2020, Group 1	
POSITION	
Sample Position	
DUE DATE Earlier of the following: 30 Days from Notification or 45 Days from Transaction.	
Start Can	icel

Clicking "Start" opens the report in a new, secondary window.

5.2.3 - Getting Started Page

The "Getting Started" page has the following fields:

- Last Name, First Name, and Middle Initial: Filers cannot edit these fields. If a correction is needed, the Filer should contact the Agency **<u>before</u>** submitting the report. Submitting the report constitutes the Filer's electronic signature and the signature cannot be revised after being added to the report. To make a change after submission, the Agency would need to assign a new report.
- Agency and Group: Filers cannot edit these fields on this page. If the Filer selfassigned this report but chose the incorrect Group, the Filer can start a new report with the correct Group. The Filer should then contact the Agency to delete the report with the incorrect Group. If the Filer believes the Agency is incorrect or if the Filer believes the Group is incorrect for a report assigned by someone else, the Filer should contact the Agency <u>before</u> submitting the report.
- Position Title: Filers can edit this field if the title is incorrect.
- Due Date: The exact due date of the report depends on the dates of each reported transaction and when the Filer was notified of the transactions. For self-initiated

reports, *Integrity* will initially specify a default due date of 30 days after the Filer starts the report. The actual due date, however, should be verified by the Agency after the Filer submits the report based on the transactions and whether the Filer was notified of any transaction more than 30 days ago.

• Filer Category: The Agency may have assigned a default Filer Category to an individual when adding him or her as a Filer. That default Filer Category prepopulated this field. The Filer can change the Filer Category if it is incorrect for this position.

5.3 - File a Report

5.3.1 - Basics

Navigating the Report

The Filer can navigate through a report in two ways. First, where available, the Filer can use the "Next" and "Previous" buttons that appear in the right-side display. After the Filer reaches a section of the report, a menu option, corresponding to that section, will appear on the left-side of the page. The Filer can use the left-side menu options to skip around the report without going through each page in sequence using the "Next" and "Previous" buttons.

Grid

After the "Getting Started" page, the Filer reports periodic transactions in a data entry grid.

Submission and Printing

Once the Filer has completed the report, The Filer will have a chance to review the report before signing and submitting it electronically. The Filer can also print a copy of the report.

5.3.2 - Steps and Menu Options

The menu options on the left-side navigation menu correspond to the steps for completing the report within *Integrity*. However, the Filer will see only (1) the step that the Filer is currently completing; (2) the steps the Filer has already completed; and (3) a link to a view of what the OGE Form 278-T will look like once printed, including the data entered so far.

• <u>Getting Started</u>: This page contains questions that populate the Cover Page of the OGE Form 278-T. "Getting Started" also collects information about the "Filer Category" (i.e., appointment type). See <u>section 5.2.3</u> for more information.

≡ ▲ Filer 2, Sample M.	Getting Started: Periodic Transaction Rep	ort 278-T			
MY FILINGS	GENERAL INFORMATION				
Getting Started Printable View	YOUR NAME	LAST NAME 😧	FIRST NAME 🛛	MIDDLE INITIAL 🕑	
Ø HELP	As it will appear in your public financial disclosure report.	Filer 2	Sample	М.	
CLOSE WINDOW					
	POSITION & AGENCY	AGENCY		GROUP	POSITION TITLE
	Provide the title and agency of the position for which you are filing.	Sample Agency 2020		Sample Agency 2020, Group 1	Sample Position
		DUE DATE 😡 Earlier of the following: 30 Days from Notification or 45 Days from Transaction			
	FILER CATEGORY Please select a filer category.	Career SES	·		
	Save				Next

• 278-T: This page is the data entry grid used to report transactions.

Filer 2, Sample M. Filer 2, Sample M. MY FILINGS Getting stanted 2283 Printable New HELP HELP	Transactions You are required to report the following transactions in a Periodic Transaction Report: • Any purchase, sale, or exchange by you, your spouse, or dependent child of stocks, bonds, commodity futures, and other securities if the amount of the transaction exceeded \$1,000, unless a reporting exception applies. • Exceptions. • • Voluntary Reporting of Annual/Termination Information. • • MPORT FROM SPREADSHEET • <u>Download Template</u> • Choose File	Add New Transaction
O CLOSE WINDOW	25 records per page Search: 2 i pescinipition : nyre : pate : Automatication secente over as parts No rows to display Showing 0 to 0 of 0 entries	: OWNER : - Previous 1 Next - Next Step

• <u>Preview & Submission</u>: The Filer submits (i.e., "files") the report on this page by certifying that the information provided is true, complete, and correct to the best of the Filer's knowledge and by clicking the "Submit" button.

≡ ▲ Filer2, Sample M	
MY FILINGS	REPORT READY FOR SUBMISSION
Getting Started 278-T <u>Proview & Submission</u> Printable View	Periodic Transaction Report U.S. Office of Government Ethics; 5 C.F.R. part 2634 (Updated Nov. 2019) Executive Branch Personnel Public Financial Disclosure Report: Periodic Transaction Report (OGE Form 278-T)
HELP CLOSE WINDOW	Filer's Information
	Filer2, Sample M Sample Position, Sample Agency 2020
	Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.
	Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).
	Other review conducted by
	U.S. Office of Government Ethics Certification

Submit Executive Branch Public Financial Disclosure Report (OGE Form 278-T)
In accordance with the Digital Signature Act of 1999, I recognize that my eSignature (Electronic or Digital Signature) shall be given the same legal status as a signature made with a pen. I further recognize that the eSignature may not be denied legal effect, validity, or enforceability solely because it is in electronic form. I hereby consent to the use of eSignature.
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.
I certify that the statements I have made in this report are true, complete, and correct to the best of my knowledge.
Submit OGE 278-T

• <u>Printable View</u>: This page is used to print a hard copy of the OGE Form 278-T.

5.3.3 - Data Entry Grid: Introduction

Instructions

The instructions for completing the data entry grid appear at the top of the screen above the grid. These instructions are similar to the instructions accompanying the paper version of the OGE Form 278-T.

🐣 Filer 2, Sample M.	Transactions					Add New Transaction				
🖋 MY FILINGS	You are required to report the following transactions in a Periodic Tr		ditu futures and other securities	if the amount of the transaction	evceeded \$1,000 unless a reporting					
Getting Started <u>278-T</u>	 Any purchase, sale, or exchange of you, your spouse, or depend exception applies. Exceptions. O Voluntary Reporting of Annual/Termination Information. O 	Exceptions.								
Preview & Submission Printable View	IMPORT FROM SPREADSHEET Download Template Choose File No file chosen									
HELP CLOSE WINDOW	25 • records per page			Search:						
	# C DESCRIPTION	\$ туре	≎ DATE	NOTIFICATION RECEIVE DAYS AGO	D OVER 30 C AMOUNT	COWNER C				
	1 Sample Asset	Purchase	01/31/2020	No	\$1,001 - \$15,000					
	Showing 1 to 1 of 1 entries					$\leftarrow \text{Previous} 1 \text{Next} \rightarrow$				
	Previous Step					Next Step				

The tool tip ("?") icon indicates that additional information is available. Clicking the icon displays that that information.



You need not report: (1) mutual funds and other excepted investment funds; (2) certificates of deposit, savings or checking accounts, and money market accounts; (3) U.S. Treasury bills, notes, and bonds; (4) Thrift Savings Plan accounts; (5) real property (e.g., rental building or farmland); and (6) transactions that are solely by and between you, your spouse or dependent child.

Grid

The data entry grid appears in the center of the screen below the instructions. Entries are displayed in the order they were entered. Clicking the sort icon temporarily changes the

order displayed on this screen; however, the permanent order of the entries displayed on the releasable version of the report will not change.

E Filer 2, sample M. MY FILINGS Getting Started 2221 Preview & Submission Printable View HELP CLOSE WINDOW	Transactions You are required to report the following transactions in a Periodi • Any purchase, sale, or exchange by you, your spouse, or depresent on a polies. • Exceptions. ● • Voluntary Reporting of Annual/Termination Information. ● IMPORT FROM SPREADSHEFT ● Download Template • Choose File No file chosen 25 • records per page	endent child of stocks, bonds, commodi	ty futures, and other securities	if the amount of the transaction	exceded \$1,000, unless a reporting	Add New Transaction
	BESCRIPTION Sample Asset	с түре Purchase	C DATE	NOTIFICATION RECEIVE DAYS AGO NO	D OVER 30 . AMOUNT \$1,001 - \$15,000	COWNER C
	Showing 1 to 1 of 1 entries Previous Step	ruciase	01131/2020	10	+1001++10000	← Previous 1 Next → Next Step

Change the Number of Entries Displayed on a Page

The Filer can change the number of row entries displayed on a page by selecting the "records per page" drop-down field.

🛔 Filer 2, Sample M.	Transactions					Add New Transact	ion	
MY FILINGS	Wr FILINGS You are required to report the following transactions in a Periodic Transaction Report: Octaring Sarted Any purchase, sale, or exchange by you, your spouse, or dependent child of stocks, bonds, commodity futures, and other securities if the amount of the transaction exceeded \$1,000, unless a reporting exception applies. Zotal Voluntary Reporting of Annual/Termination Information. O							
-								
Preview & Submission	IMPORT FROM SPREADSHEET @ Download Template							
Printable View	Choose File No file chosen							
0 HELP								
CLOSE WINDOW	25 • ecords per page			Search:				
	# 25 DF CRIPTION	С туре	C DATE	NOTIFICATION RECEIVE CAYS AGO	D OVER 30 🗘 AMOUNT	COWNER	\$	
	All Sample Asset	Purchase	01/31/2020	No	\$1,001 - \$15,000			
	a autorita	e.1.	01/01/0000	***	*** *** *** ***	1		

Move to a Different Page within a Grid

The number of row entries within a grid might exceed the number that can be displayed on a single page. To access these additional row entries, the Filer clicks the "Next" button at the bottom of the grid.

5	records per page			Search:			
#	CESCRIPTION	С ТУРЕ	CATE	NOTIFICATION RECEIVED	O OVER 30 C AMOUNT	OWNER	:
1	Sample Asset	Purchase	01/31/2020	No	\$1,001 - \$15,000		
2	Sample Asset 2	Sale	01/24/2020	No	\$15,001 - \$50,000	J	
3	Sample Asset 3	Sale	01/24/2020	No	\$15,001 - \$50,000	J	
4	Sample Asset 4	Purchase	01/23/2020	No	\$1,001 - \$15,000	J	
5	Sample Asset 5	Sale	01/23/2020	No	\$1,001 - \$15,000	J	
Showing	1 to 5 of 6 entries					← Previous 1 P Ne	ext→
Previo	us Step					Next	t Step

Move to a Different Step

The Filer can click the "Next Step" and "Previous Step" buttons to move between the "Getting Started"; "278-T"; and "Preview & Submission" pages. To visit a previously completed step, the Filer can also use the left-side navigation menu.

5	▼ records per page			Search:		
#		\$ туре	‡ DATE	NOTIFICATION RECEIVED OVE DAYS AGO	R 30 🗘 AMOUNT	COWNER C
1	Sample Asset	Purchase	01/31/2020	No	\$1,001 - \$15,000	
2	Sample Asset 2	Sale	01/24/2020	No	\$15,001 - \$50,000	J
3	Sample Asset 3	Sale	01/24/2020	No	\$15,001 - \$50,000	J
4	Sample Asset 4	Purchase	01/23/2020	No	\$1,001 - \$15,000	J
5	Sample Asset 5	Sale	01/23/2020	No	\$1,001 - \$15,000	J
Showi	ng 1 to 5 of 6 entries					← Previous 1 2 Next →
Prev	vious Step					Next Step

5.3.4 - Data Entry Grid: Add an Entry

Clicking the "Add" button displays the "Add" section on the right. The Filer should then complete the fields in the "Add" section and click the "Save" button.

Eler 2, Sample M. Filer 2, Sample M. MY FILINGS Getting Started 27231 Preview & Submission Printable New	Transactions Add New Transaction You are required to report the following transactions in a Periodic Transaction Report: Any purchase, sale, or exchange by you, your spouse, or dependent child of stocks, bonds, commodity futures, and other securities if the annount of the transaction exceeded \$1,000, unless a reporting exception applies. exceptions. Import FROM SPREADSHEET O Download Template Choose File Nol the chosen	ADD A NEW TRANSACTION
HELP CLOSE WINDOW	25 records per page Search: * : ORSCRIPTION : TYPE : DATE : ONTEXCLIDIN BECOMPO : AMOUNT : ONNER 1 Sample Asset Purchase 01/31/2020 No \$1,001-\$15,000 Showing 1 to 1 of 1 entries - - - - -	MM/DD/1717 NOTIFICATION O Mark this box if notification was received over 30 days ago AMOUNT OF TRANSACTION O Please Select TEM OWNER O
	Previous Step Next Step	- Select an Owner OPTIONAL ENDNOTE This will be visible to the public. Add/tdit Endnote Save Delete Cancel

The Filer can hide the "Add" section by clicking the "X" in the upper right.

■ Filer 2, Sample M.	Transactions Add New Transaction	ADD A NEW TRANSACTION
MY FILINGS Getting Started 228-1 Preview & Submission Printable View	You are required to report the following transactions in a Periodic Transaction Report: • Any purchase, sale, or exchange by you, your spouse, or dependent child of stocks, bonds, commodity futures, and other securities if the amount of the transaction exceeded \$1,000, unless a reporting exception applies. • Exceptions: • Voluntary Reporting of Annual/Termination Information. • Wountary Reporting of Annual/Termination Information. • MPORT FROM SPREADSHEET • Download Template Choose File. No file chosen	ITEM DESCRIPTION Sample Asset 2 TYPE OF TRANSACTION Purchase DATE OF TRANSACTION
HELP CLOSE WINDOW	25 records per page Search: # : DESCRIPTION : TYPE DATE : NOTERCATION RECEIVED OVER 30 DMS AGO : AMOUNT : OWNER	01/31/2020

5.3.5 - Data Entry Grid: Import Entries from a Spreadsheet

The Filer can import up to 100 entries at one time from a Microsoft Excel spreadsheet.

First, the Filer should click the "Download Template" link above the data entry grid.

≡ ▲ Filer 2, Sample M.	Transactions	Add New Transaction
MY FILINGS	You are required to report the following transactions in a Periodic Transaction Report:	
	Any purchase, sale, or exchange by you, your spouse, or dependent child of stocks, bonds, commodity futures, and other securities if the amount of the transaction exceeded \$1,000, unless a reporting	
Getting Started	exception applies.	
-	• Exceptions: • Voluntary Reporting of Annual/Termination Information. •	
<u>278-T</u>	- tourised includes and the second	
Preview & Submission	IMPORT FROM SPREADSHEET	
Printable View	Choose File No file chosen	

Second, the Filer should specify where to save a copy of the template. After doing this, the Filer should open the template and begin adding information. The first row of the template has the header labels for each column, which correspond to fields on the data entry grid. The second row is a sample entry, which shows how to enter data into the template.

	Α	В	С	D	E	F	G
1	Item Description	Type of Transaction	Date of Transaction	Notification	Amount of Transaction	Item Owner	Optional Endnote
2	Item 1	Purchase	04/01/2019	No	\$1,001 - \$15,000	Filer (Me)	
3							
4							
5							

After adding the rows to import, the Filer should save the template and click the "Choose File" button.

≡	There are stimps	
👃 Filer 2, Sample M.	Transactions	Add New Transaction
	You are required to report the following transactions in a Periodic Transaction Report:	
Getting Started	Any purchase sale, or exchange by you, your spouse, or dependent child of stocks, bonds, commodity futures, and other securities if the amount of the transaction exceeded \$1,000, unless a reporting exception applies. Exceptions.	
<u>278-T</u>	Voluntary Reporting of Annual/Termination Information.	
Preview & Submission	IMPORT FROM SPREADSHEET O Download Template	
Printable View	Choose File No file hosen	

Next, the Filer should select the template from the location in which the Filer saved it. The Filer should click the "Upload" button.

≡	Turnerstime	
📥 Filer 2, Sample M.	Transactions	
MY FILINGS	You are required to report the following transactions in a Periodic Transaction Report:	
	Any purchase, sale, or exchange by you, your spouse, or dependent child of stocks, bonds, commodity futures, and other securities if the amount of the transaction exceeded \$1,000, unless a reporting	
Getting Started	exception applies.	
<u>278-T</u>	Voluntary Reporting of Annual/Termination Information.	
Preview & Submission	IMPORT FROM SPREADSHEET Download Template Download Template	
Printable View	Choose File 27811mportTemplate.xlsx Upload Jamove	

The entries from the spreadsheet will be added after the existing entries.

Preview & Submission Printable View	IMPORT FROM SPREAD						
HELP CLOSE WINDOW	25 • records	per page			Search:		
	# C DESCRIF	TION	С ТҮРЕ	C DATE	NOTIFICATION RECEIVED OVER 30 DAYS AGO	AMOUNT	C OWNER C
	1 Sample	e Asset	Purchase	01/31/2020	No	\$1,001 - \$15,000	
	2 Sampl	e Asset 2	Sale	01/24/2020	No	\$15,001 - \$50,000	J
	3 Sample	e Asset 3	Sale	01/24/2020	No	\$15,001 - \$50,000	J

Imported entries must include a description in the Item Description field. If the Filer left that field blank for any entry, the import process will fail and the Filer will receive an error message that identifies the problematic row in the template.



5.3.6 - Data Entry Grid: Edit an Entry

To edit an entry, the Filer should select the text that appears in the "Description" field. The entry data will appear in the "Add" section at the right side of the screen. The Filer should change the fields as needed and click the "Save" button.

Filer 2, Sample M. MY FILINGS Getting Started 278-1 Preview & Submission Printable View		our spouse, or dependent chil 00, unless a reporting exceptio	d of stocks, bonds, com	modity futures, and o	other securities if the	Add New Transaction	Sample Asset	8
	Choose File No file chosen						DATE OF TRANSACTION	
• HELP	25 • records per page			Search:			01/31/2020	=
CLOSE WINDOW	e : DESCRIPTION Sample Asset Sample Asset 2	: TYPE Purchase Sale	DATE 01/31/2020 01/24/2020	NOTIFICATION RE OVER 30 DAYS AG NO NO	CEIVED → AMOUNT \$1,001 - \$15,000 \$15,001 - \$50,000	COWNER C	NOTIFICATION Mark this box if notification ago AMOUNT OF TRANSACTION \$1,001 - \$15,000	
	3 Sample Asset 3	Sale	01/24/2020	No	\$15,001 - \$50,000	J	ITEM OWNER 😧	
	Showing 1 to 3 of 3 entries Previous Step				← Pre	vious 1 Next→ Next Step	Select an Owner OPTIONAL ENDNOTE This will be visible to the public. Add/Edit Endnote	•

5.3.7 - Data Entry Grid: Delete an Entry

The Filer should select the text that appears in the "Description" field. The entry data will appear in the "Add" section at the right side of the screen. The Filer should click the "Delete" button. Deletions are irreversible.

5.3.8 - Submit the Report

To sign and submit the report, the Filer takes the following actions:

- 1. Scroll to the portion of the "Preview & Submission" page that displays the Filer Statement checkbox. Select that checkbox to indicate agreement with the corresponding statement.
- 2. Click the "Submit" button. The Filer will receive a message stating that the report was submitted.



5.3.9 - Print the Report

To print an OGE Form 278-T, the Filer should select the "Printable View" menu option. After the "Printable View" page opens, the Filer can print directly from an Internet browser or the Filer can first export the report to PDF.

5.4 - Resume a Report Prior to Filing

The Filer may have to end a session prior to filing a started report. After logging back into *Integrity*, the Filer should go to the "My Tasks" page within the Filer interface and look for a partially completed report under "My Current Reports." Instead of a "Start" button, the Filer will see a "Update" button next to the report. Clicking that button opens the report.

≡ ₩ MY TASKS	N	⁄Iy Tas	ks								
<u>My Tasks</u>		MY CURRE	NT REPORTS								
• SETTINGS		YEAR	≑ ITEM	♦ TYPE	AGENCY	GROUP	POSITION	DUE DATE	status	DATE FILED	ACTION
0 HELP											
🕀 LOG OUT		2020	Periodic Transaction Report	278-T	Sample Agency 2020	Sample Agency 2020, Group 1	Sample Position	03/01/2020	Draft, Pre-Review		Update

The Filer will begin the report on the "Getting Started" page again; however, the Filer can use the left-side navigation menu or the "Next" buttons to move forward to the appropriate section.

5.5 - View and Edit a Report under Review

In many cases, the Filer will not have to view or edit the report while it is under review by the Agency. In some cases, however, the Agency may have questions or request changes. *Integrity* permits the Filer to view the report, respond to Agency comments within the system, and, with the Agency's permission, make changes.

5.5.1 - Open a Report

To open a report that is under review, the Filer goes to the "My Tasks" page within the Filer interface and looks for the report in "My Current Reports." The Filer will see a "View" or "Update" button at the far right. "View" means that the Filer cannot edit the report but can respond to Reviewer comments. "Update" means that a Reviewer has

returned the report to the Filer for editing. Clicking the "View" or "Update" button opens the report.

5.5.2 - Menu Options

The left-side navigation menu for the report provides the following options:

- Review Report: "Review Report" includes links to the transaction data and the screen used to re-submit a report that has been returned to the Filer.
 - General Information: This page displays information that was collected on the "Getting Started" page or was provided by Reviewers.
 - General Comments: This page provides access to comments and public annotations that are not linked to a specific grid entry.
 - 278-T Transactions: This page displays information provided on the "278-T" data entry grid prior to filing. This page also displays comments and public annotations linked to specific grid entries.
 - Report Data (Summary): This page displays the transactions from the "278-T" data entry grid as well as any comments or public annotations in special sections at the top.
 - Submit Report: The Filer would use this page to re-submit the report if the report was returned to the Filer by a Reviewer.
 - Printable View: This page is used to print a hard copy of the OGE Form 278-T. The printout will include any public annotations made by Reviewers but will not include comments.
- Documents: The "Documents" page provides a location for the Filer or a Reviewer to upload documents related to the report (e.g., a job description or ethics counseling memo). See section 4.5.8 for more information.
- Audit Trail: The "Audit Trail" page provides a record of workflow actions and edits to reports after filing. See <u>section 4.5.9</u> for more information.
- Notifications: The "Notifications" page provides a record of email notifications sent to the Filer through *Integrity*. See section 4.5.10 for more information.

5.5.3 - Edit Entries

The Filer cannot edit the entries on the report after filing, unless a Reviewer returns the report to the Filer.

Report Returned

The Filer will ordinarily receive an email notice if a Reviewer returns the report for updating. The notice will originate from *Integrity* or the Reviewer directly, depending on the settings selected by the Agency. A returned report will appear on the "My Tasks" page with an "Update" action button. If the button reads "View" instead, the report has not been returned and the Filer cannot make edits.

The Filer edits entries on a returned report in the same manner as the Filer made edits to the data entry grids before filing the report. See section 5.3.6 for more information.

Report Not Returned

A report that has not been returned will appear on the "My Tasks" page with a "View" action button. The Filer cannot edit the report data.

5.5.4 - Comments

The "Comments" feature allows Filers and Reviewers to communicate with each other within the system.

Access to Comments

A comment is visible to any *Integrity* user with access rights to the report, which would include the Filer, any Filer Designee(s), and Reviewers. Comments, however, do not display on the printable, publicly releasable version of the OGE Form 278-T. In addition, comments are retained only for the duration of the review process. *Integrity* removes all comments after the review process ends.

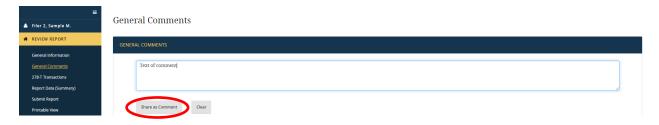
Ability to Add or Delete Comments

Filers can add comments. Reviewers can add or delete comments.

General Comments

General comments are comments made by a Filer or Reviewer that are not linked to any particular line entry. To access these comments, the Filer should go to the "General Comments" page.

At the top of the page, there is a space in which the Filer can enter text for a new comment. The Filer should enter the comment and click the "Share as Comment" button.



Comments display from most recent to oldest, so the newly added comment will appear at the top of the list of comments.

Filer 2, Sample M.	General Comments								
REVIEW REPORT	GENERAL COMMENTS								
General Information <u>General Comments</u> 278-T Transactions Report Data (Summary) Submit Report Printable View	Type a comment								
 DOCUMENTS AUDIT TRAIL NOTIFICATIONS 	Filer 2, Sample M. Comment: January 31st 2020, 3 1 0 38 pm EST Text of comment								

Line Entry Comments

Line entry comments are comments made by a Filer or Reviewer that are linked to a particular line entry in the "278-T Transactions" data entry grid.

Within the data entry grid, the caption (\square) column indicates whether a line entry has an existing comment. The Filer should click the "+" icon to the left of the entry to access this comment or to add a new comment for this entry.

E Filer1, Sample M File	 Any purch exception Exceptions 	ed to report t ase, sale, or e applies. 5. 😧	xchange by y	ransactions in a Periodic Transa ou, your spouse, or dependent c nation information. O	 mmodity futures, and	other securities if the amount of t	he transaction exceede	d \$1,000, unless a reporting		
278-T Transactions Report Data (Summary)	25 🗸	records per	page			Search:				
Submit Report Printable View S DOCUMENTS				DESCRIPTION			NOTIFICATION REC 30 DAYS AGO	CEIVED OVER	: OWNER	÷
AUDIT TRAIL	0	No	1	Sample Asset	Sale	01/15/2020	No	\$15,001 - \$50,000		
	0	No	2	Sample Asset 2	Sale	01/16/2020	No	\$1,001 - \$15,000		

After clicking the "+" icon, the row will expand to show a space in which the Filer can enter text for a new comment. The Filer should enter the comment and click the "Share as Comment" button.

≡ ▲ Filer1, Sample M	Transactions		
 Filer1, Sample M REVIEW REPORT 	You are required to report the following transactions in a Periodic Transac • Any purchase, sale, or exchange by you, your spouse, or dependent cl	ction Report: hild of stocks, bonds, commodity futures, and other securities if the amount of the tr	ransaction exceeded \$1,000, unless a reporting
General Information General Comments	exception applies. • Exceptions. • Voluntary Reporting of Annual/Termination Information.		
278-T Transactions Report Data (Summary)	25 v records per page	Search:	
Submit Report Printable View		: : : DATE : :	NOTIFICATION RECEIVED OVER
	No 1 Sample Asset	Sale 01/15/2020	No \$15.001 - \$50.000
AUDIT TRAIL NOTIFICATIONS	Text of line entry comment	Sale 01/13/2020	913/001 + 30/000
HELP			
CLOSE WINDOW	Share as Comment Clear		

Comments display from most recent to oldest, so the newly added comment will appear at the top of the list of comments.

Report Data (Summary)

The "Report Data (Summary)" page groups all comments together into one section at the top of the report. The section also notes the author of the comment, the date of the comment, and, for line entry comments, the line reference.

Comments of Reviewing Officials (not publicly displayed on report):

PART	#	REFERENCE	соммент
N/A	N/A	General	(09/01/20, Filer1, Sample M): Text of comment
Transactions	1	Sample Asset	(09/01/20, Filer1, Sample M): Text of line entry comment

To add a new comment, The Filer needs to go to the appropriate page (i.e., go to "General Comments" for general comments or to the "278-T Transactions" data entry grid for a line entry comment). To open a particular comment, the Filer can go to the appropriate page using the navigation buttons or the Filer can click the text in the "Reference" column.

Printable View

Comments do not appear on the "Printable View" page because comments are not part of the final version of the OGE Form 278-T that is printed and releasable to the public.

5.5.5 - Public Annotations

The "Public Annotations" feature allows Reviewers to add a note that will be part of the printable, publicly releasable version of the OGE Form 278-T. Public annotations are the equivalent of pen-and-ink notes added to the face of a hard copy report.

Access to Public Annotations

A public annotation is visible to any *Integrity* user with access rights to the report, which would include the Filer, any Filer Designee(s), and Reviewers. In addition, public annotations will display on the printable, publicly releasable version of the report.

Ability to Add or Delete Public Annotations

Reviewers can add or delete public annotations. Filers can only view public annotations.

General Public Annotations

General public annotations are annotations made by a Reviewer that are not linked to any particular line entry. To access these public annotations, the Filer should go to the "General Comments" page. Public annotations display from most recent to oldest in the

same list as comments; however, a public annotation will be marked as a "Public Annotation."

REVIEW REPORT	GENERAL COMMENTS
General Information	
General Comments	Type a comment
278-T Transactions	
Report Data (Summary)	
Submit Report	
Printable View	Share as Comment Clear
	Reviewer1, Sample M Public Annotation:
AUDIT TRAIL	september 1st 2020, 344.57 pm EST
	Text of public annotation
• HELP	
8 CLOSE WINDOW	Filer1, Sample M Comment:
	September 1st 2020, 3:40:34 pm EST
	Text of comment

Line Entry Public Annotations

Line entry public annotations are annotations made by a Reviewer that are linked to a particular line entry in the "278-T Transactions" data entry grid.

Within the data entry grid, the caption (column indicates whether a line entry has an existing public annotation. The Filer should click the "+" icon to the left of the entry to access this public annotation. Public annotations display from most recent to oldest in the same list as comments; however, a public annotation will be marked as a "Public Annotation."

REVIEW REPORT General Information General Comments	 Any purchase, sale, reporting exception Exceptions. @ 	u are required to report the following transactions in a Penodic Transaction Report: Any purchase, sale, or exchange by you, your spouse, or dependent child of stocks, bonds, commodity futures, and other securities if the amount of the transaction exceeded \$1,000, unless a reporting exception applies. Exceptions. O Voluntary Reporting of Annual/Termination Information. O								
278-T Transactions	25 v records	per page				Search:				
Report Data (Summary)	25	bei bobe								
Submit Report Printable View							NOTIFICATION RECE		÷ OWNER	
AUDIT TRAIL	Yes	1	Sample Asset		Sale	01/15/2020	No	\$15,001 - \$50,000		
	Type a comment									
Ø HELP										
8 CLOSE WINDOW										
	Share as Comment	Clear								
			ample M Public Annotation: p 1st 2020, 3:42:46 pm EST annotation							
			e M Comment: p 1st 2020, 3:41:02 pm EST							
		Text of line e	try comment							

Report Data (Summary)

The "Report Data (Summary)" page groups all public annotations together into one section at the top of the report. The section also notes the author of the public annotation, the date of the annotation, and, for line entry annotations, the line reference.

Comments of Reviewing Officials (pu	omments of Reviewing Officials (public annotations):							
PART		REFERENCE	соммент					
N/A	N/A	General	(09/01/20, Reviewer1, Sample M): Text of public annotation					
Transactions	1	Sample Asset	(09/01/20, Reviewer1, Sample M): Text of public annotation					

Printable View

Public annotations appear on the "Printable View" page because public annotations are part of the final version of the report that is printed and releasable to the public.

5.5.6 - Re-Submit a Report

If a Reviewer has returned a report to the Filer for editing, the Filer will need to re-submit the report after the Filer has made those edits. The Filer should go to the "Submit" page, check the box next to the Filer Statement, and click the "Submit" button. A new signature will not appear on the Cover Page of the report because the Filer has already filed the report; however, the re-submission will be tracked in the "Audit Trail" for the report.

5.5.7 - Documents

The "Documents" page for the OGE Form 278-T functions in the same way as the "Documents" page for the OGE Form 278e. See section 4.5.8 for more information.

5.5.8 - Audit Trail

The "Audit Trail" page for the OGE Form 278-T functions in the same way as the "Audit Trail" page for the OGE Form 278e. See section 4.5.9 for more information.

5.5.9 - Notifications

The "Notifications" page for the OGE Form 278-T functions in the same way as the "Notifications" page for the OGE Form 278e. See <u>section 4.5.10</u> for more information.

5.6 - View and Amend a Certified Report

Certified OGE Form 278-T reports are ordinarily retained for 7 years from the date that the Filer filed the report. The Filer will have access to all of the old certified reports still held within *Integrity*. Some features, however, will not be available because certification prevents any further changes to the report data.

5.6.1 - Open a Report

To open a report that has already been certified, the Filer should go to the "My Tasks" page within the Filer interface and look for the report in "My Past Reports." Instead of a "Start" button, the Filer will see a "View" button next to the report. The Filer should click that button.

5.6.2 - View a Report

The Filer cannot make any changes or comments to a report after the review is complete, so the Filer cannot access the data entry grid. However, the Filer can view the final version of information as displayed on the "Printable View" page.

5.6.3 - Documents

The Filer can still upload documents related to this report. See section 4.5.8.

5.6.4 - Audit Trail

The Filer can still view the history of workflow events and changes to the report after filing. See section 4.5.9.

5.6.5 - Notifications

The Filer can still view the notifications sent for this report. See section 4.5.10.

5.6.6 - Amendments

The Filer should contact an ethics official if the Filer needs to amend a report after it has been certified and moved to "My Past Reports." In lieu of an edit within the system, the Filer may be asked to provide an amendment letter or other document that will be uploaded into *Integrity* as a separate document on the "Documents" page.

Section 6: Reviewer Actions

Section 6 explains the Reviewer functions available to an authorized Agency user, including instructions on locating reports that require review, adding comments or public annotations, editing entries, approving the report, and managing records.

6.1 - Primary Reviewer Window

6.1.1 - Reviewer Interface

Reports are filed in the Filer interface but reviewed in the Reviewer interface. If a user holds only the Filer or Filer Designee role, then the user will be routed to the Filer interface after login, and the user will not have access to the Reviewer interface. If the user has other roles in *Integrity*, however, the user will be routed to the Reviewer interface after login. Therefore, as a Reviewer, you will start in the Reviewer interface. You can return to the Reviewer interface from the Filer or Admin interface at any time by clicking the "Reviewer" tab in the upper left corner of the screen.

≡ Reviewer Admin	My Queue									
	ITEMS	ТҮРЕ		YEAR		AGENCY			GROUP	
My_Queue	All 👻	All	*	All	~	All		~	All	~
Q SEARCH	STATUS		ASSIGNED TO			RETURNED BY		PENDING ACTION		
SETTINGS	All	~	All		~	All	~	All		~
• HELP									Go Reset	
😝 LOG OUT	Manage Reviewer	t to Excel							Customize Display	~

6.1.2 - Menu Options

The menu options on the primary Reviewer interface window are:

- My Queue: This page is used to find reports that are awaiting review, assign reports to Reviewers, and open reports.
- Records Management (*if available*): This page is used to purge records, delete records, or mark records for retention.
- Search: This page is used to find any reports in Groups to which you have access, whether currently awaiting review or not.
- Settings: This page is used to update contact information. See section 3 for more information.
- Help: This page contains basic information about Integrity.
- Log Out: Selecting "Log Out" exits Integrity.

6.2 - My Queue

"My Queue" is the default landing page within the Reviewer interface and the primary area for managing reports that require review. On the "My Queue" page, you can see all "current" reports in Groups to which you have access. A report is "current" if the report has not reached the end of the review process through either certification or an administrative determination by the Certifying Official that the report cannot be certified.

"My Queue" consists of two sections -a set of filter conditions and the results generated by the use of those filter conditions.

E	My Queue Filters
MY QUEUE	TIEMS TYPE YEAR AGENCY GROUP All All Image: All in the second
Q SEARCH	STATUS ASSIGNED TO RETURNED BY PENDING ACTION
SETTINGS	All Reviewer1, Sample M All All All All All All All A
• HELP	Go Rest
🖨 LOG OUT	Manage Reviewer B Export to Excel Customize Display ~ 20 * records per page Search:
	FILER : ITOM : TYPE ; YEAR ; AGE , GROUP : POSITION : STATUS : ASSIGNED TO : RETURNED BY ; PENDING ACTION ; REASSION
	Filer1, Sample M Annual 278 2020 0 Days Sample Agency 2020, Group 1 Sample Position Report, Under Agency Review Reviewer1, Sample M Ethics Official Reassign
	Showing 1 to 1 of 1 entries 1 Next -

6.2.1 - Filter Options

At the top of the "My Queue" page, there are a number of drop-down fields. These fields are filter conditions that limit the number of "current" reports displayed in the results table. Upon opening the "My Queue" page, *Integrity* will display results based on the filter conditions selected most recently. To filter the results differently, specify the desired results within each filter condition field and click the "Go" button. If you wish to return to the default filter conditions, click the "Reset" button.

- Item: The "Item" filter limits results based on whether the report is a New Entrant, Nominee, Annual, Termination, Annual/Termination, or Periodic Transaction report. By default, the filter is set to "All" so that reports are displayed regardless of the Item.
- Type: The "Type" filter limits results based on the general form type used the OGE Form 278e ("278") or the OGE Form 278-T ("278-T"). By default, the filter is set to "All" so that reports are displayed regardless of the Type.
- Year: The "Year" filter limits results based on the Year label assigned to a report. By default, the filter is set to "All" so that reports are displayed regardless of the Year. See section 7.6.10 for the Year labeling convention.
- Agency: The "Agency" filter limits results based on the Agency in which the report was filed. For most Reviewers, the filter will have a single option because the

Reviewer has access to only a single Agency. By default, the filter is set to "All" so that reports are displayed regardless of the Agency.

- Group: The "Group" filter limits results based on the Group in which the report was filed. For some Reviewers, the filter will have a single option because the Reviewer has access to only a single Group. By default, the filter is set to "All" so that reports are displayed regardless of the Group.
- Status: The "Status" filter limits results based on the status of the report within a workflow. By default, the filter is set to "All" so that reports are displayed regardless of the Status. Note that the filter does not include options for the "Certified" or "Closed without Certification" status codes because a report that has reached the end of the review process no longer appears in "My Queue."
- Assigned To: The "Assigned To" filter limits results based on whether the report is currently assigned to the user for action or not. By default, the filter is set to your name so that only reports assigned to you are displayed.
- Returned By: The "Returned By" filter limits results based on whether the report was returned by a selected Reviewer or not. By default, the filer is set to "All" so that reports are displayed regardless of whether the report was returned by any particular Reviewer.
- Pending Action: The "Pending Action" filter limits results based on the role that must act next in the workflow applicable to that report. For example, if the report follows a Filer to Supervisor to Certifying Official workflow, the report will be "Pending Action" for the Filer until the Filer files the report. After the Filer files, the report will be "Pending Action" for the Supervisor role, and, after the Supervisor submits the report, the report will be "Pending Action" for the report will be "Pending Action" for the Supervisor role, and, after the Supervisor submits the report, the report will be "Pending Action" for the Certifying Official role. By default, the filter is set to "All" so that reports are displayed regardless of which role must take action next in the workflow.

6.2.2 - Customize and Further Filter the Display of Results

Integrity, by default, displays only some of the available columns in the results table. You can show or hide columns by clicking the "Customize Display" button in the upper right corner of the results table.

Manage Reviewer B Export to Excel	Customize Display ~
20 • records per page	EM (PE
v vv Ac FRLER : ITEM : TYPE : YCAR : ACE . GROUP : POSITION : STATUS : ASSIGNED TO ACC ACC ACC ACC ACC ACC ACC ACC ACC AC	5E SENCY
Filer1, Sample M Annual 278 2020 0 Days Sample Agency 2020, Group 1 Sample Position Report, Under Agency Reviewer 1, Sample Text	ATE SUBMITTED ND INITIAL REVIEW DMINATION
	SENCY REVIEWER

A list of column names will appear. The columns that are currently displayed will have a checkmark in the box next to their names. Checking (or unchecking) shows (or hides) the boxes. *Tip*: The "Item" column must be shown to open a report.

If using the filter conditions returns too many results, you can filter the results further by typing text into the "Search" box. The "Search" box appears below the "Customize Display" button in the upper right corner of the results table.

Manage Reviewe	er 🖹 Expo	rt to Excel											Cus	stomiz	ze Display ~
20 • records	s per page												Search:		
FILER 🗧	ПТЕМ 🛟	TYPE 🛟	YEAR 拿	AGE 🛫	GROUP	÷	POSITION	÷	STATUS	÷	ASSIGNED TO	÷	PENDING ACTION	\$	REASSIGN
Filer1, Sample M	Annual	278	2020	0 Days	Sample Agency 2020, Group 1		Sample Position		Report, Under Agency Review		Reviewer1, Sample M		Ethics Official		Reassign

Integrity will limit the displayed results to records that have matching text in any of the fields that are available in the "Customize Display" list. For example, if you type "Filer2," the results table will display only records in which "Filer2" appears. Note that the "Search" box searches and filters only those records that already match the filter conditions set at the top of the page. For example, let's say you set the "Item" filter at the top of the page to "Annual" and then type "Filer2" into the "Search" box. The results table will display Annual reports in which "Filer2" appears.

6.2.3 - Check the Workflow Status

The "Status" column indicates where the report is in its lifecycle. Depending on the workflow, however, a report may go through several levels of review within a single Status. To check where a report is within the workflow, click the hyperlinked text in the "Status" column. A new window will appear.

 HELP LOG OUT 	Manage Reviewer B Export to Excel 20 • records per page				Customize Display ~ Search:
	FILER : ITEM : TYPE : YEAR : Filer1, Sample M Annual 278 2020	AGE GROUP POSITION	: STATUS	ASSIGNED TO Reviewer1, Sample M	PENDING ACTION C REASSIGN
	Showing 1 to 1 of 1 entries	o onys i sanipie Agency 2020, droup i i sanipie Posi	Keport, onder Agency Keview	Reviewen I, sample M	← Previous 1 Next→
Workflow			$\overline{\times}$		
ROLE	ROLE HOLDER	ESIGNED/SIGNATURES			
Filer	Filer1, Sample M	02/05/20 - Filer1, Sample M			
Ethics Official	Reviewer1, Sample M				
Certifying Official	Reviewer2, Sample M				

The window displays the workflow for that report and the Primary role holder at each step within that workflow. The far right column specifies whether a role holder has taken action for a particular step, including the name. In many cases, the user who took action will be the Primary role holder, but the user may instead be an Alternate role holder. See section 1.9.1 for a discussion of Primary and Alternate role holders.

6.2.4 - Assign a Report

Users Available for Report Assignments

A Reviewer can assign reports only to users who hold the role that can act next in the workflow for that Group. See <u>section 1.9.1</u> for an overview of Primary and Alternate role holders and see <u>section 1.9.2</u> for a description of the various roles.

- Example 1: Let's say a report in Group 1.1 follows the Filer to Certifying Official workflow. The Primary Certifying Official is Martha Jones. After the report is filed, the report is assigned, by default, to Martha Jones as the Primary Certifying Official. The report can be reassigned to an Alternate Certifying Official in Group 1.1 if an Alternate exists.
- Example 2: Let's say a report in Group 1.1 follows the Filer to Supervisor to Ethics Official to Certifying Official workflow. After the report is filed, the report is assigned, by default, to the Primary Supervisor. The report can be reassigned to an Alternate Supervisor in Group 1.1 if an Alternate exists. However, the report cannot be assigned to an Ethics Official because the Supervisor, not an Ethics Official, must act next in the workflow. Note that the Certifying Official has the ability to "pull" a report forward directly to the Certifying Official step, bypassing all intermediate workflow steps. This "pull" forward option is not an "assignment" function that occurs in "My Queue" but rather an exception process managed through the "Submit" page. See section 6.4.7 for more information about the "pull" forward option.

If the Agency has not enabled the Cascade All Roles feature, the list of available users includes only the Primary and Alternate role holders in that Group. So, in example 1 above, the Reviewer could not reassign the report to a Primary or Alternate Certifying Official in Group 1. Those role holders could view the report but could not edit the report or perform any workflow functions. By contrast, if the Agency has enabled the Cascade All Roles feature, the list of users available for reassignment include each Primary and Alternate role holder in that Group and each Group above it in the Agency's Group hierarchy. So, in example 1 above, the Reviewer could reassign the report to a Primary or Alternate Certifying Official in Group 1 and Group 1.1. See section 7.2.5 for information about enabling the Cascade All Roles feature.

Assign a Single Report

To assign a single report, find the report in the results table and click the "Reassign" button at the far right. If no other users hold the role that must act next in the workflow for that report, the "Reassign" button will not appear.



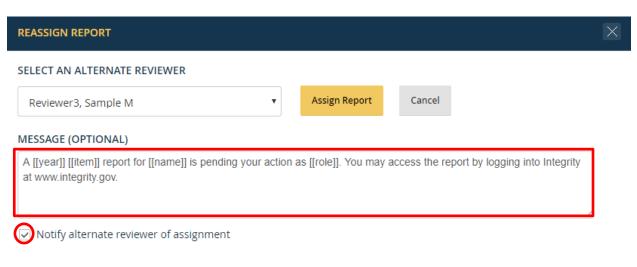
Assuming you can assign the report, a new window will appear after clicking the "Reassign" button.

REASSIGN REPORT			×
SELECT AN ALTERNATE REVIEWER			
Please select	Assign Report	Cancel	

Select the name of an available role holder.

REASSIGN REPORT			×
SELECT AN ALTERNATE REVIEWER			
Please select 🔹	Assign Report	Cancel	
Please select			
Reviewer3, Sample M			

To notify the user of the report assignment, leave the "Notify alternate reviewer of assignment" box checked. By default, *Integrity* will use the "Report Assignment" notice text specified by the Agency in the Admin interface.



You can supply a different message by entering substitute text in the "Message (Optional)" box.

REASSIGN REPORT				X
SELECT AN ALTERNATE REVIEWER				
Reviewer3, Sample M	•	Assign Report	Cancel	
MESSAGE (OPTIONAL)				
Sample text for a substitute assignment notice				

✓ Notify alternate reviewer of assignment

Clicking the "Assign Report" button completes the assignment.

Assign Multiple Reports

To assign multiple reports to the same role holder, click the "Manage Reviewer" button in the upper left of the results table.

HELP LOG OUT	Manage Reviewer B Export to Excel	Customize Display ~ Search:			
	FILER : ITEM :				
	Filer2, Sample M Periodic Transaction	278-T 2020 5 Days	Sample Agency 2020, Group 1 Sample	Position Report, Under Agency Review	Reviewer1, Sample M Ethics Official Reassign
	Filer1, Sample M Annual	278 2020 0 Days	Sample Agency 2020, Group 1 Sample	Position Report, Under Agency Review	Reviewer1, Sample M Ethics Official Reassign
	Showing 1 to 2 of 2 entries				← Previous 1 Next →

A new window will appear.

MANAGE REVIEWER					X
GROUP		ROLE			
Please select	•	Please select	•	Go	

Select the Group and the role for which you wish to make assignments and then click the "Go" button.

MANAGE REVIEWER			×
GROUP	ROLE		
Sample Agency 2020, Group 1	Ethics Official (General)	Go	

Integrity will display the reports within the Group that are pending action for that role. Check the boxes next to the reports to assign and select an alternate Reviewer from the "Select an Alternate Reviewer" drop-down field.

MANAGE REVIEWER					
GROUP	ROLE				
Sample Agency 2020,	Group 1 🔻 Ethi	cs Official (Gene	eral)	▼ Go	
SELECT AN ALTERNATE I	REVIEWER				
Reviewer3, Sample M		▼ Can	cel	Assign Reports	
MESSAGE (OPTIONAL)					
A [[year]] [[item]] report f at www.integrity.gov.	or [[name]] is pending yo	ur action as [[role	e]]. You m	nay access the re	eport by logging into Integrity
Notify alternate revie	ewer of assignment				
AVAILABLE REPORTS					
FILER	ІТЕМ	TYPE YEAR	AGE	POSITION	ASSIGNED TO
Filer2, Sample M	Periodic Transaction	278-T 2020	5 Days	Sample Positio	n Reviewer1, Sample M

If you wish to notify the user of the report assignment, leave the "Notify alternate reviewer of assignment" box checked. By default, *Integrity* will use the "Report Assignment" notice text specified by the Agency in the Admin interface. You can supply a different message by entering substitute text in the "Message (Optional)" box. Clicking "Assign Reports" completes the process.

6.2.5 - Open a Report Assigned to Oneself

You can open a report by clicking the hyperlinked text in the "Item" column for that report. The report will appear in a new, secondary window.

Filer 🛟	; ITEM ;	÷ type ÷	YEAR 韋	AGE 🖕	GROUP	*	POSITION	*
Filer2, Sample M	Periodic Transaction	278-T	2020	5 Days	Sample Agency 2020, Group 1		Sample Position)

If you do not see the "Item" column, check the "Customize Display" button to make sure the column has not been hidden.

6.2.6 - Find Other Reports

Find Reports Assigned to Any Reviewer

To find a report assigned to another Reviewer, set the "Assigned To" filter to "All."

E Reviewer Admin	My Queue										
MY QUEUE	ITEMS	TYPE		YEAR		AGENCY			GROUP		
My Queue	All	All	~	All	~	All		~	All		~
Q SEARCH	STATUS	Г	ASSIGNED TO			RETURNED BY		PENDING ACTION			
• SETTINGS	All	~	Reviewer1, Sample	М	~	All	~	All	_		*
HELP		L	Reviewer1, Sample	м					Go	Reset	
ASSIGNED TO					٦						
Reviewer1, Sa	mple M			•							
All											
Reviewer1, Sa	mple M										

Find a Returned Report

Returning a report causes the "Assigned To" and "Pending Action" columns to change to the individual to whom the report was returned.

To find a report by the Reviewer who mostly recently returned the report, you can use the "Returned By" filter option or select the "Customize Display" option and choose the "Returned By" column.

Reviewer Admin	My Queue				
MY QUEUE	ITEMS	ТҮРЕ	YEAR	AGENCY	GROUP
My.Queue	All 🗸	All	All 🗸	All	♥ All ♥
Q SEARCH	STATUS	ASSIGNED TO		RETURNED BY	PENDING ACTION
	All	✓ All	~		All
• HELP				Reviewer 1, Sample M.	Go Reset

Reviewer Admin	My Queue		
MY QUEUE	ТТЕМS ТҮРЕ	YEAR AGENCY	GROUP
<u>My Queue</u>	All Y	All Y	✓ All ✓
Q SEARCH	STATUS ASSIGNED TO	RETURNED BY	PENDING ACTION
• SETTINGS	All	∼ Ali	▼ All ~
• HELP			Go Reset
₽ LOG OUT	Manage Reviewer B Export to Excel		Customize Display ~
	FILER ; ITEM ; TYPE ; YEAR ; AGE ; GF		O C AGE AGENCY GROUP GROUP
		mple Agency 2020, Sample Position Report, Under Agency Filer1, Sar roup 1 Review	NOMINATION
		imple Agency 2020, Not Started Filer2, Sar Youp 1	mple M GGE REVIEWER GGE REVIEWER GGE REVIEWER GGENCY CERTIFICATION V POSITION
		mple Agency 2020, Sample Position Draft, Pre-Review Filer1, Sar roup 1	STATUS

Find a Report Based on Furthest Workflow Step

The "Pending Action" column shows the role that must act next in the workflow. If a report has been returned down the review chain, the next role to act will not reflect how far the report had moved up the review chain prior to being returned. If you want to find out the furthest a report has proceeded, the Reviewer can click the text in the "Status" column as explained in section 6.2.3. Alternatively, you can select the "Customize Display" option and choose to display the "Furthest Step" column. That column will display the highest level role that the report reached in the workflow.

E Reviewer Admin	My Queue							
MY QUEUE	ITEMS	ТҮРЕ		YEAR		AGENCY		GROUP
My Oucue	All	All	~	All	~	All		✓ All
SEARCH	STATUS		ASSIGNED TO			RETURNED BY		PENDING ACTION
SETTINGS	All	~	All		~	All	~	All
HELP								Go Reset
LOG OUT	Manage Reviewer Expo 20 records per page FILER : ITEM	t to Excel	AGE 🗧 GROUF	• :	POSITION	: STATUS :	ASSIGNED TO	AGENCY
	Filer1, Sample New Entrant	278 2020	0 Days Samp Group	le Agency 2020, o 1	Sample Position	Report, Under Agency Review	Filer1, Sample M	GROUP GATE SUBMITTED Et END INITIAL REVIEW NOMINATION
	Filer2, Sample Annual M	278 2020	0 Days Samp Grou	le Agency 2020, o 1		Not Started	Filer2, Sample M	AGENCY REVIEWER FII OGE REVIEWER AGENCY CERTIFICATION POSITION
	Filer1, Sample Periodic M Transaction	278-T 2020	0 Days Samp Grou	le Agency 2020, 0 1	Sample Position	Draft, Pre-Review	Filer1, Sample M	V POSITION V STATUS FIL V ASSIGNED TO DESTUDIED DV
	Filer1 Sample		Same	le Agency 2020		Report Linder Agency	Reviewer1	✓ FURTHEST ACTION

For reports that have not been returned, "Furthest Step" and "Pending Action" will display the same role.

6.2.7 - Cannot Find a Report?

There are five main reasons why you might not be able to find a particular report on the "My Queue" page:

- 1. The report is assigned to a different Reviewer. The "Assigned To" filter condition should be set to "All."
- 2. The report does not yet exist. Check whether a report assignment is visible in the Admin interface for this report.
- 3. You do not have access to the Group in which the report was filed. Check whether another Reviewer with access to the Group can find the report.
- 4. The report has reached the end of the review process. Check whether the report can be found using the "Search" page.
- 5. The report has been deleted. Go to the Admin interface and run a management report of deleted records (or ask a user with sufficient Admin permissions to run such a management report).

6.3 - Search

The "Search" page allows you to find reports in Groups to which you have access. "Search" consists of two sections -a set of filter conditions and the results generated by the use of those filter conditions.

≡ Reviewer Admin	Records Search	Filters						
MY QUEUE	AGENCY	ITEM	ТҮРЕ		YEAR	GROUP	STATUS	5
Q SEARCH	Sample Agency 2020	• All	• All	•	All	All	• All	•
Search	FIRST NAME	MIDDLE INITIAL		LAST NAME	POSITION		MEMO	
SETTINGS	Search by First Name	Search by Middle	Initial	Search by Last Name	Search by Positio	n	Search by Memo	
• HELP								
G+ LOG OUT	Export to Excel	AMENDMENT All ge Results	×	Go Reset			Search:	Customize Display ~
		; ITEM		YEAR 🛟 GROUP	÷ FILER	► POSITION	‡ STATUS	:
	Sample Agency 2020	Annual Report	278	2020 Sample Agency 2020	. Group 1 Filer1, Samp	ole M Sample	Position Report, Under	Agency Review
	Sample Agency 2020	Periodic Transaction Report	278-T	2020 Sample Agency 2020,	. Group 1 Filer2, Samp	ble M Sample	Position Report, Under	Agency Review

6.3.1 - Search v. My Queue

"Search" includes more reports than does "My Queue" because it includes reports that have already reached the end of the review process. The larger universe of potential results, however, means that looking for a report in "Search" could take longer than looking for the same report in "My Queue." The "Search" page also lacks the ability to filter reports based on assignment or to assign reports to different Reviewers. For this reason, Reviewers should generally use "My Queue" to manage their current workload.

6.3.2 - Filter Options

At the top of the "Search" page, there are a number of drop-down fields. These fields are filter conditions that limit the number of reports displayed in the results table. Upon opening the "Search" page, *Integrity* will display the filter conditions that you used most recently. Click the "Go" button to retrieve results based on these filter conditions. To filter the results differently, specify the desired results within each filter condition field and click the "Go" button. Clicking the "Reset" button returns the filter conditions to their default values.

- Agency: The "Agency" filter limits results based on the Agency in which the report was filed. For most Reviewers, the filter will have a single option because the Reviewer has access to only a single Agency.
- Item: The "Item" filter limits results based on whether the report is a New Entrant, Nominee, Annual, Termination, Annual/Termination, or Periodic Transaction report. By default, the filter is set to "All" so that reports are displayed regardless of the Item.
- Type: The "Type" filter limits results based on the general form type used the OGE Form 278e ("278") or the OGE Form 278-T ("278-T"). By default, the filter is set to "All" so that reports are displayed regardless of the Type.
- Year: The "Year" filter limits results based on the Year label assigned to a report. By default, the filter is set to "All" so that reports are displayed regardless of the Year. See section 7.6.10 for the Year labeling convention.
- Group: The "Group" filter limits results based on the Group in which the report was filed. For some Reviewers, the filter will have a single option because the Reviewer has access to only a single Group. By default, the filter is set to "All" so that reports are displayed regardless of the Group.
- Status: The "Status" filter limits results based on the status of the report within a workflow. By default, the filter is set to "All" so that reports are displayed regardless of the Status.
- First Name: The "First Name" filter limits results based on the first name or part of a first name and wildcard characters. See also <u>section 6.3.3</u>.
- Middle Initial: The "Middle Initial" filter limits results based on the middle initial(s) or some text and wildcard characters. See also section 6.3.3.
- Last Name: The "Last Name" filter limits results based on the last name or part of a last name and wildcard characters. See also <u>section 6.3.3</u>.
- Position: The "Position" filter limits results based on the position title or part of the position title and wildcard characters. See also <u>section 6.3.3</u>.

- Memo: The "Memo" filter limits results based on whether the text entered, including wildcards, matches text that appears in the "Memo" page of the report. See <u>section</u> <u>6.3.3</u> for more information on wildcard searches. See <u>section 6.6.2</u> for more information on the "Memo" page.
- Interest Name: The "Interest Name" filter limits results based on whether the text entered, including wildcards, matches text that appears in the first field of an entry listed on the report. The table below specifies which field is searched on each Part of the OGE Form 278e or OGE Form 278-T.

Туре	Part	"Interest Name" Filter
		Searches
OGE Form 278e	Part 1 – Filer's Positions Held Outside	"Organization Name" field
	United States Government	
OGE Form 278e	Part 2 – Filer's Employment Assets &	"Description" field
	Income and Retirement Accounts	_
OGE Form 278e	Part 3 – Filer's Employment Agreements	"Employer or Party" field
	and Arrangements	
OGE Form 278e	Part 4 – Filer's Sources of Compensation	"Source Name" field
	Exceeding \$5,000 in a Year	
OGE Form 278e	Part 5 – Spouse's Employment Assets &	"Description" field
	Income and Retirement Accounts	
OGE Form 278e	Part 6 – Other Assets and Income	"Description" field
OGE Form 278e	Part 7 – Transactions	"Description" field
OGE Form 278e	Part 8 – Liabilities	"Creditor Name" field
OGE Form 278e	Part 9 – Gifts and Travel	"Source Name" field
	Reimbursements	
OGE Form 278-T	Main Data Entry Grid	"Description" field

• Amendment: The "Amendment" filter limits results based on whether the "Amendment" field on the "General Information" page has been set to "Yes." See <u>section 6.7.8</u> for more information about amendments to certified reports.

6.3.3 - Wildcard Searches

The "Search" page permits wildcard searches in certain fields.

Wildcard	Use
*	At the beginning or end of a text string in order to match any results containing the text string
	(ex.) Enter "abc*" in the "Position" field. This search will return results for reports in which the position title starts "abc," including "abc 1 position" and "abcdef position."
&	To search for a match of one text string AND another text string

Wildcard	Use
	(ex.) Enter "abc & xyz" in the "Position" field. This search will return results
	for reports in which the position title is "abc xyz."
	To search for a match of one text string OR another text string
	(ex.) Enter "abc xyz" in the "Position" field. This search will return results for reports in which the position title is "abc" or "xyz."
()	To group together text strings in a search
	(ex.) Enter "(abc xyz) & position" in the "Position" field. This search will return results for reports in which the position title is "abc position" and reports in which the position title is "xyz position." This entry will not return results for reports in which the position title is "abc" or "position."

6.3.4 - Customize and Further Filter the Display of Results

Integrity, by default, displays only some of the columns available on "Search." You can change the displayed columns by clicking the "Customize Display" button in the upper right corner of the results table.

QUEUE ARCH	AGENCY													
ARCH		n	rem .		түре			YEAR			GROUP	,	ST	ATUS
	Sample Agency 2020		All	•	All		٣	All		•	All		•	All
<u>irch</u>	FIRST NAME		MIDDLE INITIAL			LAST N/	AME		POSI	TION		ME	MO	
TINGS	Search by First Name		Search by Middle Initial			Searc	ı by Last Name		Sea	rch by Position		S	earch by Memo	
Р														
оит	INTEREST NAME		AMENDMENT			Go	Reset							
	Search by Interest Name		All		•									
	Export to Excel												✓ AGENCY ✓ ITEM ✓ TYPE ✓ YEAR ✓ GROUP	Customize Displa
		тем	\$	TYPE	د د	YEAR 🛟	GROUP		÷	FILER	•	POSITION	FILER POSITION DATE SUBMITTE	
	Sample Agency 2020	Annual I	Report	278	1	2020	Sample Agency 2020, G	Group 1		Filer1, Sample M		Sample Positio	or END INITIAL REV AMENDMENT AGENCY REVIEW	
	Sample Agency 2020 F		Transaction Report	278-T		2020	Sample Agency 2020, 0			Filer2, Sample M		Sample Positio		EK

A list of column names will appear. The columns that are currently displayed will have a checkmark in the box next to their names. Checking (or unchecking) the boxes shows (or hides) columns. *Tip*: The Item column must be available to open a report.

If using the filter conditions returns too many results, you can filter the results further by typing text into the "Search" box. The "Search" box appears below the "Customize Display" button in the upper right corner of the results table.

皆 Export to Excel														Customize Display	·~
20 • records per pa	age													Search:	
AGENCY	÷	ITEM	÷	түре	ŧ	YEAR	÷	GROUP	÷	FILER	•	POSITION	÷	STATUS	ŧ
Sample Agency 2020		Annual Report		278		2020		Sample Agency 2020, Group 1		Filer1, Sample M		Sample Position		Report, Under Agency Review	
Sample Agency 2020		Periodic Transaction Report		278-T		2020		Sample Agency 2020, Group 1		Filer2, Sample M		Sample Position		Report, Under Agency Review	

Integrity will limit the displayed results to records that have matching text in any of the fields that are available in the "Customize Display" list. For example, if you type "Filer2," the results table will display only records in which "Filer2" appears. Note that the "Search" box searches and filters only those records that already match the filter conditions set at the top of the page. For example, let's say the "Item" filter is set to "Annual" and then you type "Filer2" into the "Search" box. The results table will display Annual reports in which "Filer2" appears.

6.3.5 - Open a Report

You can open a report by clicking the hyperlinked text in the "Item" column for that report. The report will appear in a new, secondary window.

AGENCY			YEAR 🛫					÷
Sample Agency 2020	Annual Report	278	2020	Sample Agency 2020, Group 1	Filer1, Sample M	Sample Position	Report, Under Agency Review	
Sample Agency 2020	Periodic Transaction Report	278-T	2020	Sample Agency 2020, Group 1	Filer2, Sample M	Sample Position	Report, Under Agency Review	

If the "Item" column is not visible, check the "Customize Display" button to make sure the column has not been hidden.

6.3.6 - Cannot Find a Report?

There are three main reasons why you might not be able to find a particular report on the "Search" page:

- 1. The report does not yet exist. Check whether a report assignment is visible in the Admin interface for this report.
- 2. You do not have access to the Group in which the report was filed. Check whether another Reviewer with access to the Group can find the report.
- 3. The report has been deleted. Go to the Admin interface and run a management report of deleted records (or ask a Reviewer with sufficient Admin permissions to run such a management report).

6.4 - Reviewan OGE Form 278e

6.4.1 - Basics

When to Review

In general, you would open and review a report when that report has been assigned to you and is currently awaiting your action. Use the "My Queue" page to determine whether you have any assigned reports.

How to Review

The basic requirements of a review within *Integrity* are no different from the requirements when reviewing a hard copy version of a report – Examine the report and work with the Filer until you are satisfied that the report meets the criteria needed to certify the report or, for intermediate Reviewers, that the report meets the criteria needed to submit the report to the next step in the workflow.

How to End Your Review

End your review of a report by going to the "Submit" page, affirming your agreement that the report meets the applicable criteria for certification or submission to the next level of review, and clicking the "Submit" button. See section 6.4.7 for more information.

Access to a Report within the Reviewer's Group

The Filer and all Reviewers for that report can view a report at any time during the review process. These users can also take certain supplemental actions related to a report, such as make comments. However, a user cannot edit the report data on a filed report (i.e., change an entry as it would appear on the printed report) if the user does not hold the role that can act next in the workflow. For example, after the Filer submits the report for review, the Filer cannot edit the report, unless the Reviewer returns the report to the Filer. Similarly, after an intermediate Reviewer submits the report for review by the Certifying Official, the intermediate Reviewer cannot edit the report, unless the Certifying Official returns the report.

Access to a Report within a Subordinate Group

Reviewers can view reports in any Group that is subordinate to a Group in which they have access.

For example, assume Group 1 is the parent Group for Group 1.1.



A Supervisor within Group 1 can view a report in Group 1.1. Reviewers in a parent Group can also take certain supplemental actions related to a report, such as make comments. However, a Reviewer in a parent Group cannot edit the report data of a report within a subordinate Group, unless the Agency has enabled the Cascade All Roles feature. In the example above, the Supervisor of Group 1 could not edit a report filed with Group 1.1, unless the Supervisor directly holds a role within Group 1.1 or unless the Cascade All Roles feature is enabled. As an exception to this rule, the DAEO and DAEO (Alternate) are treated as Certifying Officials in every Group at the Agency; therefore, these role holders can edit all reports at the Agency. See <u>section 7.2.5</u> for information about enabling the Cascade All Roles feature.

Auditing

Workflow actions and other changes to the report after filing are tracked in the "Audit Trail." See section 4.5.9 for more information.

Printing

You can print a copy of the report from the "Printable View" page.

6.4.2 - Menu Options

The left-side navigation menu for the report provides the following options.

- Review Report: "Review Report" includes links to the main data entry grids that correspond to parts of the OGE Form 278e. "Review Report" also contains a summary, "whole report" view and a page used to take workflow actions, such as certifying the report.
 - General Information: This page displays background information about the Filer, report, and review process, such as details concerning any extension granted. Certain fields on this page are ultimately displayed on the Cover Page of the printable, publicly releasable version of the report.
 - General Comments: This page provides access to comments and public annotations that are not linked to a specific grid entry.
 - Filer's Federal Positions: This page displays the Filer's prior Federal positions as they will appear on the Cover Page of the printable, publicly releasable version of the report. This page also displays comments and public annotations linked to specific grid entries.
 - Filer's Positions: This page displays entries that will appear on Part 1 of the printable, publicly releasable version of the report. This page also displays comments and public annotations linked to specific grid entries.
 - Filer's Employment-Related Assets and Income: This page displays entries that will appear on Part 2 of the printable, publicly releasable version of the report.

This page also displays comments and public annotations linked to specific grid entries.

- Filer's Employment-Related Arrangements: This page displays entries that will appear on Part 3 of the printable, publicly releasable version of the report. This page also displays comments and public annotations linked to specific grid entries.
- Filer's Sources of Compensation (*New Entrant and Nominee Reports only*): This page displays entries that will appear on Part 4 of the printable, publicly releasable version of the report. This page also displays comments and public annotations linked to specific grid entries.
- Spouse's Employment-Related Assets and Income: This page displays entries that will appear on Part 5 of the printable, publicly releasable version of the report. This page also displays comments and public annotations linked to specific grid entries. The page is not available if the Filer indicated that the Filer does not have a spouse.
- Other Assets and Income: This page displays entries that will appear on Part 6 of the printable, publicly releasable version of the report. This page also displays comments and public annotations linked to specific grid entries.
- Transactions (*Annual, Termination, and Annual/Termination Reports only*): This page displays entries that will appear on Part 7 of the printable, publicly releasable version of the report. This page also displays comments and public annotations linked to specific grid entries.
- Liabilities: This page displays entries that will appear on Part 8 of the printable, publicly releasable version of the report. This page also displays comments and public annotations linked to specific grid entries.
- Gifts and Reimbursements (*Annual, Termination, and Annual/Termination Reports only*): This page displays entries that will appear on Part 9 of the printable, publicly releasable version of the report. This page also displays comments and public annotations linked to specific grid entries.
- Report Data (Summary): This page displays entries provided on the preceding data entry grids as well as links back to each data entry grid. For a simple report, the Reviewer may find it easier to start with this page and go to the data entry grids only if the Reviewer has to edit an entry or make a comment. Comments and public annotations are displayed in special sections at the top of the page.
- Submit Report: A Reviewer uses this page to take workflow actions, such as submitting/signing the report, returning the report to the Filer or an earlier Reviewer, and "pulling" a report forward to the Certifying Official step.

- Printable View: This page is used to print a hard copy of the OGE Form 278e. The printout will include any public annotations but will not include comments.
- Compare: The "Compare" page will show changes made to a report that the Filer prepopulated from another report.
- Documents: The "Documents" page provides a location to upload documents related to a report (e.g., a job description or ethics counseling memo).
- Audit Trail: The "Audit Trail" page provides a record of workflow actions and edits to reports after filing.
- Notifications: The "Notifications" page provides a record of email notifications sent to the Filer through *Integrity*.
- Help: The "Help" page provides links to basic information about *Integrity* and the public financial disclosure forms.

6.4.3 - General Information Page

The "General Information" page presents background information about the Filer, report, and review process in four sections. Reviewers with the DAEO or DAEO (Alternate) role may also use this page to change the workflow of reports.

≡ ▲ Filer1, Sample M	General In	formation: Filer1, Sample	e M				
REVIEW REPORT	REPORT SUMMA	NRY					
General Information							
General Comments	FILER SNAPSH	от					Edit
Filer's Federal Positions	Filer:	The definition of the second s	Item:	to and December	Annual and D		
Filer's Positions	Agency:	Filer1, Sample M Sample Agency 2020	Report Type:	Annual Report 278	Appointment De Status:	Report, Under Agency Review	
Filer's Employment-Related Assets and Income	Group:	Sample Agency 2020 Sample Agency 2020, Group 1	Report Year:	2020	Spouse:	Yes	
Filer's Employment-Related	Position:	Sample Position					
Arrangements	Existing Workj	flow: General					
Spouse's Employment Related Assets and Income							
Other Assets and Income	REVIEWER & FI	ILER INFORMATION					Edit
Transactions	Filer Category:	Career SES	Public Availabili	b.	Agency Reviewe	r	
Liabilities	Filer Status:	Career 525	1 ubite Availabili	y.	OGE Reviewer:		
Gifts and Reimbursements	DAEO:						
Report Data (Summary)							
Submit Report	DUE DATES & E	EVTENSIONS					Edit
Printable View	DUE DATES & E	EXTENSIONS					

Filer Snapshot

This section displays general background information about the Filer and the report.

FILER SNAPSHOT						Edit
Filer:	Filer1, Sample M	Item:	Annual Report	Appointment Date:	04/2015	
Agency:	Sample Agency 2020	Report Type:	278	Status:	Report, Under Agency Review	
Group:	Sample Agency 2020, Group 1	Report Year:	2020	Spouse:	Yes	
Position:	Sample Position					
Existing Workflow:	General					

FILER SNAPSHOT		1	Cancel
Position:	Spouse:	Report Year:	
Sample Position	Yes	2020	•
Appointment Date:			
April x v 2015 x v			
	Save		

- Filer: This field displays the name of the Filer as it appeared in the Filer's contact information when the report was completed. Subsequent name changes do not affect the name displayed on the report.
- Agency: This field displays the name of the Agency that must review the report. *Integrity* populates this field based on the Agency in which the Filer was assigned the report. Reports are assigned in the Admin interface.
- Group: This field displays the name of the Group that must review the report. *Integrity* populates this field based on the Group in which the Filer was assigned the report.
- Position: This field displays the name of the position for which the Filer must file the report. *Integrity* initially populates this field based on information supplied by the user who assigned the report in the Admin interface; however, the Filer can update the position name when filing the report. Reviewers can also update the position name using this field.
- Existing Workflow: This field displays whether the report follows the General 278 workflow (i.e., report is not reviewed by OGE) or the PAS/DAEO workflow (i.e., report is also reviewed by OGE). Reviewers with the DAEO (or DAEO Alternate) roles will see a "Change Workflow" button. See <u>section 6.4.8</u> for assistance with changing the workflow of a report.
- Item: This field displays whether the Filer completed a New Entrant, Nominee, Annual, Termination, Annual/Termination, or Periodic Transaction report. *Integrity* populates this field based on information supplied by the user who assigned the report in the Admin interface. The Item cannot be changed once the Filer starts the report.
- Report Type: This field displays whether the Filer completed an OGE Form 278e ("278") or OGE Form 278-T ("278-T"). *Integrity* populates this field based on information supplied by the user who assigned the report. The Report Type cannot be changed once the Filer starts the report.
- Report Year: This field displays the year of the report filed. *Integrity* initially populates this field based on information supplied by the user who assigned the report

in the Admin interface; however, the Reviewer can update this field. See <u>section</u> 7.6.10 for the Year labeling convention.

- Appointment Date: This field displays the appointment date provided by the Filer. Reviewers can update this field if necessary.
- Status: This field indicates where the report is in its lifecycle. Depending on the workflow, however, a report may go through several levels of review within a single Status. To check where a report is within the workflow, click the hyperlinked text in the "Status" column. A new window will appear.

FILER SNAPSHO	т				
Filer: Agency:	Filer1, Sample Sample Agency	/ 2020	Item: Report Type:	Annual Report 278	
Group: Position: Existing Workflo	Sample Agency Sample Positio DW: General		Report Year:	2020	
Workflow					X
ROLE		ROLE HOLDER	ESIGNED/SIGNATUR	5	
Filer		Filer1, Sample M	02/05/20 - Filer1, S	ample M	
Ethics Of	fficial	Reviewer1, Sample M			
Certifyin	g Official	Reviewer2, Sample M			

The window displays the workflow for that report and the Primary role holder at each step within that workflow. The far right column specifies whether a role holder has taken action for a particular step, including the name of that role holder.

• Spouse: This field indicates whether the Filer answered "Yes" on the "Getting Started" page as to whether the reporting requirement for a spouse applies. Reviewers can update this field if necessary.

Reviewer & Filer Information

This section records additional information about the Filer and report. Also included are optional fields for designating a primary Reviewer point-of-contact on the report.

REVIEWER & FILER INFORMATION			Edit
Filer Category: Career SES	Public Availability:	Agency Reviewer:	
Filer Status:		OGE Reviewer:	
DAEO:			

REVIEWER & FILER INFORMATION			Cancel
Filer Category:	Public Availability:	Agency Reviewer:	
Career SES •	Please Select		
Filer Status:		OGE Reviewer:	
Please Select			
DAE0			
	Save		

- Filer Category: This field identifies the Filer as belonging to one of several appointment types. Agencies and OGE use this information for the Annual Ethics Questionnaire and other management reporting functions. A default Filer Category can be assigned to a Filer when adding a Filer to a Group. The default Filer Category pre-populates the Filer Category for each report assigned to the Filer in that Group; however, the Filer can revise the field on the "Getting Started" page when completing the report. Reviewers can also update the selection here if needed.
- Filer Status: This field identifies whether the Filer is a full-time employee, a part-time employee, or a special Government employee for purposes of the ethics rules. Select "Other" only in the rare case that another status code does not apply. A default Filer Status can be assigned to a Filer when adding a Filer to a Group. The default Filer Status pre-populates the Filer Status for each report assigned to the Filer in that Group; however, Reviewers can update the selection here if needed.
- DAEO: This field indicates whether the report is for a Filer's position as DAEO. Note that "DAEO" in this context means the individual appointed as DAEO within the meaning of 5 C.F.R. § 2638.104(a). This individual may or may not hold the "DAEO" role within *Integrity*.
- Public Availability: This field indicates whether the report is releasable to the public or not. In most cases, an OGE Form 278e or OGE Form 278-T is releasable to the public. An Admin user makes an initial determination when assigning the report. Reviewers can update this determination if needed.
- Agency Reviewer (*optional use*): *Integrity* records the standard workflow that a report will follow as well as the Reviewer who is currently assigned the report. In some cases, however, the Agency may wish to record a single point-of-contact for the report regardless of its current place in the workflow. For example, the Agency may wish that OGE direct all follow-up questions on a PAS/DAEO report to an individual other than the Certifying Official. Entering the name of a preferred point-of-contact in this field helps communicate this request and avoid the re-routing of questions.
- OGE Reviewer (*optional use*): OGE may use this field to record the name of primary point-of-contact on a report that goes to OGE for review.

Due Dates and Extensions

This section records the due date of the report as well as information about any extension, late filing fee, or late filing fee waiver. These fields can be updated on the "General Information" page by a Reviewer or on the "Manage Assigned Reports" page by an Admin user.

DUE DATES & EXTENSIONS					Edit
Extension: 0 days Extension Comments:		Original Due Date: 05/15/2020 Due Date Comments:		Due Date: Late Fee Waiver: Late Fee Paid:	05/15/2020 No
DUE DATES & EXTENSIONS					Cancel
Extension:		Original Due Date:		Late Fee Walver:	
0	Days	05/15/2020	m		
Extension Comments:		Due Date Comments:		Late Fee Paid	Characters left: 500
Chard	acters left: 500		Characters left: 500		
		Save			

- Extension: If the Filer received an extension, a Reviewer should enter the total number of days for all of the extensions received. If the Filer previously received an extension, a Reviewer will need to add any new extension to the old extension to calculate the correct total number of days. For example, if the Filer first received a 15-day extension and later receives a 30-day extension, a Reviewer would enter "45" in the extension field.
- Extension Comments: A Reviewer should enter comments needed to explain why the extension was granted. Comments are required if the total number of days for the extension exceeds 45.
- Original Due Date: The original due date is determined at the time the report is assigned. Reviewers can modify the date here if the original due date is incorrect.
- Due Date Comments: A Reviewer can enter comments needed to explain modifications to the original due date.
- Due Date: *Integrity* automatically calculates the due date based on the original due date and the number of days of any extension granted.
- Late Fee Waiver: A Reviewer should complete this field if the Filer received a late filing fee waiver.
- Late Fee Paid: A Reviewer should complete this field if the Filer paid a late filing fee.

Review Dates

This section records when an initial review of the report was conducted and when the review process ended.

REVIEW DATES				Edit
End Initial Review:	Final Status Date:		Filing Date: 02/05/2020	
Final Status:	Status Comment:			
Amendment:	Amendment Comment:		Amendment Public Annotation:	
REVIEW DATES				Cancel
End Initial Review:	Status Comment:			
m				
		Characters left: 500		
	Save			

- Filing Date: *Integrity* automatically populates this field after the Filer submits (i.e., files) the report. The date will correspond to the signature date that appears on the printed report.
- End Initial Review: A Reviewer completes this field with the date on which the initial review of the report was completed. Note that an "initial review" means a full review of the report for <u>both</u> technical sufficiency and potential conflicts. Therefore, you would not complete this field if reviewing the report as a Supervisor or Screener. Complete this field only if performing the initial review as an Ethics Official or Certifying Official.
- Final Status: *Integrity* automatically populates this field after the Certifying Official certifies a General 278 report or closes the report without certification. For PAS/DAEO reports, *Integrity* populates this field after the OGE Certifying Official certifies the report or closes the report without certification.
- Final Status Date: *Integrity* automatically populates this field with the date on which the report was certified or closed without certification.
- Status Comment (*optional use by Agencies*): A Reviewer may use this field to document information related to the review process timeline. This field should not be used for general notes about your review. A Reviewer should enter those notes in the "Memo" page or upload the notes as a separate file to the "Documents" page.
- Amendment (*Certifying Officials only*): A Certifying Official would make a selection in this field if the report was amended after it reached the end of the review process. This field can be edited only if the report has reached the end of the review process. For more information, see section 6.7.8.

- Amendment Comment (*Certifying Officials only*): A Certifying Official can use this field to provide an internal explanation for an amendment. This field can be edited only if the report has reached the end of the review process. For more information, see section 6.7.8.
- Amendment Public Annotation (*Certifying Officials only*): A Certifying Official can use this field to provide a public explanation for an amendment. The text will display on the Cover Page of the printable, publicly releasable version of the report. This field can be edited only if the report has reached the end of the review process. For more information, see <u>section 6.7.8</u>.

6.4.4 - Edit Grid Entries

Reviewers can edit grid entries in the same way that a Filer would edit entries. See $\frac{1}{3}$ for more information on working with the data entry grids.

6.4.5 - Comments

Reviewers view and add comments in the same way that a Filer would view and add comments. In addition, unlike a Filer, a Reviewer can delete comments by selecting the "Delete Comment" link below the desired comment. See <u>section 4.5.4</u> for more information on comments.

6.4.6 - Public Annotations

Reviewers view public annotations in the same way that a Filer would view public annotations. In addition, unlike a Filer, a Reviewer can add and delete public annotations. *Integrity* records these additions and deletions to a filed report in the "Audit Trail." See <u>section 4.5.5</u> for more information on public annotations.

6.4.7 - Submit, Return, or Close a Report

Submit ("Sign") a Report

Submitting a report in *Integrity* is the equivalent of approving or signing the report. For the Certifying Official, submission certifies the report and ends the review process. For intermediate Reviewers, submission forwards the report to the next level of review.

To submit a report, take the following steps:

1. Go to the "Submit" page. A "Data last revised..." message is displayed if the report was revised after the Filer initially submitted the report. The message will specify the last user to make a change as well as the date/time of the change. Consult the "Audit Trail" if you would like additional information before submitting/signing the report.

≡ ▲ Filer1, Sample M	Preview
REVIEW REPORT	SIGNING STATEMENT, CERTIFYING OFFICIAL
General Information General Comments Filer's Federal Positions	 On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations. Return to sender.
Filer's Positions Filer's Employment-Related Assets and Income	 Certification Declined. Data last revised by Reviewer1, Sample M at Feb 5th 2020, 4:52:59 pm

2. Select the option that indicates agreement with the Review Statement.

SIGNING STATEMENT, CERTIFYING OFFICIAL

On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations.
Return to sender.

O Certification Declined.

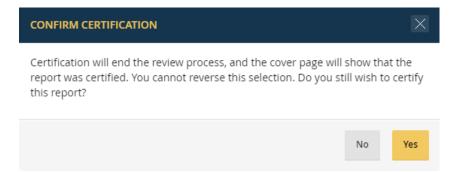
The Review Statement will differ depending on your role. In addition, only the signatures of Reviewers who performed both a technical and conflicts review appear on the Cover Page of the printable, publicly releasable version of the report, unless the Agency has enabled the Display Signatures for Intermediate Reviewers option. See <u>section 7.2.5</u> for information about enabling this option. All submissions are always recorded in the "Audit Trail."

Role	Text of Review Statement	Recorded in Audit Trail?	Displayed on Cover Page?
Supervisor	On the basis of information contained in this report, I conclude that the filer does not have any apparent conflicts of interest.	Yes	No (unless option enabled)
Screener	On the basis of information contained in this report, I conclude that the filer is in compliance with applicable financial disclosure requirements.	Yes	No (unless option enabled)
Ethics Official	On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations.	Yes	Yes
Certifying Official	On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations.	Yes	Yes

3. Click the "Submit" button.



If submitting the report will end the review process (e.g., submitting as a Certifying Official for a General 278 report), *Integrity* will ask you to confirm the decision.



Important: A Reviewer cannot re-open a report once the review process ends. Do not click "Yes" on the confirmation screen unless you are sure the report should be certified.

After you have completed all of these steps, you will receive a message stating that the report has been submitted.

Return a Report

Integrity does not permit a Filer or Reviewer to edit report data once that user has submitted the report. The Filer and earlier Reviewers can use the comment feature and upload documents as needed; however, the next Reviewer in the workflow has control over the report data. If an update or correction to the report data is required, the Reviewer currently in control of the report can take the required action or return the report to the Filer or an earlier Reviewer. If the report is returned, the Filer or earlier Reviewer would make the requested changes and re-submit the report. *Integrity* records the return action, any edits to report data, and the re-submission in the "Audit Trail."

To return a report, take the following steps:

- 1. Go to the "Submit" page.
- 2. Select the "Return to" option and then select the user to whom to return the report.

SIGNING STATEMENT, CERTIFYING OFFICIAL

On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations.

Return to sender.

Certification Declined.
Data last revised by Reviewer1, Sample M at Feb 5th 2020, 4:52:59 pm

Return To
Return To
Filer (Filer1, Sample M)

RETURNED?

Ethics Official (Reviewer1, Sample M)

Specify whether *Integrity* should notify the Filer or Reviewer that the report has been returned and whether alternate Reviewers should be copied as well. If copying alternate reviewers, *Integrity* will display a list of reviewers who also have permission to take action for the current workflow step (i.e., if returning a report from the Certifying Official step, you can select other Reviewers who can act as a Certifying Official for the report).

WOULD YOU LIKE TO NOTIFY THE FILER THAT THE REPORT HAS BEEN RETURNED?
Yes - Notify Now No - Do not notify at this time WOULD YOU LIKE TO CC ALTERNATE REVIEWERS?
Yes
○ No
SELECT ALTERNATE REVIEWERS TO CC
DAEO, Sample M Reviewer3, Sample M

By default, the notice uses the text specified by the Agency in the Admin interface. You can supply a different message by entering text in the "Comments" box.

COMMENTS	
Dear [[filer]],	
Substitute text for a notice	
	Characters left: 455

3. Click the "Return Report" button. You will receive a message stating that the report has been returned.

viewer1, Sample M at Feb 5	5th 2020, 4:52:59 pi	m			
M)		•			
NOTIFY THE FILER THAT TH	IE REPORT HAS BEI	EN RETURNED?			
at this time					
			(Return Report	

Decline Certification (Certifying Officials only)

In rare cases, a Certifying Official may need to close a report without certification. *Integrity* notes on the Cover Page of the printable report that the Certifying Official declined to certify.

Important: A closed report cannot be re-opened; therefore, do not choose this option unless you are sure that the report should be closed and that such action is in conformance with rules set by OGE and the Agency. Do not decline certification if the report was created in error or if a report must be re-started to address a system issue. Instead, the unneeded report should be removed through the Records Management function.

To decline certification, take the following steps:

- 1. Go to the "Submit" page.
- 2. Select the "Certification Declined" option.
- 3. Click the "Close without Certification" button.



Integrity will ask you to confirm the decision. After confirmation, you will receive a message stating that the report has been closed.

Pull a Report Forward (Certifying Officials only)

Reports follow a standard workflow according to settings established at the Agency level. For example, if the Agency has specified that General 278 reports follow the Filer to Supervisor to Certifying Official workflow, a report will be available for certification only after the Supervisor submits the report. *Integrity*, however, permits a Certifying Official to "pull" a report directly to the Certifying Official step in the workflow, skipping all intermediate Reviewers. *Integrity* will record the request to "pull" a report forward in the "Audit Trail."

To pull a report forward, go to the "Submit" page and click the "Pull Forward" button. This option will not appear if you are not a Certifying Official for the Group, if you also have the intermediate Reviewer role that would act next, or if the report is already pending action at the Certifying Official step.



You will receive a message stating that the report was pulled forward. You can then edit, certify, or decline to certify the report.

Review Flags for Submit or Close Actions

A number of fields are required by *Integrity*, either on the "General Information" page or when the Filer is completing the form. In other cases, *Integrity* provides flexibility early in the data entry process by not requiring a field value and, instead, performs a data validation check on the "Submit" page before the Reviewer can submit or close a report. If there is an item that fails a data validation check, the Reviewer generally needs to return to the affected page and address the deficiency.

6.4.8 - Change the Workflow of a Started Report (DAEOs only)

A report is sometimes assigned using the incorrect workflow. For example, a General 278 report (not reviewed by OGE) might be assigned using the PAS/DAEO workflow. If the Filer has not yet started the report, any user with report-assignment rights can change the workflow in the Admin interface. See <u>section 7.6.7</u>. If the Filer has already started the report, however, only a Reviewer with the DAEO or DAEO (Alternate) role can change the workflow of the report.

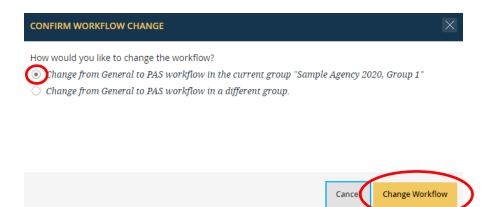
Basic Steps to Changing a Workflow

To change the workflow, take the following steps:

1. Go to the "General Information" page and select the "Change Workflow" button.

=	General Ir	General Information: Filer1, Sample M										
Filer1, Sample M	Generali	Seneral Mistradon Fuerr, sample M										
REVIEW REPORT	REPORT SUMM	REPORTSUMMARY										
General Information												
General Comments	FILER SNAPSH	тот					Edit					
Filer's Federal Positions												
Filer's Positions	Filer:	Filer1, Sample M	Item:	Annual Report	Appointment L	Date: 04/2015						
Filer's Employment-Related Assets	Agency:	Sample Agency 2020	Report Type:	278	Status:	Report, Under Agency Review						
and Income	Group:	Sample Agency 2020, Group 1	Report Year:	2020	Spouse:	Yes						
	Position:	Sample Position										
Filer's Employment-Related Arrangements	Existing Work	flow: General										
Spouse's Employment Related Assets and Income	Change Work	cflow										

Select how to change the workflow and click the "Change Workflow" button.



You will receive a notification if the change was processed successfully.

CONFIRM WORKFLOW CHANGE	×
The filing workflow has successfully been changed to PAS.	

Changing Workflows in the Current Group

You can change the workflow of a report without changing the Group if the current Group supports both the General 278 and PAS/DAEO workflows. If the Group does not support both workflows, you can either change the report to the workflow of a different Group or add a workflow to the current Group. See <u>section 7.3.4</u> for information about adding a workflow to a Group.

Changing Workflows and Moving the Report to a Different Group

In some cases, you cannot change the workflow of a report within a current Group because the Group does not support that workflow and you do not want to edit the number of permissible workflows for that Group. In such cases, you can change the workflow of the report and move the report to a different Group that does support the correct workflow. However, before you can change the workflow of the report, you will need to add the Filer to the new Group. See <u>section 7.5.3</u> for information about adding a Filer to a Group.

Effect of Changing Workflows

Changing the workflow of a report resets the review process. If the Filer has not yet submitted the report, this reset has no effect. The report, once submitted, will go to the first step in the new workflow. If the Filer has already submitted the report, the reset has the effect of sending the report back to the first review step in the new workflow. Any Reviewer signatures applied to the report will be removed; however, any auditable actions taken by prior Reviewers will remain in the "Audit Trail."

EXPAND ALL	DATE	NAME	÷ ROLE ÷	event ÷
0	Feb 4th 2019, 4:28:23 pm		hics Official	Filer Category Updated
	Feb 4th 2019, 3:34:44 pm	Sample Reviewer1	Ethics Official	Report Signed by Ethics Official
0	Feb 4th 2019, 3:34:15 pm	Sample Reviewer1 Reviewers in prior workflo	thics Official	Filer Status Updated
0	Feb 4th 2019, 10:41:58 am	Sample Reviewer1	thics Official	Other Assets Income Updated
	Feb 4th 2019, 9:13:09 am	Sample Filer1	Filer	Report Signed by Filer

The workflow change will also be noted as a system-generated public annotation on the Cover Page of the report.

6.5 - Reviewan OGE Form 278-T

6.5.1 - Basics

The basic elements of the review process are the same for the OGE Form 278e and the OGE Form 278-T. See section 6.4.1 for a discussion of the review process in *Integrity*.

6.5.2 - Menu Options

The left-side navigation menu for the report provides the following options.

- Review Report: "Review Report" provides access to the OGE Form 278-T data, comments, and public annotations. You can also use "Review Report" to print the report and to take workflow actions, such as certifying the report.
 - General Information: This page displays background information about the Filer, report, and review process, such as details concerning any extension granted. Certain fields on this page are ultimately displayed on the Cover Page of the printable, publicly releasable version of the report.
 - General Comments: This page provides access to comments and public annotations that are not linked to a specific grid entry.
 - 278-T Transactions: This page displays the periodic transactions that will appear on the printable, publicly releasable version of the report. This page also displays comments and public annotations linked to specific grid entries.
 - Report Data (Summary): This page displays the information from the "General Information" page and the "278-T Transactions" page as well as any comments and public annotations.
 - Submit Report: A Reviewer uses this page to take workflow actions, such as submitting/signing the report, returning the report to the Filer or an earlier Reviewer, and "pulling" a report forward to the Certifying Official.

- Printable View: This page is used to print a hard copy of the OGE Form 278-T. The printout will include any public annotations but will not include comments.
- Documents: The "Documents" page provides a location to upload documents related to a report (e.g., ethics counseling memo).
- Audit Trail: The "Audit Trail" page provides a record of workflow actions and edits to reports after filing.
- Notifications: The "Notifications" page provides a record of email notifications sent to the Filer through *Integrity*.
- Help: The "Help" page provides links to basic information about *Integrity* and the public financial disclosure forms.

6.5.3 - General Information Page

The "General Information" page for the OGE Form 278-T has all the same fields as the "General Information" page with just one exception.

The "Due Dates & Extensions" section for the OGE Form 278-T has an additional field, "Due Date by Earliest Transaction." Unlike reports submitted using the OGE Form 278e, reports submitted using the OGE Form 278-T are subject to a due date that varies based on the data contained within the report. Specifically, the statute and regulation governing public financial disclosure requires Filers to report certain transactions on an OGE Form 278-T within 30 days of receiving notification of a transaction but not later than 45 days after the transaction. Because the due date varies with the dates of the transactions within the report, Integrity has no information at report assignment for use in sending reminder notifications. In addition, reports submitted using the OGE Form 278-T are often selfassigned so that Agency users are not in a position to assign due dates manually. Integrity, therefore, calculates a default "Original Due Date" that is 30 days from the date of report assignment. This calculated date, plus any extensions, yields the "Due Date" applied for notification purposes. After the Filer has actually added transactions, *Integrity* then calculates a "Due Date by Earliest Transaction" by adding 30 days to each date for which the "Notification Received Over 30 Days Ago" field is "Yes" and adding 45 days to each date for which the field is "No."

See <u>section 6.4.3</u> for information on the "General Information" page fields that also appear for the OGE Form 278e.

6.5.4 - Edit Entries

Reviewers edit grid entries in the same way that a Filer would edit entries. See <u>section</u> 5.3.3 for more information on working with the "278-T" data entry grid.

6.5.5 - Comments

Reviewers view and add comments in the same way that a Filer would view and add comments. In addition, unlike a Filer, a Reviewer can delete comments by selecting the "Delete Comment" link below the desired comment. See <u>section 5.5.4</u> for more information on comments.

6.5.6 - Public Annotations

Reviewers view public annotations in the same way that a Filer would view public annotations. In addition, unlike a Filer, a Reviewer can add and delete public annotations. *Integrity* records these additions and deletions to a filed report in the "Audit Trail." See <u>section 5.5.5</u> for more information on public annotations.

6.5.7 - Submit, Return, or Close a Report

Reviewers submit an OGE Form 278-T and perform other workflow actions in the same way as they would for an OGE Form 278e. See <u>section 6.4.7</u> for more information.

6.5.8 - Change the Workflow of a Started Report (DAEOs only)

Reviewers with the DAEO or DAEO (Alternate) role may change the workflow for a started OGE Form 278-T through the same steps used to change the workflow of an OGE Form 278e. See <u>section 6.4.8</u> for more information.

6.6 - Additional Report-Level Features

The following additional features are available when reviewing a report.

6.6.1 - Compare

For an OGE Form 278e, the "Compare" feature works the same way for Reviewers as it does for Filers with one exception. Reviewers can download the prior report only if the report is in a Group to which they have access. See <u>section 4.5.7</u> for more information on the basic functioning of "Compare."

Integrity does not provide a "Compare" feature for an OGE Form 278-T.

6.6.2 - Memo

The "Memo" page provides a space for Reviewers to record notes that should be retained with the report after the review process ends. The Filer does not have access to the "Memo" page, and the "Memo" page is not part of the printable, publicly releasable report. Notes entered into the "Memo" page, therefore, differ from "comments," which are temporary communications between the Filer and Reviewers. Notes entered on the "Memo" page also differ from "public annotations," which are part of the printable, publicly releasable report.

Add a Memo

To add a Memo, click the "Edit Memo" button.

=	Momer 2020 Annual Banart - Filert - Comple M	
👗 Filer1, Sample M	Memo: 2020 Annual Report - Filer1, Sample M.	
* REVIEW REPORT	ADD A MEMO	
₩ COMPARE		
🕼 мемо	Edit Memo	
<u>Memo</u>	This report has no Memo yet. Click "Edit Memo" to create one.	8
% DOCUMENTS		

Enter the desired text into the blank text box and click the "Save" button.

=	Marca 2000 Americal Departer Dilated Councils M
🏝 Filer1, Sample M	Memo: 2020 Annual Report - Filer1, Sample M.
REVIEW REPORT	ADD A MEMO
E COMPARE	
☑ мемо	A Normal text + Bold Italic Underling
<u>Memo</u>	Text of memd
	read or memo
AUDIT TRAIL	
• HELP	
CLOSE WINDOW	Save Cancel

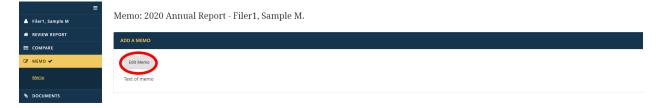
A checkmark will appear next to the "Memo" menu option, signaling that a memo exists.

Delete a Memo

To delete a Memo, click the "Edit Memo" button and delete all of the text that appears in the text box. Clicking the "Save" button completes the deletion.

Edit a Memo

To edit a memo, click the "Edit Memo" button and make the desired change in the text box.



Clicking the "Save" button completes the edit.

Identify a Change

The last Reviewer to edit the "Memo" page will appear at the top of the page along with the date of that change. *Integrity* does not record specific changes to the "Memo" page in the "Audit Trail."



To save notes that cannot be updated by another Reviewer, you can upload notes as a static document (e.g., a scanned page or an Adobe PDF file) on the "Documents" page.

Search Memo Text

Text entered into the "Memo" page is searchable from the "Search" page. See section 6.3 for more information about the "Search" feature.

6.6.3 - Documents

The "Documents" page works in much the same way for Reviewers as it does for Filers; however, Reviewers can also delete documents and edit document properties. Reviewers delete a document by selecting the "Delete Document" link. Reviewers edit document properties by selecting the "Edit" button. See <u>section 4.5.8</u> for information about adding documents.

≡ ▲ Filer1, Sample M	Documents: An	nual Report 2020 - Filer1, Sample M	Add Document
REVIEW REPORT	DOCUMENTS		
E COMPARE	DOCOMENTS		
🕼 мемо 🗸	TYPE Other	Sample Document.docx Retention Category: When no longer needed	Edit
⊗ DOCUMENTS ✓	ould	By Reviewer2, Sample M on 02/05/20; 11.84 🗵 😰 Delete Document	\mathbf{i}

6.6.4 - Audit Trail

The "Audit Trail" page works the same way for Reviewers as it does for Filers, so see section 4.5.9 for more information.

6.6.5 - Notifications

The "Notifications" page works the same way for Reviewers as it does for Filers, so see section 4.5.10 for more information.

6.7 - View and Amend a Certified or Closed Report

Certified OGE Form 278e reports are ordinarily retained for 6 years from the date of filing. Certified OGE Form 278-T reports are ordinarily retained for 7 years from the date of filing. Reviewers have access to old reports that have been certified or closed without certification, provided those reports were filed in Groups to which they currently have access as Reviewers. Some features, however, will not be available because final certification prevents any further changes to the report data.

6.7.1 - Open a Report

To open a report that has already been certified, go to the "Search" page within the Reviewer interface. Find the report and select the hyperlinked text in the "Item" column. You can also find and open the report through the "Records Management" page if you have the Records Manager role for that Group (or if you have the DAEO role).

6.7.2 - View a Report

Reviewers cannot make any changes or comments to the entries on a report after the review is complete, so you cannot access the data entry grids. However, you can view the final version of the information entered as displayed on the "Printable View" page.

6.7.3 - Edit General Information Page Fields

You can still edit certain fields on the "General Information" page after the review is complete for a General 278 report. OGE has similar edit rights for PAS/DAEO reports.

- Report Year
- Filer Category
- Filer Status
- DAEO
- Public Availability
- Agency Reviewer
- OGE Reviewer
- Late Fee Waiver
- Late Fee Paid
- End Initial Review

In addition, Certifying Officials can use the Amendment, Amendment Comment, and Amendment Public Annotation fields to address amendments that occur after the review is complete. See <u>section 6.7.8</u> for more information.

6.7.4 - Compare

If the report was originally pre-populated from a prior report, you can still view the differences between the two reports.

6.7.5 - Documents

You can still add documents, delete documents, and edit document properties.

6.7.6 - Audit Trail

You can still view the history of workflow events and changes to a report after the review is complete. The "Audit Trail" page works the same way for Reviewers as it does for Filers, so see section 4.5.9 for more information.

6.7.7 - Notifications

You can still view the notifications sent to the Filer for this report. The "Notifications" page works the same way for Reviewers as it does for Filers, so see section 4.5.10 for more information.

6.7.8- Amendments to General 278 Reports

Make an Amendment

Neither Filers nor Reviewers have the ability to edit the entries of a report after the review is complete. In lieu of an edit to a report entry, an amendment letter or other document can be uploaded into *Integrity* on the "Documents" page. Brief amendments can also be addressed through a public annotation.

Flag an Amended Report (Certifying Officials only)

To indicate that a report has been amended, go to the "Review Dates" section of the "General Information" page for the report and click the "Edit" button.

REVIEW DATES				Edit
End Initial Review:		Final Status Date: 2/4/19	Filing Date:	02/04/2019
Final Status:	Certified	Status Comment:		
Amendment:		Amendment Comment:	Amendment Public Annotation:	c

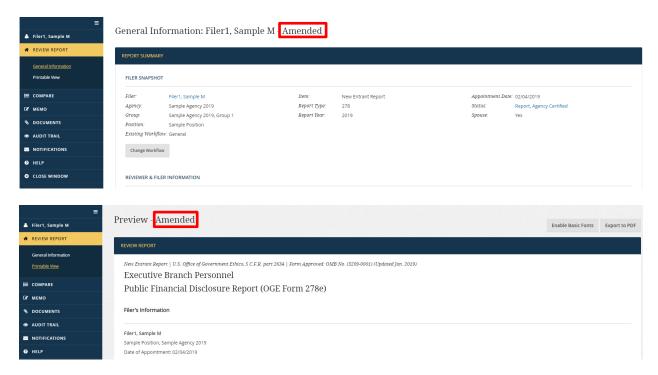
Select "Yes" in the "Amendment" field and click the "Save" button.

REVIEW DATES		Cancel
Amendment	Amendment Comment:	Amendment Public Annotation:
Yes		
	Characters left: 500	Characters left: 500
	Save	

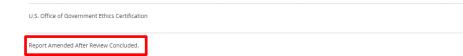
Integrity will ask you to confirm the decision.

CONFIRM AMENDMENT		X
Changes to the Amendment and Amendment Public Annotation displayed on the version of the report that is releasable to the p wish to continue?		
	No	Yes

The word "Amended" will now appear at the top of the "General Information" page and the "Printable View" page.



In addition, *Integrity* automatically notes "Report Amended After Review Concluded" on the Cover Page of the report below the Agency and OGE signature sections.



Amendment Comments (Certifying Officials only)

You can enter text into the "Amendment Comment" field to provide a brief, internal explanation of the amendment. The text in this field is only visible on the "General Information" page.

Amendment Public Annotations (Certifying Officials only)

You can enter text into the "Amendment Public Annotation" field to provide a brief, public explanation of the amendment. If the amendment is too lengthy or complex to address in this field, you can use the field to direct the reader to an amendment letter or other document that has been uploaded into *Integrity* on the "Documents" page.

Any text entered into this field will appear in the "Comments of Reviewing Officials" section of the Cover Page. The text, therefore, is part of the printable, publicly releasable version of the report.

Report Amende	Report Amended After Review Concluded.						
Comments of Reviewing Officials (public annotations):							
N/A	N/A	General	(02/04/19, DAEO1, Sample M): Text of an amendment				

Finding Amended Reports

To identify which reports have been amended, you can go to the "Search" page and set the "Amendment" filter to "Yes."

Records Search

AGENCY All	Γ	All	•	All	×	YEA	×	GROUP		•	All	v
FIRST NAME Search by First Name		MIDDLE INITIAL			LAST NAME Search by Last Name		POSITION Search by Position		MEMO Search by M	emo		
INTEREST NAME		AMENDMENT Yes		T	Go Reset							

Alternatively, you can select the "Amendment" field from the "Customize Display" dropdown list.

Export to Excel											Customize Display ~
20 • records pr	er page ¢ ПЕМ	÷	туре	÷	YEAR 🛟	GROUP	÷	FILER	•	POSITION	
Sample Agency 2020	Annual Report		278		2020	Sample Agency 2020, Group 1		Filer1, Sample M		Sample Position	

Audit Trail

Changes to the amendment fields will appear in the "Audit Trail."

6.7.9- Amendments to PAS/DAEO Reports

Contact OGE to amend a PAS/DAEO report after the report has been certified or closed by OGE. Entries of such reports cannot be edited; however, OGE can flag the report as having been amended and enter a public annotation using the amendment fields discussed in section 6.7.8. OGE can also upload an amendment letter or other document on the "Documents" page.

6.8 - Manage Records

This section explains how to view, retain, purge, and delete reports.

6.8.1 - Access the Records Management Page

You can access the "Records Management" page from the main menu of the Reviewer interface if you hold a Records Manager role in at least one Group or if you hold the DAEO or DAEO (Alternate) role for the Agency.

"Records Management" consists of two sections -a set of filter conditions and the results generated by the use of those filter conditions.

Reviewer Admin	Records Man	agement	Filters						
AY QUEUE	AGENCY			GROUP					
ECORDS MANAGEMENT	All			• All		٠	SEAR	CH BY NAME	
ecords Management	ІТЕМ	YEAR		EXPIRED RECORDS	RETAINED RECORDS	PURGED RECORD			
ARCH	All	• All		▼ Expired ▼ Not Expired	Retained Not Retained	✓ Purged ✓ Not Purged		Go	Reset
TTINGS	туре	STATUS		V N/A		<u>+</u>			
ELP	All	• All		•					
	Export to Excel	per page	Results					Search:	Customize Display
	20 v records	per page		POSITION :	STATUS	¢ RETAINED €	PURGED ÷		Customize Display
	20 v records	per page		POSTION : Sample Position	STATUS Report, Under Agency Review		PURGED 🛟		: Action
	20 records	пем	• YEAR • 2020			No		GROUP	Customize Display

6.8.2 - View and Edit Rights

You can view, retain, purge, or delete any eligible report in a Group if you have the Records Manager role for that Group or if you have the DAEO or DAEO (Alternate) role. You can also view, retain, purge, or delete reports in any subordinate Group in the organizational hierarchy.

6.8.3 - View Reports

Upon opening the "Records Management" page, *Integrity* will display results based on the filter conditions that you selected most recently. To filter the results differently, specify the desired results within each filter condition field and click the "Go" button. Clicking the "Reset" button returns the page to the default filter conditions.

- Agency: The "Agency" filter limits results based on the Agency in which the report was filed. For most users, the filter will have a single option because the user has access to only a single Agency.
- Group: The "Group" filter limits results based on the Group in which the report was filed.
- Search by Name: Selecting the "Search by Name" option reveals additional filter conditions for First Name, Last Name, and Position.

E Reviewer Admin	Records Managemei	nt			
Ω MY QUEUE	AGENCY		GROUP		
RECORDS MANAGEMENT	All	•	All	SEARCH BY NAME	
Records Management					
	ITEM	YEAR	EXPIRED RECORDS RETAINED RECOR		Go Reset
Q SEARCH	All	All	 ✓ Expired ✓ Retained ✓ Not Expired ✓ Write Retained 	 ✓ Purged ✓ Not Purged 	do Rest
SETTINGS	ТҮРЕ	STATUS	V/A		
@ HELP	All	All			
🕒 LOG OUT	FIRST NAME	LAST NAME	POSITION	ר	
	Search by First Name	Search by Last Name	Search by Position		

- Item: The "Item" filter limits results based on whether the report is a New Entrant, Nominee, Annual, Termination, Annual/Termination, or Periodic Transaction report. By default, the filter is set to "All" so that reports are displayed regardless of the Item.
- Type: The "Type" filter limits results based on the general form type used the OGE Form 278e ("278") or the OGE Form 278-T ("278-T"). By default, the filter is set to "All" so that reports are displayed regardless of the Type.
- Year: The "Year" filter limits results based on the Year label assigned to a report. By default, the filter is set to "All" so that reports are displayed regardless of the Year. See section 7.6.10 for the Year labeling convention.
- Status: The "Status" filter limits results based on the status of the report within a workflow. By default, the filter is set to "All" so that reports are displayed regardless of the Status.
- Expired Records: The "Expired Records" filter limits results based on whether a report has expired, has not expired, or is not yet subject to the expiration rules. By default, all three expiration status choices are marked so that reports are displayed regardless of their expiration status. See <u>section 6.8.5</u> for more information.
- Retained Records: The "Retained Records" filter limits results based on whether a report has been marked for retention or not. By default, both choices are marked so that reports are displayed regardless of whether they have been marked for retention. See <u>section 6.8.4</u> for more information.
- Purged Records: The "Purged Records" filter limits results based on whether a report has been purged or not. By default, both choices are marked so that reports are displayed regardless of whether they have been purged. See <u>section 6.8.5</u> for more information.
- Confirmed Records (*displays for OGE only*): The "Confirmed Records" filter limits results based on whether OGE has entered a confirmation date for the report. By default, both choices are marked so that reports are displayed regardless of whether OGE has entered a confirmation date.

6.8.4 - Retain a Report

Marking a report for retention prevents another Records Manager from purging or deleting a report, unless that Records Manager first removes the retention indicator. Use the "Retain" action when you need to signal an administrative hold on removing any records related to the report (e.g., the report is part of an ongoing investigation).

To retain a report, click the "Action" button next to the report and select the "Retain" option that appears.

FILER •					RETAINED 🛟			ACTION
Filer1, Sample M	Annual Report	2020	Sample Position	Report, Under Agency Review	No	No	Sample Agency 2020, Group 1	Action ~
Filer2, Sample M	Periodic Transaction Report	2020	Sample Position	Report, Agency Certified	No	No	Sample Age icy 2020, Group 1	Action
Filer3, Sample M	Nominee Report	2019	Sample Nominee Report 1	Report, OGE Certified	No	No	Sample Age tey 2020, Noninee Group	

You can reverse the action by clicking the "Action" button and selecting "Do Not Retain."

FILER •		÷ yea	AR 韋			RETAINED 🗧				
Filer1, Sample M	Annual Report	20:)20	Sample Position	Report, Under Agency Review	No	N	0	Sample Agency 2020, Group 1	Action ~
Filer2, Sample M	Periodic Transaction Report	20)20	Sample Position	Report, Agency Certified	Yes	N	0	Sample Agency 2020, Group 1	Action ~
Filer3, Sample M	Nominee Report	20)19	Sample Nominee Report 1	Report, OGE Certified	No	N	0	Do Not Retain Sample Age <mark>(cy 2020, wommee Group</mark>	

6.8.5 - Purge or Delete a Report

Purging or deleting a report is an irreversible action. Do not purge or delete a report, unless you are sure that the action is appropriate. You can purge or delete a report only if (1) the report has an expiration status of "N/A" or "Expired" AND (2) the report is not marked for retention. You can override a retention determination but cannot override the expiration status.

Expiration Status

Reports have an expiration status of "N/A" until certified or closed without certification. After a report is certified or closed without certification, *Integrity* changes the expiration status of the report to "Not Expired." The expiration status changes to "Expired" after the report reaches the appropriate age under the records retention rules for that type of report. A more detailed explanation of the expiration status rules is included below.

OGE Form	OGE Form 278e											
Workflow	Report Status	Expiration Status Rules										
General	Not Started	The expiration status is "N/A," and the report										
278		can be purged or deleted at any time.										
	Report Started but Not	The expiration status is "N/A," and the report										
	Certified or Closed without	can be purged or deleted at any time.										
	Certification											

OGE Form	278e	
	Report Certified or Closed	The expiration status is "Not Expired." The
	without Certification	report expires 6 years from the date of filing.
PAS/DAEO	Not Started	The expiration status is "N/A," and the report can be purged or deleted at any time.
	Report Started but Not Certified or Closed without Certification by OGE	The expiration status is "N/A," and the report can be purged or deleted at any time.
	Report Certified or Closed without Certification by OGE (excluding Nominees) Report Certified or Closed without Certification (Nominees)	The expiration status is "Not Expired." The report expires 6 years after OGE certifies the report or closes the report without certification. The expiration status is "N/A" until a date is added to the "Confirmed" field on the "General Information" page. After a confirmation date is added, the expiration status is "Not Expired," and the report expires 6 years after OGE certifies the report.

OGE Form	278-T	
Workflow	Report Status	Expiration Status Rules
General	Not Started	The expiration status is "N/A," and the report
		can be purged or deleted at any time.
	Report Started but Not	The expiration status is "N/A," and the report
	Certified or Closed without	can be purged or deleted at any time.
	Certification	
	Report Certified or Closed	The expiration status is "Not Expired." The
	without Certification	report expires 7 years from the date of filing.
PAS/DAEO	Not Started	The expiration status is "N/A," and the report
		can be purged or deleted at any time.
	Report Started but Not	The expiration status is "N/A," and the report
	Certified or Closed without	can be purged or deleted at any time.
	Certification by OGE	
	Report Certified or Closed	The expiration status is "Not Expired." The
	without Certification by OGE	report expires 7 years after OGE certifies the
		report or closes the report without certification.

Purge a Report

Purging a report is the equivalent of destroying a paper OGE Form 278e/278-T without destroying the review notes and other supporting materials in the file. Use the purge option if the Agency still requires access to the review notes and other supporting materials as background information for other reports that have not yet reached the appropriate age for purge or deletion.

To purge a report, click the "Action" button next to the report and select the "Purge" option that appears. You will need to confirm the action before the report is purged.

FILER •	ПЕМ	÷ YEA	ar 🗧	POSITION	÷	STATUS	÷	RETAINED 🛟	PURGED	÷	GROUP	÷	ACTION
Filer1, Sample M	Annual Report	20	020	Sample Position		Report, Under Agency Review		No	No		Sample Agency 2020, Group 1		Action ~
Filer2, Sample M	Periodic Transaction Report	20	020	Sample Position		Report, Agency Certified		No	No		Retain Sample Ager Purge		
Filer3, Sample M	Nominee Report	20	019	Sample Nominee Report 1		Report, OGE Certified		No	No		Delete Permanently Sample Ager		

You can still find purged reports on the "Search" and "Records Management" pages; however, upon opening the report, you will see only the "General Information" page, "Memo" page, and "Documents" page.

Delete a Report

Deleting a report is the equivalent of destroying a paper OGE Form 278e/278-T as well as all supporting materials in the file. Use the delete option if the Agency does not require access to the review notes and other supporting materials as background information for other reports that have not yet reached the appropriate age for purge or deletion.

To delete a report, click the "Action" button next to the report and select the "Delete Permanently" option that appears. You will need to confirm the action before the report is deleted.

FILER			YEAR 🛫			RETAINED 🛟				ACTION
Filer1, Sample M	Annual Re	port	2020	Sample Position	Report, Under Agency Review	No	No	Sample Ager	cy 2020, Group 1	Action ~
Filer2, Sample M	Periodic Ti	ansaction Report	2020	Sample Position	Report, Agency Certified	No	No	Sample Ager	-	
Filer3, Sample M	Nominee	Report	2019	Sample Nominee Report 1	Report, OGE Certified	No	No	Sample Ager	Delete Permanently	

Deleting a report removes the report entirely from *Integrity*. Authorized Agency users can run a management report to identify deleted reports and who deleted the reports; however, the report itself cannot be recovered.

6.8.6 - Bulk Records Actions

You can select more than one report at a time to purge or delete. These bulk actions are subject to a 24-hour processing hold to guard against the accidental removal of large amounts of data.

Initiate a Bulk Records Action

To initiate a bulk records action, select the checkbox next to each desired report and then select the "Bulk Action" button in the upper left above the records results table.

≡ Reviewer Admin	Records Managemer	ıt											
MY QUEUE	AGENCY		GROUP										
RECORDS MANAGEMENT	All	~	All SEARCH BY NAME										
Records Management													
Bulk Actions	ITEM	YEAR	EXPIRED RECORDS	RETAINED RECORDS Retained Not Retained	PURGED RECORDS Purged Not Purged		Go	Reset					
Q SEARCH	ТҮРЕ	STATUS	✓ N/A	V Rockenned	. Horrangea								
SETTINGS	All 🗸	All											
• HELP													
🕞 LOG OUT	Export to Excel							Customize Display ~					
	20 v records per page						Search:						
	Bulk Action ~	• ПЕМ 🗘 Y	ear 🛫 Position	÷ STATUS	C RETAINED C	PURGED 🛫	GROUP	÷ ACTION					
	Filer1, Sample	M Annual Report 2	020 Sample Position	Report, Agency Cer	tified No	No	Sample Agency 2020, Group 1	Action ~					
	✓ Filer1, Sample	M New Entrant Report 2	020 Sample Position	Report, Under Ager	icy Review No	No	Sample Agency 2020, Group 1	Action ~					
	Filer1, Sample	M Periodic Transaction Report 2	020 Sample Position	Draft, Pre-Review	No	No	Sample Agency 2020, Group 1	Action ~					

From the drop-down selection, choose whether to purge or delete the selected reports.

E Reviewer Admin	Records M	anagemen	t								
MY QUEUE	AGENCY				GROUP						
E RECORDS MANAGEMENT	All				All		~	SEARCH BY NAME			
Records Management											
Bulk Actions	All	~	All	~	EXPIRED RECORDS	RETAINED RECORDS	PURGED RECORDS		Go	Reset	
Q SEARCH	ТҮРЕ		STATUS		✓ Not Expired ✓ N/A	✓ Not Retained	✓ Not Purged				
SETTINGS	All	~	All	~							
Ø HELP											
🕒 LOG OUT	Export to Ex	cel								Customize Display ~	
	20 v recor	rds per page							Search:		
-	Bulk Action ~									÷ ACTION	
	RETAIN DO NOT RETAIN PURGE	Filer1, Sample M	Annual Report	201	20 Sample Position	Report, Agency Ce	rtified No	No	Sample Agency 2020, Group 1	Action ~	
	PURGE	Filer1, Sample M	New Entrant Report	203	20 Sample Position	Report, Under Age	ency Review No	No	Sample Agency 2020, Group 1	Action ~	

Confirm that you wish to proceed.

An email notification of the bulk records action will be sent to the email addresses that have been specified at the Agency and Group level. This notice will identify the Groups affected by the bulk action request and note that the action will be processed 24 hours from the time of the request. See sections 7.2.2 and 7.3.4 for information on specifying who should be notified that a bulk records action has been initiated.

Cancel a Bulk Records Action

To cancel a bulk records action, go to the "Records Management" tab in the left-hand navigation menu and select "Bulk Actions." The list of pending and recently processed bulk records actions will be listed on the "Bulk Records Action" page. Select the text in the Pending column for a particular request.

Reviewer Admin	Records Management Bulk A	Actions Status		
A MY QUEUE	20 v records per page			Search:
RECORDS MANAGEMENT				
Records Management	DATE/TIME			≎ status ≎
Bulk Actions	09/01/2020 1:35:30 PM	DAEO, Sample M	Purge	Pending
Q SEARCH				
SETTINGS	Showing 1 to 1 of 1 entries			← Previous 1 Next →
O HELP				
🕒 LOG OUT				

A new, secondary window will open that shows who initiated the request, when the request was initiated, the records requested, and whether the request was for a purge of report data or permanent deletion of the entire report file. Select the "Cancel" button to stop the bulk records action.

≡ Reviewer Admin	Records Mana	Records Management Bulk Actions Status									Back to Job L	
	Job Status:	Pending Cancel			Action:	Purge						
RECORDS MANAGEMENT	Submitted:	Sep 1st 2020, 1.55.50 pm			Requested By:	DAEO, S	ample M					
Records Management Bulk Actions											Search:	
Q SEARCH	FILER											:
© SETTINGS	Filer1, Sample M	New Entrant Report	2020	Sample Position	Report, Under Agency	Review	278	08/31/2020	Sample Agency 2020		Sample Agency 2020, Group	1
	Filer1, Sample M	New Entrant Report	2020	Sample Position	Report, Under Agency	Review	278	08/31/2020	Sample Agency 2020		Sample Agency 2020, Group	1

You will need to confirm the action to cancel the bulk records action request. An email notification of the cancelation will be automatically sent to the email addresses that have been specified at the Agency and Group level.

The decision to cancel a bulk records action cannot be reversed. To complete a bulk purge or deletion after canceling, you will need to initiate a new bulk records action from the main "Records Management" page.

Section 7: Administrative Actions

Section 7 explains the administrative functions available to an authorized Agency user, including instructions on configuring an Agency, creating or modifying a Group, assigning users to Groups, assigning reports to Filers, and accessing management reports.

7.1 - Primary Admin Window

7.1.1 - Admin Interface

Reports are filed in the Filer interface but reviewed in the Reviewer interface. The Admin interface is used to select Agency-level configuration options; add, edit, delete, and move Groups; add and remove staff permissions to Groups; add Filers to and remove Filers from Groups; add, edit, or remove report assignments prior to filing; and access management reports. If you have any role other than just Filer or Filer Designee, you will start in the Reviewer interface at login. To switch to the Admin interface, select the "Admin" tab in the upper left corner of the screen.

≡ Reviewer Admin	Manage Agencies & O	roups			
2 ADMINISTRATION	AGENCIES & GROUPS				
Manage Agencies & Groups Find Users Management Reports Annual Data Extract Provision Users Status	Agencies Groups Hierarch	y			Add an Agency Search:
• SETTINGS	AGENCY NAME	DAEO / LEAD / DIRECTOR	SECURITY LEVEL	ACTION	
€ HELP	Sample Agency 2020	DAEO, Sample M	1	Select an Action	
COG OUT	Showing 1 to 1 of 1 entries				$\leftarrow \text{Previous} 1 \text{Next} \rightarrow$

7.1.2 - Menu Options

The menu options on the primary Admin interface window are:

- <u>Administration</u>: The "Administration" menu option provides links to all the major activities that can be taken within the Admin interface.
 - Manage Agencies & Groups: This page is used to set up Agencies, manage Groups, manage staff roles, manage Filers, and manage report assignments.
 - Find Users: This page is used to view and update a user's profile and roles.
 - Management Reports: This page is used to obtain lists of Filers and reports.
 - Annual Data Extract (*DAEOs only*): This page is used to obtain data for the Annual Agency Ethics Program Questionnaire.

- Provision Users Status: This page is used to check whether *Integrity* has completed a bulk provisioning request. Bulk provisioning requests are used to add multiple Filers to one or more Groups.
- <u>Settings</u>: This page is used to update one's own contact information. See section 3 for more information.

- <u>Help</u>: This page contains basic information about *Integrity*.
- Log Out: Selecting "Log Out" exits Integrity.

7.2 - Agency Set-up

Users with sufficient permissions can view and edit Agency-level settings.

7.2.1 - Access the Agency Set-up Page

Agency DAEOs, Agency Administrators, and their Alternates can access the "Agency Set-up" page from either the "Agencies" or "Hierarchy" tab within the "Manage Agencies & Groups" menu option.

Agencies Tab

Three tabs will appear after selecting "Manage Agencies & Groups" from the list of options in the left-side navigation menu. The tab for "Agencies" is highlighted by default.

E Reviewer Admin	Manage Agencies & G	roups				
ADMINISTRATION	AGENCIES & GROUPS					
Manage Agencies & Groups Find Users Management Reports Annual Data Extract Provision Users Status	Agencies Groups Hierarch	У			Search:	Add an Agency
• SETTINGS	AGENCY NAME	DAEO / LEAD / DIRECTOR	SECURITY LEVEL	÷ ACTION		
0 HELP	Sample Agency 2020	DAEO, Sample M	1	Select an Action		•
€+ LOG OUT	Showing 1 to 1 of 1 entries			Select an Action Edit Add Group Bulk Add Filers		
Select an Action	I		•			
Select an Action	1					
Edit						
Add Group						
Bulk Add Filers						

Select "Edit" from the "Select an Action" drop-down field at the far right. The "Agency Set-up" page will appear.

Hierarchy Tab

As an alternative means of accessing the Agency, you can select "Manage Agencies & Groups" from the list of options in the left-side navigation menu. Three tabs will appear. Click the "Hierarchy" tab and select "Edit" from the "Select an Action" drop-down field for the Agency level of the hierarchy.

≡ Reviewer Admin	Manage Agencies & Groups							
ADMINISTRATION	AGENCIES & GROUPS							
Manage Agencies & Groups		Add a Group						
Find Users Management Reports	Agencies Groups Hierarchy							
Annual Data Extract								
Provision Users Status	E Sample Agency 2020 (ID: 98687A3C48F54101B317C52AFE153851)	Select an Action Y						
SETTINGS		Edit Add Group						

The "Agency Set-up" page will appear.

7.2.2 - Edit the Basic Information Tab

This section displays the Agency name and indicates whether the Agency is part of the Department of Defense.

≡ Reviewer Admin	Agency Setup	
ADMINISTRATION	SAMPLE AGENCY 2020	
Manage Agencies & Groups Find Users		Save Cancel
Management Reports Annual Data Extract	Besic Information Agency Staff Workflows System Support Notices	
Provision Users Status	AGENCY INFORMATION AGENCY NAME	
SETTINGS	Sample Agency 2020	
• HELP	AGENCY SHORT NAME	
🕒 LOG OUT	Sample Agency 2020	
	DOD Agency?	

- Agency Name (available to *Integrity* Helpdesk only): This field specifies the name of the Agency for all user-facing parts of *Integrity*. The "Agency Name" also displays on the Cover Page of OGE Form 278e and OGE Form 278-T reports.
- Agency Short Name (available to *Integrity* Helpdesk only): This field supports the use of an abbreviation for the Agency (e.g., "OGE" for "U.S. Office of Government Ethics"). At present, *Integrity* does not use the Agency Short Name for any user-facing pages or management reports. However, the field may be used in the future for management reports that aggregate across Agencies.
- DOD Agency? (available to *Integrity* Helpdesk only): This field specifies whether an Agency within *Integrity* is part of the Department of Defense. DOD Agencies will have the DOD Annual Post-Employment and Section 804 Notice option set to "Yes." See <u>section 7.2.5</u>.

7.2.3 - Edit the Agency Staff Tab

This section displays the users who hold the DAEO and Agency Administrator roles for the Agency. See section 1.9.2 for a definition of the roles.

≡ Reviewer Admin	Agency Setup		
& ADMINISTRATION	SAMPLE AGENCY 2020		
<u>Manage Agencies & Groups</u> Find Users Management Reports	Basic Information Agency Staff Workflows System Support Notices	Save	Cancel
Annual Data Extract Provision Users Status	AGENCY DAEO DAEO, Sample M		
SETTINGS	AGENCY DAEO (ALTERNATES) Not Assigned		
Ø HELP			
G LOG OUT	AGENCY ADMINISTRATOR Not Assigned Assign		
	AGENCY ADMINISTRATOR (ALTERNATES) Not Assigned Add an Alternate		

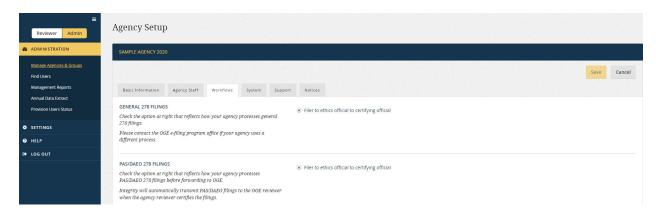
- Agency DAEO (available to *Integrity* Helpdesk only): Every Agency must have one and only one individual who holds the DAEO role. Contact the *Integrity* Helpdesk if the Agency needs to change who holds the DAEO role.
- Agency DAEO (Alternates) (available to *Integrity* Helpdesk only): Every Agency can have one or more than one individual who holds the DAEO (Alternate) role. Agencies may also leave the role empty. Contact the *Integrity* Helpdesk if the Agency needs to change who holds the DAEO (Alternate) role.
- Agency Administrator: The DAEO or DAEO (Alternate) may assign the Agency Administrator role here. Every Agency can have one and only one individual who holds the Agency Administrator role, but Agencies may leave the role empty. The role assignment function operates the same way as it does for all staff roles. See <u>section 7.4</u> for more information on assigning roles.
- Agency Administrator (Alternates): The DAEO or DAEO (Alternate) may assign the Agency Administrator (Alternate) role here. Agencies can assign the Agency Administrator (Alternate) role to multiple individuals or leave the role empty. The role assignment function operates the same way as it does for all staff roles. See <u>section 7.4</u> for more information on assigning roles.

Note: For assigned roles, clicking the user's name displays that user's contact information.

SAMPLE AGENCY 2020							
						Save	Cancel
Basic Information	Agency Staff	Workflows	System	Support	Notices		
AGENCY DAEO				C	DAEO, Sample	le M	

7.2.4 - Edit the Workflows Tab

This section displays the workflows that apply to reports filed at the Agency. Workflows are set when the Agency is first created.



- General 278 Filings: The displayed option will show the workflow for all reports filed at the Agency that do not go to OGE for additional review.
- PAS/DAEO 278 Filings: The displayed option will show the workflow for all reports filed at the Agency that go to OGE for additional review.

7.2.5 - Edit the System Tab

This section displays options for login security, requiring a job description, requiring the DOD Annual Post-Employment and Section 804 notice, cascading roles, displaying intermediate review signatures, and permitting early Termination reports.

≡ Reviewer Admin	Agency Setup		
ADMINISTRATION	SAMPLE AGENCY 2020		
Manage Agencies & Groups Find Users			Save Cancel
Management Reports	Basic Information Agency Staff Workflows Syste	em Support Notices	
Annual Data Extract			

• Require Job Description: Selecting "Yes" requires Filers to attach a job description before filing an OGE Form 278e.

```
    DOD Annual Post-Employment and Section 804 Notice (DOD Agencies only): This option applies only to those Agencies which require the DOD Annual Post-
```

Employment and Section 804 notice. If "Yes" is selected, the notice will appear on the "Submit" page when a Filer completes an OGE Form 278e report.

```
DOD ANNUAL POST EMPLOYMENT & SECTION 804 NOTICE O Yes
```

• Minimum Authentication Level for Privileged Users (available to *Integrity* Helpdesk only): This option specifies the permissible login methods for users with any role at the Agency other than Filer or Filer Designee. Section 2.2 provides basic information about the security levels and login methods. For a more detailed explanation, click the word "here." You will be directed to the "Secure Login" guidance page on the MAX.gov *Integrity* User Community site.

MINIMUM AUTHENTICATION LEVEL FOR PRIVILEGED USERS © Caution: Before selecting or changing the security level, read more on stronger authenticatio	Security Level 1 (User ID & Password) Security Level 2 (User ID & Password + SMS) Security Level 3 (PIV/CAC Card Level 3 SSO; or PIV/CAC-backed SMS)
--	--

• Cascade All Roles: Selecting "Yes" enables Primary and Alternate role holders in a parent Group to edit data and perform workflow actions for reports in subordinate Groups to the same extent that they can for reports in the parent Group. Selecting "No" prevents role holders in a parent Group from editing data or performing workflow actions for reports in subordinate Groups. The role holders, however, can still view and open reports in subordinate Groups to the same extent that this option was not available until February 2020, so the option would be set to "No," unless the Agency has updated the "System" tab since then. See <u>section 1.9.1</u>.

• Display Signatures for Intermediate Reviewers: Selecting "Yes" displays the signatures of Supervisors and Screeners on the Cover Page of a report in the "Other review conducted by" section. If "No is selected, these signatures do not display on the Cover Page; only the signature of a reviewer with the Ethics Official role will display. The approval actions of a Supervisor and Screener are always recorded in the "Audit Trail" regardless of whether this option is set to "Yes" or "No." Note this option was not available until February 2020, so the option would be set to "No," unless the Agency has updated the "System" tab since then. See <u>section 6.4.7</u>.

DISPLAY SIGNATURES FOR INTERMEDIATE REVIEWERS Ves Check Yes to display the name(s) and role(s) of intermediate reviewers (e.g., supervisor, Screener) on the report's cover page. This is an agency option. OGE does not require the public display of intermediate reviewers' names/roles. This information is always tracked in a report's audit trail.

• Early Termination: Selecting "Yes" permits a Filer to submit a Termination or Annual/Termination report up to 15 days before the termination date entered on the "Getting Started" page. In such a case, the Filer will see an early filing notice on the "Submit" page, which confirms the Filer's agreement to update the report if any information changes prior to the Filer's termination date. Once the Filer submits the report, *Integrity* adds the following public annotation to the Cover Page of the printable, publicly releasable version of the report: "The filer agreed to update the

reported information if it changes before or on the indicated termination date." See section 4.3.12.

7.2.6 - Edit the Support Tab

This section displays the current settings for the "Agency Support" link under the "Help" tab. Note that some *Integrity* users have access to multiple Agencies. Those users will see the "Help" text supplied by each of their Agencies.

Reviewer Admin	Agency Setup	
2 ADMINISTRATION	SAMPLE AGENCY 2020	
Manage Agencies & Groups Find Users		Save Cancel
Management Reports Annual Data Extract	Basic Information Agency Staff Workflows System Support Notices	

• Use Default Settings: By default, when a user clicks the "Agency Support" link under the "Help" tab, the user sees the text in the "Default Help Text" box.

AGENCY HELP AND RESOURCES PAGE	Use Default Settings
Agency portal for help and support for Integrity users. Contains links to the agency's Integrity help center and user support e-mail addresses & phone numbers.	O Use Custom Settings DEFAULT HELP TEXT
	Visit the Integrity.gov website to access the Integrity User Guide, quick job aids, and other reference materials.

• Use Custom Settings: Select "Use Custom Settings" to provide alternate text, a custom link, or attach help files.

AGENCY HELP AND RESOURCES PAGE Agency portal for help and support for Integrity users. Contains links to the agency's Integrity help center and user support e-mail addresses & phone numbers.	○ Use Default Settings ④ Use Custom Settings CUSTOM HELP TEXT	Characters left: 5000
	ATTACHED HELP FILES Note that attachment changes are effective immediately. Even if you later dee No files attached. Choose File No file chosen Save File	©
	CUSTOM HELP LINK	

7.2.7 - Edit the Notices Tab

This section displays the different types of notices that *Integrity* can generate. Note that certain *Integrity* notices can make use of variable parameters (i.e., text that changes based on the specific Filer, Report Type, etc.). Click the question mark (?) to learn how the parameters function for that notice.

E	Agency Setup
& ADMINISTRATION	SAMPLE AGENCY 2020
Manage Agencies & Groups Find Users	Save Cancel
Management Reports Annual Data Extract	Basic Information Agency Staff Workflows System Support Notices

• Send test email: This field allows you to test whether emails are being received from *Integrity*. Click the "Send Test Email" button. If you do not receive the test email, the security settings at the Agency may be blocking delivery. Consult with IT support at the Agency and the *Integrity* Helpdesk as needed.

SEND TEST EMAIL	To test your agency's ability to receive notifications from Integrity.gov, click the "Send Test Email" button. The email will be sent to TR_OGE_0470@training.integrity.gov.
	Send Test Email
• Customize r	enty-to-email (available to Integrity Helpdesk only): This field of

• Customize reply-to-email (available to *Integrity* Helpdesk only): This field controls whether the Agency can specify an email address to receive any replies that users make to system notices. If the agency does not use this option, users cannot reply directly to system notices.

CUSTOMIZE REPLY-TO EMAIL	Use a Custom Reply-To Address for Responses to	Notifications
	CUSTOM SENDER EMAIL ADDRESS	

• Customize CC email (available to *Integrity* Helpdesk only): This field controls whether the Agency can specify an email address to be copied on system notices. For example, if Agency 1 uses this option and adds "ethics@agency1.gov," the ethics@agency1.gov inbox will be copied on all notices sent to Filers and Reviewers.

USTOMIZE CC EMAIL	Add a CC Address to Notifications	
	CC EMAIL ADDRESS	

• *Integrity* notifications / User provisioning notification: This field controls whether users at the Agency will receive a notice when added to *Integrity*.

INTEGRITY NOTIFICATIONS/USER PROVISIONING NOTIFICATION	USE		
	Yes		
	○ No		
	NOTIFICATION MESSAGE 🕑		
	Dear [[name]],		Characters left: 4409
	You have been granted access to use Integrity, the system created by the		
	U.S. Office of Government Ethics for electronically filing and reviewing public	•	
	financial disclosure reports.	4	

- *Integrity* notifications / Cloaked user provisioning notification: This configuration option is currently inactive.
- *Integrity* notifications / Annual profile update: This configuration option is currently inactive.

• Filer notifications / Report assignment: This field controls the default text of the report assignment notice that users can send when assigning a report at the Agency. Users may modify the text of an individual notice or choose not to send a notice.

FILER NOTIFICATIONS/REPORT ASSIGNMENT	NOTIFICATION MESSAGE 🚱	
	Dear [[filer]],	Characters left: 4914
	[[name]] has assigned you a report in Integrity at www.integrity.gov.	

• Filer notifications / Filing reminders assignment: This field controls whether Filers at the Agency will receive reminders that they have a pending report to complete. The Agency can also set the frequency of the reminders and the text used.

FILER NOTIFICATIONS/FILING REMINDERS ASSIGNMENT	USE	
	Yes	
	O No	
	FREQUENCY	
	Every 7 Days 🔻	
	NOTIFICATION MESSAGE 🕑	
	This notice is a reminder that your [[year]] [[item]] report is due on [[date]]. You may access the report by logging into Integrity at www.integrity.gov.	Characters left: 4846

• Filer notifications / Past due reminders: This field controls whether Filers at the Agency will receive reminders that they have a pending report to complete that is past due. The Agency can also set the frequency of the reminders and the text used.

ER NOTIFICATIONS/PAST DUE REMINDERS	USE	
	 Yes 	
	○ No	
	FREQUENCY	
	Every 7 Days 🔻	
	NOTIFICATION MESSAGE	
	This notice is a reminder that your [[year]] [[item]] report was due on [[date]]. You may access the report by logging into Integrity at www.integrity.gov.	Characters left: 4845

• Filer notifications / Amend report notification: This field controls the default text of the notice that users can send when returning a report to a Filer for further action. Users may modify the text of an individual notice or choose not to send a notice.

FILER NOTIFICATIONS/AMEND REPORT NOTIFICATION	NOTIFICATION MESSAGE 😡		
	Dear [[filer]],	Characters left: 4833	
	[[name]] has requested that you amend your [[year]] [[item]] filed [[date]]. You may access the report by logging into Integrity at www.integrity.gov.		

• Filer notifications / Amend report reminder notification: This field controls whether Filers at the Agency will receive reminders that a report has been returned for further action. The Agency can also set the text used.

FILER

FILER NOTIFICATIONS/AMEND REPORT REMINDER NOTIFICATION	USE	
	Yes	
	○ No	
	NOTIFICATION MESSAGE	
	Dear [[filer]],	Characters left: 4833
	[[name]] has requested that you amend your [[year]] [[item]] filed [[date]]. You may access the report by logging into Integrity at www.integrity.gov.	

• Filer notifications / Filing certification notification: This field controls whether Filers at the Agency will receive a notice when a report has been certified. The Agency can also set the text used.

FILER NOTIFICATIONS/FILING CERTIFICATION NOTIFICATION	USE	
	Yes	
	○ No	
	NOTIFICATION MESSAGE	
	Your [[year]] [[Item]] report has been certified by [[agency]]. You may view the certified copy of your report by logging into Integrity at www.integrity.gov.	Characters left: 4842

• Filer notifications / Agency closes report: This field controls whether Filers at the Agency will receive a notice when a report has been closed without certification. The Agency can also set the text used.

FILER NOTIFICATIONS/AGENCY CLOSES REPORT	USE
	Yes
	⊖ No
	NOTIFICATION MESSAGE
	Your [[year]] [[item]] report has been closed without certification by [[agency]], www.integrity.gov. If you have any questions concerning this notice, please contact [to be entered by Agency].

• Reviewer notifications / Reporting pending action notification: This field controls whether Reviewers at your Agency will receive a notice when a report is pending their action. The Agency can also set the text used.

REVIEWER NOTIFICATIONS/REPORTING PENDING ACTION NOTIFICATION	USE	
	Yes	
	⊖ No	
	NOTIFICATION MESSAGE 🕑	
	A [[year]] [[item]] report for [[name]] is pending your action as [[role]]. You may access the report by logging into integrity at www.integrity.gov.	Characters left: 4851
	A	

• Reviewer notifications / Pending action reminders: This field controls whether Reviewers at the Agency will receive reminders that a report is pending their action. The Agency can also set the frequency of the reminders and the text used.

REVIEWER NOTIFICATIONS/PENDING ACTION REMINDERS	USE	
	Yes	
	○ No	
	FREQUENCY Every 7 Days 🔹	
	NOTIFICATION MESSAGE A [[year]] [[tiem]] report for [[name]] is pending your action as [[role]]. The report has been pending for [[days]] days. You may access the report by logging into Integrity at www.integrity.gov.	Characters left: 4804

Characters left: 4807

7.2.8 - Save Edits to the Agency Set-up Page

Save edits to one or multiple tabs by clicking the "Save" button at the upper right.

≡ Reviewer Admin	Agency Setup	
& ADMINISTRATION	SAMPLE AGENCY 2020	
Manage Agencies & Groups		Save
Find Users		save
Management Reports	Basic Information Agency Staff Workflows System Support Notices	
Annual Data Extract		

After clicking "Save," you will return to either the "Agencies" or "Hierarchy" tab, depending on how you accessed the "Agency Set-up" page.

Note: You will lose the edits if you navigate away from this page or are logged out due to inactivity before clicking "Save."

7.2.9 - View the Permission Change Log

The "Permission Change Log" lists the individuals who have had roles at the Agency level. To access the log, go to the "Agencies" or "Hierarchy" tab within the "Manage Agencies & Groups" menu option and select "View Permission Change Log" from the "Select an Action" drop-down field.

Reviewer Admin	Manage Agencies &	Groups			
2 ADMINISTRATION	AGENCIES & GROUPS				
Manage Agencies & Groups Find Users Management Reports Annual Data Extract Provision Users Status	Agencies Groups Hiera	chy			Add an Age Search:
• SETTINGS	AGENCY NAME	DAEO / LEAD / DIRECTOR	ADMINISTRATOR	SECURITY LEVEL	÷ ACTION
 HELP LOG OUT 	Sample Agency 2020	DAEO, Sample M		1	Select an Action Select an Action
	Showing 1 to 1 of 1 entries				Edit Add Group Bulk Add Filers Bulk X38 POP Forts Bulk 278 PDF Export Yevey Permission Change Lon

The log will appear in a pop-up window. Changes to permissions are listed from the most recent change to the oldest.

Permission Change Log - Sample Agency 2020					×
	TIMESTAMP	EDITOR	ROLE	ADDED	REMOVED
ľ	12/05/2019 10:07:00 am	TR_OGE_0400, testFirst mi (A927768)	Agency DAEO	DAEO, Sample M (A928135)	

7.3 - Manage Groups

This section explains how to add, remove, and move Groups as well as how to edit basic information about the Group that controls staff, Filer, and report assignments.

7.3.1 - Access Groups

You can access a Group from either the "Groups" tab or the "Hierarchy."

Groups Tab

Select "Manage Agencies & Groups" from the list of options in the left-side navigation menu. A tab will appear labeled "Groups," which will be highlighted by default, unless you have access to the "Agencies" tab. *Integrity* will show all of the Groups to which you have access. You can enter the name of an existing Group in the "Search" box at the right to limit the number of Groups that are displayed.

E Reviewer Admin	Manage Agencies & Groups					
2 ADMINISTRATION	AGENCIES & GROUPS					
<u>Manage Agencies & Groups</u> Find Users Management Reports Annual Data Extract Provision Users Status	Agencies Groups Hierarchy 5 • records per page				Search:	Add a Group
SETTINGS	GROUP NAME	DESCRIPTION	POINT OF CONTACT	\$ FILERS \$	ACTION	
0 HELP	Sample Agency 2020, Group 1	Sample Agency 2020, Group 1		2	Select an Action	•
🗭 LOG OUT	Sample Agency 2020, Group 2	Sample Agency 2020, Group 2		1	Select an Action	•
	Sample Agency 2020, Nominee Group	Sample Agency 2020, Nominee Group		0	Select an Action	•

Hierarchy Tab

Select "Manage Agencies & Groups" from the list of options in the left-side navigation menu. A tab will appear labeled "Hierarchy." Click that tab. *Integrity* will permit you to see all of the Groups to which you have access; however, the organizational hierarchy is collapsed by default. Click the "+" button to see the subordinate Groups that are below a Group in the hierarchy. Clicking the "-" button hides these subordinate Groups. The ID in parentheses is the unique system identifier for that Group.

Reviewer Admin Manage Agencies & Groups				
ADMINISTRATION	AGENCIES & GROUPS			
<u>Manage Agencies & Groups</u> Find Users Management Reports Annual Data Extract	Agencies Groups Hierarchy	Add a Group		
Annual Data Extract Provision Users Status	Bample Agency 2020 (ID: 98687A3C48F54101B317C52AFE153851)	Select an Action 🔻		
SETTINGS	Sample Agency 2020, Group 1 (ID: 9EC85497EAD640899393E5B608DFDCB8)	Select an Action 🔹		
HELP LOG OUT	Sample Agency 2020, Group 2 (ID: D08762832F946416E8E7ED029F60E002A)	Select an Action		
	Sample Agency 2020, Nominee Group	Select an Action 👎		

Agency-Level Users

Users with the DAEO, DAEO (Alternate), Agency Administrator, or Agency Administrator (Alternate) role will have access to every Group within the Agency. All Groups will appear in both the "Groups" and "Hierarchy" tabs.

7.3.2 - View and Edit Rights

You may add, remove, move, and edit "Basic Information" for a Group if you have a staff role within that Group or if you hold one of the Agency-level roles (i.e., DAEO, Agency Administrator, and their Alternates). You may also add, remove, move, and edit "Basic Information" for any subordinate Group below that Group in the organizational hierarchy. For example, if you are a Certifying Official in Group 1, you have view and edit rights to Group 1 as well as its subordinate Group, Group 1.1.

7.3.3 - Add a Group

On the "Groups" or "Hierarchy" tab, click the "Add Group" button. A new box will appear that asks the user to select the parent of this Group (i.e., specify the new Group's place in the organizational hierarchy).

E Reviewer Admin	Manage Agencies & Groups					
ADMINISTRATION Manage Agencies & Groups Find Users Management Reports Annual Data Extract Provision Users Status setTINGS	AGENCIES & GROUPS Agencies Groups Hierarchy 5 records per page GROUP NAME	• DESERVICE	: FORT OF CO	NACT : FLUBS ;	Search	Add a Group
• HELP	Sample Agency 2020, Group 1 Sample Agency 2020, Group 2 Sample Agency 2020, Nominee Group	Sample Agency 2020, Group 1 Sample Agency 2020, Group 2 Sample Agency 2020, Nominee Group		2	Select an Action Select an Action Select an Action	•
New Group - Sele	ect Parent		X			
🖂 Sample Agen	cy 2020		Select			
Sample Age	ency 2020, Group 1		Select			
Sample Age	ency 2020, Group 2		Select			
Sample Age	ency 2020, Nominee Group)	Select			
			Cancel			

For example, if you want to create a new Group that is below Group 1 (e.g., Group 1.1), select Group 1 as the parent.



After you select the parent Group, the main "Group Set-up" page will appear.

≡ Reviewer Admin	Group Setup	
ADMINISTRATION	ADD A NEW GROUP	
<u>Manage Agencies & Groups</u> Find Users Management Reports	Basic Information Group Staff Filers	Save Cancel
Annual Data Extract Provision Users Status	GROUP INFORMATION	GROUP NAME
		Sample Agency 2020, Group 1.1
SETTINGS		GROUP DESCRIPTION
HELP		
C LOG OUT		
	PARENT GROUP OR AGENCY Each group has a parent (the larger organizational unit to which it belongs). Child groups help to organize filings so that they can be properly routed for review.	Sample Agency 2020 • Sample Agency 2020, Group 1
	FILING TYPES What types of filings will members of this group complete?	General 278 Filings PASrDaEO 278 Filings

The "Group Set-up" page has three tabs: "Basic Information"; "Group Staff"; and "Filers." Complete the necessary information for each tab and click the "Save" button in the upper right to complete the process. You can see the relationship between the new Group and its parent Group on the "Hierarchy" tab.

≅ Reviewer Admin	Manage Agencies & Groups	
ADMINISTRATION	AGENCIES & GROUPS	
Manage Agencies & Groups Find Users Management Reports	Agencies Groups Hierarchy	Add a Group
Annual Data Extract Provision Users Status	Sample Agency 2020 (ID: 98687A3C48F54101B317C52AFE153851)	Select an Action
SETTINGS	Sample Agency 2020, Group 1 (ID: 9EC85497EAD640899393E586608DFDC88)	Select an Action
LOG OUT	Sample Agency 2020, Group 1.1 (ID: C985A843A2B04CF398F877EECC829337)	Select an Action 🔻
	Sample Agency 2020, Group 2 (ID: D08762B2F946416E8E7ED029F60E002A)	Select an Action
	Sample Agency 2020, Nominee Group	Select an Action

7.3.4 - Edit Basic Information for a Group

On the "Groups" or "Hierarchy" tab, select "Edit" from the "Select an Action" dropdown field. The "Group Set-up" page will appear.

≡ Reviewer Admin	Manage Agencies & Group	S	
ADMINISTRATION	AGENCIES & GROUPS		
Manage Agencies & Groups Find Users Management Reports Annual Data Extract Provision Users Status	Agencies Groups Hierarchy 5 • records per page		Add a Grou Search:
• SETTINGS	GROUP NAME	DESCRIPTION	POINT OF CONTACT FILERS ACTION
• HELP	Sample Agency 2020, Group 1	Sample Agency 2020, Group 1	2 Select an Action
€ LOG OUT	Sample Agency 2020, Group 2	Sample Agency 2020, Group 2	Select an Action Folit Pulie Add Filers

The "Basic Information" tab is selected by default.

Reviewer Admin	Group Setup	
ADMINISTRATION	SAMPLE AGENCY 2020, GROUP 1, SAMPLE AGENCY 2020, GROUP 1	
<u>Manage Agencies & Groups</u> Find Users Management Reports	Basic Information Group Staff Filers	Seve Cancel
Annual Data Extract	Desic Information Group stem Priets	
Provision Users Status	GROUP INFORMATION	GROUP NAME
		Sample Agency 2020, Group 1
•		GROUP DESCRIPTION
		Sample Agency 2020, Group 1
		GROUP IDENTIFIER
		9EC85497EAD640899393E5B608DFDCB8
	PARENT GROUP OR AGENCY Each group has a parent (the larger organizational unit to which it belongs). Child groups help to organize filings so that they can be properly routed for review.	Sample Agency 2020
	FILING TYPES What types of filings will members of this group complete?	✓ General 278 Filings Note: This filing type cannot be disabled because there are existing reports using it. ✓ PAS/DAEO 278 Filings

- Group Name: This field controls what appears in the "Group" column on various pages within *Integrity*. Two Groups cannot have the same name if they are at the same organizational level within an Agency. For example, if Group 1 is a parent, the two subordinate Groups cannot both be called "Group 2." Although the same name can be given to Groups at different organizational levels, it is recommended that Agencies give each Group a unique name.
- Group Description: This field provides supplemental information about the Group.
- Group Identifier (*visible to Agency-level users / view only*): This field specifies the Group's unique identification code. This code is helpful in cases where the same name has been applied to more than one Group.
- Parent Group or Agency (*view only*): This field specifies where a Group is located within the organizational hierarchy of the Agency.
- Filing Types: This field specifies whether the Group handles only General 278 reports, only PAS/DAEO reports, or both. The selection will determine which roles must be completed on the "Group Staff" tab. In addition, if a Group can handle only

one type of report, you may assign only that type of Filer to the Group, and all report assignments will, by default, follow that workflow.

7.3.5 - Move a Group

On the "Hierarchy" tab, find the Group to move, using the "+" button on the left to expand the levels of the organizational hierarchy. Select "Move" from the "Select an Action" drop-down field.

≡ Reviewer Admin	Manage Agencies & Groups	
2 ADMINISTRATION	AGENCIES & GROUPS	
Manage Agencies & Groups Find Users		Add a Group
Management Reports Annual Data Extract	Agencies Groups Hierarchy	
Provision Users Status	Sample Agency 2020 (ID: 98687A3C48F54101B317C52AFE153851)	Select an Action
• SETTINGS	Sample Agency 2020, Group 1 (ID: 9EC85497EAD640899393E5B608DFDCB8)	Select an Action 🔻
• HELP	Sample Agency 2020, Group 2 (ID: D0876282F946416688F7ED029F60E002A)	Select an Action Edit
LOG OUT	anithe want from the international interaction interac	Move Add Subgroup
	Sample Agency 2020, Nominee Group	Bulk Add Filers Manage Assigned Reports Bulk 278 PDF Export View Permission Change Log

In the "Move" pop-up window, select a new parent Group. The moved Group will become a subordinate of that parent.

Move Sample Agency 2020, Group 1 - Select New Parent	\times
□ Sample Agency 2020	Select
Sample Agency 2020, Group 2	Select
Sample Agency 2020, Nominee Group	Select
	Cancel

Permission to Move Groups

You can move a Group only if you have access to the current Group and the new parent Group. In the example above, you could make Group 2 the parent of Group 1 only if you have a staff role giving you access to both Group 1 and Group 2.

Treatment of Subordinate Groups

All subordinate Groups of a Group move with that Group. For example, let's say you click the "Move" button for Group 1 in the example below and select Group 2 as the parent. Both Group 1 and Group 1.1 would move underneath Group 2.

E Reviewer Admin	Manage Agencies & Groups	
ADMINISTRATION	AGENCIES & GROUPS	
Manage Agencies & Groups Find Users		Add a Group
Management Reports Annual Data Extract	Agencies Groups Hierarchy	
Provision Users Status	Sample Agency 2020 (ID: 98687A3C48F541018317C52AFE153851)	Select an Action 💙
SETTINGS	Sample Agency 2020, Group 1 (ID: 9EC85497EAD640899393E58608DFDC88)	Select an Action 🛛 🗸
O HELP	Sample Agency 2020, Group 1.1 (ID: 957993EFS88D4E9C90866E9E126077E9)	Select an Action Edit
🕒 LOG OUT		Move Add Subgroup
	Sample Agency 2020, Group 2 (ID: D0876282F9464166867ED029F60E002A)	Bulk Add Filers Manage Assigned Reports
	Sample Agency 2020, Nominee Group	Bulk 278 PDF Export View Permission Change Lo

Treatment of Staff

You may choose to move staff with the Group ("Keep the existing reviewers..." option) or use the staff role assignments of the new parent Group ("Inherit the reviewers of the new parent..." option). Clicking the "OK" button completes the move.



Treatment of Filers

All current Filers move with a moved Group. If you do not wish to move a Filer, you need to transfer or remove that Filer from the Group prior to moving the Group.

Treatment of Reports

All reports filed in a Group move with a moved Group. To the extent that the staff roles have changed, the change affects future actions on the report. A move does not affect review actions that have already taken place.

7.3.6 - Delete a Group

On the "Hierarchy" tab, select "Delete" from the "Select an Action" drop-down field. You may delete a Group only if the Group does not have any Filers or uncertified reports associated with it. In addition, you may not delete a Group with certified reports if the Group is at the top level of the Group Hierarchy (i.e., it has no parent Group).

7.3.7 - View the Permission Change Log

The "Permission Change Log" lists the individuals who have had roles within a Group. To access the log, go to the "Groups" or "Hierarchy" tab. Select "View Permission Change Log" from the "Select an Action" drop-down field.

Reviewer Admin	Manage Agencies & Groups				
ADMINISTRATION	AGENCIES & GROUPS				
<u>Manage Agencies & Groups</u> Find Users Management Reports Annual Data Extract	Agencies Groups Hierarchy				Add a Grou
Provision Users Status	5 • records per page				Search:
SETTINGS	GROUP NAME	- DESCRIPTION	POINT OF CONTACT	÷ FILERS ÷	ACTION
	GROUP NAME Sample Agency 2020, Group 1	DESCRIPTION Sample Agency 2020, Group 1	POINT OF CONTACT	÷ FILERS ÷	Action Select an Action
SETTINGS HELP LOG OUT			■ POINT OF CONTACT		Select an Action Select an Action Edit Bulk Add Filers
) HELP	Sample Agency 2020, Group 1	Sample Agency 2020, Group 1	€ POINT OF CONTRACT		Select an Action Select an Action Edit

The log will appear in a pop-up window, displaying the most recent changes first.

PERMISSION CH	ANGE LOG - SAMPLE	E AGENCY 2020, GROUP 1			
TIMESTAMP	EDITOR	ROLE	ADDED	REMOVED	
09/11/2020 02:29:41 pm	DAEO, Sample M (A928135)	General 278 Certifying Official (Alternates)		Reviewer3, Sample M (A928136)	
09/11/2020 02:28:58 pm	DAEO, Sample M (A928135)	General 278 Ethics Official (Alternates)	Reviewer2, Sample M (A928144)		

7.4 - Manage Staff

This section explains how to view, add, and remove staff roles for Groups.

7.4.1 - Access Staff Roles

Open the Group from either the "Groups" or "Hierarchy" tab within the "Manage Agencies & Groups" menu option. After opening the Group, click the "Group Staff" tab.

≡ Reviewer Admin	Group Setup
& ADMINISTRATION	SAMPLE AGENCY 2020, GROUP 1, SAMPLE AGENCY 2020, GROUP 1
Manage Agencies & Groups	
Find Users	Save Cancel
Management Reports	Basic Information Group Staff Filers

7.4.2 - View Rights

You may view who holds staff roles for a Group if you have a staff role within that Group or if you hold one of the Agency-level roles (i.e., DAEO, Agency Administrator, and their Alternates). You may also view the staff roles for any subordinate Group below that Group in the organizational hierarchy.

Within a Group, clicking a user's name displays that user's contact information.

GENERAL 278 REVIEWERS		
ETHICS OFFICIAL	Reviewer1, Samp	
	Change Rem	ove
PROFILE: Review	er1, Sample M	X
Profile N	lame History	
BIO INFO	NAME	
	Reviewer1, Sample M (A928143)	
CONTACT INFO	PHONE	EMAIL
	202-482-9300	TR_OGE_0586@training.integrity.gov
ADDRESS	1201 New York Avenue, NW Washington, District of Columbia 20005	
	United States	

7.4.3 - Edit Rights

You may edit staff roles for a Group only if you have certain staff roles.

POC ("Point of Contact")

A POC or POC (Alternate) may add or remove the Supervisor and the Supervisor (Alternate) roles within the Group and any subordinate Group below that Group in the organizational hierarchy.

Certifying Official

A Certifying Official or Certifying Official (Alternate) may add or remove the POC role, the Records Manager role, and their Alternates within the Group and any subordinate Group. In addition, a Certifying Official or Certifying Official (Alternate) may edit Reviewer roles, but these permissions are limited to the workflow in which the user holds the Certifying Official or Certifying Official (Alternate) role. For example, a Certifying Official in the General 278 workflow may add or remove any General 278 Reviewer role within the Group and any subordinate Group; however, that Certifying Official cannot add or remove Reviewer roles in the PAS/DAEO workflow.

Agency DAEO and Agency Administrator

A user with the DAEO, DAEO (Alternate), Agency Administrator, or Agency Administrator (Alternate) role can add or remove staff roles in any Group at the Agency.

No Self-Assignments

Regardless of your current role(s), you may not add, remove, or change your own roles.

7.4.4 - Add a Primary Role

Integrity permits only a single individual to hold a Primary role at a time. On the "Group Staff" tab, click the "Assign" button if the role is currently empty or the "Change" button if another user already holds that role.

GENERAL 278 REVIEWERS	
ETHICS OFFICIAL	Reviewer1, Sample M Change Remove

The "Add/Assign/Change Role" box will appear. Type the email address of the individual who will be the new role holder and click the "Go" button. You can search by name as well; however, the results will not be as limited.

Change Ethics Official				×
SEARCH BY FIRST NAME Integrity Users MAX Users Unknown Email Address	LAST NAME	EMAIL TR_OGE_0579@training integrity.gov		60
NAME	▲ EMAIL	\$	PHONE	•
Reviewer3, Sample M	TR_OGE_0579@training.integrity.gov			Select
Showing 1 to 1 of 1 entries (filtered from 3,331 total entries)				$\leftarrow \text{Previous} 1 \text{Next} \rightarrow$
				Cancel

The next steps will depend on which of the following applies: (1) the individual has an active *Integrity* account; (2) the individual has an inactive *Integrity* account; (3) the individual does not have an *Integrity* account but does have a MAX account; or (4) the individual does not have an *Integrity* or MAX account.

• Existing, Active *Integrity* Account: The individual's name will appear in the "*Integrity* Users" results. The individual will also appear in the "MAX Users" results but you do not need to go to this tab because you can select the user directly from the "*Integrity* Users" tab. Click the "Select" button to assign the role. Once back at the "Group Staff" tab, click the "Save" button in the upper right of the screen to complete the process.

- Existing, Inactive *Integrity* Account: The "Name" field will display the word "inactive." In this case, contact the *Integrity* Helpdesk. Typically, if the individual will be using the same email address as the one associated with the inactive account, the preferred approach will be to reactivate the account. If the individual will be using a new email address, the preferred approach will be to merge the old, inactive account with the individual's new email address.
- MAX Account Only: The individual will not appear in the "*Integrity* Users" results but will appear in the "MAX Users" results. Click the "Add & Select" button to add that individual as an authorized *Integrity* user and to assign the role in a single step. Once back at the "Group Staff" tab, click the "Save" button in the upper right of the screen to complete the process.
- No *Integrity* or MAX Account: The individual will not appear in the search results. Click "Unknown Email Address." On that tab, provide contact information for the user and select "Create Account & Select New User."

Change Ethics Official					×
SEARCH BY FIRST NAME Integrity Users MAX Users Unknown Email Address	LAST NAME		EMAIL samplereviewe	r5@training integrify.gov Go	
	FIRST NAME	MIDDLE NAME	ADDRESS LINE 2 (OPTIONA	SUFFIX Please Select	
	СІТҮ	STATE Please Select	ZIP/POSTAL CODE	COUNTRY United States	
	E-MAIL samplereviewer5@traini	ing integrity gov	TELEPHONE		
	sampler eviewer sign and	Create Account & S	elect New User		
				Ca	incel

Once back at the "Group Staff" tab, click the "Save" button in the upper right of the screen to complete the process.

7.4.5 - Remove a Primary Role

On the "Group Staff" tab, click the "Remove" button under the user's name. Click the "Save" button in the upper right of the screen to complete the process.

GENERAL 278 REVIEWERS	
ETHICS OFFICIAL	Reviewer1, Sample M
	Change Remove

Note: The routing of reports requires a Primary role holder for each step in the workflow. To facilitate proper routing, *Integrity* will automatically assign an "acting" Supervisor, Screener, Ethics Official, or Certifying Official to a Group if (1) the Agency uses that

role in its workflow; (2) the role has not been assigned to any individual in the Group; and (3) an individual holds that role in a parent Group. For example, Sample Reviewer1 is the Certifying Official of Group 1 and Sample Reviewer1.1 is the Certifying Official of Group 1.1. If you remove Sample Reviewer1.1 as the Certifying Official of Group 1.1 without selecting a replacement, *Integrity* will assign Sample Reviewer1 as the "acting" Certifying Official for Group 1.1.

7.4.6 - Add an Alternate Role

On the "Group Staff" tab, click the "Add an Alternate" button that appears under the Alternate role to add. The "Add/Assign/Change Role" box will appear. See <u>section 7.4.4</u> for more information about the "Add/Assign/Change Role" box.

GENERAL 278 REVI	WERS	
ETHICS OFFICIAL		Reviewer1, Sample M Change Remove
ETHICS OFFICIAL (AL	ERNATES)	Not Assigned

Integrity permits multiple Alternates for each Group-level role. Therefore, you can add new Alternates without removing roles from other Alternates.

7.4.7 - Remove an Alternate Role

On the "Group Staff" tab, click the "Remove" button underneath the user's name to remove an Alternate role. Clicking the "Save" button in the upper right of the screen completes the process.

ETHICS OFFICIAL (ALTERNATES)	Reviewer3, Sample M
Add an Alternate	Remove

The use of Alternate roles is optional, so you can remove Alternates without identifying replacements or having "acting" role holders assigned.

7.5 - Manage Filers

This section explains how to view and edit a Group's Filers.

7.5.1 - Access Filer Information

Open the Group from either the "Groups" or "Hierarchy" tab within the "Manage Agencies & Groups" menu option. See <u>section 7.3.1</u> for more information about the "Groups" and "Hierarchy" tabs. After opening the Group, click the "Filers" tab.

The results table displays the following information:

- Name: This field displays the Filer's name. If the name requires updating, go to the "Find Users" page. See section 7.7.5.
- Email: This field displays the email address that the Filer uses to log into *Integrity* and to receive *Integrity* notices. If the email address requires updating, you would typically add the Filer to *Integrity* again with the new, correct email address and then merge that account with the old account. See <u>section 7.7.6</u>.
- Phone: This field displays the Filer's telephone number. A staff user initially provides a telephone number for the Filer when adding the Filer to *Integrity*. After the Filer has been added, the Filer can update the telephone number on the "My Contact Info" page under "Settings." See section 3.3.3.
- Default Filing Type: This field controls whether reports assigned to the Filer in the Group follow the General 278 or PAS/DAEO workflow by default. If the Group supports only General 278 or PAS/DAEO reports, this field does not display because the default Filing Type must match the type required by the Group.
- Current Filer Category: This field controls the Filer Category applied to reports assigned to the Filer in the Group. For example, if the Filer Category for Sample Filer1 is Career SES, then a report assigned to Sample Filer1 in the Group will show "Career SES" in the Filer Category field on the "Getting Started" page (Filer interface) and the "General Information" page (Reviewer interface). Both the Filer and Reviewers can update the Filer Category for that report without changing the Filer Category specified at the Group level.
- Current Filer Status: This field controls the Filer Status applied to reports assigned to the Filer in the Group. For example, if the Filer Status for Sample Filer1 is Full Time, then a report assigned to Sample Filer1 in the Group will show "Full Time" in the Filer Status field on the "General Information" page (Reviewer interface). Reviewers can update the Filer Status for that report without changing the Filer Status specified at the Group level.

≡ Reviewer Admin	Group Setup	
& ADMINISTRATION	SAMPLE AGENCY 2020, GROUP 1, SAMPLE AGENCY 2020, GROUP 1	
Manage Agencies & Groups Find Users Management Reports Annual Data Extract Provision Users Status	Basic Information Group Staff Filers Notices Add a Filer Bulk Add Filers Notify Filers Transfer Filers	Save Cancel
SETTINGS	5 V records per page Search:	
1 HELP	NAME : BMAL : DEFAULT FLING TYPE CURRENT FILE CATEGORY CURRENT FILE STATUS ACTION	
🕒 LOG OUT	Filer1, Sample M TR_OGE_0590@training.integrity.gov General 278 Career SES Full-Time Select an Ar	ction ~
	Filer2, Sample M TR_OGE_0589@training.integrity.gov General 278 Career 5E5 Full-Time Select an A	ction 🗸

7.5.2 - View and Edit Rights

You may view, add, edit, remove, transfer, and notify Filers within a Group if you have a staff role within that Group or if you hold one of the Agency-level roles (i.e., DAEO, Agency Administrator, and their Alternates). You also have the same rights in any subordinate Group below that Group in the organizational hierarchy.

7.5.3 - Add a Single Filer

On the "Filers" tab, click the "Add a Filer" button.

E Reviewer Admin	Group Setup	
ADMINISTRATION	SAMPLE AGENCY 2020, GROUP 1, SAMPLE AGENCY 2020, GROUP 1	
<u>Manage Agencies & Groups</u> Find Users Management Reports	Basic Information Group Staff Filers Notices	Save Cancel
Annual Data Extract Provision Users Status	Add a Filer Bulk Add Filers Notify Hilers Transfer Filers Remove Filers	
SETTINGS	5 v records per page	Search:
HELP	NAME : DMAIL : DEFAULT FILMS TYPE CURRENT FILES CATEGORY	CURRENT FILER STATUS ACTION
G LOG OUT	Filer1, Sample M TR_OGE_0590@training.integrity.gov General 278 Career SES •	Full-Time V Select an Action V
	Filer2, Sample M TR_OGE_0589@training.integrity.gov General 278 Career SES	Full-Time V Select an Action V

The "Add/Assign/Change Role" box will appear. Type the email address of the individual to add as a Filer and click the "Go" button. You can search by name as well; however, the results will not be as limited.

Add a Filer		
SEARCH BY FIRST NAME	LAST NAME	EMAIL TR_OGE_0584@training.integrity.gov
NAME	▲ EMAIL	: PHONE :
Filer3, Sample M	TR_OGE_0584@training.integrity.gov	Select
Showing 1 to 1 of 1 entries (filtered	d from 3,331 total entries)	$\leftarrow \text{Previous} 1 \text{Next} \rightarrow$
		Cancel

The next steps will depend on which of the following applies: (1) the individual has an active *Integrity* account; (2) the individual has an inactive *Integrity* account; (3) the individual does not have an *Integrity* account but does have a MAX account; or (4) the individual does not have an *Integrity* or MAX account.

• Existing, Active *Integrity* Account: The individual's name will appear in the "*Integrity* Users" results. Click the "Select" button to assign the role. After returning to the "Filers" tab, you will need to specify the Filer's default Filing Type if the Group processes both General 278 reports and PAS/DAEO reports. You can also set the Filer's Current Filer Category and Current Filer Status. Clicking the "Save" button in the upper right of the screen completes the process.

E Reviewer Admin	Group Setup
& ADMINISTRATION	SAMPLE AGENCY 2020, GROUP 1, SAMPLE AGENCY 2020, GROUP 1
Manage Agencies & Groups	
Find Users	Cancel
Management Reports	Basic Information Group Staff Filers
Annual Data Extract	
Provision Users Status	Add a Filer Bulk Add Filers Notify Filers Transfer Filers Remove Filers

- Existing, Inactive *Integrity* Account: The "Name" field will display the word "inactive." In this case, contact the *Integrity* Helpdesk. Typically, if the individual will be using the same email address as the one associated with the inactive account, the preferred approach will be to reactivate the account. If the individual will be using a new email address, the preferred approach will be to merge the old, inactive account with the individual's new email address.
- MAX Account Only: The individual will not appear in the "*Integrity* Users" results but will appear in the "MAX Users" results. Click the "Add & Select" button to add that individual as an authorized *Integrity* user and to add the individual as a Filer in that Group. Once back at the "Filers" tab, you will need to specify the Filer's default Filing Type if the Group processes both General 278 reports and PAS/DAEO reports. You can also set the Filer's Current Filer Category and Current Filer Status. Clicking the "Save" button in the upper right of the screen completes the process.
- No *Integrity* or MAX Account: The individual will not appear in the search results. Click the "Unknown Email Address" button, provide contact information for the individual, and select "Create Account & Select New User." Once back at the "Filers" tab, you will need to specify the Filer's default Filing Type if the Group processes both General 278 reports and PAS/DAEO reports. You can also set the Filer's Current Filer Category and Current Filer Status. Clicking the "Save" button in the upper right of the screen completes the process.

7.5.4 - Remove a Single Filer

On the "Filers" tab, select "Remove" from the "Select an Action" drop-down field. Clicking the "Save" button in the upper right of the screen completes the process.

E Reviewer Admin	Group Setup
& ADMINISTRATION	SAMPLE AGENCY 2020, GROUP 1, SAMPLE AGENCY 2020, GROUP 1
Manage Agencies & Groups Find Users Management Reports Annual Data Extract Provision Users Status	Save Cancel Basic Information Group Staff Filers Notices Add a Filer Bulk Add Filers Notify Filers Transfer Filers Remove Filers
SETTINGS	5 👻 records per page Search:
@ HELP	NAME EMAIL DEFAULT FILING TYPE CURRENT FILER CATEGORY CURRENT FILER STATUS ACTION
€ LOG OUT	Filer1, Sample M TR_OGE_0590@training.integrity.gov General 278 Career SES Full-Time Select an Action Filer2, Sample M TR_OGE_0598@training.integrity.gov General 278 Career SES Full-Time Select an Action Filer2, Sample M TR_OGE_0598@training.integrity.gov General 278 Career SES Full-Time Select an Action

Removing a Filer does not remove any assigned or completed reports associated with that Filer. You can remove assigned-but-not-started reports from the "Manage Assigned Reports" page. All other reports would need to be removed from the "Records Management" page.

7.5.5 - Add Multiple Filers to One Group (Bulk Add - Group Level)

To bulk add Filers to a Group, go to the "Groups" or "Hierarchy" tab, find the correct Group, and select "Bulk Add Filers" from the "Select an Action" drop-down field.

EReviewer Admin	Manage Agencies & Groups		
& ADMINISTRATION	AGENCIES & GROUPS		
Manage Agencies & Groups Find Users Management Reports Annual Data Extract Provision Users Status	Agencies Groups Hierarchy 5 • records per page		Add a Group Search:
SETTINGS	GROUP NAME	DESCRIPTION	POINT OF CONTACT FILERS ACTION
HELP	Sample Agency 2020, Group 1	Sample Agency 2020, Group 1	2 Select an Action
🕒 LOG OUT	Sample Agency 2020, Group 2	Sample Agency 2020, Group 2	Select an Action 0 Edit Birk Add Fiers

Alternatively, you can click the "Bulk Add Filers" button that appears on the "Filers" tab within the Group. In either case, click the "Download Bulk Add Template" link in the pop-up window that appears.

Bulk Add Filers	X
Choose File No file chosen	
Add for Processing	
Download Bulk Add Template	Cancel

Download the template and follow the instructions to add Filers. After completing the template, return to this page and click the "Choose File" button.



Select the template that was downloaded and completed. Clicking the "Add for Processing" button adds the list to the queue of pending bulk provisioning requests. It

may take up to 20 minutes before *Integrity* adds all of the Filers from the list. Check the status of a bulk provisioning request on the "Provision Users Status" page. Clicking the link in the "Status" field displays additional information.

≡ Reviewer Admin	Bulk User Provision	n Status				
ADMINISTRATION	20 • records per page				Search:	
Manage Agencies & Groups Find Users	FILE	÷ TYPE			UPLOADED	STATUS
Management Reports	UserImportTemplate.xlsx	Group User Import	Sample Agency 2020	Sample Agency 2020, Group 1	02/06/2020 4:55:12 PM	Pending
Annual Data Extract <u>Provision Users Status</u>	Showing 1 to 1 of 1 entries				← P	revious 1 Next→

7.5.6 - Add Multiple Filers to Different Groups (Bulk Add - Agency Level)

You may "bulk" add multiple Filers to different Groups at the same time if you hold the DAEO, DAEO (Alternate), Agency Administrator, or Agency Administrator (Alternate) role. To bulk add Filers, go to the "Agencies" or "Hierarchy" tab and select "Bulk Add Filers" from the "Select an Action" drop-down field.

Reviewer Admin	Manage Agencies &	Groups				
& ADMINISTRATION	AGENCIES & GROUPS					
<u>Manage Agencies & Groups</u> Find Users Management Reports Annual Data Extract Provision Users Status	Agencies Groups Hiera 5 • records per page	rchy				Add an Agency Search:
SETTINGS	AGENCY NAME	 DAEO / LEAD / DIRECTOR 	ADMINISTRATOR	\$ SECURITY LEVEL	\$ ACTION	
HELP LOG OUT	Sample Agency 2020	DAEO, Sample M		1	Select an Action Select an Action Edit	•
	Showing 1 to 1 of 1 entries				Add Group Bulk Add Filers	

Click the "Download Agency Bulk Add Template" link, download the template, and follow the instructions to add Filers.



After you have completed the template, return to this page and click the "Choose File" button. Select the template that was downloaded and completed. Clicking the "Add for Processing" button adds the list to the queue of pending bulk provisioning requests. It may take up to 20 minutes before *Integrity* adds all of the Filers from the list. You can check the status of a bulk provisioning request on the "Provision Users Status" page.

7.5.7 - Delete Multiple Filers

On the "Filers" tab, select the box to the left of each Filer to delete. Click the "Remove Filers" button and the "Save" button in the upper right to complete the process.

E Reviewer Admin	Group Setup				
& ADMINISTRATION	SAMPLE AGENCY 2020, GROUP 1, SAMPLE AGENCY 2020, GROUP 1				
Manage Agencies & Groups Find Users Management Reports Annual Data Extract Provision Users Status	Basic Information Group Staff Filers Notices Add a Filer Bulk Add Filers Notify Filers Transfer Filers Remove Filero)			Save Cancel
	5 v records per page				Search:
• HELP	NAME <u>-</u> EMAIL	DEFAULT FILING TYPE	CURRENT FILER CATEGORY	CURRENT FILER STATUS	ACTION
🕒 LOG OUT	Filer1, Sample M TR_OGE_0590@training.integrity.gov	General 278 💙	Career SES 🗸	Full-Time 💙	Select an Action
	✓ Filer2, Sample M TR_OGE_0589@training.integrity.gov	General 278 💙	Career SES 🗸	Full-Time 💙	Select an Action

7.5.8 - Notify Filers

Select "Notify" from the "Select an Action" drop-down field. To notify multiple Filers, select the box to the left of each applicable Filer and click the "Notify Filers" button.

Reviewer Admin	Group Setup				
ADMINISTRATION	SAMPLE AGENCY 2020, GROUP 1, SAMPLE AGENCY 2020, GROUP 1				
Manage Agencies & Groups Find Users Management Reports Annual Data Extract Provision Users Status	Basic Information Group Staff Filers Notices Add a Filer Bulk Add Filers Notify Filers Transfer Filers Remove Filers				Save Cancel
SETTINGS	5 v records per page				Search:
HELP	NAME - EMAIL	DEFAULT FILING TYPE	CURRENT FILER CATEGORY	CURRENT FILER STATUS	ACTION
🕒 LOG OUT	Filer1, Sample M TR_OGE_0590@training.integrity.gov	General 278 🗸	Career SES 🗸	Full-Time 👻	Select an Action 🗸
	Filer2, Sample M TR_OGE_0589@training.integrity.gov	General 278 💙	Career SES 🗸	Full-Time 💙	Notify Transfer Remove

Clicking the "Schedule Now" button sends a user provisioning notification. The default notification text follows the template specified at the Agency level on the "Notices" tab. See <u>section 7.2.7</u> for more information.

7.5.9 - Transfer Filers to a Group at the Agency

Transferring a Filer moves both the Filer and the Filer's in-progress reports to a new Group. Therefore, users with staff roles in the original Group will no longer have access to the Filer's in-progress reports. If you do not want to transfer the Filer's in-progress reports, you can instead remove the Filer from the original Group and add the Filer to the new Group. The reports will remain with the original Group. Although a transfer moves in-progress reports, the transfer does not change any actions already taken. For example, if a Supervisor at the original Group has signed the report, the report will not repeat the Supervisor step of the workflow at the new Group but will rather continue through the workflow. Certified or closed reports cannot be transferred at present.

On the "Filers" tab, find the Filer to transfer and select "Transfer" from the "Select an Action" drop-down field. To transfer multiple Filers, select the box to the left of each applicable Filer and click the "Transfer Filers" button.

Reviewer Admin	Group Setup				
ADMINISTRATION	SAMPLE AGENCY 2020, GROUP 1, SAMPLE AGENCY 2020, GROUP 1				
Manage Agencies & Groups Find Users Management Reports Annual Data Extract Provision Users Status	Basic Information Group Staff Filers Notices Add a Filer Bulk Add Filers Notify Filers Transfer Filers Remove Filers				Save Cancel
 settings Help 	5 v records per page	1			Search:
	Filer1, Sample M TR_OGE_0590@training.integrity.gov	General 278	CURRENT FILER CATEGORY	CURRENT FILER STATUS	ACTION Select an Action
	Filer2, Sample M TR_OGE_0589@training.integrity.gov	General 278 🔹	Career SES 🗸	Full-Time 👻	Select an Action Notify Transfer Remove

A list of Groups will appear in a pop-up window. Select the new Group to which the Filer is being transferred. You can select a Group only if (1) you have a staff role in that Group and (2) the Group permits the same Filing Types as the original Group (i.e., you cannot move a Filer from a Group that permits General 278 reports and PAS/DAEO reports to a Group that only permits General 278s). In addition, Filers cannot be transferred into a Nominee Group.

Sel	ect New Group for Sample M Filer1	×
Ξ	Sample Agency 2020	Select
	Sample Agency 2020, Group 1	Select
	Sample Agency 2020, Group 2	Select
	Sample Agency 2020, Nominee Group	Select

7.5.10 - Transfer Filers to a Group at a Different Agency

Contact the *Integrity* Helpdesk if a Filer needs to be transferred to a Group at another Agency. In most cases, a Filer who moves to a new Agency will not be "transferred" within *Integrity*. Instead, the new Agency will add the individual as a Filer using a new email address, and the *Integrity* Helpdesk will merge the Filer's two accounts. The Filer will have access to all of his or her reports filed at either Agency; however, an Agency will only have access to reports filed at that Agency. See <u>section 7.7.6</u> for additional information.

Cancel

7.6 - Manage Assigned Reports

This section explains how to assign reports to Filers as well as how to edit and remove such assignments.

7.6.1 - Access the Manage Assigned Reports Page

You can access the "Manage Assigned Reports" page from either the "Groups" or "Hierarchy" tab within the "Manage Agencies & Groups" menu option. On either tab, click the "Select an Action" drop-down field and then select "Manage Assigned Reports." The "Manage Assigned Reports" page will open in a secondary window.

≡ Reviewer Admin	Manage Agencies & Groups				
ADMINISTRATION	AGENCIES & GROUPS				
<u>Manage Agencies & Groups</u> Find Users Management Reports Annual Data Extract Provision Users Status	Agencies Groups Hierarchy 5 • records per page				Add a Group Search:
SETTINGS	GROUP NAME	- DESCRIPTION	POINT OF CONTACT	FILERS	ACTION
Ø HELP	Sample Agency 2020, Group 1	Sample Agency 2020, Group 1		2	Select an Action
€ LOG OUT	Sample Agency 2020, Group 2	Sample Agency 2020, Group 2		1	Select an Action Edit Bulk Add Filers
	Sample Agency 2020, Nominee Group	Sample Agency 2020, Nominee Group		0	Add Subgroup Manage Assigned Reports Bulk 278 PDF Export

7.6.2 - View and Edit Rights

You may view, make, edit, or remove any report assignment for a Group if you have a staff role within that Group or if you hold one of the Agency-level roles (i.e., DAEO, Agency Administrator, and their Alternates). You may also view, make, edit, or remove report assignments for any subordinate Group below that Group in the organizational hierarchy.

7.6.3 - View Current Reports

The "Manage Assigned Reports" page displays reports within a Group that have not yet been certified or closed without certification. You can filter the results by changing the filter condition fields at the top of the screen and selecting "Go."

Manage Assigned R	eports: Sample	Agency 2020, Group 1	Filters		
ITEM All	All	YEAR All	STATUS •	▼ Go Reset	
Assign Reports Remove Assig	nments Notify				Customize Display ~
20 • records per page			Results		Search:
FILER -	ITEM 🛟 TYI	PE 🛫 YEAR 🛫 POSITION		€ GROUP	÷ NOTIFIED ÷
Filer1, Sample M Showing 1 to 1 of 1 entries	Annual Report 27	8 2020 Sample Position	Report, Under Agency Review	Sample Agency 2020, Group 1	Action ~ ← Previous 1 Next →

- Item: The "Item" filter limits results based on whether the report is a New Entrant, Annual, Termination, Annual/Termination, or Periodic Transaction report. By default, the filter is set to "All" so that reports are displayed regardless of the Item.
- Type: The "Type" filter limits results based on the general form type used the OGE Form 278e ("278") or the OGE Form 278-T ("278-T"). By default, the filter is set to "All" so that reports are displayed regardless of the Type.
- Year: The "Year" filter limits results based on the Year label assigned to a report. By default, the filter is set to "All" so that reports are displayed regardless of the Year. See <u>section 7.6.10</u> for the Year labeling convention.
- Status: The "Status" filter limits results based on the status of the report within a workflow. By default, the filter is set to "All" so that reports are displayed regardless of the Status.

If there are subordinate Groups beneath the selected Group, the "Manage Assigned Reports" page will have an additional filter option, the "Include Sub-Groups" checkbox.

Manage A	ssigned Reports: Sampl	e Agency 2020, Group	1	
ITEM	ТҮРЕ	YEAR	STATUS	
All	* All	▼ All	• All	Go Reset

Checking that box will return results for the selected Group and for all subordinate Groups in the organizational hierarchy. For example, if the hierarchy includes a Group 1.1 and a Group 1.1.1 beneath Group 1, checking the box will display report assignments for Group 1, Group 1.1, and Group 1.1.1.

Integrity, by default, displays only some of the available columns in the results table. You can show or hide columns by clicking the "Customize Display" button in the upper right corner of the results table.

ITEM		ТҮРЕ		YEAR		STATUS	INCLUDE SUB-GROUPS	
All	•	All	•	All	•	All	T Go Reset	
Assign Reports	Remove Assignmen	nts Notify						Cu FileR
20 • reco	rds per page							V ITEM V TYPE FILING TYPE

If using the filter conditions at the top of the page returns too many results, you can filter the results further by typing text into the "Search" box. The "Search" box appears in the upper right corner of the results table.

7.6.4 - Assign Reports to Filers in a Group and Any Subordinate Groups

On the "Manage Assigned Reports" page, click the "Assign Reports" button. The "Assign Report" box will appear.

Manage Assig	gned Re	ports: Sample A	Agency	2020, Group 1				
All	T	All	T	YEAR	•	All	INCLUDE SUB-GROUPS Go Reset	
Assign Reports Ro	emove Assignmo	ents Notify						Customize Display ~

View the Eligible Filer(s)

By default, the "Assign Report" box displays all current Filers within the Group. You can filter the results by changing the filter condition fields and selecting "Go."

Assign Report - Check the filers you would like to assign	the report to	Filters			×
SAMPLE AGENCY 2020, GROUP 1	CURRENT FILER CATEGORY	*			
FILTER BY EXISTING REPORTS: INCLUDE FILERS	Go Reset				
5 v records per page	[Results		Search:	
NAME 🍦 EMAIL	÷ PHONE÷	GROUP		CURRENT FILER CATEGOR	Y 🛫 CURRENT FILER STATUS 🛫
Filer1, Sample M TR_OGE_0590@training.	integrity.gov	Sample Agency 20	020, Group 1	Career SES	Full-Time
Filer2, Sample M TR_OGE_0589@training.	integrity.gov	Sample Agency 20	020, Group 1	Career SES	Full-Time
Showing 1 to 2 of 2 entries					← Previous 1 Next →

- Include Sub-Groups: If there are subordinate Groups beneath the selected Group, this checkbox will be available. Checking the box will apply the filters and return results for Filers in the selected Group and all subordinate Groups.
- Current Filer Category: The "Current Filer Category" filter limits results based on the Filer Category specified for the Filer on the "Filers" tab within the Group. For example, if the filter is set to "Career SES," the user will see only those Filers who have been added to the Group (and any subordinate Group if applicable) with the Filer Category of Career SES.

Cancel

Next

• Include Filers: The "Include Filers" filter specifies whether the user wants to see Filers who have pending report assignments that match or do not match certain criteria. By default, the filter is set to "All" so that the Filer list is not limited based on existing reports.

Next, select "with matching reports" or "without matching reports" to view the additional filtering criteria.

ASSIGN REPORT - Check the	ASSIGN REPORT - Check the filers you would like to assign the report to					
SAMPLE AGENCY 2020, GROUP 1			URRENT FILER CATEGORY			
FILTER BY EXISTING REPOR						
INCLUDE FILERS IT With matching reference IT	All TYP	il ▲	All	STATUS ▲II	Go	Reset
5 • records per	page				Search:	

- Item: If "Include Filers" is set to "with matching reports," you will see only those Filers with a pending report assignment of the same Item (e.g., New Entrant reports if set to "New Entrant"). If "Include Filers" is set to "without matching reports," you will see only those Filers without a pending report assignment of that Item. This filter will not limit any results if set to "All."
- Type: If "Include Filers" is set to "with matching reports," you will see only those Filers with a pending report assignment of the same Type (e.g., 278-T reports if set to "278-T"). If "Include Filers" is set to "without matching reports," you will see only those Filers without a pending report assignment of that Type. This filter will not limit any results if set to "All."
- Year: If "Include Filers" is set to "with matching reports," you will see only those Filers with a pending report assignment for the same Year (e.g., 2019 reports if set to "2019"). If "Include Filers" is set to "without matching reports," you will see only those Filers without a pending report assignment for that Year. This filter will not limit any results if set to "All."
- Status: If "Include Filers" is set to "with matching reports," you will see only those Filers with a pending report assignment with the same Status in the workflow (e.g., Not Started reports if set to "Not Started"). If "Include Filers" is set to "without matching reports," you will see only those Filers without a pending report assignment with the same Status. This filter will not limit any results if set to "All."

If using the filter conditions at the top of the page returns too many results, you can filter the results further by typing text into the "Search" box. The "Search" box appears in the upper right corner of the results table.

Select the Filer(s)

Select the box to the left of each Filer who needs a report assigned. Click the "Next" button at the bottom of the "Assign Report" box.

ASSIGN REPORT - Check the filers you would like to assign the report to								\times
	E AGENCY 2020, GROUP 1 CLUDE SUB-GROUPS		CURRENT FILER CATEG	jory T				
	BY EXISTING REPORTS: DE FILERS	•	Go Reset					
5	▼ records per page					Search:		
	NAME ‡	EMAIL		÷ PHONE ÷	GROUP	÷	CURRENT FILER CATEGORY	\$
	Filer1, Sample M	TR_OGE_0590@trair	ning.integrity.gov		Sample Agency 2020, Group 1		Career SES	
	Filer2, Sample M	TR_OGE_0589@trair	ning.integrity.gov		Sample Agency 2020, Group 1		Career SES	
	Filer3, Sample M	TR_OGE_0584@train	ning.integrity.gov		Sample Agency 2020, Group 1.1		Other	
Shov	wing 1 to 3 of 3 entries						← Previous 1 Next -	→
							Cancel	Next

Note that each selected Filer will receive an assignment with the same characteristics specified on the next page. If the characteristics of the reports should differ, assign the reports separately. For example, if you have to assign one Annual report and one Termination report, select only the Filer who will receive the Annual report and complete the assignment process. Then, repeat the process for the Termination report. Because the Filer Category is not specified on the next page, you can assign reports to Filers who do not share the same Filer Category. *Integrity* assigns the Filer Category automatically based on the designation provided on the "Filers" tab.

Specify the Type of Report Assignment

On the next page, specify the type of report assignment to make.

- Report Type: The field specifies whether the Filer will complete an OGE Form 278e ("278") or OGE Form 278-T ("278-T") report. You can edit this field later through the "Edit Assignment" function if the Filer has not yet started the report. The Report Type cannot be changed once the Filer has started completing the report.
- Item: The field specifies whether the Filer will complete a New Entrant, Annual, Termination, Annual/Termination, or Periodic Transaction report. You can edit this field later through the "Edit Assignment" function if the Filer has not yet started the report. The Item cannot be changed once the Filer has started the report.

- Filing Type: The field specifies whether the report will follow the General 278 or PAS/DAEO workflow. If the Group has been set to accept only one Filing Type, you will not be able to make a different selection here. You would, instead, need to edit the Group settings under "Basic Information." See <u>section 7.3.4</u>. If the Group has been set to accept both Filing Types, *Integrity* will default the Filing Type specified for the selected Filer. If you selected multiple Filers with different Filing Types, *Integrity* will not select a default Filing Type.
- Year: The field specifies the Year of the report filed. You can edit this field later through the "Edit Assignment" function or on the "General Information" page of the report. See <u>section 7.6.10</u> for the Year labeling convention.
- Original Due Date: The field specifies when the report would have been due absent any extensions (i.e., without an extension, the "Original Due Date" and "Due Date" will match). *Integrity* suggests an original due date that is 30 days from the present for a New Entrant report and an original due date of 5/15 for an Annual report. You can override this suggestion. You can also edit this field later through the "Edit Assignment" function or on the "General Information" page of the report.
- Due Date Comments: You can enter any comments needed to explain modifications to the original due date. You can edit this field later through the "Edit Assignment" function or on the "General Information" page of the report.
- Extension: If the Filer received an extension, enter the <u>total</u> number of days for all of the extensions received. You can edit this field later through the "Edit Assignment" function or on the "General Information" page of the report.
- Extension Comments: Enter any comments needed to explain why the extension was granted. You can edit this field later through the "Edit Assignment" function or on the "General Information" page of the report.
- Due Date: *Integrity* automatically calculates the due date based on the original due date and the number of days of any extension granted.
- Public Availability: This field specifies whether the report is releasable to the public or not. In most cases, an OGE Form 278e or OGE Form 278-T is releasable to the public. You can edit this field later through the "Edit Assignment" function or on the "General Information" page of the report.
- Position: The field specifies the name of the position for which the Filer must file the report. The Filer can update this field when filing. You can also edit this field later through the "Edit Assignment" function or on the "General Information" page of the report. Note that you should leave the field blank when assigning multiple reports, unless each report should have the same position name.

After completing all of the necessary fields, click the "Next" button.

ASSIGN REPORT - Fill out the fields for the	new report(s)	
REPORT TYPE ITEM 278 T	FILING TYPE YEAR Image: Constraint of the second	
ORIGINAL DUE DATE	DUE DATE COMMENTS	
05/15/2020		
EXTENSION	EXTENSION COMMENTS	
0	Days	
DUE DATE		
05/15/2020		
PUBLIC AVAILABILITY	POSITION	
Please Select	•	

Notify the Filer

Specify whether *Integrity* should send the Filer(s) an email notification of the report assignment. The text box, by default, displays the message specified at the Agency level on the "Notices" tab; however, you can edit the text.



Complete the Assignment

Once finished, click the "Make Assignments" button. You will return to the "Manage Assigned Reports" page. If you do not see the newly assigned report, refresh the browser. Also, if you have assigned reports to Filers in subordinate Groups, make sure the "Include Sub-Groups" checkbox is selected. When finished, close the window to return to the "Groups" or "Hierarchy" tab.

Previou

Next

Check the Notification Status

The "Manage Assigned Reports" page will show the newly assigned report. The "Notified" column will display "Pending" if *Integrity* has not yet sent the notice. The date of notification will appear after *Integrity* actually sends the notice to the Filer, which may occur several minutes after report assignment.

7.6.5 - Assign a Termination Report to a Filer Using a Personal Email Address

In some cases, a Filer will not complete a Termination report until after the Agency has deactivated the Filer's Agency email address. Deactivation of the email address will also deactivate the Filer's ability to log into *Integrity* using that email address. In such cases, the Agency will need to add the individual as a Filer using a personal email address and send a request to the *Integrity* Helpdesk to merge the account associated with the Filer's Agency email address with this new account associated with the Filer's personal email address. See <u>section 7.7.6</u> for more information on account mergers. After the accounts have been merged, the Agency can assign the Termination report to the new account.

7.6.6 - Assign Annual Reports to Multiple Filers across an Agency (Bulk Assign)

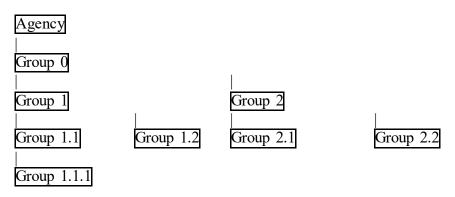
You may "bulk" assign Annual reports to Filers in different Groups across the Agency if you hold the DAEO, DAEO (Alternate), Agency Administrator, or Agency Administrator (Alternate) role.

Differences between Group-level Assignments and Bulk Annual Assignment

There are three important differences between the Bulk Annual Assignment process and the Group-level assignment process described in section 7.6.4.

- Authorized Roles: The Bulk Annual Assignment process is limited to users with the DAEO, DAEO (Alternate), Agency Administrator, or Agency Administrator (Alternate) role. The Group-level assignment process is available to any user with a staff role for the selected Group.
- Type/Item of Report Assignments: The Bulk Annual Assignment process can only be used to assign Annual reports. The Group-level assignment process can be used to assign New Entrant, Annual, Termination, Annual/Termination, and Periodic Transaction reports.
- Eligible Filers: The Bulk Annual Assignment process can reach Filers in any Group at the Agency. The Group-level assignment process reaches Filers in the selected Group and any subordinate Group. However, depending on the organizational hierarchy at the Agency, the Group-level assignment process might reach almost as many reports as covered by this Agency-wide feature.

For example, if an Agency has the hierarchy outlined below, then a user with a staff role in Group 0 could assign reports to Filers in Group 1, Group 1.1, Group 1.1, Group 1.2, Group 2, Group 2.1, and Group 2.2 using the process in section 7.6.4. A user with a staff role in Group 1 could assign reports to Filers in Group 1, Group 1, Group 1.1, Group 1.1.1, and Group 1.2 but not to Filers in Group 2, Group 2.1, or Group 2.2.



Annual Bulk Assignment Steps

To bulk assign Annual reports, go to the "Agencies" or "Hierarchy" tab and select "Bulk Assign Reports" from the "Select an Action" drop-down field.

≡ Reviewer Admin	Manage Agencies & G	Groups			
ADMINISTRATION	AGENCIES & GROUPS				
<u>Manage Agencies & Groups</u> Find Users Management Reports Annual Data Extract	Agencies Groups Hierarch	ny			Add an Agency
Provision Users Status	5 v records per page				Search:
SETTINGS	AGENCY NAME	 DAEO / LEAD / DIRECTOR 	SECURITY LEVEL	¢ ACTION	
HELP	Sample Agency 2020	DAEO, Sample M	1	Select an Action	,
🖨 LOG OUT	Showing 1 to 1 of 1 entries			Select an Action Edit Add Group Bulk Add Filers Bulk Assign Reports Bulk 278 PDF Export	

The "Bulk Assign Reports Status" page will open in a new window. The page will display the status of any prior bulk assignments. Click the "Assign Reports" button.

■ CLOSE WINDOW	Bulk Assign	Bulk Assign Reports Status						
	Assign Repor	s						
	20 v recor	ds per page		Search:				
	DATE	RUN BY		÷ STATUS				
	No data available ir	table						
	Showing 0 to 0 of	0 entries		$\begin{tabular}{c} \leftarrow Previous & Next \rightarrow \end{tabular}$				

The "Assign Reports" page will appear as a pop-up window. Select the "Report Year" and the "Calendar Year." Complete the other fields as appropriate before clicking "Next."

ASSIGN REPORTS - Select the report year and calendar year for the Annual Reports you will assign					
REPORT YEAR		COVERING CALENDAR YEAR			
2020	•	2019	e.g., 2016 Annual covering CY2015		
ORIGINAL DUE DATE		DUE DATE COMMENTS	DUE DATE		
05/15/2020	***		05/15/2020		
EXTENSION		EXTENSION COMMENTS	PUBLIC AVAILABILITY		
0	Days		Please Select 🔹		



On the following page, you will see a list of Filers at the Agency.

ASSIGN REPORTS - Check the filers you would like to assign the reports to									<
	5 v records	per page			Se	earch:			•
	NAME	EMAIL	‡ Phone	GROUP	÷	CURRENT FILER CATEGORY	CURRENT FI STATUS	iler ‡	
	Filer1, Sample M	TR_OGE_0590@training.integrity.	gov	Sample Agency 2020, Group 1		Career SES	Full-Time		
	Filer2, Sample M	TR_OGE_0589@training.integrity.	gov	Sample Agency 2020, Group 1		Career SES	Full-Time		
Sh	owing 1 to 2 of 2 e	entries				← Previous	1 Next -	→	
Note: Filers are initially unchecked if they meet any of the following conditions:									
		has a 2020 Annual Report w Entrant Report with an Appointm	ient Date or	or after 11/02/2019					-
4									۱.
							Previous	Next	

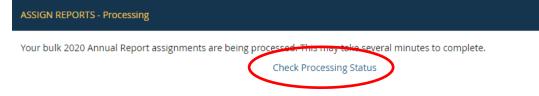
Checkmarks appear next to the Filers who will receive an Annual report assignment. *Integrity*, by default, checks each Filer except for those Filers who: (1) have already received an Annual report assignment for the selected Report Year; (2) have a New Entrant report with an appointment date on or after November 2 of the preceding year; or (3) have a Termination or Annual/Termination report on or after January 1 of the preceding year. Check or uncheck names as necessary to complete the assignment list and click the "Next" button at the bottom right corner of the "Assign Reports" box.

ASSIGN REPORTS - Check the filers you would like to assign the reports to							
5 v recor	ds per page			Search:			
NAME	* EMAIL	¢ PHO	⊈ group	CURRENT FILER CATEGORY	CURRENT FILER		
Filer1, Sample M	e TR_OGE_0590@training	.integrity.gov	Sample Agency 2020, Group 1	Career SES	Full-Time		
Filer2, Sample M	e TR_OGE_0589@training	.integrity.gov	Sample Agency 2020, Group 1	Career SES	Full-Time		
Showing 1 to 2 of	2 entries			← Previous	1 Next \rightarrow		
Note: Filers are initially unchecked if they meet any of the following conditions: • The filer already has a 2020 Annual Report • The filer has a New Entrant Report with an Appointment Date on or after 11/02/2019							
					Previous		

Specify whether *Integrity* should send the Filer(s) an email notification of the report assignment. You can edit the notification text in the text box below. Clicking "Make Assignments" completes the process.

ASSIGN REPORTS - Notifications	×
WOULD YOU LIKE TO NOTIFY YOUR FILERS OF THE REPORT ASSIGNMENT?	
Yes - Notify Now	
 No - Do not notify at this time 	
Dear [[filer]],	
[[name]] has assigned you a report in Integrity at www.integrity.gov.	
Previ	ous Make Assignments

It may take up to 20 minutes for *Integrity* to assign reports to all of the Filers from the list. You can check the status of a bulk assignment request by clicking the "Check Processing Status" link on the "Processing" page or by clicking the link in the "Status" column on the "Bulk Assign Reports Status" page.



After a bulk assignment process has finished, you can review the results by going to the "Bulk Assign Reports Status" page and clicking the link in the "Status" column.

E CLOSE WINDOW	Bulk Assign Reports Status			
	Assign Reports			
	20 • records per page			Search:
	DATE	_ RUN BY	REPORT YEAR	€ STATUS
	02/07/2020 1:37:19 PM	DAEO, Sample M	2020	Completed
	Showing 1 to 1 of 1 entries			← Previous 1 Next →

The results page will list the Filers who received assignments as well as the Filers who did not receive assignments due to errors.

7.6.7 - Edit a Report Assignment

On the "Manage Assigned Reports" page, click the "Action" button next to the desired report assignment and click the "Edit" choice that appears.

ITEM		TYPE			YEAR		STATUS	INCLU	DE SUB-GROUPS		
All	•	All	•		All	٣	All	▼ Go	Reset		
Assign Report	s Remove Assignm	ents Notify									Custon
20 • re	ords per page									Search:	
										1070000	
FILER				YEAR							
		nnual Report		2020	POSITION Sample Position		der Agency Review		y 2020, Group 1	÷ NOTHED	÷

Edit a Report that the Filer Has Not Started

If the Filer has not yet started the report, you can edit any field from the original report assignment. Make the desired changes in the "Edit Report" box and click the "Save" button.

Edit a Report that the Filer Has Started

If the Filer has started the report, you cannot edit the Report Type, Item, and Filing Type fields. You can still edit the other fields. Make the desired changes in the "Edit Report" box and click the "Save" button.

7.6.8 - Notify a Filer after Report Assignment

If the Filer was not notified of a report assignment at the time of the assignment, you can notify the Filer at a later date with the "Notify" feature.

Notify the Filer

On the "Manage Assigned Reports" page, click the "Action" button next to the desired report assignment and then click the "Notify" choice that appears.



Edit the default notice text, as needed, and click the "Notify" button.

Notify Filer2, Sample M about 2020 Annual Report	\times
Dear [[filer]],	
[[name]] has assigned you a report in Integrity at www.integrity.gov.	
	~
Cance	otify

Check the Notification Status

The "Notified" column will display "Pending" initially. The date of notification will appear after *Integrity* actually sends the notice to the Filer, which may occur several minutes after you clicked the "Notify" button.

7.6.9 - Remove a Report Assignment

You can remove a report assignment from the "Manage Assigned Reports" page only if the Filer has not yet started the report. Once the Filer has started a report, the report can be removed only from the "Records Management" page, which is restricted to those users with the Records Manager or DAEO role. See <u>section 6.8</u>.

Remove a Single Report Assignment

On the "Manage Assigned Reports" page, click the "Action" button next to the desired report assignment and click the "Remove" choice that appears. To complete the action, you will need to confirm that the assignment should be removed. You can also delete a single report by selecting the box that appears next to the report and clicking the "Remove Assignments" button.

ITEM		TYPE			YEAR		STATUS	INCLUDE SUB-GROUPS		
All	٠	All		•	All	٠	All	• Go Reset		
Assign Repor	ts Remove Assij	gnments Notify								Custom
	cords per page								Search:	
20 • re	cords per page								Search.	
FILER		ITEM	€ TYPE	\$ YEAR \$	POSITION	÷ STATUS		÷ GROUP	÷ NOTIFIED	÷
FILER		ITEM Annual Report	с туре 278		POSITION Sample Position		der Agency Review	CROUP Sample Agency 2020, Group 1		:

Remove Multiple Report Assignments

On the "Manage Assigned Reports" page, select the boxes that appear next to the report assignments and click the "Remove Assignments" button. To complete the action, you will need to confirm that the assignments should be removed.

7.6.10 - Year Labeling Convention

When completing the Year field, follow these guidelines:

- New Entrant: The Year is the calendar year in which the Filer was appointed. For example, a Filer with a date of appointment of October 15, 2020, would file a 2020 New Entrant report.
- Annual: The Year is the calendar year in which the report is due, not the year covered. For example, an Annual report filed by May 15, 2020, that covers* calendar year 2019 would be a 2020 Annual report.

* Note that Parts 1 and 3 of an Annual report cover the preceding calendar year and the current calendar year up to the date of filing.

• Termination: The Year is the calendar year in which the Filer terminated. For example, a Filer with a date of termination of October 15, 2020, would file a 2020 Termination report.

- Annual/Termination: The Year is the calendar year in which the Filer terminated. For example, a Filer with a date of termination of August 12, 2020, would file a 2020 Annual/Termination report.
- Periodic Transaction Report: The Year is the calendar year in which the report was filed. For example, a Periodic Transaction report filed October 15, 2020, would be a 2020 Periodic Transaction report.

7.6.11 - Bulk Export Reports (DAEOs only)

Users with the DAEO or DAEO (Alternate) role at a Regular Agency can export multiple reports to PDF with a single request. Certain users at Special Agencies (e.g., OGE) can also bulk export reports but those permissions are outside the scope of this guide.

Reports Eligible for Bulk Export

The ability to bulk export a report depends on the Report Type and the status of the report in its particular workflow.

- Nominee Reports: Any Nominee report that has been released to the Agency for review, whether still in draft status, under review, or certified.
- General 278 Reports: Any report that has been certified or closed without certification by the Agency.
- PAS/DAEO Reports (excluding Nominees): Any report that has been certified or closed without certification by OGE.

Because the export rules differ by Report Type, you will need to run the bulk export process for Nominee reports, General 278 reports, and PAS/DAEO reports (excluding Nominees) separately.

Initiate a Bulk Export: Group and Any Subordinate Groups

To bulk export a selection of reports from a Group and all subordinate Groups, go to the "Manage Agencies & Groups" page, open the "Groups" or "Hierarchy" tab, and select "Bulk 278 PDF Export" from the "Select an Action" drop-down field.

EReviewer Admin	Manage Agencies & Groups				
& ADMINISTRATION	AGENCIES & GROUPS				
<u>Manage Agencies & Groups</u> Find Users Management Reports Annual Data Extract Provision Users Status	Agencies Groups Hierarchy 5 • records per page				Add a Gro Search:
SETTINGS	GROUP NAME	DESCRIPTION	POINT OF CONTACT	: FILERS :	ACTION
• HELP	Sample Agency 2020, Group 1	Sample Agency 2020, Group 1		2	Select an Action
🕒 LOG OUT	Sample Agency 2020, Group 1.1	Sample Agency 2020, Group 1.1		1	Select an Action Edit Bulk Add Filers
	Sample Agency 2020, Group 2	Sample Agency 2020, Group 2		0	Add Subgroup Manage Assigned Reports Bulk 278 PDF Export

The "Bulk 278 PDF Export Status" page will open in a new window and display the status of any prior bulk exports. Click the "Export Reports" button.

\blacksquare CLOSE WINDOW	Bulk 278 PDF Export	Status		
	Export Reports			Search:
	DATE	RUN BY	÷ STATUS	:
	No data available in table			
	Showing 0 to 0 of 0 entries			$\leftarrow \text{Previous} \text{Next} \rightarrow$

The "Export Reports" page will appear as a pop-up window. Specify whether you want to export just Nominee reports (Nominee Group only), just Periodic Transaction reports, or Non-Nominee, OGE Form 278e reports (i.e., New Entrant, Annual, Termination, and Annual/Termination).

EXPORT REPORTS - Which reports do you wish to export?				
ITEM	FILING TYPE			
Other 278 (Terminal Only)	PAS/DAEO	•		
Other 278 (Terminal Only) 278-T (Terminal Only)				
**	INCLUDE SUB-GROUPS			

If exporting Nominee reports, you will need to enter a date, which will limit the results to reports that were released to the Agency after that date. You can also choose to limit results based on the status of the Nominee report.

If exporting Non-Nominee reports, you will need to specify whether to export General 278 reports or PAS/DAEO reports. You will also need to enter a date, which will limit the results to reports assigned/created after that date. There is no "Status" filter for Non-Nominee reports because you can export only reports that have reached the end of the review process. Checking the "Include Sub-Groups" checkbox would export the eligible reports for any subordinate Groups as well.

Clicking the "Export Now" button completes the process.

Initiate a Bulk Export: Entire Agency

To bulk export a selection of reports from across the entire Agency, go to the "Manage Agencies & Groups" page, open the "Agencies" or "Hierarchy" tab, and select "Bulk 278 PDF Export" from the "Select an Action" drop-down field.

≡ Reviewer Admin	Manage Agencies & Groups	
ADMINISTRATION	AGENCIES & GROUPS	
<u>Manage Agencies & Groups</u> Find Users Management Reports Annual Data Extract Provision Users Status	Add an Agency Agencies Groups Hierarchy 5 records per page Search:	
SETTINGS	AGENCY NAME	
0 HELP	Sample Agency 2020 DAEO, Sample M 1 Select an Action	
ۥ LOG OUT	Showing 1 to 1 of 1 entries Showing 1 to 1 of 1 entries Add Group Bulk Add Filers Bulk Asign Reports Bulk 278 PDF Export Unes Reports Bulk 278 PDF Export	

The "Bulk 278 PDF Export Status" page will open in a new window and display the status of any prior bulk exports. Click the "Export Reports" button.

≡ ● CLOSE WINDOW	Bulk 278 PDF Export	Status		Search:
	DATE	RUN BY	÷ STATUS	:
	No data available in table			
	Showing 0 to 0 of 0 entries			$\leftarrow \text{Previous} \text{Next} \rightarrow$

The "Export Reports" page will appear as a pop-up window. Specify whether you want to export just Nominee reports, just Periodic Transaction reports, or Non-Nominee, OGE Form 278e reports (i.e., New Entrant, Annual, Termination, and Annual/Termination).

EXPORT REPORTS - WHICH REPORTS DO YOU WISH TO EXPORT?					
ITEM		FILING TYPE			
Other (Terminal Only)	~	General	~		
Nominee					
Other (Terminal Only)					
278-T (Terminal Only)					
	<u> </u>				

If exporting Nominee reports, you will need to enter a date, which will limit the results to reports that were released to the Agency after that date. You can also choose to limit results based on the status of the Nominee report.

If exporting Non-Nominee reports, you will need to specify whether to export General 278 reports or PAS/DAEO reports. You also need to enter a date, which will limit the results to reports assigned/created after that date. There is no "Status" filter for Non-Nominee reports because you can export only reports that have reached the end of the review process.

Clicking the "Export Now" button completes the process.

Download Exported Reports

After the bulk export process has finished, you can download the reports from the "Bulk 278 PDF Export Status" page. To begin, click the text in the "Status" column.

Bulk 278 PDF Export Status		
Export Reports		
20 • records per page		Search:
DATE	RUN BY	; status ÷
02/07/2020 2:20:48 PM	DAEO, Sample M	Completed

On the next page, click the "Download" button.

■ O CLOSE WINDOW	Bulk 278 PDF Export Status						
	Submitted: Feb 7th 2020, 2:20:48 pm Item: Other (Terminal Only) Filing Type: General Created Dec 2nd 2019 Since:	Run By: DAEO, Sample M Job Start: Feb 7th 2020, 2:20:48 pm Job End: Feb 7th 2020, 2:20:49 pm	Job Status: Completed B Download Reports 1 Exported: Error Count: 0				
	Startus: All EXPORT ERRORS No export errors						

The reports will be downloaded as a zip file. Note that bulk export reports are only available for 24 hours. If you do not download the reports within that time period, you will need to run the bulk export process again.

7.7 - Find Users

This section explains how to find an *Integrity* user as well as how to view and update the user's profile information and roles.

7.7.1 - Access Find Users

You can access "Find Users" by clicking the "Find Users" option from the left-side navigation menu of the Admin interface.

Reviewer Admin	Find Users								
ADMINISTRATION Manage Agencies & Groups	AGENCY	•	GROUP		•	All	•	WORKFLOW	•
Find Users Management Reports Annual Data Extract	LAST NAME Search by Last Name	FIRST NAME		MIDDLE INITIAL Search by Middle Initial	EMAIL Search	by Email		Go Reset	
Provision Users Status									
HELP LOG OUT									

7.7.2 - View Rights

You can find only users who hold roles (Filer, Supervisor, Certifying Official, etc.) in a Group to which you have access, including any subordinate Groups. For example, if John Smith's roles are all in Group 2 but you have access only to Group 1, you will not be able to find John Smith. Similarly, you can see only the roles that a user has in the Groups to which you have access, including any subordinate Groups. For example, if John Smith is a Supervisor in Group 1 and Group 2 but you have access only to Group 1, you will not see the role that John Smith has in Group 2.

You can see Agency-level roles, such as DAEO and Agency Administrator, only if you also have an Agency-level role.

7.7.3 - Find a Specific User

"Find User" consists of two sections -a set of filter conditions and the results generated by the use of those filter conditions.

Reviewer Admin	Find Users	Filters	
	AGENCY	GROUP	ROLE WORKFLOW
Manage Agencies & Groups	All	▼ All	• All • All
<u>Find Users</u> Management Reports Annual Data Extract	LAST NAME Search by Last Name	FIRST NAME Search by First Name	MIDDLE INITIAL EMAIL Search by Middle Initial Search by Email Go Peset
Provision Users Status SETTINGS HELP	20 • records per page	Results	Search:
E LOG OUT	NAME • EM	IAIL 🗧 PHON	AGENCY / GROUP (IF APPLICABLE) / ROLE / WORKFLOW (IF APPLICABLE)
	DAEO, Sample M TR_OGE_0578@		Sample Agency 2020 / Agency DAEO Sample Agency 2020 / Sample Agency 2020, Group 1 / Certifying Official / General Sample Agency 2020 / Sample Agency 2020, Group 1 / Certifying Official / PAS/DAEO Sample Agency 2020 / Sample Agency 2020, Group 2 / Certifying Official / PAS/DAEO Sample Agency 2020 / Sample Agency 2020, Group 2 / Certifying Official / PAS/DAEO Sample Agency 2020 / Sample Agency 2020, Group 2 / Certifying Official / PAS/DAEO Sample Agency 2020 / Sample Agency 2020, Group 2 / Certifying Official / PAS/DAEO
	Filer1, Sample M TR	_OGE_0590@training.integrity.gov	Sample Agency 2020 / Sample Agency 2020, Group 1 / Filer
	Filer2, Sample M TR	_OGE_0589@training.integrity.gov	Sample Agency 2020 / Sample Agency 2020, Group 1 / Filer
	Reviewer1, Sample M TR	t_OGE_0586@training.integrity.gov	Sample Agency 2020 / Sample Agency 2020, Group 1 / Ethics Official / General Sample Agency 2020 / Sample Agency 2020, Group 1 / Ethics Official / PAS/DAEO

Filter Options

By default, when you click the "Go" button, *Integrity* will display the names of every user who holds at least one role in a Group to which you have access. You can narrow the results by changing the filter conditions at the top and clicking the "Go" button again. If you wish to return to the default filter conditions, click the "Reset" button.

- Agency: The "Agency" filter limits results based on the Agency in which the user has a role. You will have just one option if you have access to only a single Agency.
- Group: The "Group" filter limits results based on the Group in which the user has a role. By default, the filter is set to "All" so that users are displayed regardless of the Group in which they have a role. To filter by a specific Group, you will first need to

select an Agency from the "Agency" filter. The "Group" filter will update and display the available Groups for that Agency.

- Role: The "Role" filter limits results based on the role held by the user. By default, the filter is set to "All" so that users are displayed regardless of the roles held.
- Workflow: The "Workflow" filter limits results based on the type of workflow in which the user holds a Reviewer role. By default, the filter is set to "All" so that users are displayed regardless of the roles held. Note that you cannot currently use this filter to limit results based on a Filer's default Filing Type.
- Last Name, First Name, Middle Initial, and Email: These filters limit results based on the user's name or email address. You can enter a partial name or email address, but you cannot use wildcard characters.

If using the filter conditions at the top of the page returns too many results, you can filter the results further by typing text into the "Search" box. The "Search" box appears in the upper right corner of the results table.

7.7.4 - View a User's Information

On the "Find Users" page, you can see the user's name, the email address with which the user logs into *Integrity*, and the user's telephone number. You can also see the roles that the user has. Click the hyperlinked text of the user's name to open the user's profile.

NAME	▲ EMAIL	PHONE AGENCY / GROUP (IF APPLICABLE) / ROLE / WORKFLOW (IF APPLICABLE)
Deviewert, Cample M		Sample Agency 2020 / Sample Agency 2020, Group 1 / Ethics Official / General
Reviewer1, Sample M	TR_OGE_0586@training.integrity.gov	Sample Agency 2020 / Sample Agency 2020, Group 1 / Ethics Official / PAS/DAEO

Profile

The "Profile" tab displays the email address with which the user logs into *Integrity*, a secondary email address (if applicable), and the user's telephone number and address.

PROFILE: Sample M	Reviewer1		×
Profile Roles	& Groups Update Profile		
BIO INFO	NAME Sample M Reviewer1		
CONTACT INFO	PHONE	EMAIL TR_OGE_0586@training.integrity.gov	
ADDRESS	1201 New York Avenue, NW Washington, District of Columbia 20005 United States		

Roles and Groups

The "Roles and Groups" tab displays the roles that the user has in each Group to which you have access.

PROFILE: Sample M Reviewer1		×
Profile Roles & Groups Update Profile		
20 • records per page		Search:
AGENCY NAME	GROUP DESCRIPTION	
Sample Agency 2020 Sample Agency 2020, Group 1	Sample Agency 2020, Group 1	Ethics Official PAS/DAEO Edit Group
Sample Agency 2020 Sample Agency 2020, Group 1	Sample Agency 2020, Group 1	Ethics Official General Edit Group
Showing 1 to 2 of 2 entries		$\leftarrow \text{Previous} 1 \text{Next} \rightarrow$

7.7.5 - Update a User's Name

Users can update their office address, telephone number, and alternate email address by accessing the "My Contact Info" page. A user, however, cannot update his or her name on that page. To update a user's name, go to the "Find Users" page and click the user's name. Select the "Update Profile" tab.

PROFILE: Sample M Reviewer1	×
Profile Roles & Groups Update Profile	
FIRST NAME	Update
Sample	
MIDDLE INITIAL	
М	
LAST NAME	
Reviewer1	

Make the needed changes and click the "Update" button. Updating a user's name will not change the way in which the name displays on a previously signed report. For example, Robert Norton filed his report before realizing that *Integrity* displays his name as "Roger Norton." An Agency user with access to the "Update Profile" feature may change the Filer's name so that future reports properly display "Robert Norton"; however, the filed report will continue to display "Roger Norton." To fix this issue, the Agency will need to assign the Filer a new report, which the Filer can pre-populate from the version that

displays the incorrect name. Pre-population will copy over the entries added to the various Parts of that report but will not copy over the incorrect name.

7.7.6 - Merge Multiple Login IDs for a Single User

In certain cases, a single user may have multiple login IDs. For example, assume that Martha Jones was a Filer at Agency 1 and completed several reports in *Integrity* using a login ID associated with her Agency 1 email address (marthajones@agency1.gov). Martha Jones subsequently transferred to Agency 2. She cannot continue to log into *Integrity* with her @agency1.gov email address because Agency 1 will deactivate that account. Agency 2 will need to add Martha Jones as a Filer using her new, Agency 2 email address (marthajones@agency2.gov). Martha Jones, however, will want access to the reports that she filed using her Agency 1 email address, especially with respect to prepopulating her next Annual report.

Integrity provides a process to merge two accounts. In the example above, the *Integrity* Helpdesk could merge the Agency 1 and Agency 2 accounts for Martha Jones. After the merger, Martha Jones would log into *Integrity* using her @agency2.gov login but would have access to reports filed with Agency 1 and Agency 2. Agency 1 staff would still have access to the reports that Martha Jones filed with Agency 1 but would not see any reports filed with Agency 2. Similarly, Agency 2 would see only those reports that Martha Jones filed with Agency 2.

Authority to Merge Accounts

Only the Integrity Helpdesk may merge accounts.

Request a Merger of Accounts

To request the merger of two accounts, an Agency should send an email request to the *Integrity* Helpdesk <u>after</u> the "new" email address has been added to *Integrity*. In the example above, Agency 2 should not send a merger request until Martha Jones has been added as a Filer within Agency 2 using the @agency2.gov email address. The request should include the user's name, the user's "old" email address, and the user's "new" email address. In the event that the Filer's new Agency has not yet added the Filer, the *Integrity* Helpdesk will request that that new Agency complete that step before proceeding with account merger. After completing the merger, the *Integrity* Helpdesk will remove the Filer from the prior Agency.

7.7.7 - Update a User's Roles

The "Roles and Groups" tab provides a convenient way to edit a user's permissions in a Group without navigating away from the "Find Users" page. You can also use this tab to initiate changes to other users' roles in that same Group; however, in many cases, you will find it easier to make such changes by selecting the "Manage Agencies & Groups" link from the main left-side navigation menu. See <u>section 7.4</u>.

Select a Group

On the "Roles and Groups" tab, click the "Edit Group" button for the Group in which you need to change the user's permissions.

PROFILE: Sample M Reviewer1		\times
Profile Roles & Groups Update Profile		
20 • records per page	Search:	
AGENCY NAME - GROUP NAME - GR	ROUP DESCRIPTION COLE WORKFLOW CACTION	
Sample Agency 2020 Sample Agency 2020, Group 1 Sa	ample Agency 2020, Group 1 Ethics Official PAS/DAEO Edit Group)

Clicking the "Edit Group" button opens a new "Edit Group" window.

EDIT GROUP: Sample Agency 2020, Group 1		
Basic Information Group Staff Filers		
GROUP INFORMATION	GROUP NAME Sample Agency 2020, Group 1 GROUP DESCRIPTION Sample Agency 2020, Group 1 GROUP IDENTIFIER 9EC65497EAD640899393E5B608DEDCB8	
PARENT GROUP OR AGENCY Each group has a parent (the larger organizational unit to which it belongs). Child groups help to organize filings so that they can be properly routed for review.	Sample Agency 2020	Save Cancel

Make Updates to a User's Staff Role

After opening the "Edit Group" window, click the "Group Staff" tab.

E	DIT GROUP: Sample Agency 2020, Group 1		Þ	\times
	Basic Information Group Staff Filers			Î
	GROUP CONTACTS			
	POINT OF CONTACT	Not Assign Assign		ł
	POINT OF CONTACT (ALTERNATES) Add an Alternate	Not Assigned		
	RECORDS MANAGER	Not Assigned Assign		
	RECORDS MANAGER (ALTERNATES) Add an Alternate	Not Assigned		Ŧ
			Save Cancel	

Assign, remove, or change roles by clicking the appropriate button next to that role. Use the scroll bar on the right side of the screen if you do not see the role that needs updating.

EDIT GROUP: Sample Agency 2020, Group 1					<
Basic Information Group Staff Filers					Â
GROUP CONTACTS					1
POINT OF CONTACT	Assign				ļ
POINT OF CONTACT (ALTERNATES) Add an Alternate	Not Assigned				
RECORDS MANAGER	Not Assigned Assign				
RECORDS MANAGER (ALTERNATES) Add an Alternate	Not Assigned				÷
			Save	Cancel	

Click the "Save" button in the bottom right to complete your updates. You will be returned to the "Roles and Groups" tab for the selected user. Close that window to return to the main "Find Users" page.

7.8 - Reporting Tools

This section explains how to view management reports for Filers, staff roles, and reports.

7.8.1 - Access Management Reports

Select the "Management Reports" option from the left-side navigation menu of the Admin interface.



7.8.2 - View Rights to Management Reports

The list of available reports will vary based on the staff roles that you hold. Assuming you can access a report, the results will be limited to those Groups to which you otherwise have access (i.e., any Group in which you have a staff role and all subordinate Groups of that Group).

7.8.3 - Open a Management Report

On the "Management Reports" page, select the desired management report from the "Reports" drop-down field.

≡ Reviewer Admin	Management Reports			
ADMINISTRATION				
	REPORTS	AGENCY	GROUP	
Manage Agencies & Groups		All	▼ All	🖌 Go Reset
Find Users				
Management Reports	List of filers (for given agency/group)			
Annual Data Extract	List of reports in system			

If you want to limit the results, select from the available filter conditions, which vary based on the management report. Click the "Go" button to generate the results.

Reviewer Admin Management Reports									
ADMINISTRATION	REPORTS		AGENCY			GROUP		\sim	
Manage Agencies & Groups	List of reports in system	٣	All		٣	All		Go Riset	
Find Users									
Management Reports						INCLUDE S			
Annual Data Extract	ITEM	TYPE		YEAR			REVIEW STATUS		
Provision Users Status	All	All	٣	All		•	All	*	
SETTINGS	CREATED FROM	CREATED TO							
	•		m						
Ø HELP									
🕒 LOG OUT									

Note that certain management reports include an "Include Sub-Groups" filter. To use this filter, select an Agency and a specific Group from the "Group" filter and check the box next to "Include Sub-Groups." *Integrity* will limit results to records associated with that Group and all subordinate Groups in the hierarchy. For example, if you select Group 1, this filter will limit results to Group 1, Group 1.1., Group 1.1.1, etc.

E Reviewer Admin	Management Reports					
ADMINISTRATION	REPORTS		AGENCY	GROUP		
Manage Agencies & Groups	List of reports in system		Sample Agency 2020	 Sample Agence 	y 2020, Group 1	Go Reset
Find Users						
Management Reports				V INCLUDE SU		
Annual Data Extract	ITEM	TYPE	TEAR		REVIEW STATUS	
Provision Users Status	All	• All	▼ All	•	All	
SETTINGS	CREATED FROM	CREATED				
e HELP			<u></u>			

You can adjust the number of columns that display by clicking the "Customize Display" button in the upper right corner of the results table.

≡ Reviewer Admin	Management Reports		
ADMINISTRATION Manage Agencies & Groups	REPORTS	AGENCY Sample Agency 2020	GROUP Sample Agency 2020, Group 1 Go Reset
Find Users <u>Management Reports</u> Annual Data Extract	ITEM TYPE	YEAR	INCLUDE SUB-GROUPS REVIEW STATUS All
Provision Users Status	CREATED FROM CREATED T		
(● LOG OUT	Export to Excel 20 • records per page		Customize Display ~ FILER EMAIL TIEM
	FILER NAME C ITEM . YEARC AGENCY	C GROUP CATT	CP VEAR TEGORY : REVIEW STATUS : FILE DATE : C GROUP

If using the filter conditions at the top of the page returns too many results, you can filter the results further by typing text into the "Search" box. The "Search" box appears in the upper right corner of the results table.

≡ Reviewer Admin	Management Reports			
ADMINISTRATION	REPORTS	AGENCY	GROUP	
Manage Agencies & Groups Find Users	List of reports in system	▼ Sample Agency 2020	 Sample Agency 2020, Group 1 	Go Reset
<u>Management Reports</u> Annual Data Extract Provision Users Status	ITEM TYPE All all	YEAR • Aji	✓ INCLUDE SUB-GROUPS REVIEW STATUS ▲II	•
 SETTINGS HELP 	CREATED FROM CREATE	oto		
G+ LOG OUT	E Export to Excel			Customize Display ~ Search: filer3
	FILER NAME 1 ITEM . YEAR AGENCY	C GROUP C POSITION C WOR	FILER AGENCY CER	TIFICATION / CLOSED : OGE CERTIFICATION / CLOSED : DATE :
	Filer3, Sample New Entrant 2019 Sample Age M Report 2020	ncy Sample Agency 2020, Group Sample Gen 1 Position Gen	eral Career SES Report, Agency 12/06/2019 12/06/201 Certified	9

7.8.4 - Export a Management Report to Excel

After clicking the "Go" button for a particular report, an "Export to Excel" button will appear above the results table. Click the "Export to Excel" button.

≡ Reviewer Admin	Management Reports							
ADMINISTRATION Manage Agencies & Groups Find Users	REPORTS List of reports in system	Ţ	AGENCY Sample Agency 2020	T	GROUP Sample Agen	cy 2020, Group 1	• Ge	o Reset
Hno Users <u>Management Reports</u> Annual Data Extract Provision Users Status	ITEM All	All	•	YEAR	V INCLUDE S	UB-GROUPS REVIEW STATUS All	Ŧ	
SETTINGS HELP	CREATED FROM	CREATED TO						
₩ LOG OUT	B Export to Excel						Search:	Customize Display ~

Integrity will provide a Microsoft Excel file ready for download. The download process will vary depending on your Internet browser.

7.8.5 - Annual Data Extract

Users with the DAEO or Agency Administrator roles at a Regular Agency (and their Alternates) can access a special management report that aggregates data relevant for the Annual Agency Ethics Program Questionnaire.

Annual Data Extract Specifications

The following specifications are used to generate the Annual Data Extract.

Table 1: OGE Form 278e Reports Required and Filed, by Filer Category and Type of Report (excluding SGEs and Nominee reports)

- Required: For each Report Type listed in Table 1 (which excludes Nominee reports), an OGE Form 278e report is recorded as "required" if:
 - The Filer Status is Full-time, Part-time, Other, or blank.

and

- Either of the following applies:
 - The report was filed in the specified calendar year (regardless of the due date).

or

- The due date for the report falls within the specified calendar year, unless the report was filed in a preceding year (i.e., take all reports with a due date within the calendar year and subtract any report for which the filing date falls within a prior calendar year).
- Filed: For each Report Type listed in Table 1 (which excludes Nominee reports), a 278e report is recorded as "filed" if:
 - The Filer Status is Full-time, Part-time, Other, or blank.

and

- The Filer filed (i.e., initially submitted the report) during the specified calendar year. Note that this specification does not look to the "Year" label of the report, so a 2019 New Entrant report due in December 2019 and filed in January 2020 will be counted as having been filed in 2020.
- Filer Category
 - PAS, Non-Career SES, Career SES, Schedule C, and Other: These fields include reports in which the corresponding option was selected for the "Filer Category."

Note 1: The "Other" category includes members of the Uniformed Services, Administrative Law Judges, Senior Level employees (SES Equivalent), administratively-determined positions, officials in the Executive Office of the President who do not otherwise meet the criteria of another category, etc.

Note 2: Reports filed by the DAEO are included in the total for the individual's specific "Filer Category." For example, if the DAEO is a career SES, then the DAEO's Annual report will be included in the total for Annual reports filed by career SES.

- Unspecified: This field includes reports in which an option was not selected for the "Filer Category." In many cases, reports will be "Unspecified" until filing because neither the Filer nor a Reviewer will have made a selection for "Filer Category," unless the Filer has a default Filer Category.
- Note 1 calculation: The number in the Note 1 calculation reflects the total required reports across the report types in Table 1 for which Filer Status is blank.
- Note 2: The number in the Note 2 calculation reflects the total filed reports across the report types in Table 1 for which Filer Status is blank.

Table 2: Timeliness of 278e Review and Certification, by Filer Category and Type of Report (excluding SGEs and Nominee reports)

- Certified/closed in CY: For each Report Type listed in Table 2 (which excludes Nominee reports), an OGE Form 278e report is counted if:
 - The Filer Status is Full-time, Part-time, Other, or blank.

and

- The report was certified or closed by the Agency during the specified CY (regardless of whether/when OGE has taken any action on the report).
- Of reports certified/closed: Initial review completed within 60 days: For each Report Type listed in Table 2 (which excludes Nominee reports), an OGE Form 278e report is counted if:
 - The Filer Status is Full-time, Part-time, Other or blank.

and

• The report was certified or closed by the Agency during the specified CY (regardless of whether/when OGE has taken any action on the report).

and

• A date has been entered into the "End Initial Review" field, and this date is no more than 60 days after the filing date.

Note: The "End Initial Review" field is completed by an Agency reviewer on the "General Information" page of the report.

• Of reports certified/closed: Certified/closed within 60 days: For each Report Type listed in Table 2 (which excludes Nominees reports), an OGE Form 278e report is counted if:

• The Filer Status is Full-time, Part-time, Other, or blank.

and

• The report was certified or closed by the Agency in the specified CY (regardless of whether/when OGE has taken any action on the report).

and

- The Agency certified or closed the report no more than 60 days after the filing date (regardless of whether/when OGE has taken any action on the report).
- Note 1 calculation: The number in the Note 1 calculation reflects the total certified/closed in Table 2 for which Filer Status is blank.
- Note 2: The number in the Note 2 calculation reflects the total certified/closed reports in Table 2 for which the End Initial Review field is blank.

Table 3: OGE Form 278e Reports Required and Filed by SGEs (excluding Nominee reports)

- Required: An OGE Form 278e report is recorded as "required" if:
 - The Filer Status for the report is SGE.

and

• The report is not a Nominee report.

and

- Either of the following applies:
 - The report was filed in the specified calendar year (regardless of the due date).

or

- The due date for the report falls within the specified calendar year, unless the report was filed in a preceding year (i.e., take all reports with a due date within the calendar year and subtract any report for which the filing date falls within a prior calendar year).
- o Filed: An OGE Form 278e report is recorded as "filed" if:
 - The Filer Status is SGE.

• The report is not a Nominee report.

and

- The Filer filed (i.e., initially submitted the report) during the specified calendar year. Note that this specification does not look to the "Year" label of the report, so a 2019 New Entrant report due in December 2019 and filed in January 2020 will be counted as having been filed in 2020.
- Note 1 calculation: The number in the Note 1 calculation reflects the total required reports in Table 3 for which Filer Status is blank (which should be 0).
- Note 2: The number in the Note 2 calculation reflects the total filed reports in Table 3 for which Filer Status is blank (which should be 0).

Table 4: Timeliness of 278e Review and Certification for SGE reports (excluding Nominee reports)

- Certified/closed in CY: An OGE Form 278e report is counted if:
 - The Filer Status is SGE.

and

• The report is not a Nominee report.

and

- The report was certified or closed by the Agency during the specified CY (regardless of whether/when OGE has taken any action on the report).
- Of reports certified/closed: Initial review completed within 60 days: An OGE Form 278e report is counted if:
 - The Filer Status is SGE.

and

• The report is not a Nominee report.

and

• The report was certified or closed by the Agency during the specified CY (regardless of whether/when OGE has taken any action on the report).

• A date has been entered into the "End Initial Review" field, and this date is no more than 60 days after the filing date.

Note: The "End Initial Review" field is completed by an Agency reviewer on the "General Information" page of the report.

- Of reports certified/closed: Certified/closed within 60 days: An OGE Form 278e report is counted if:
 - The Filer Status is SGE.

and

• The report is not a Nominee report.

and

• The report was certified or closed by the Agency in the specified CY (regardless of whether/when OGE has taken any action on the report).

and

- $\circ~$ The Agency certified or closed the report no more than 60 days after the filing date.
- Note 1 calculation: The number in the Note 1 calculation reflects the total certified/closed in Table 4 for which Filer Status is blank (which should be 0).
- Note 2: The number in the Note 2 calculation reflects the total certified/closed reports in Table 4 for which the End Initial Review field is blank (which should be 0).

Table 5: Extensions and Late Fees for OGE Form 278e Reports (excluding Nominee reports)

- Granted Filing Extension
 - Number of OGE Form 278e Reports, excluding SGEs: An OGE Form 278e report is counted in this field if:
 - The report was included as "required" in Table 1.

and

• The Filer Status is Full-time, Part-time, or Other (i.e., exclude if Filer Status is blank).

- A selection was made in the "Extension" field, which appears on the "General Information" page.
- Number of OGE Form 278e Reports, by SGEs: An OGE Form 278e report is counted in this field if:
 - The report was included as "required" in Table 3.

and

- A selection was made in the "Extension" field, which appears on the "General Information" page.
- Number of OGE Form 278e Reports, filer status unspecified: An OGE Form 278e report is counted in this field if:
 - The report was included as "required" in Table 1.

and

• The Filer Status is blank.

and

- A selection was made in the "Extension" field, which appears on the "General Information" page.
- Granted Waiver
 - Number of OGE Form 278e Reports, excluding SGEs: An OGE Form 278e report is counted in this field if:
 - The report was included as "required" in Table 1.

and

• The Filer Status is Full-time, Part-time, or Other (i.e., exclude if Filer Status is blank).

- Text was entered into the "Late Fee Waiver" field, which appears on the "General Information" page.
- Number of OGE Form 278e Reports, by SGEs: An OGE Form 278e report is counted in this field if:

• The report was included as "required" in Table 3.

and

- Text was entered into the "Late Fee Waiver" field, which appears on the "General Information" page.
- Number of OGE Form 278e Reports, filer status unspecified: An OGE Form 278e report is counted in this field if:
 - The report was included as "required" in Table 1.

and

• The Filer Status is blank.

and

- Text was entered into the "Late Fee Waiver" field, which appears on the "General Information" page.
- Paid Late Filing Fee
 - Number of OGE Form 278e Reports, excluding SGEs: An OGE Form 278e report is counted in this field if:
 - The report was included as "required" in Table 1.

and

• The Filer Status is Full-time, Part-time, or Other (i.e., exclude if Filer Status is blank).

and

- The "Late Fee Paid" box was checked on the "General Information" page.
- Number of OGE Form 278e Reports, by SGEs: An OGE Form 278e report is counted in this field if:
 - The report was included as "required" in Table 3.

and

• The "Late Fee Paid" box was checked on the "General Information" page.

- Number of OGE Form 278e Reports, filer status unspecified: An OGE Form 278e report is counted in this field if:
 - The report was included as "required" in Table 1.

and

• The Filer Status is blank.

and

• The "Late Fee Paid" box was checked on the "General Information" page.

Table 6: OGE Form 278-T Reports Filed, by Filer Status

- Number of OGE Form 278 T reports filed, excluding SGEs: An OGE Form 278-T report is counted in this field if:
 - The Filer filed (i.e., initially submitted the report) during the specified calendar year.

and

- The Filer Status is Full-time, Part-time, or Other.
- Number of OGE Form 278-T reports filed, by SGEs: An OGE Form 278-T report is counted in this field if:
 - The Filer filed (i.e., initially submitted the report) during the specified calendar year.

and

- The Filer Status is SGE.
- Number of OGE Form 278-T reports filed, filer status unspecified: An OGE Form 278-T report is counted in this field if:
 - $\circ~$ The Filer filed (i.e., initially submitted the report) during the specified calendar year.

and

• The Filer Status is blank.

Table 7: Extensions and Late Fees for OGE Form 278-T Reports

- Covered/required reports: Table 7 includes only OGE Form 278-T reports that meet the following criteria:
 - The report was filed in the specified calendar year (regardless of the due date).

or

- The Due Date field (e.g., Original Due Date + Extension) for the report falls within the specified calendar year, unless the report was filed in a preceding year (i.e., take all reports with a due date within the calendar year and subtract any report for which the filing date falls within a prior calendar year).
- Granted Filing Extension
 - Number of OGE Form 278-T Reports, excluding SGEs: A covered/required OGE Form 278-T report is counted in this field if:
 - The Filer Status is Full-time, Part-time, or Other (i.e., exclude if Filer Status is blank).

and

- A selection was made in the "Extension" field, which appears on the "General Information" page.
- Number of OGE Form 278-T Reports, by SGEs: A covered/required OGE Form 278-T report is counted in this field if:
 - The Filer Status is SGE.

and

- A selection was made in the "Extension" field, which appears on the "General Information" page.
- Number of OGE Form 278-T Reports, filer status unspecified: A covered/required OGE Form 278-T report is counted in this field if:
 - The Filer Status is blank.

and

• A selection was made in the "Extension" field, which appears on the "General Information" page.

- Granted Waiver
 - Number of OGE Form 278-T Reports, excluding SGEs: A covered/required OGE Form 278-T report is counted in this field if:
 - The Filer Status is Full-time, Part-time, or Other (i.e., exclude if Filer Status is blank).

and

- Text was entered into the "Late Fee Waiver" field, which appears on the "General Information" page.
- Number of OGE Form 278-T Reports, by SGEs: A covered/required OGE Form 278-T report is counted in this field if:
 - The Filer Status is SGE.

and

- Text was entered into the "Late Fee Waiver" field, which appears on the "General Information" page.
- Number of OGE Form 278-T Reports, filer status unspecified: A covered/required OGE Form 278-T report is counted in this field if:
 - The Filer Status is blank.

and

- Text was entered into the "Late Fee Waiver" field, which appears on the "General Information" page.
- Paid Late Filing Fee
 - Number of OGE Form 278-T Reports, excluding SGEs: A covered/required OGE Form 278-T report is counted in this field if:
 - The Filer Status is Full-time, Part-time, or Other (i.e., exclude if Filer Status is blank).

and

• The "Late Fee Paid" box was checked on the "General Information" page.

- Number of OGE Form 278-T Reports, by SGEs: A covered/required 278-T report is counted in this field if:
 - The Filer Status is SGE.

and

- The "Late Fee Paid" box was checked on the "General Information" page.
- Number of OGE Form 278-T Reports, filer status unspecified: A covered/required OGE Form 278-T report is counted in this field if:
 - The Filer Status is blank.

and

• The "Late Fee Paid" box was checked on the "General Information" page.

Access the Annual Data Extract

Select "Annual Data Extract" from the list of options in the left-side navigation menu. A single tab will appear.

E Reviewer Admin	Annual Data Extract					
ADMINISTRATION			VEAD			
Manage Agencies & Groups	AGENCY (HOLD CONTROL KEY WHILE CLICKING TO SELECT MULTIPLE)	Select All	2020	•	Go Reset	
Find Users	Sample Agency 2020	^				
Management Reports						
Annual Data Extract						
Provision Users Status		-				
						Export to Excel

Select one or more Agencies if you are a DAEO or Agency Administrator for multiple Agencies. Otherwise, you will have a single choice for the "Agency" filter. Next, select the "Year," which corresponds to the year covered by the Annual Agency Ethics Program Questionnaire (i.e., select "2020" for the questionnaire completed in 2021 because that questionnaire covers calendar year 2020). Click the "Go" button.

Export the Annual Data Extract to Excel

You may export the results to Excel by clicking the "Export to Excel" button.

Reviewer Admir	n	Annual Data Extract			
ADMINISTRATION Manage Agencies & Group		AGENCY (HOLD CONTROL KEY WHILE CLICKING TO SELECT MULTIPLE) Select A	All	YEAR	Go Reset
Find Users Management Reports Annual Data Extract		Sample Agency 2020	*	2020	
Provision Users Status			Ŧ		Export to Excel

Section 8: Nominee Reports

Section 8 explains the special processes and features applicable to Nominee reports.

8.1 - Overview

8.1.1 - Scope

The processes and features discussed in this section apply only to public financial disclosure reports that (1) are filed by Nominees to positions requiring Presidential appointment and Senate confirmation (PAS) and (2) are subject to review by the U.S. Office of Government Ethics (OGE).

8.1.2 - Nominee Report Lifecycle

#	Lifecycle Step	Integrity Status Code
1	The report is assigned by a Special Agency* user. The	Not Started
	report is associated with the Agency to which the Filer	
	would be nominated ("Target Agency").	
2	The Filer starts working on the report but has not yet	Draft, Pre-Review
	filed the draft report.	
3	The Filer submits the draft report for review.	Draft, Pending Release
4	The draft report is released by a Special Agency user to	Draft, Under Review
	Routers at OGE and the Nominee Group for the Target	
	Agency.	
5	As needed, the Target Agency Router and OGE Router	Draft, Under Review
	release the report to the broader group of Target Agency	
	Nominee Reviewers and OGE Nominee Reviewers. If	
	the report is not released, the Routers review the report.	
	The Filer, Filer Designee, Target Agency, and OGE	
	have simultaneous access to make changes to the draft	
	report as needed.	
6	The OGE Nominee Reviewer forwards the draft report	Draft, Under Review
	to the OGE Program Manager.	
7	The OGE Program Manager preclears the draft report.	Draft, Pre-Cleared
	The draft report remains in draft status until OGE enters	
	a nomination date.	
8	The Filer files the official report after nomination. The	Report,
	report is reviewed by the role(s) specified for	Under Agency Review
	PAS/DAEO reports at the Target Agency.	

#	Lifecycle Step	Integrity Status Code
9	The Target Agency ends its review process by	Report,
	certifying the report, which forwards the report to OGE	Under OGE Review
	for review. As needed, the OGE Nominee Reviewer	
	asks follow-up questions of the Agency and/or returns	
	the report to the Agency for updates.	
10	OGE ends the review process by certifying the report.	Report, OGE Certified
	OGE transmits a copy of the Nominee report and related	
	documents to the Senate.	
	Users may view the report but can no longer edit the	
	report data. Any required amendments are addressed	
	through an amendment notation and supplemental	
	documents. See <u>section 6.7.9</u> .	
11	After the Filer is confirmed:	Report, OGE Certified
	OCE automotion 14 ft die to di	
	OGE enters a confirmation date for the report on the	
	"General Information" page.	
	The Target A generic adds the confirmed appointed as a	
	The Target Agency adds the confirmed appointee as a Filer to a Group within the Agency. The Target Agency	
	also grants Reviewers within that Group access to the Nominee report.	
	Nonmiee Teport.	
	The Integrity Helpdesk merges the appointee's	
	Nominee ID with the appointee's new Agency ID (if	
	necessary). The <i>Integrity</i> Helpdesk also removes the	
	Filer from the Nominee Group.	
12	The report is retained for the duration specified by the	Report, OGE Certified
	applicable records retention rules.	
13	Once the report has reached the applicable disposition	N/A – Once deleted, the
	age, OGE deletes the report record, unless otherwise	report no longer exists.
	required to retain.	
	1	
	(Optional) If the report has reached the applicable	Report, OGE Certified
	disposition age but OGE needs related materials such as	_
	review notes for reports that have not yet reached the	
	disposition age, OGE may "purge" the expired report	
	while keeping the related materials.	
14	(Optional) If OGE "purged" the report but kept related	N/A – Once deleted, the
	materials, OGE must delete the entire report record,	report no longer exists.
	including related materials, at a later date once those	
	materials are no longer needed.	

Note: *Integrity* supports additional "Special Agency" types for use in the draft Nominee report preclearance process (e.g., Presidential Personnel Office and White House Counsel's Office). Discussion of those Agency types is beyond the scope of this guide.

8.1.3 - Functionality Specific to Nominee Reports

Certain features within *Integrity* are unique to Nominee reports or apply differently to Nominee reports. The key differences are as follows:

• Cloaked Accounts for Filers New to *Integrity*: Filers who already have *Integrity* accounts may be assigned Nominee reports using their existing User IDs. If a Filer is not already an *Integrity* user, the Special Agency assigning the Filer a Nominee report would create a cloaked account for the Filer. The cloaked account ensures that the Filer's real identity is not added to the MAX.gov User Directory and takes the form of an inactive, system-generated email address. Once created, the Filer receives a notice at the real email address associated with the cloaked account. That notice contains a link for setting a password, which the Filer will use when logging in with the cloaked account.

Note: Cloaked Nominee accounts do not appear in the "Find User" feature and are not visible to MAX Support or the *Integrity* Helpdesk. Agency Nominee Reviewers can find a Filer's cloaked ID by clicking the Filer's name on the "My Queue" page or on the "General Information" page within a report. If the Filer's report has not yet been released to the Agency, the Filer will need to contact the Special Agency that added the account for assistance.

- Nominee is not a Filer within the Target Agency: An individual assigned a Nominee report is not a Filer in the Target Agency at the point of report assignment; rather, the individual is a Filer within the Special Agency that assigned the Nominee report. The individual is added as a Filer within the Nominee Group of the Target Agency after OGE certifies the officially filed report.
- Conditional Visibility of the Report to Reviewers: A Nominee report is not visible to the Target Agency or OGE until a Special Agency user releases the report to the Target Agency and OGE. At the point of release, the report is visible to the Routers at the Target Agency and OGE but not to the Nominee Reviewers. The report is visible to the Nominee Reviewers at the Target Agency if and when the Router at the Target Agency "routes" the report to the Nominee Reviewers.
- No Reassign Button for Drafts: "My Queue" does not include a "Reassign" button for draft Nominee reports. To record a Reviewer assignment, one would enter the name of the Reviewer on the "General Information" page. This record does not affect the "Assigned To" filter on "My Queue."
- Simultaneous Edit Rights in Draft Status: The Filer, Filer Designee, Target Agency, and OGE can edit a Nominee report simultaneously while the report is in draft status. Reviewers need not "return" the report to a Filer in order to make changes.

- Change History for Drafts: A supplemental "Change History" feature tracks workflow events and changes to draft report data. *Integrity* removes the changes to draft report data from "Change History" after OGE certifies the official report.
- Data Validation for Official Filing: A Filer may not officially submit a Nominee report until OGE has precleared the draft report and entered a date in the "Nominated" field on the "General Information" page.
- Signature Date is the Date of Draft Submission: A Filer submits a Nominee report twice during its lifecycle once when forwarding the draft to begin the clearance process and again when officially filing after nomination. Although the "Audit Trail" records the Filer's second submission, the printed OGE Form 278e reflects the original submission of the draft, which better corresponds to the reporting period used. If an update to the reporting period is required, the Filer would be assigned a new report, which the Filer can pre-populate from the prior report.
- Records Management Permissions Tied to the Confirmation Date: For other reports in *Integrity*, the minimum retention period is known once the report reaches the terminal point in the workflow. After that point, users cannot purge or delete the report until the retention period has expired. See <u>section 6.8</u> for more information. For Nominee reports, the minimum retention period is unknown until OGE enters a confirmation date on the "General Information" page. If a Filer is not confirmed, OGE will remove the report in accordance with the applicable retention rules.
- Report Can Be Shared with Another Group: In many cases, Reviewers responsible for a confirmed appointee's Annual report will not serve as Reviewers in the Nominee Group at the Target Agency. Access to the Nominee report and related documentation, however, can facilitate the review of the Annual report. For this reason, *Integrity* allows a Reviewer within the Nominee Group to share the Nominee report with another Group at the Target Agency. Reviewers in the selected Group can open the report as if they held a role in the Nominee Group, but those Reviewers cannot access other Nominee reports.

8.2 - Agency Nominee Group

8.2.1 - Set-up Requirements

Each Agency within Integrity can have only one Nominee Group.

8.2.2 - Staff Roles

Nominee Group Roles for Draft Reports

Role	#	Rights to Nominee Group and Reports
Router	1 per Agency	The Router can see and edit a draft Nominee
	(required)	report once the draft is released to the Agency.

Role	#	Rights to Nominee Group and Reports
Router	No limit	Same rights as the Router.
(Alternate)		
Nominee Reviewer	1 per Agency	The Nominee Reviewer can see and edit a draft Nominee report once the Router routes the draft to Nominee Reviewers.
Nominee Reviewer (Alternate)	No limit	Same rights as the Nominee Reviewer.

The purpose of the Router role is to avoid the immediate sharing of a draft Nominee report with all of the individuals holding the Nominee Reviewer role. In certain cases, a position or a prospective Nominee's identity will be particularly sensitive, and, in those cases, a Router can review the draft without involving the Nominee Reviewers.

Nominee Group Roles for Officially Filed Reports

An officially filed Nominee report goes through the same workflow steps as other PAS/DAEO reports at the Target Agency. Therefore, in setting up its Nominee Group, an Agency would fill Primary and Alternate Reviewer roles based on the PAS/DAEO workflow set at the Agency level. For example, if the Agency has selected the Filer-to-Ethics-Official-to-Certifying-Official workflow for PAS/DAEO reports, the Agency would specify a Primary Ethics Official and a Primary Certifying Official for the Nominee Group. The Agency could also specify one or more Alternate Ethics Officials and Alternate Certifying Officials.

A Certifying Official within a Nominee Group has the authority to edit staff roles within the Group.

Role	#	Rights to Nominee Group and Reports
POC	1 per Agency	The POC can see Nominee reports in both "Draft"
		and officially filed "Report" status but cannot
		open the reports.
POC	No limit	Same rights as the POC.
(Alternate)		
Records Manager	1 per Agency	The Records Manager can delete draft Nominee reports and officially filed Nominee reports up to the point of Agency certification. In most cases, however, OGE will perform records management tasks for Nominee reports.
Records Manager (Alternate)	No limit	Same rights as the Records Manager.

Nominee Group Roles Not Tied to Report Status

Agency-Level Roles

Role	#	Rights to Nominee Group and Reports
DAEO	1 per Agency	The DAEO can see and edit Nominee reports in
	(required)	both "Draft" and officially filed "Report" status.
		The DAEO can edit staff roles within the
		Nominee Group.
DAEO (Alternate)	No limit	Same rights as the DAEO.
Agency	1 per Agency	The Agency Administrator can see Nominee
Administrator		reports in both "Draft" and officially filed
		"Report" status but cannot open the reports.
		The Agency Administrator can edit staff roles
		within the Nominee Group.
Agency	No limit	Same rights as the Agency Administrator.
Administrator		
(Alternate)		

8.2.3 - Filers

Add Filers

Prior to official filing, an individual is considered a Filer for the Special Agency that assigned the Nominee report and, therefore, does not appear in the Nominee Group of the Target Agency. After the officially-filed report is certified by OGE, the Filer's name is added automatically to the "Nominees" tab of the Nominee Group at the Target Agency. This addition is used to facilitate post-confirmation account mergers. Filers cannot be added to the "Nominees" tab manually.

Remove Filers

After the Filer is confirmed, the Filer should be removed from the Nominee Group because the individual would file any subsequent Periodic Transaction or Annual reports in a different Group at the Target Agency. The Filer would also need to be removed if the Filer is never confirmed. Only the *Integrity* Helpdesk can remove Filers from the Nominee Group. See <u>section 8.5</u> for more information.

8.3 - Draft Reports

8.3.1 - Submission by the Filer

A Filer completes and submits a draft Nominee report in much the same manner as he or she would file a New Entrant report. For assistance with the substantive reporting requirements, the Filer should consult the "Public Financial Disclosure Guide," which is available on OGE's website. The primary difference is the method of login for new users. If a prospective Nominee is not an existing *Integrity* user, the Special Agency assigning the Nominee report would add the prospective Nominee through the creation of a "cloaked" account. The cloaked account ensures that the Filer's real identity is not added to the MAX.gov User Directory and takes the form of an inactive, system-generated email address. Once created, the Filer receives a notice at the real email address associated with the cloaked account. That notice contains a link for setting a password, which the Filer will use when logging in with the cloaked account. See <u>section 2.3.5</u> for more information about setting a password for a new account.

Note: At this point in the review process, cloaked Nominees are not visible to the Target Agency, OGE, or the *Integrity* Helpdesk. A Filer who forgets his or her cloaked account ID needs to contact the Special Agency that added the account.

8.3.2 - Release by a Special Agency

The Special Agency that assigned a Nominee report receives a notice after the Filer submits a draft. The Special Agency controls the release of the draft, which moves the draft forward in the workflow. The draft then goes to another Special Agency for additional review before release to the Target Agency and OGE. The Special Agencies continue to have view access rights to the draft after release.

8.3.3 - Receipt by a Router

Upon release to the Target Agency, a draft Nominee report is initially assigned to the Primary Router of the Nominee Group. The notice to the Primary Router will follow the template set at the Agency level for the "Reviewer notifications / Reporting pending action" notification.

E Reviewer Admin	My Queue					
Δ MY QUEUE	ITEMS	ТҮРЕ	YEAR	AGENCY		GROUP
My Oueue	All	All	All	All	T	All
Q SEARCH	STATUS	ASSIGNED		PENDING ACTION		
SETTINGS	All	• Nomine	e Reviewer1, Sample M	▼ All	•	Go Reset
• HELP	Manage Reviewer					Customize Display ~
🖶 LOG OUT	20 • records per page				Sea	
	FILER 🗧 ITEM					PENDING ACTION 🛫 REASSIGN
	Nominee1, Sample M Nominee	e 278 2019 0 Days Sa	ample Agency 2019, Nominee Group S	Sample Position Draft, Under Review M	Nominee Reviewer1, Sample M	Router Route ~
	Showing 1 to 1 of 1 entries					← Previous 1 Next →

Note: From this point forward, any user with access to the Nominee report can find the cloaked ID associated with the Nominee. The user can click the Filer's name on the "My Queue" page or the "General Information" page. See <u>section 8.6.2</u>.

8.3.4 - Review by a Router

Routers can perform all of the same tasks as the Nominee Reviewer role. Therefore, a Primary Router or an Alternate Router can review the draft at the Router level without releasing the draft to the Nominee Reviewers.

8.3.5 - Route a Draft Report (Routers only)

Effects of Routing

Routers grant Nominee Reviewers access to a draft Nominee report by "routing" the draft. Once routed, any individual who holds the Nominee Reviewer role for the Target Agency can see and edit the draft.

Route Command

Go to the "My Queue" page and click the "Route" button.

QUEUE	ITEMS	TYPE	YEAR	AGENCY		GROUP
<u>nenë</u>	All	All	▼ All	▼ All		▼ All
сн	STATUS		ASSIGNED TO		PENDING ACTION	
INGS	All	•	Nominee Reviewer1, Sample M	•	All	▼ Go Reset
оит	Manage Reviewer					Customize Dis Search:
	FILER : ITEM					PENDING ACTION REAS
		e 278 2019 0	Days Sample Agency 2019, Nom	inee Group Sample Posi	tion Draft, Under Review Nominee Reviewer1,	Sample M Router R

A small action window will appear with a single, "Route to Nominee Reviewers" option. Click that option.

E Reviewer Admin	My Queue					
MY QUEUE	ITEMS	ТҮРЕ	YEAR	AGENCY		GROUP
My Oueue	All	All	* All	▼ All		All
SEARCH	STATUS		ASSIGNED TO		PENDING ACTION	
SETTINGS	All	•	Nominee Reviewer1, Sample M	٣	All	• Go Reset
HELP	Manage Reviewer					Customize Display ~ Search:
	FILER 🛫 ITEM	÷ TYPE ÷ YEAR ÷ AGE	GROUP	\$ POSITION	STATUS CASSIGNED TO	PENDING ACTION REASSIGN
	Nominee1, Sample M Nomin	ee 278 2019 0 Da	ys Sample Agency 2019, Nominee Gr	oup Sample Posit	tion Draft, Under Review Nominee Revie	
	Showing 1 to 1 of 1 entries					Route To Nominee Reviewers ← Previous 1 Next →

You will be asked to confirm that the draft should be routed. Clicking "Route Report" completes the routing action.



8.3.6 - Assign a Draft Report

Record an Assignment

"My Queue" does not display a "Reassign" button for draft Nominee reports. After a Nominee report is routed, the "Assigned To" column will instead always display the name of the Primary Nominee Reviewer (the ability to use the "Reassign" button is a pending system enhancement).

To record a Reviewer assignment, open the draft report and go to the "General Information" page. Click the "Edit" button at the far right side of the "Reviewer & Filer Information" section.

≡	C	f	-l- M				
🏝 Nominee1, Sample M	General II	nformation: Nominee1, Samj	pie M				
# REVIEW REPORT	REPORT SUMMA	ARY					
General Information							
General Comments	FILER SNAPSH	ют					Edit
Filer's Federal Positions							
Filer's Positions	Filer:	Nominee1, Sample M	Item:	Nominee Report	Status:	Draft, Under Review	
Filer's Employment-Related Assets	Agency:	Sample Agency 2019	Report Type:	278	Spouse:	Yes	
and Income	Group:	Sample Agency 2019, Nominee Group	Report Year:	2019			
Filer's Employment-Related	Position:	Sample Position					
Arrangements	Existing Work	flow: PAS/DAEO					
Filer's Sources of Compensation							
Spouse's Employment Related Assets and Income	REVIEWER & F	ILER INFORMATION					Edit
Other Assets and Income	Filer Category	: PAS	Public Availabil	in.	Agency Rev	lewer.	
Liabilities	Filer Status:		1 1010 117 111001		OGE Reviev		
Report Data (Summary)	DAEO:						

Type the name of the Reviewer in the "Agency Reviewer" field and click "Save."

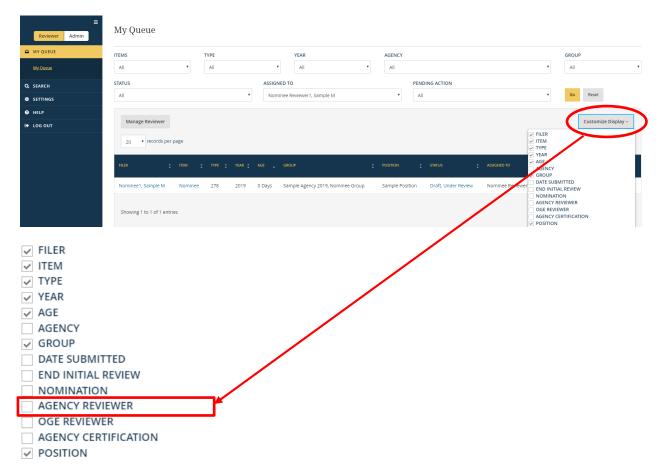
REVIEWER & FILER INFORMATION		Cancel
Filer Category:	Public Availability: Please Select	Agency Reviewer: Nominee Reviewer2, Sample
Filer Status: Please Select		OGE Reviewer:
DAEO		
	Save	

Effect of Assignment

Entering a Reviewer's name on the "General Information" page does not affect the "Assigned To" column on the "My Queue" page. The "Assigned To" column will continue to display the name of the Primary Nominee Reviewer. Consequently, you will need to set the "Assigned To" filter on "My Queue" to "All" in order to locate the draft. See <u>section 6.2.6</u> for more information.

Identify Reviewers on "My Queue"

You can identify which Reviewer is assigned to a report from "My Queue" without opening the report. To do so, click the "Customize Display" drop-down button on "My Queue" and select the "Agency Reviewer" option.



The name of the Reviewer entered on the "General Information" page will now appear in the "My Queue" results table.

Identify Prior Reviewers

The "Change History" feature will record edits to the "Agency Reviewer" field. In the example below, "Change History" shows that the Router listed Sample Nominee Reviewer1 as the "Agency Reviewer."

=	Change History		
💄 Nominee1, Sample M	Change History		
REVIEW REPORT	NAME ROLE		EVENT
≡ COMPARE		•	All
🕼 мемо			
% DOCUMENTS	FROM DATE FROM TIME	TO DATE TO TIME	- Go Reset
AUDIT TRAIL	· · · · ·	· · · ·	A GO Kezer
Audit Trail			
Change History	25 records per page	Search:	
MOTIFICATIONS	DATE NAME	ROLE	: EVENT :
@ HELP		•	• •
CLOSE WINDOW	Feb 7th 2019, 12:31:57 pm Sample Nominee Revie	ewer1 Router	Agency Reviewer Updated
	AGENCY REVIEWER Nominee Reviewer2, Sample		
	No values entered by user		
	Feb 7th 2019, 12:28:32 pm Sample Nominee Revie	ewer1 Router	Report Routed to Target Agency Reviewer

8.3.7 - Edit a Draft Report

Edit Rights

The following users have simultaneous edit rights to a draft Nominee report:

- Filer
- Filer Designees
- Agency Routers
- Agency Nominee Reviewers (if an Agency Router has "routed" the draft)
- OGE Routers
- OGE Nominee Reviewers (if an OGE Router has "routed" the draft)

To edit a draft, one of these users would open the draft and make any needed additions, deletions, or changes to report data.

Request that a User Make a Change

The "Return To" feature is not available for draft Nominee reports because the Filer, Filer Designees, and Reviewers have editing rights already. To request that a user make a change, add a comment within *Integrity* or contact the user offline.

Edit a Draft at the Same Time

Multiple users can edit the same draft Nominee report at the same time. Refresh the Internet browser to see the changes made by the other users. You can also check the "Change History" feature for a list of changes.

Although multiple users can edit the same draft at the same time, multiple users cannot edit the same row of data simultaneously. In such cases, *Integrity* will warn a user, upon saving, that the row has been changed since the user first opened the row.

ERROR

OK

This record was recently changed by another Integrity user and the information displayed on your screen is now out of date. Please refresh this browser window to retrieve the latest version of the record.

Clicking "OK" closes the warning. You will need to refresh your Internet browser and review the revised row entry to determine whether the proposed changes are still appropriate.

8.3.8 - Comments

The "Comments" feature works in the same manner for all report types, including draft Nominee reports.

8.3.9 - Additional Features

Compare, Memo, and Documents

The "Compare" and "Memo" feature work in the same manner for all report types, including draft Nominee reports. With respect to the "Documents" feature, users add, delete, and edit metadata in same manner as they would for other reports; however, any changes during the draft stage will be tracked in "Change History" rather than in the main "Audit Trail" feature.

Audit Trail / Change History

The main "Audit Trail" feature tracks workflow events and changes to report data for officially filed reports. A supplemental "Change History" feature tracks workflow events and changes to draft report data for Nominee drafts. This "Change History" feature starts when a Special Agency user releases the draft to the Target Agency and OGE and ends when the Filer officially submits the report. The "Change History" feature allows users to identify changes that may have occurred since the last time they accessed the draft report data from "Change History" after OGE certifies the official report.

To access "Change History," click the "Audit Trail" tab and select "Change History." "Change History" displays events in the same manner as the main "Audit Trail" feature.

E Nominee1, Sample M	Change History		
REVIEW REPORT	NAME	ROLE	EVENT
E COMPARE	All	All	
С мемо			
% DOCUMENTS	FROM DATE FROM TIME	TO DATE TO TIME	Go Reset
AUDIT TRAIL	· · · · · ·		Y Y KOCC
Change History	25 • records per page	Search:	
	DATE NAME		EVENT 2
HELP			
CLOSE WINDOW	Feb 7th 2019, 2:52:47 pm Sample Nom	ninee Reviewer2 Nominee Reviewer	Liabilities Inserted

8.3.10 - Preclearance

Submit Draft for Preclearance

Once the draft report is ready for preclearance review, the OGE Nominee Reviewer forwards the draft to the OGE Program Manager. The OGE Program Manager can either preclear the draft or return the draft to the OGE Nominee Reviewer for further action.

Effects of Preclearance

Preclearing a draft changes its status from "Draft, Under Review" to "Draft, Pre-Cleared." *Integrity* will permit a Filer to edit a precleared draft; however, the Filer should consult with ethics officials at his or her Target Agency before making any edits.

8.4 - Official Reports

8.4.1 - Preconditions for Filing

A Filer cannot officially submit a Nominee report until OGE preclears the draft and enters a date in the "Nominated" field on the "General Information" page. *Integrity* provides a warning on the "Submit" page to this effect.

AUDIT TRAIL	Knowing and willful falsification of information, or failure to file or report information required to be reported by section 102 of the Ethics in Government Act of 1978, as amended (the Act), may subject you to a civil monetary penalty and to disciplinary action by your employing agency or other appropriate authority under section 104 of the Act. Knowing and willful falsification of information required to be filed by section 102 of the Act may also subject you to criminal
MOTIFICATIONS	prosecution.
• HELP	
CLOSE WINDOW	Privacy Act Statement
	Title 1 of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U.S. Office of Government Ethics regulations require the reporting of this information. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting persons, subject to the limitation contained in section 208(0)(1) of that C as a betwee authorized by law. You amy inspect applications for public access of you com form upon request. Additional disclosures of the information on this report is for review by Government officials to determine compliance with applicable Federal agency, court or part in a court or Federal administrative proceeding when the Government as party or in order to comply with a judge-issued subpoena; (4) to a source when execsary to obtain information relevant to a conflict of interest investigation or relevant and law of the Deartment of tiguate or in certain legal proceeding when the disclosing agency, aready see as aware of ivolations or jotential violations (6) to the Differe of Management and Budget during legislative coordination on private relevant adjustration (5) to the National Archives and Records Administration or the General Services Administration or records management inspections; (6) to the Differe of Management and Budget during legislative coordination on private relevant and necessary to be all displation; (8) to reviewing officials in a new officia, department or agency, when an employee of the lum the latist as part to linguistation in the linguistance in the linguistance and the use of such records; individual with is the subject of the record; 10) to contractors and anterporter of statile from one covered position to another; (9) to a Member of Congress or a congressional office in re
	Public Burden Information
	This collection of information is estimated to take an average of ten hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE), Suite 500, 1201 New York Avenue, NW., Washington, DC 20005-3917.
	Pursuant to the Paperwork Reduction Act, as amended, an agency may not conduct or sponsor, and no person is required to respond to, a collection of information unless it displays a currently valid OMB control number (that number, 3209-0001, is displayed here and at the top of the first page of this OGE Form 278e).
	You cannot sign this report until a nomination date has been entered. Please contact your ethics official for further assistance.

8.4.2 - File an Official Report

To file an official report, the Filer would go to the "My Tasks" page and click the "Sign" button next to the Nominee report.

E MY TASKS	Му	7 Task	TS .								
<u>My Tasks</u>	м	Y CURREN	IT REPORTS								
SETTINGS	١	/EAR ≬	ITEM	0 TYPE	AGENCY	GROUP	POSITION	DUE DATE	\$ STATUS	DATE FILED	ACTION
HELP											
🕒 LOG OUT	2	2019	Nominee Report	278	Sample Agency 2019	Sample Agency 2019, Nominee Group	Sample Position		Draft, Pre-Cleared		Sign

After the report opens in a new window, the Filer would click the "Submit Report" link on the left side of the page.

≡ ≜ Nominee1, Sample M	General Iı	nformation: Nominee1, Samj	ole M					
# REVIEW REPORT	REPORT SUMM	ARY						
General Information General Comments	FILER SNAPS	101						
Filer's Federal Positions	Filer:	Nominee1, Sample M	Item:	Nominee Report	Status		Draft, Pre-Cleared	
Filer's Positions Filer's Employment-Related Assets	Agency:	Sample Agency 2019	Report Type:	278	Spous		/es	
and Income Filer's Employment-Related	Group: Position:	Sample Agency 2019, Nominee Group Sample Position	Report Year:	2019				
Arrangements Filer's Sources of Compensation	Existing Work	sflow: PAS/DAEO						
Spouse's Employment Related Assets and Income	REVIEWER & F	FILER INFORMATION						
Other Assets and Income	Filer Category	/: PAS	Public Availabili	ity:	Agenc	y Reviewer: N	Nominee Reviewer2, Sample	
Liabilities	Filer Status:				OGE R	leviewer:		
Report Data (Summary)	DAEO:							

The "Submit OGE Form 278e" page will display.

Nominee1, Sample M	Submit OGE Form 278e.
REVIEW REPORT	TO SUBMIT YOUR OGE FORM 278E, CHECK THE BOX AT THE BOTTOM OF THIS PAGE AND SELECT THE "SUBMIT OGE FORM 278E" BUTTON.
General Information General Comments Filer's Pederal Positions Filer's Positions Filer's Employment-Related Assets and Income	Nominee Report U.S. Office of Government Ethics; 5 C.F.R. part 2834 Form Approved: OMB No. (3209-0001) (Updated Jan. 2019) Executive Branch Personnel Public Financial Disclosure Report (OGE Form 278e)
Filer's Employment-Related Arrangements Filer's Sources of Compensation	Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge. /s/ Nominee1, Sample M [electronically signed on 02/07/19 by Nominee1, Sample M in Integrity.gov]
Spouse's Employment Related Assets and Income Other Assets and Income	Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).
Liabilities Report Data (Summary)	Other review conducted by
Submit Report Printable View	U.S. Office of Government Ethics Certification

The Filer would scroll to the bottom of the page and check the box next to the certification statement.



Checking the box will enable the "Submit OGE Form 278e" button. The Filer should click the button.



A message will display stating that the report has been submitted.

Your Nominee Report has been signed. You may now close this window.

In addition, the status of the report will change from "Draft, Pre-Cleared" to "Report, Under Agency Review."

8.4.3 - Display of the Signature Date

The "Audit Trail" records the date that the Filer submitted the official Nominee report. The signature line on the printed OGE Form 278e, however, will display the date that the Filer originally submitted the draft report because that date better reflects the reporting period used (i.e., the period to which the Filer is certifying compliance). In certain cases, a Filer needs to update the reporting period used for a Nominee report. In most of these cases, the update would be accomplished by assigning the Filer a new report, which the Filer can pre-populate from the prior report.

8.4.4 - Review an Official Report

An officially filed Nominee report goes through the same workflow steps at the Target Agency as other PAS/DAEO reports. For example, if the Target Agency has selected the Filer-to-Ethics-Official-to-Certifying-Official workflow for PAS/DAEO reports, the Nominee report will first go to the Primary Ethics Official within the Nominee Group at the Target Agency. After the Target Agency certifies the report, the report will go to OGE for additional review and final certification.

8.5 - After OGE Certification

8.5.1 - Effects of OGE Certification

OGE certification of a Nominee report has the following effects:

 \otimes

• Users cannot make any changes or comments to the report after certification because all links under the "Review Report" tab are removed except for the "General Information" page and the "Printable View" page. See <u>section 6.7.9</u> for information on how to process amendments after final certification.

≡ ▲ Nominee1, Sample M		General Information: Nominee1, Sample M								
REVIEW REPORT	REPORT SUMMAR	RY .								
General Information Printable View	FILER SNAPSHO	л								
E COMPARE	Filer:	Nominee1, Sample M	Item:	Nominee Report	Status:	Report, OGE Certified				
мемо	Agency:	Sample Agency 2019	Report Type:	278	Spouse:	Yes				
DOCUMENTS	Group: Position:	Sample Agency 2019, Nominee Group Sample Position	Report Year:	2019						
AUDIT TRAIL	Existing Workfl	ow: PAS/DAEO								
NOTIFICATIONS										
HELP	REVIEWER & FIL	ER INFORMATION								
CLOSE WINDOW	Filer Category:	PAS	Public Availabili	D):	Agency Revie	ver: Nominee Reviewer2, Sample				

- Comments made during the review process are removed.
- "Change History" will display only workflow events. Changes to draft report data are no longer available. The "Audit Trail," however, will continue to provide a record of all workflow events and changes to report data that occurred after the Filer officially submitted the report.
- The report will no longer be available on the "My Queue" page. To find the report, go to the "Search" page. You can also find the report on the "Records Management" page if they have Records Management permissions.

8.5.2 - Required Actions if the Filer is Confirmed

Step 1: Add the Confirmation Date

OGE will enter a date in the "Confirmed" field on the "General Information" page.

 NOMINEE REPORT INFORMATION (OGE ONLY)

 Committee(s):
 Committee on Rules and Administration

 Nominated:
 02/07/2019

 Sent to Senate:
 02/07/2019

 Confirmed:
 02/07/2019

 Withdrawn:

 Confirmed:
 02/07/2019

 Update:
 No

Entering a confirmation date will prevent the report from being purged or deleted until the 6-year retention period has expired.

Step 2: Create a New Integrity Account for the Filer (if necessary)

If the Filer does not already use *Integrity* at the Target Agency, the Filer will have completed the Nominee report using a cloaked account ID or an account linked to a different Agency. In either case, the Target Agency will need to create a new *Integrity* account for the Filer. See <u>section 7.5.3</u> for more information about adding Filers.

Step 3: Add the Filer to a New Group

The Target Agency will need to add the appointee as a Filer to a new Group at the Agency because the Nominee Group can be used only for Nominee reports. The Filer would file subsequent Periodic Transaction and Annual reports in the new Group.

Step 4: Merge the Filer's Old Integrity Account with a New Account (if necessary)

If a new *Integrity* account was created for the Filer (Step 2), that new account will need to be merged with the Filer's old *Integrity* account. Merging accounts gives the Filer continued access to the Nominee report and any other report filed using the old account. The Filer will then be able to use the Nominee report to pre-populate future reports in the new position.

To request an account merger, the Target Agency would send an email to the *Integrity* Helpdesk. The email should include the login ID/email address associated with both the new and the old *Integrity* account. The Target Agency can locate the Filer's old login ID by going to the "Nominees" tab within the Nominee Group or by clicking the Filer's name on the "General Information" page within the Nominee report.

Note: The *Integrity* Helpdesk cannot process an account merger request until the Target Agency completes Step 2 and Step 3.

Step 5: Remove the Filer from Unnecessary Roles/Groups

As part of the account merger process (Step 4), the *Integrity* Helpdesk will remove a Filer from the Nominee Group and, if applicable, contact the Filer's former Agency.

If an account merger was not required, the Target Agency should notify the *Integrity* Helpdesk after adding the Filer to a new Group (Step 3). The *Integrity* Helpdesk will remove the Filer from the Nominee Group. The Target Agency is responsible for making any needed changes to the Filer's other roles at the Target Agency.

Step 6: Share the Nominee Report with the Filer's New Group

A confirmed appointee would not file subsequent Periodic Transaction or Annual reports in the Nominee Group but rather in some other Group at the Target Agency. In many cases, the Reviewers in that Group will not hold Reviewer roles in the Nominee Group and, thus, will not have access to the Nominee report. A Reviewer in the Nominee Group can provide such access through use of the "Share" feature.

To share a Nominee report, go the "General Information" page, scroll down to the "Nominee Report Access" section, and click the "Edit" button.

NOMINEE REPORT ACCESS

Shared with Group: None

The "Shared With" field will display a drop-down list of Group choices. Select the Group with which to share the Nominee report and click the "Save" button. Reviewers in the selected Group can now find the report on the "Search" page and open the report in the same manner as Reviewers within the Nominee Group.

N	IMINEE REPORT ACCESS	Cancel
	Shared With	
	Please Select •	
	Please Select	
	Sample Agency 2019, Group 1 Sample Agency 2019, Group 2 Save	

8.5.3 - Required Actions if the Filer is Not Confirmed

Delete the Nominee Report

OGE will remove the Nominee report 1 year after the Filer is no longer under consideration for the position by the Senate.

Remove Filer from the Nominee Group

The *Integrity* Helpdesk will remove the Filer from the "Nominees" tab of the Nominee Group after OGE removes the Nominee report.

8.5.4 - Required Actions if a Filer is Re-nominated

In certain cases, the Senate may return a PAS Nominee's nomination to the President. If the individual is not re-nominated to the position, the Nominee report for that position will be processed in accordance with section 8.5.3. If the individual is re-nominated to the position, the processing of the report will vary based on whether its reporting period requires an update.

Reporting Period Does Not Require an Update

OGE will re-process the existing report. The Filer will not need to take any action in *Integrity*.

Reporting Period Requires an Update

The Special Agency that originally assigned the Filer a report will need to assign the Filer a new Nominee report. The Filer should pre-populate this new report from the prior report. This new report will then follow the standard workflow for Nominee reports described in <u>section 8.1.2</u>.

8.6 - Locate a Cloaked ID

8.6.1 - Locate a Cloaked ID prior to OGE/Agency Review

A Nominee is not visible to OGE or the Target Agency until the Nominee draft report has been released for review. Therefore, if a Nominee needs to locate his or her cloaked ID at this stage in the process, the Nominee will need to contact the office that added the Nominee (e.g., the Presidential Personnel Office).

8.6.2 - Locate a Filer's Cloaked ID during the Review Process

Reviewers with access to a Nominee report can locate a Filer's cloaked ID in two ways during the review process.

Reviewer Interface: My Queue

To locate a Filer's cloaked ID on the "My Queue" page, click the Filer's name.

Reviewer Admin	My Queue										
MY QUEUE	ITEMS All v	All	v	YEAR	·	AGENCY		•		ROUP	v
Q SEARCH	STATUS All		ASSIGNED TO All)		•	All			Go Reset	
 HELP LOG OUT 	Manage Reviewer									Customize	Display ~
	20 • records per page								Search	:	
	FILER : ITEM	TYPE : YEAR : 278 2019		e Agency 2019, Nominee Group	; РО Sa	mple Position	STATUS :	ASSIGNED TO Nominee Reviewer1, Sample M	C PEN	DING ACTION 🛫	REASSIGN Route ~

The cloaked ID is displayed in the "Cloaked ID" field. The "Email" field displays the Filer's actual email address to which *Integrity* sends notifications.

A	dditional Informati	on			×
	FILER CONTACT IN	IFORMATION			
	Address Line 1:	1201 New York Avenue, NW	Telephone:	202-482-9300	
	City:	Washington	Email:	TR_OGE_0461@training.integrity.gov	
	State:	District of Columbia	Secondary Email:		
	Zip Code:	20005	MAX.gov Account:	A930041	
	Country:	United States	Cloaked ID:	F22A1CD8-36E1-4572-84D5-3D656FE670F0@oge.tcg.com	

Reviewer Interface: General Information Page

You can also locate a Filer's cloaked ID within the Nominee report by clicking the Filer's name on the "General Information" page.



8.6.3 - Locate a Filer's Cloaked ID after Certification

A Filer's cloaked ID is accessible in two ways after the report has been certified. Note, however, that the cloaked ID will be removed once the Filer's cloaked ID has been merged with a regular Agency-created account.

Reviewer Interface: General Information Page

You can locate a Filer's cloaked ID within the Nominee report by clicking the Filer's name on the "General Information" page.

Admin Interface: Nominee Group

You can also locate a Filer's cloaked ID within the Nominee Group by clicking the "Nominees" tab. The Filer's actual email address will be listed first in the "Email" field, followed by the cloaked ID in parentheses.

Reviewer Admin	Group Setup	
ADMINISTRATION	SAMPLE AGENCY 2019, NOMINEE GROUP, SAMPLE AGENCY 2019, NOMINEE GROUP	
Manage_Groups Find Users Management Reports Provision Users Status	Basic Information Group Staff Nominees Notify Nominees	Save Cancel
 SETTINGS HELP 	5 • records per page	Search:
🕒 LOG OUT	NAME • EMAL	PHONE ACTION
	Nominee1, Cloaked TR_OGE_0461@training (F22A1CD8-36E1-4572-84D5-3D656FE670F0@oge.tcg.com)	202-482-9300 Select an Action •

8.6.4 - Locate a Filer Designee's Cloaked ID

To locate the cloaked ID of a Filer Designee, open the Filer's Nominee report and click the Filer's name on the "General Information" page. The cloaked ID is displayed in the "MAX.gov Account" field. The "Email" field displays the Filer Designee's actual email address to which *Integrity* sends notifications.

minee1, Cloaked	Generali	formation: Nominee1, Cloak	icu -				
VIEW REPORT	REPORT SUMMA	ARY					
neral Information							<u> </u>
neral Comments	FILER SNAPSH	тот					
er's Federal Positions							
r's Positions	Filer:	Nominee1, Cloaked	Item:	Nominee Report	Status:	Draft, Under Review	
r's Employment-Related Assets	Agency:	Sample Agency 2019	Report Type:	278	Spouse:	Yes	
Income	Group:	Sample Agency 2019, Nominee Group	Report Year:	2019			
r's Employment-Related	Position:	Sample Position					
ingements	Existing Work	flow: PAS/DAEO					

FILER DESIGNEES CONTACT INFORMATION

DESIGNEE #1	
Name:	Sample Designee1
Email:	TR_OGE_0462@training.integrity.gov
Phone:	202-482-9300
MAX.gov Acco	unt:
35017274-C81	9-48BD-AC53-33A308415F14@oge.tcg.com