U.S. Office of Government Ethics

Integrity User Guide

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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:

- Section 1 provides a brief overview of the purpose and design of *Integrity*.
- Section 2 explains the technical requirements for using *Integrity* as well as the steps for logging into and out of the system.
- Section 3 explains how to change user settings.
- Section 4 explains how Filers complete an OGE Form 278e, respond to Reviewer comments, and view old OGE Form 278e reports.
- Section 5 explains how Filers complete an OGE Form 278-T, respond to Reviewer comments, and view old OGE Form 278-T reports.
- 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.
- 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.
- Section 8 explains the special processes and features applicable to Nominee reports.

Section 1: System Overview

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 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). 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 / Nominee	Annual	Termination	Annual / 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.

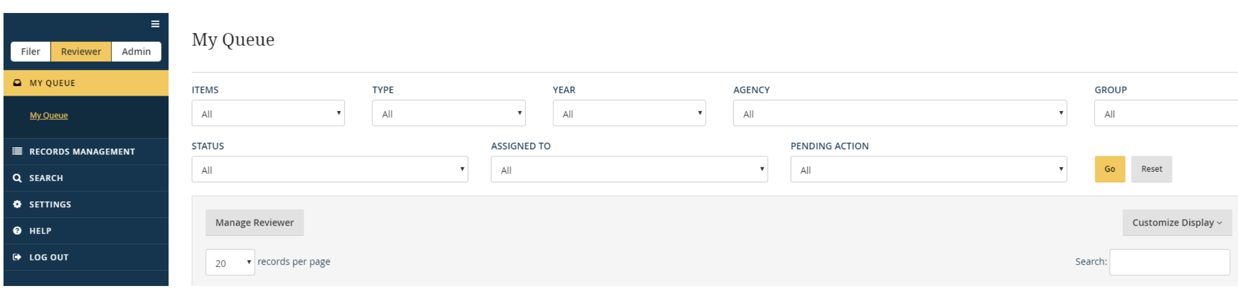
1.5.2 - Primary Window Menu Options

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").

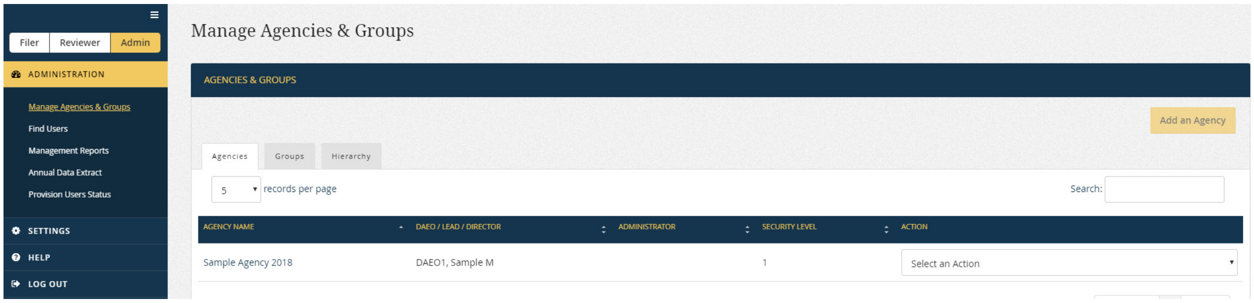
Underneath each tab, the user will see a second-level menu of navigation options, which display along the left side of the page. The options will vary depending on the tab selected. This guide will refer to the second-level menu as the "left-side navigation menu" within the interface.

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

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



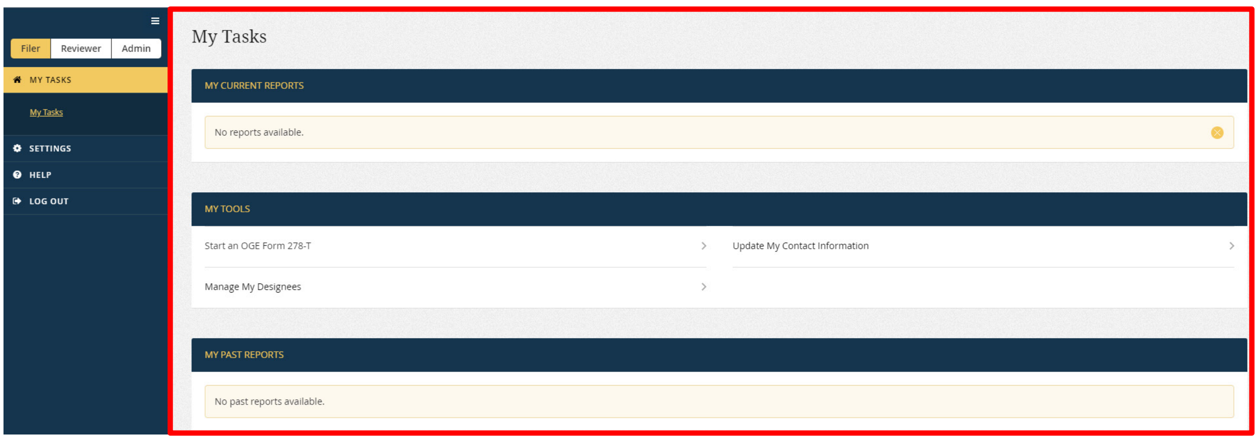
- Admin Interface: Used to set up Agencies and Groups, assign Reviewers and Filers to Groups, assign reports to Filers, and access management reports.



1.5.3 - Display within a Primary Window

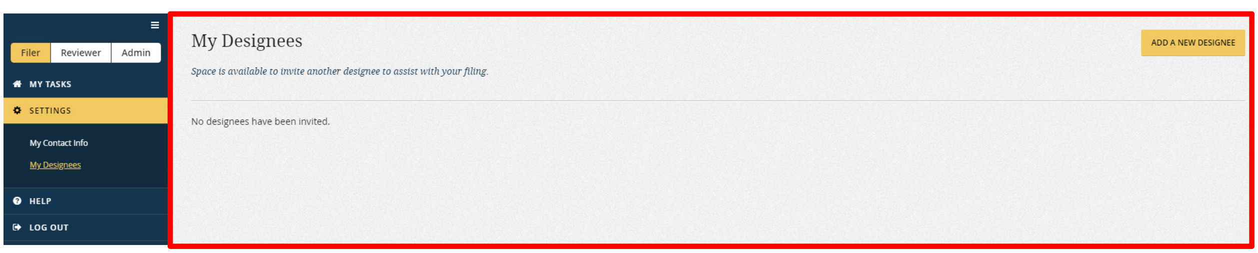
The content of a page will display to the right of the left-side navigation menu.

<u>Example – Display of the My Tasks Page within the Filer Menu</u>



Selecting a different menu option will change the content displayed.

<u>Example – Display of the My Designees Page within the Filer Menu</u>

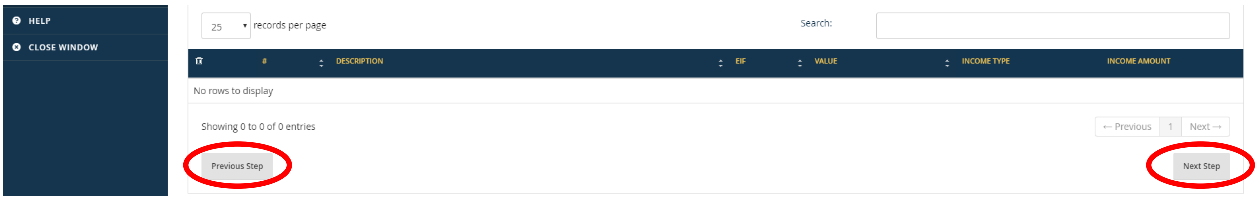


1.5.4 - Secondary Window Menu Options and Display

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.

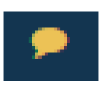
1.5.5 - Navigate within a Window

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.



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
	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.
	Tool Tip	Clicking the white question mark in a blue circle displays explanatory information on the topic.
	Down Arrow	Clicking the down-pointing arrow displays a drop-down list of choices.
	Comments / Annotations	Also known as the “Caption” icon (found within filed reports). 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

```
Agency      [for making basic configuration decisions]
|
Group 0     [for managing Filers and reports]
```

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

Example 2

```
Agency
|
Group 0
|          |          |          |          |          |
Group 1    Group 2    Group 3    Group 4    Group 5    Group 6
```

Example 3

```
Agency
|
Group 0
|         |
Group 1                  Group 2
|          |             |          |
Group 1.1  Group 1.2     Group 2.1  Group 2.2
|
Group 1.1.1
```

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 section 1.9.1 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 of an OGE Form 278-T, self-assigned by the Filer.	Not Started
2	The Filer starts working on the report but has not yet filed the report.	Draft, Pre-Review
3	The Filer files the report. The report is reviewed by authorized users at the Agency. As needed, the Agency Reviewers ask follow-up questions of the Filer and/or return the report to the Filer for updates.	Report, Under Agency Review
4	The Agency ends the review process by certifying the report or declining certification.	Report, Agency Certified OR Report, Closed w/o Agency Certification

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

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

#	Lifecycle Step	*Integrity* Status Code
6	The report is retained for the duration specified by the applicable records retention rules. During this period, 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 section 6.7.9.	Report, OGE Certified OR Report, Closed w/o OGE Certification
7	Once the report has reached the applicable disposition age, OGE deletes the report record, unless otherwise required to retain. *(Optional)* If the report has reached the applicable 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.	N/A – Once deleted, the report no longer exists. Report, OGE Certified OR Report, Closed w/o OGE Certification
8	*(Optional)* If OGE "purged" the report but kept related materials, OGE must delete the entire report record, including related materials, at a later date once those materials are no longer needed.	N/A – Once deleted, the report no longer exists.

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 section 6.2.4 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.

1.9.2 - Regular Agency Roles

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 *Integrity* 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 *Integrity* Helpdesk.
DAEO (Alternate)	No limit	Has same rights as the DAEO role. The DAEO (Alternate) role may only be assigned by the *Integrity* 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.

Role	#	Description
Agency Administrator (Alternate)	No limit	Has same rights as the Agency Administrator role.
Certifying Official	1 per workflow per Group (required)	Permits user to add/edit subordinate Groups, assign roles, assign reports, and certify reports. 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 (Alternate)	No limit	Has same rights as the Certifying Official role to 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 Group (required if role used in workflow)	Permits user to add/edit subordinate Groups, assign the Filer role, assign reports, and sign reports. The user, by default, receives reports 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 (Alternate)	No limit	Has same rights as the Ethics Official 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.
Screener	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 user, by default, receives reports 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 (Alternate)	No limit	Has same rights as the Supervisor 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.
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 (Alternate)	No limit	Has same rights as the POC role.

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 *Integrity* Helpdesk must assign the OGE Director role.
OGE Administrator	1	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 Certification."
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 (Alternate)	No limit	Has same rights as the OGE Reviewer role.
OGE Records Manager	1	Permits user to manage PAS/DAEO records across the system once those records have reached OGE for review (excluding Nominee reports).
OGE Records Manager (Alternate)	No limit	Has same rights as the OGE Records Manager role.
OGE Nominee Certifying Official	1 (required)	Permits the same rights as the OGE Certifying Official but specific to Nominee reports.
OGE Nominee Certifying Official (Alternate)	No limit	Has same rights as the OGE Nominee Certifying Official role.
OGE Program Manager	1 (required)	Permits user to preclear a draft Nominee report. 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 Manager (Alternate)	No limit	Has same rights as the OGE Program Manager role.
OGE Nominee Router	1 (required)	Permits user to access a draft Nominee report 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 Router (Alternate)	No limit	Has same rights as the OGE Nominee Router role.
OGE Nominee Reviewer	1 (required)	Permits user to access a draft Nominee report once the OGE Nominee Router routes the draft to OGE Nominee Reviewers. The user submits the draft for preclearance review by forwarding the draft to the OGE Program Manager step.

Role	**#**	**Description**
OGE Nominee Reviewer (Alternate)	No limit	Has same rights as the OGE Nominee Reviewer role.
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 *Integrity* Helpdesk may also change the DAEO, DAEO (Alternate), and OGE Director roles. The *Integrity* Helpdesk can see report assignments but cannot assign, open, or edit reports.
Integrity Helpdesk (Alternate)	No limit	Has same rights as the *Integrity* 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 *Integrity* Helpdesk Assistant can see report assignments but cannot assign, open, or edit reports.
Integrity Helpdesk Assistant (Alternate)	No limit	Has same rights as the *Integrity* 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

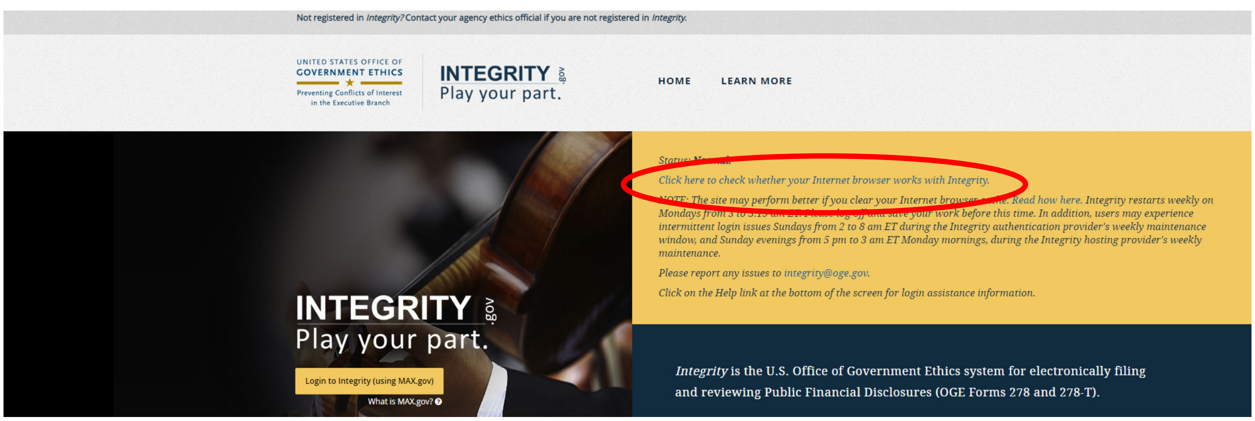
2.1.1 - System Requirements

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.

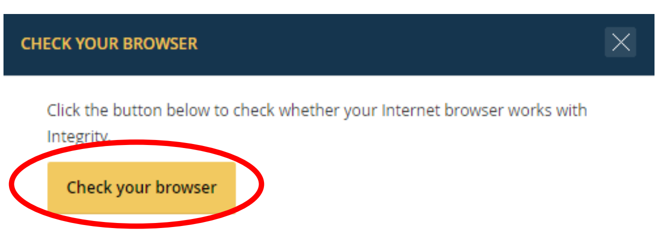
2.1.2 - Internet Browser Requirements

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."

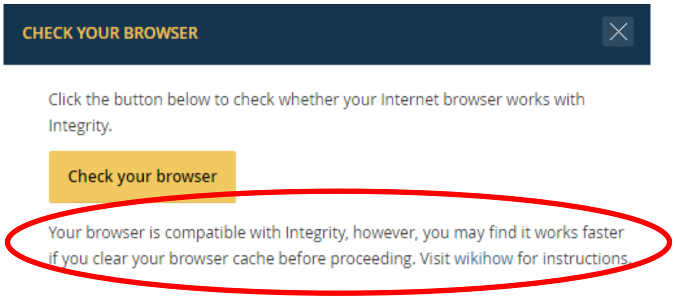
The *Integrity* login page provides a way to check whether an Internet browser meets these requirements. Users should click the link on the right side of the page that reads: "Click here to check whether your Internet browser works with *Integrity*."



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

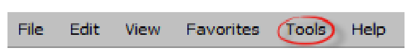
<u>Disable Compatibility View in Internet Explorer (IE) 11</u>

Users should do the following:

1. Click the gear icon in the top right corner. 
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."

<u>Alternate way to turn OFF Compatibility View in IE11</u>

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. 

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
  - 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
  - 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.

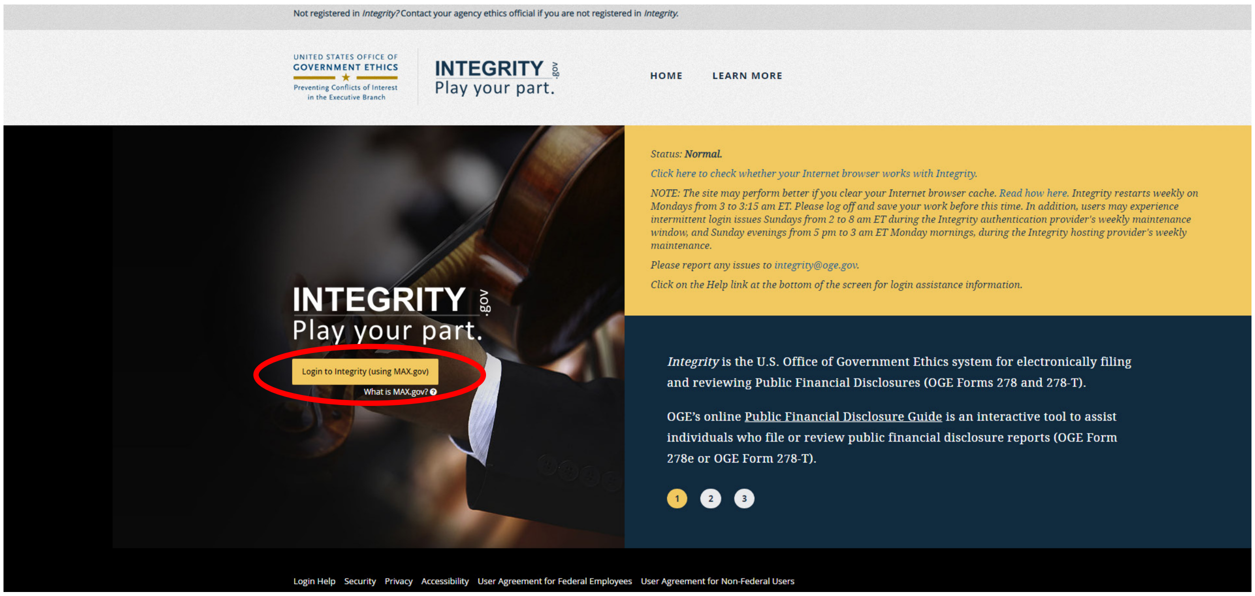
2.3 - Logging In

2.3.1 - Get to the *Integrity* Home Page

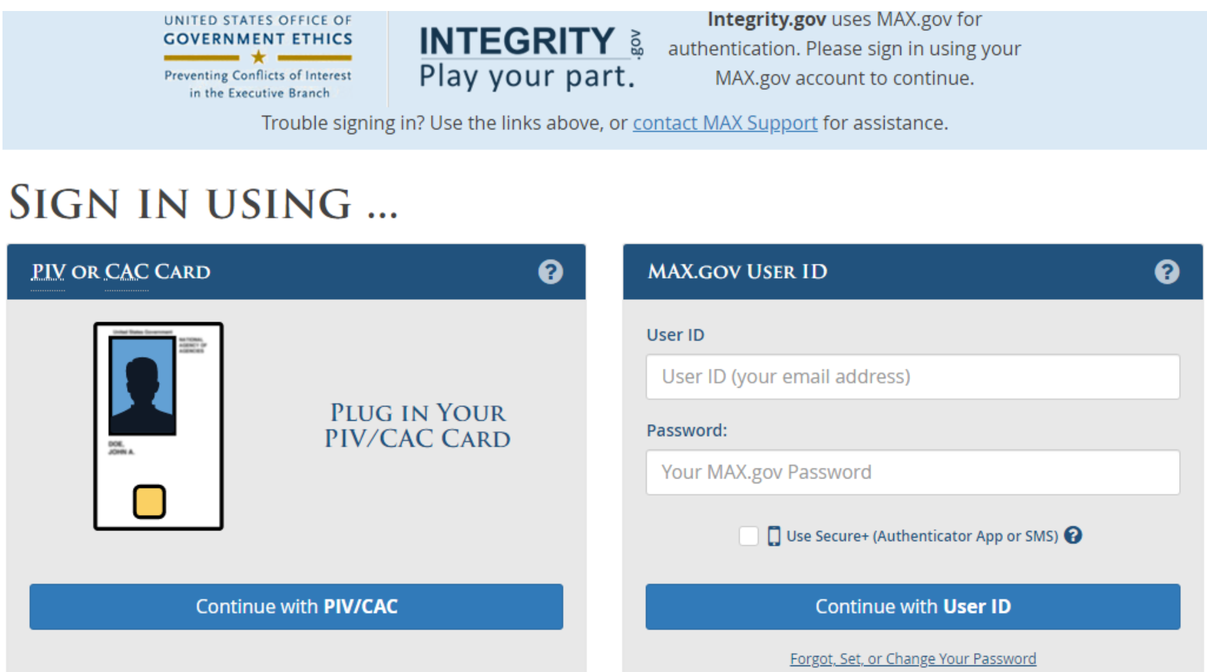
Users should open an Internet browser and go to https://integrity.gov.

2.3.2 - Start the Login Process

Users then click the "Login" button.



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



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 section 2.2 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.

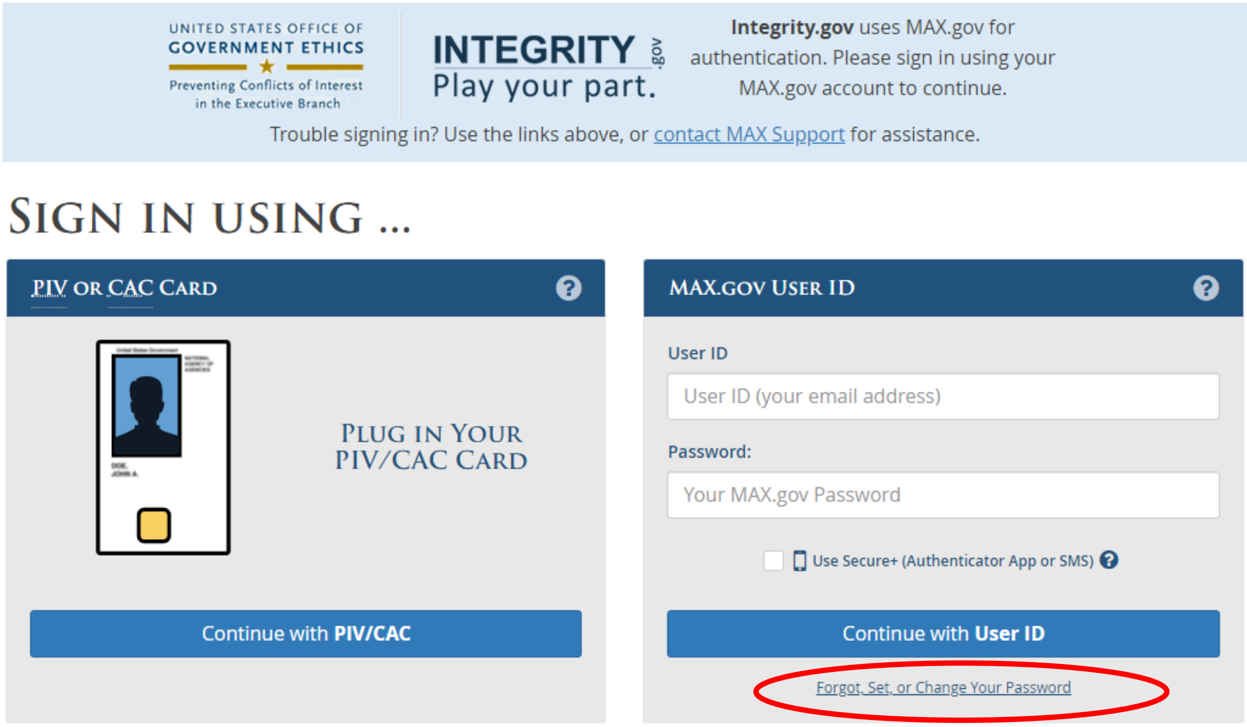
Agency Federated Partner Automated Login (available only at participating agencies)

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

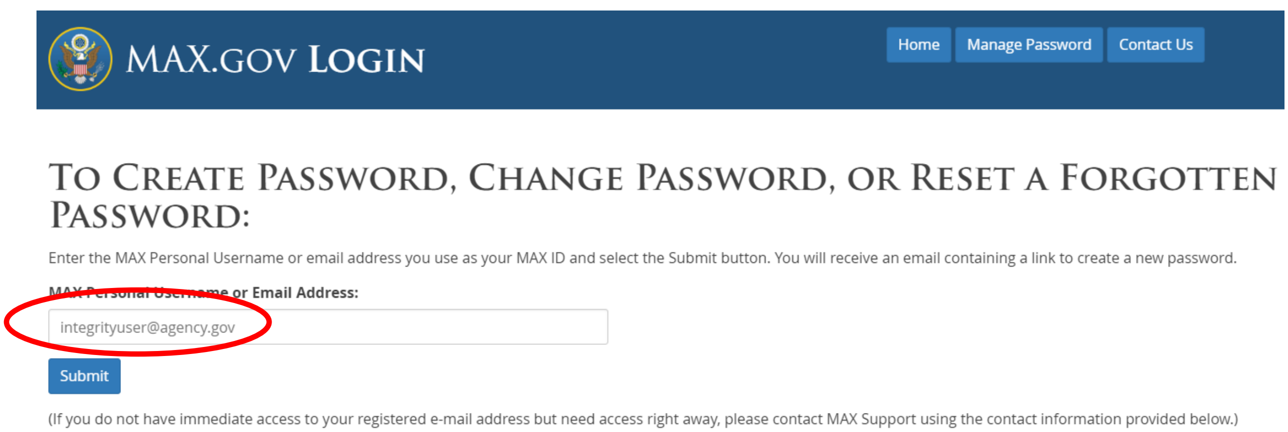
2.3.5 - Complete Login for a New Account (Filers and Filer Designees)

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

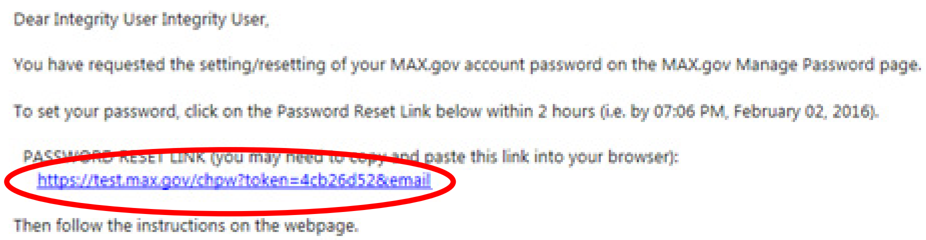
In some cases, the Agency registering a new user will direct *Integrity* to send the user a registration notice, which includes a link to resetting a password. If the user did not receive or cannot find this notice, the user can set a password from the MAX Login page by clicking the "Forgot, Set, or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



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.



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



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)

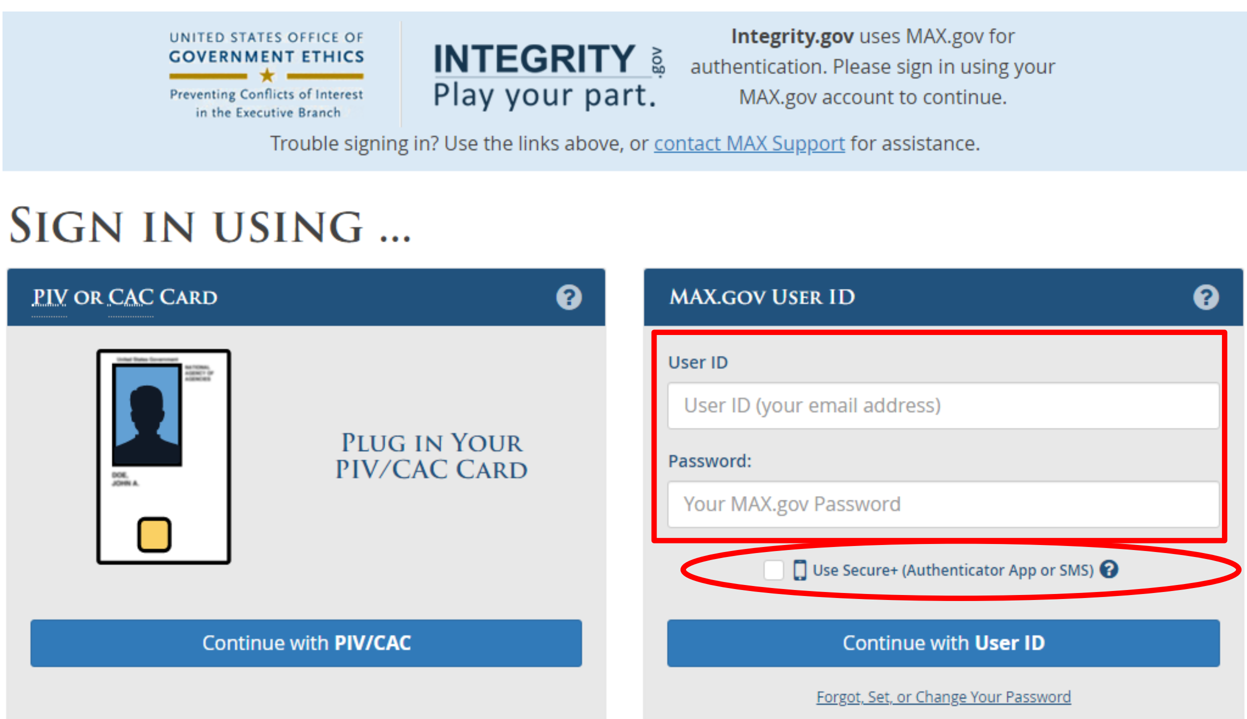
The login method will depend on the security level that applies. See section 2.2 above to determine the applicable security level.

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

The user should follow the instructions in section 2.3.5 to set the password.

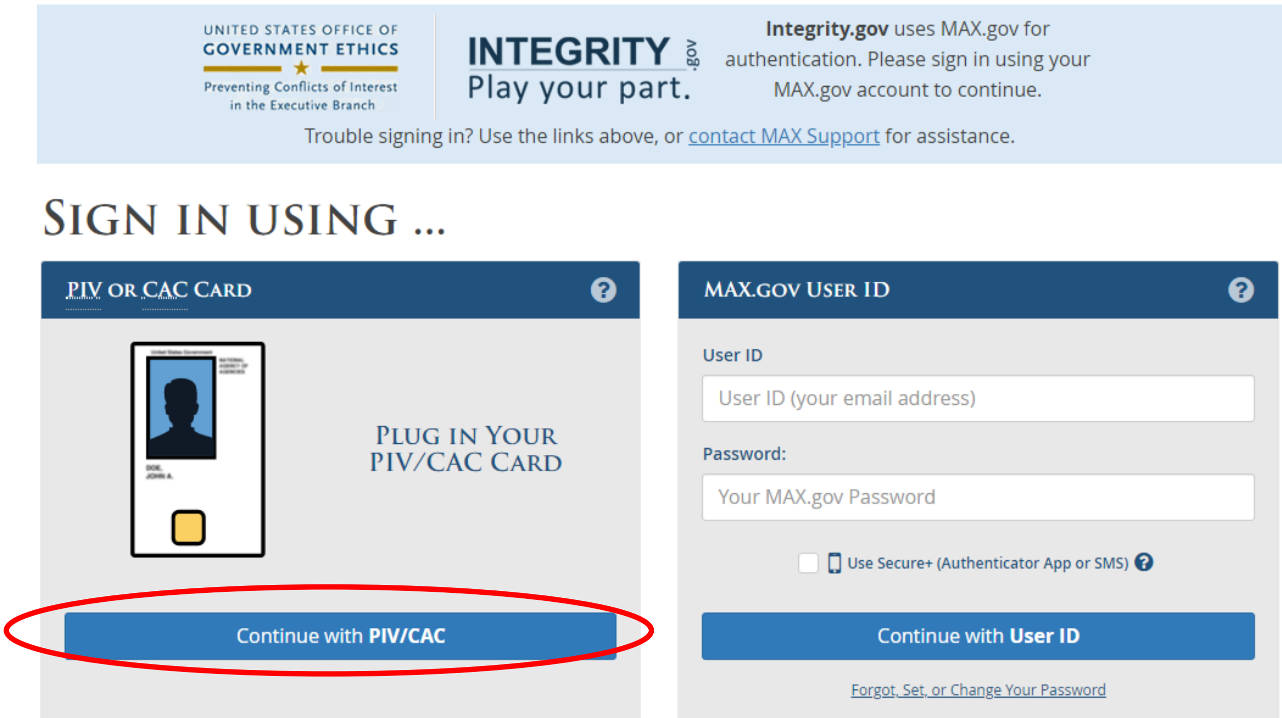
User Name and Password plus SMS (available at Level 1 and Level 2)

The user should follow the instructions in section 2.3.5 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.



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

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



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.

2.3.7 - Multiple Login IDs

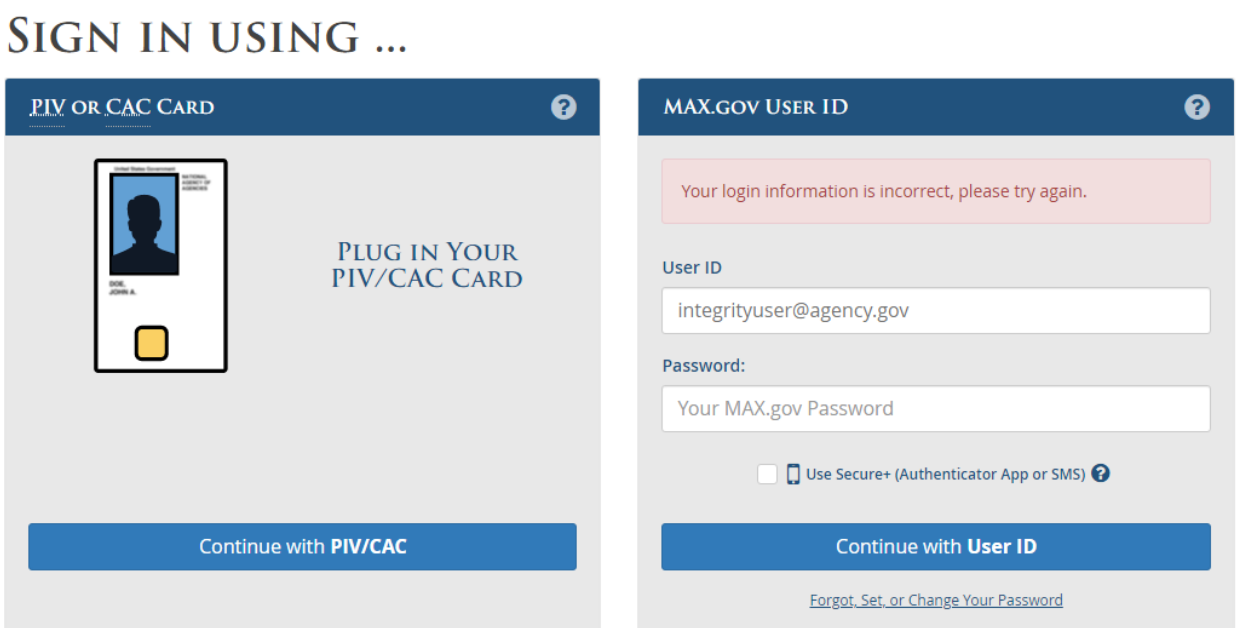
Most *Integrity* users will have a single MAX User ID and password.

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

<u>If a User Receive a "Login Information Is Incorrect" Message</u>



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.

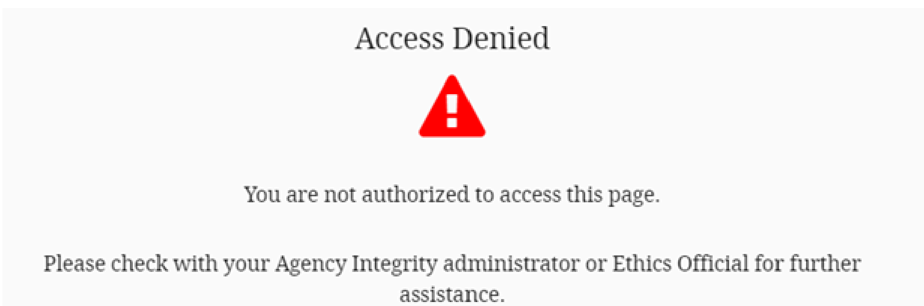
2. The user is not using an email address registered with MAX.gov. If the user is unable to reset the password after clicking the "Forgot, Set, or Change Your Password?" link, the email address has not been registered with MAX.gov. The user will need to contact someone at the Agency who can register 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.

<u>If a User Receives an “Access Denied” Message</u>



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.

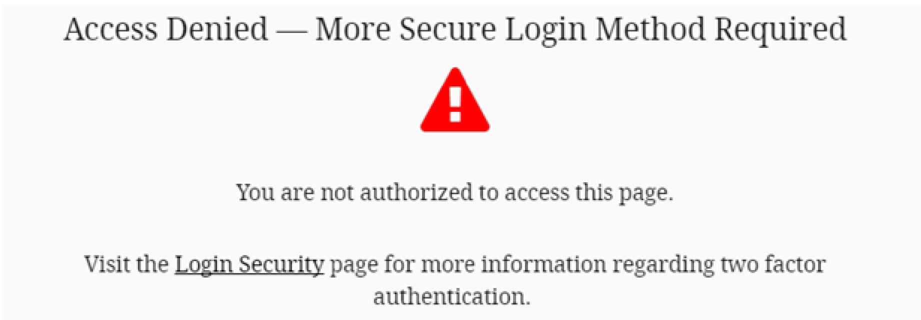
The user should contact an Agency *Integrity* administrator or an ethics official for assistance.

<u>If a User Receives an “Internal system error occurred...” Message</u>

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 https://max.gov 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 https://integrity.gov. 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



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 section 2.2. 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: https://www.integrity.gov/efeds-forms-harness/ui/wizard.html#/dashboard/mytasks

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

2.3.9 - Alternate Login Method

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

1. Close all Internet browser windows.

2. Open a new Internet browser.

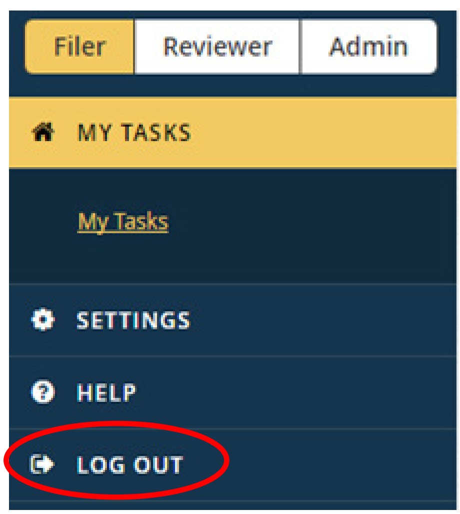
3. Click on https://MAX.gov and log in as normal.

4. Once in MAX.gov, open a new browser window or tab and click on https://integrity.gov. 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 left-side navigation menu.



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 <u>reviewed</u> 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.

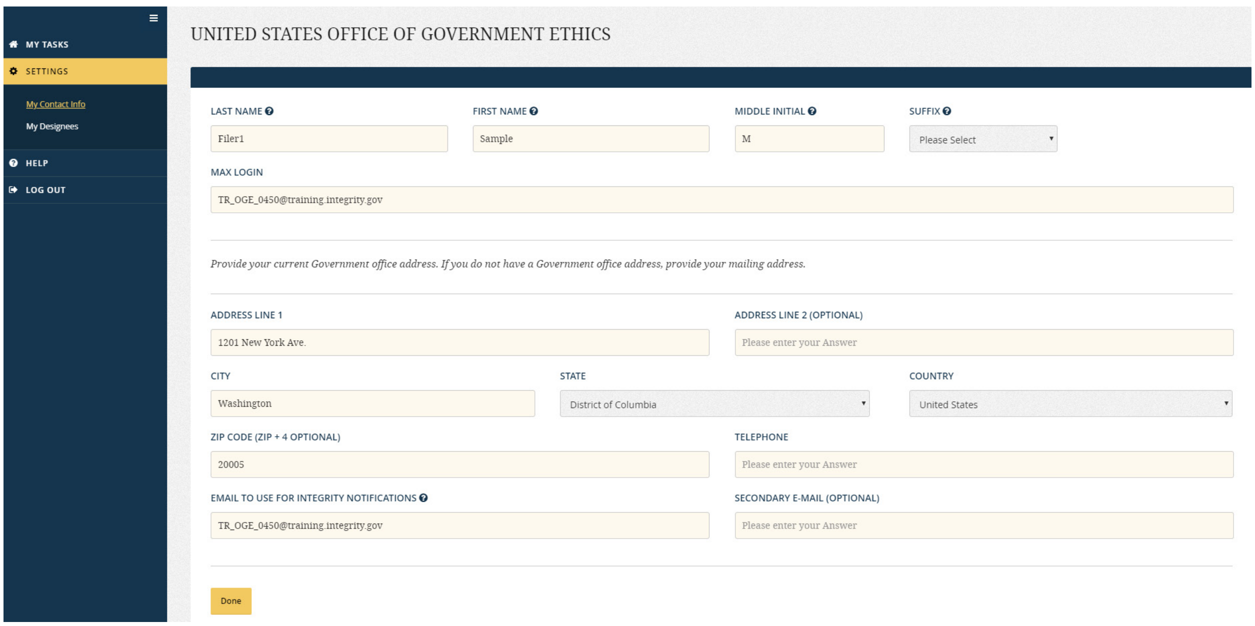
3.3 - Contact Information

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.



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 pre-populate 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.

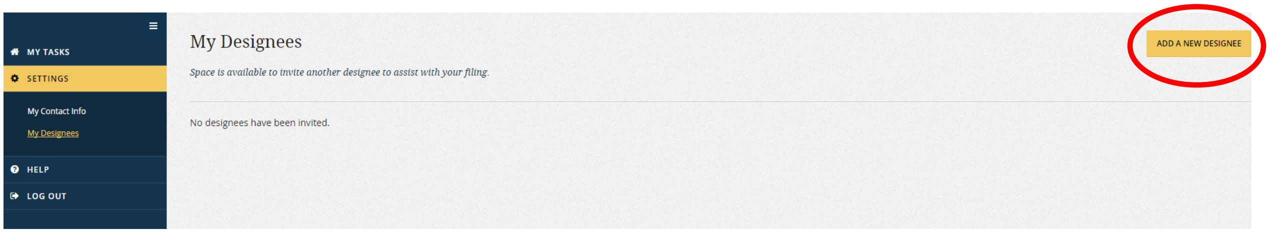
4. A Filer Designee role is specific to that Filer. Therefore, if a user is a Filer Designee for multiple Filers, that user will have multiple User IDs for each of those Filer Designee roles. A Reviewer uses his or her own MAX User ID.

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.

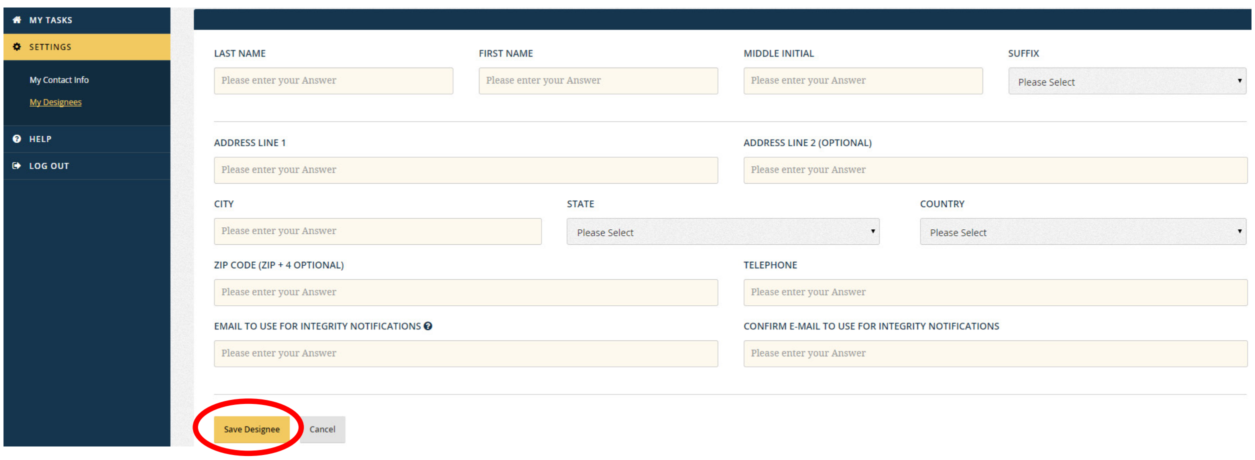
In most cases, if a Filer wishes to receive assistance from a user who is already a Reviewer with access to the Group in question, that user would provide the assistance using the Reviewer role. However, if the Filer requires assistance from an individual who is not a Reviewer, the Filer would need to 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.



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



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.

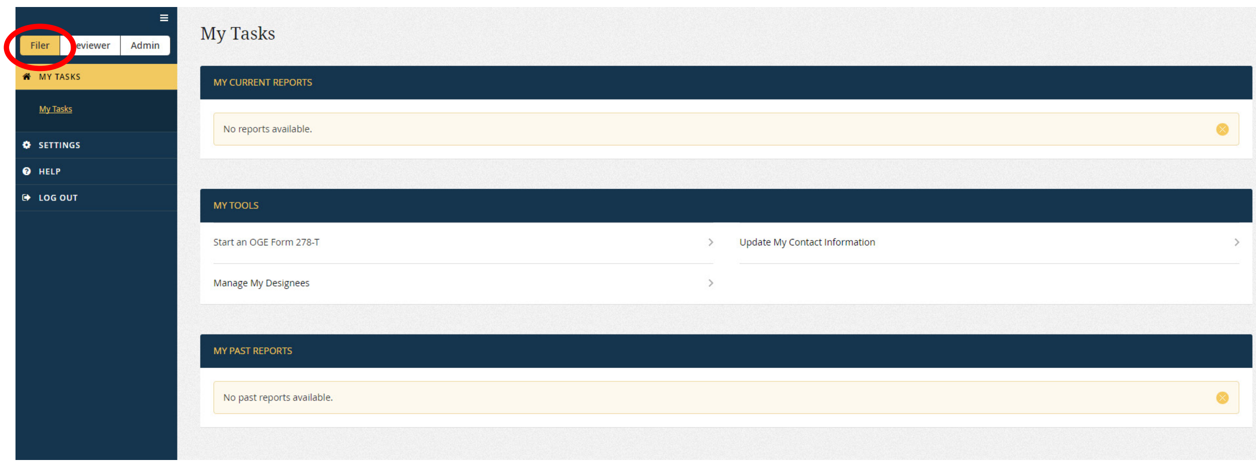
Section 4: Filer Actions (OGE Form 278e)

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.



4.1.2 - Menu Options

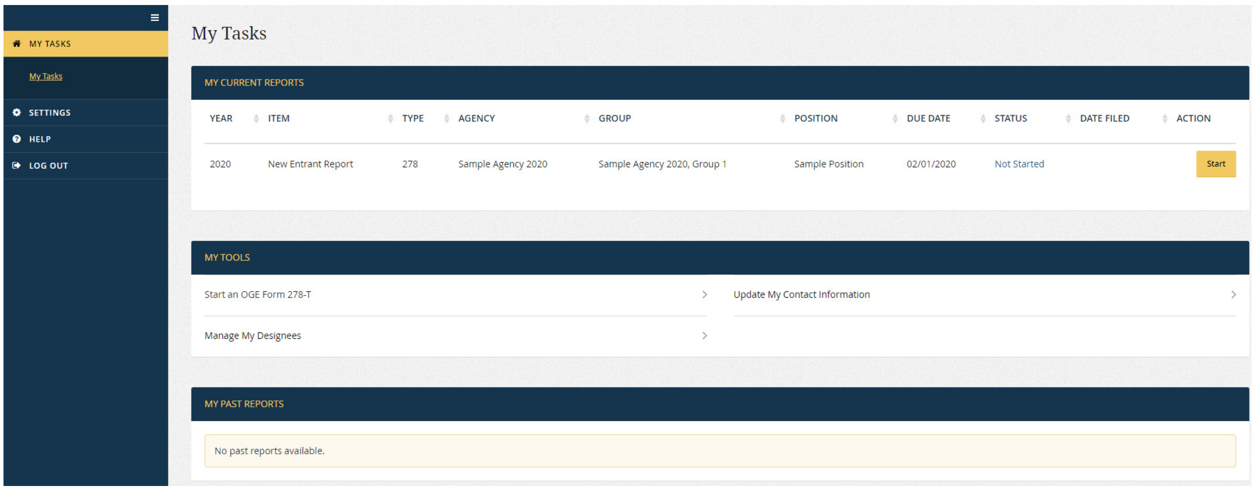
The menu options on the primary Filer interface window are:

- 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.



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

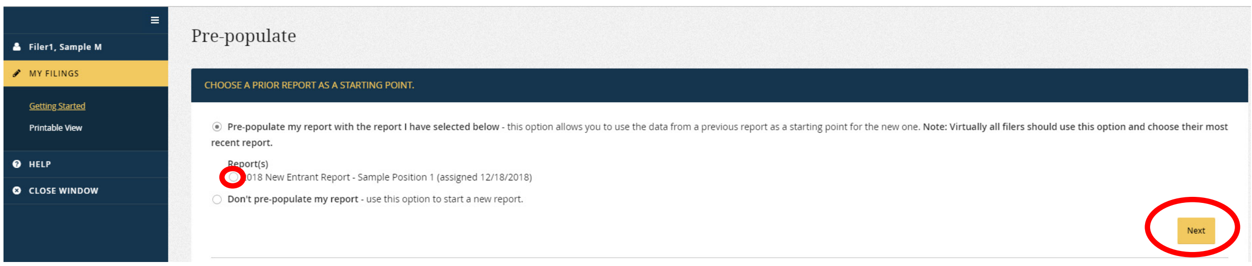
"Compare" feature, which should speed the review process (see section 4.5.7). For these reasons, Filers should generally use the pre-population feature if available.

Availability of the Pre-Population Feature

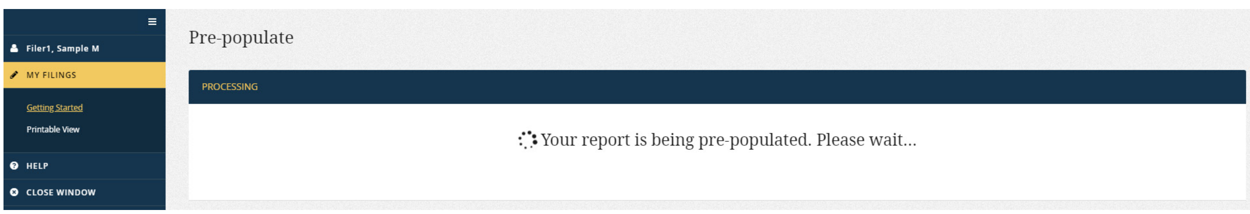
The "Pre-Populate" page appears the first time that the Filer opens a report if the Filer has any other previously assigned OGE Form 278e reports in *Integrity*. The page will also appear if the Filer resets a started report (see section 4.2.5).

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.



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



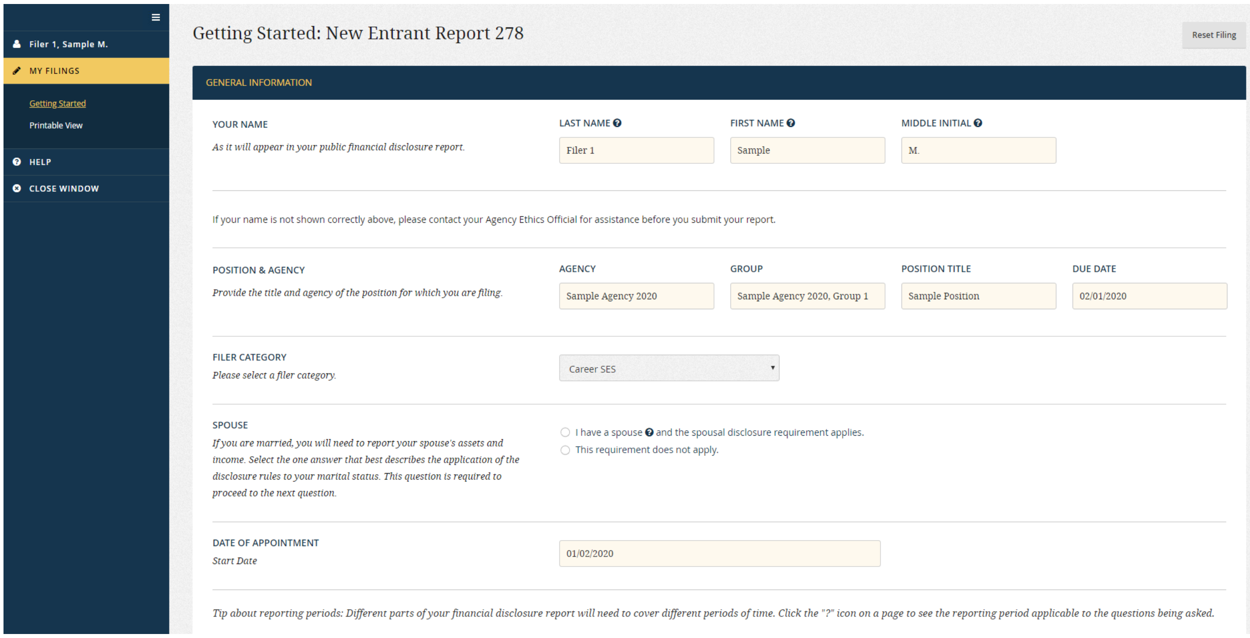
Depending on the size of the report and the Filer's connection speed, the process may take a few minutes. The Filer should not close the report or attempt to move to a different page while pre-population is running. If pre-population does not finish after a few minutes, the Filer should exit the report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



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 **before** 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.

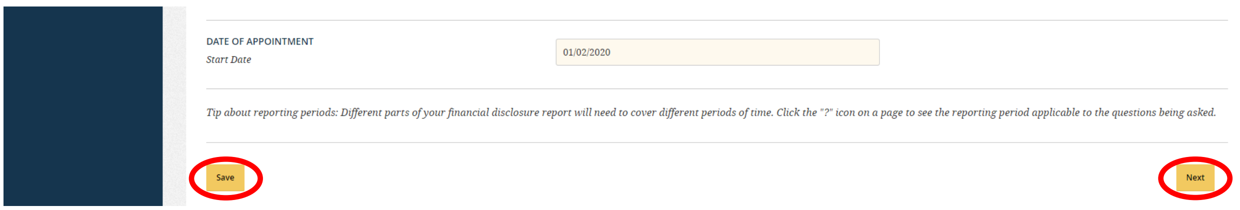
- Date of Appointment (excluding Nominee Reports): The Filer must complete this field before submitting a New Entrant report. The field is helpful but optional for Annual, Termination, and Annual/Termination reports.

- 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

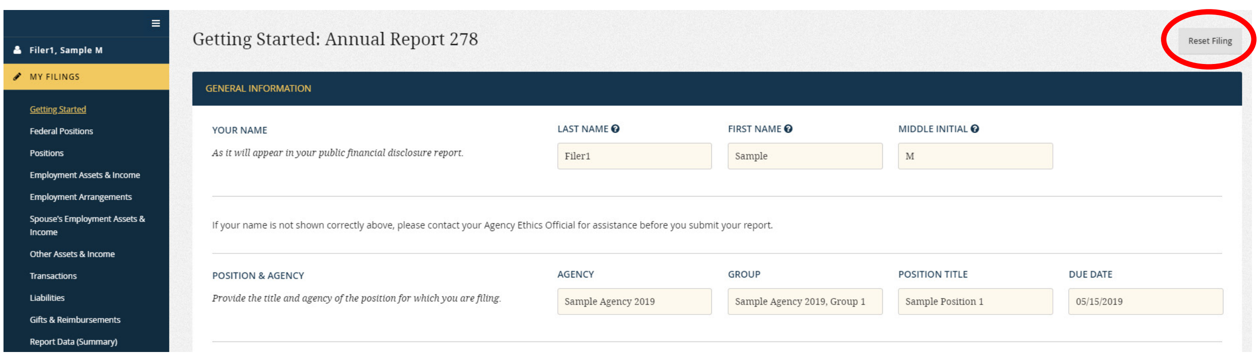
The Filer can save changes to the fields on the "Getting Started" by clicking the "Save" button or the "Next" button.



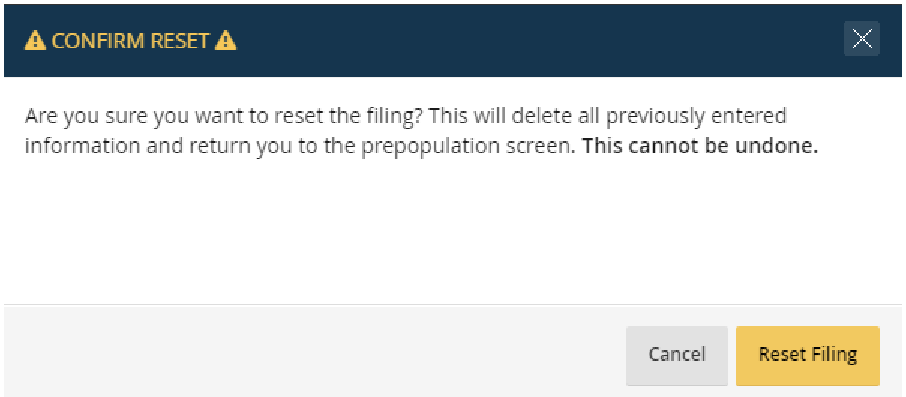
4.2.5 - Reset a Report

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.



Integrity will ask the Filer to confirm the decision.



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

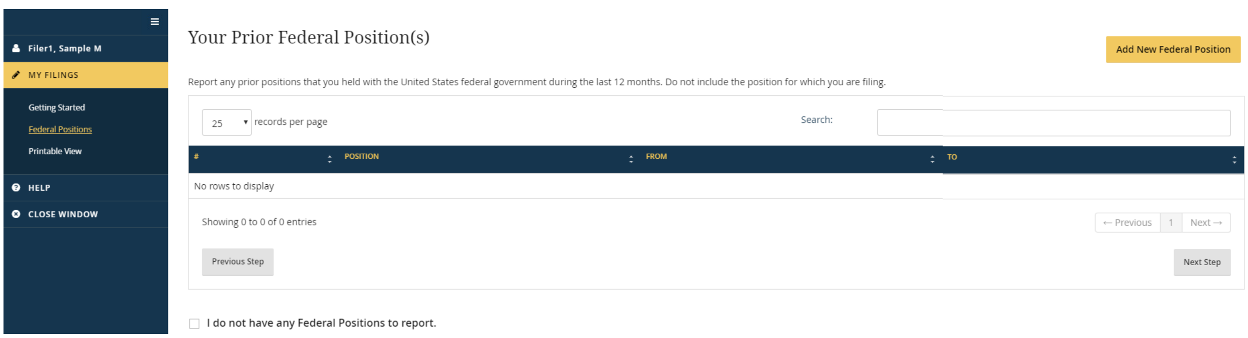
Once the Filer has completed each required section, the Filer will have a chance to review the report before signing and submitting it electronically. Filers can also print a copy of the report.

4.3.2 - Steps and Menu Options

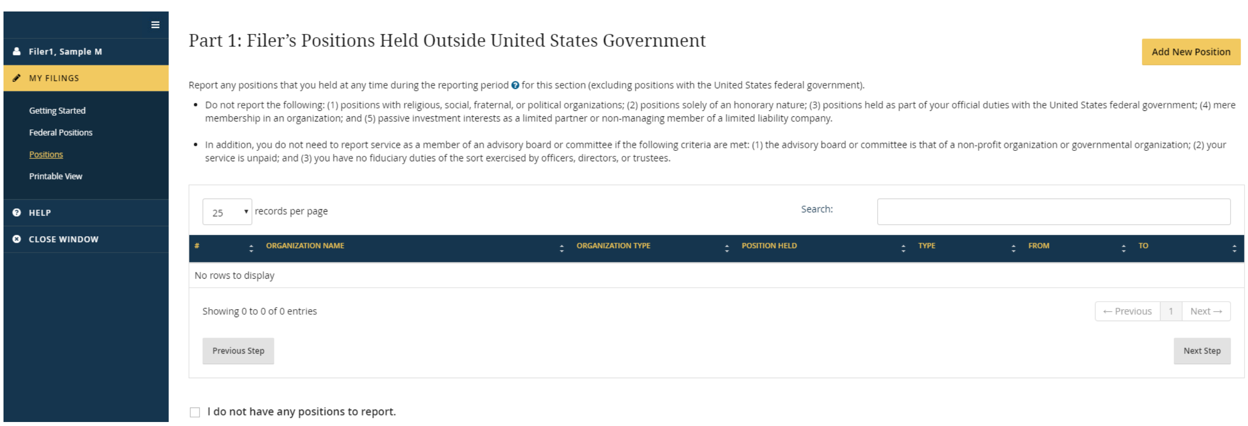
The menu options on the left-side navigation menu correspond to the steps to completing the report within *Integrity*. However, the Filer will see only (1) the step that the Filer is currently completing; (2) the steps the Filer has already completed; and (3) a link to a view of what the OGE Form 278e 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.

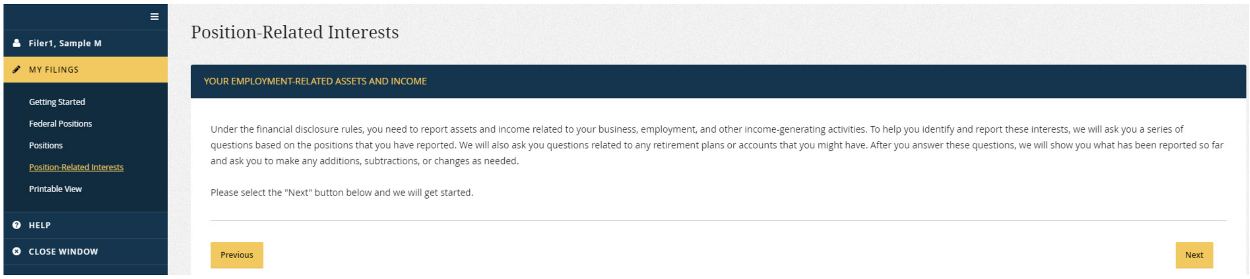


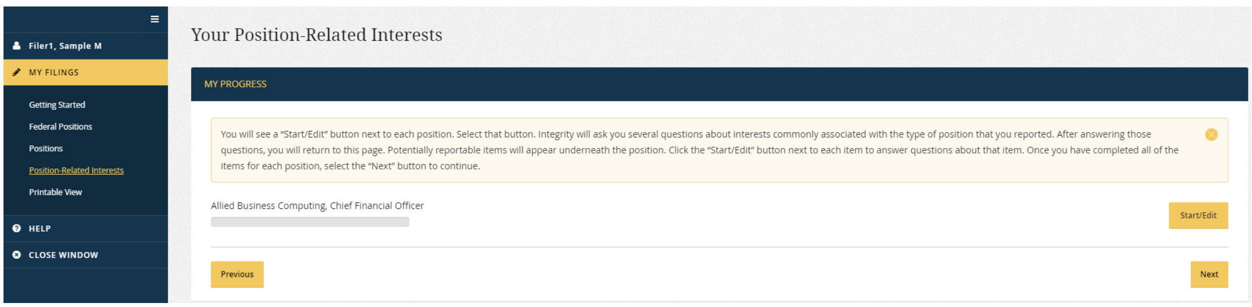
- Filer's (your) Positions Held Outside the United States Government: This page is a data entry grid equivalent to Part 1 of the OGE Form 278e.



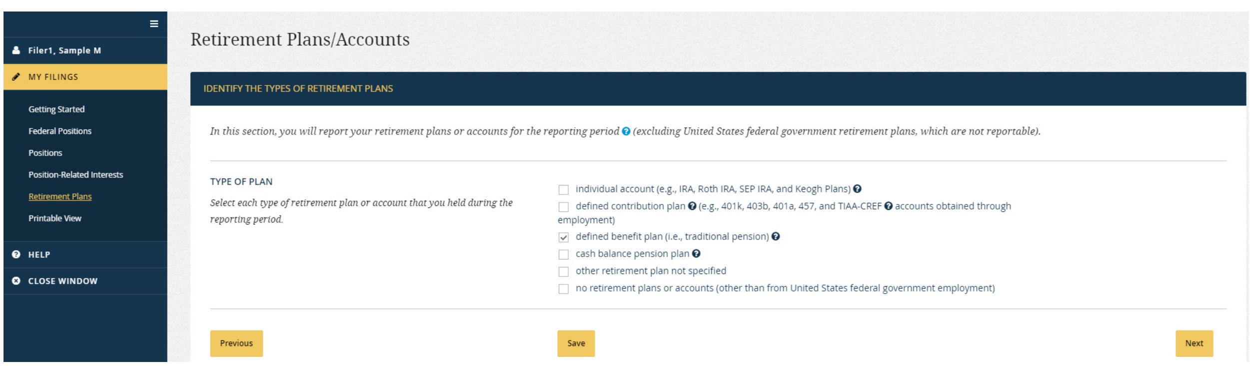
- Filer's (your) Position-Related Interests: This page begins a filing wizard that appears if the Filer adds a position to the "Positions" grid. The answers to the filing wizard questions are used to complete portions of "Filer's Employment Assets & Income and

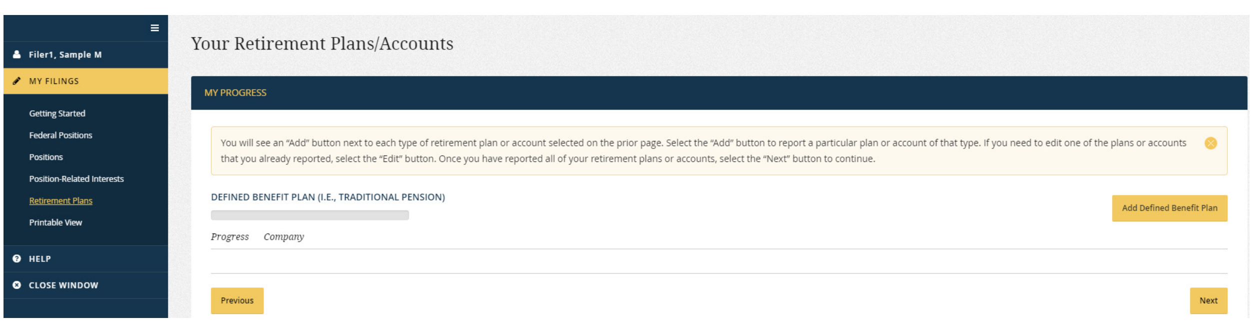
Retirement Accounts”; “Filer’s Employment Agreements and Arrangements”; and “Filer’s Sources of Compensation Exceeding $5,000 in a Year.”



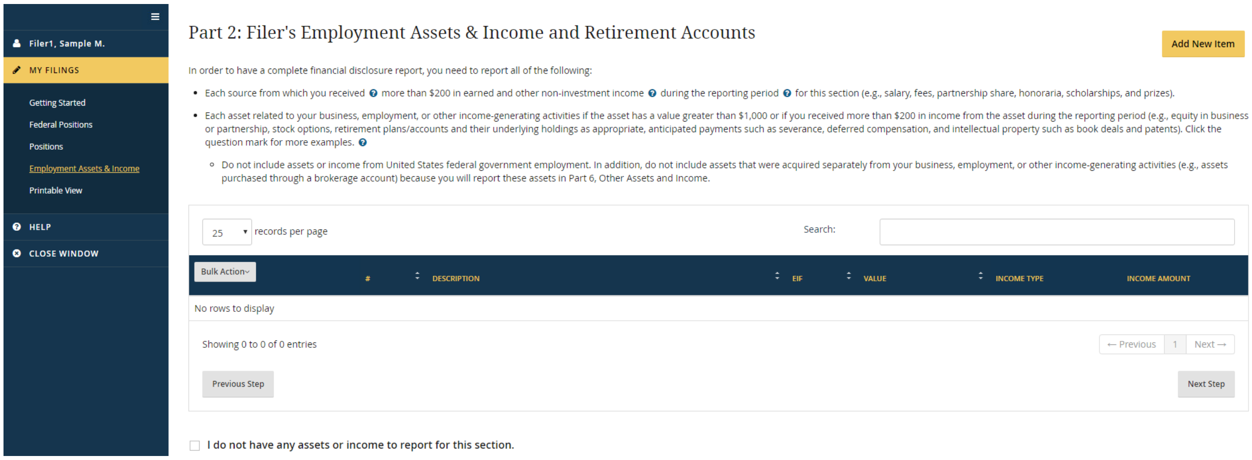


- Filer’s (your) Retirement Plans/Accounts: This page begins a filing wizard that appears for first-time Filers and for Filers that add a position to the “Positions” grid. The answers to the filing wizard questions are used to complete portions of “Filer’s Employment Assets & Income and Retirement Accounts” 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.

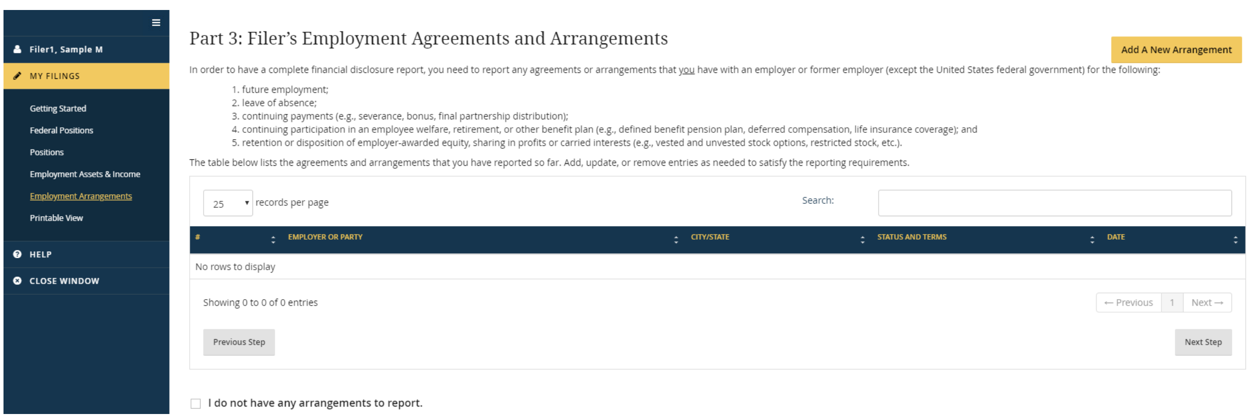




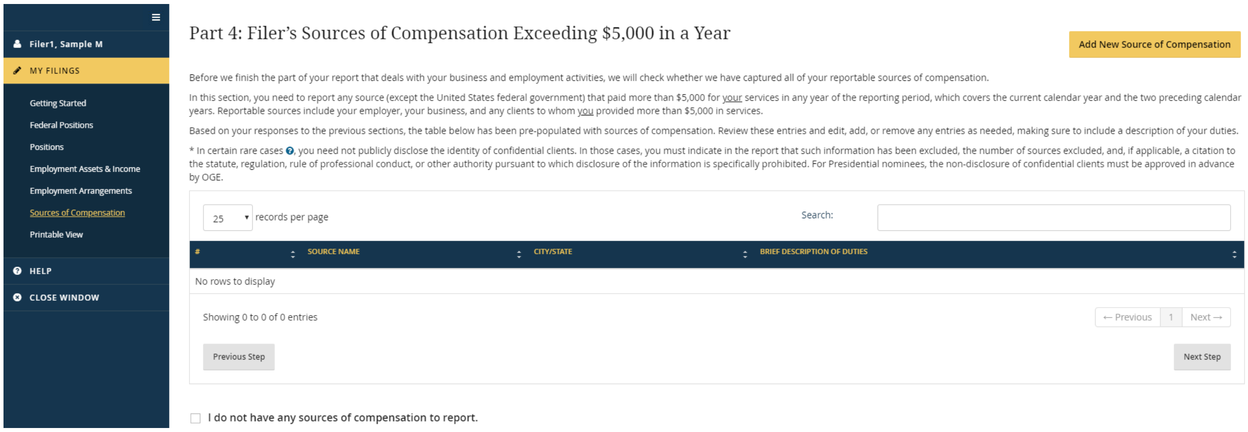
- Filer's (your) Employment Assets & Income and Retirement Accounts: This page is a data entry grid equivalent to Part 2 of the OGE Form 278e. If the Filer was routed through the filing wizards, some entries will have been added to this grid automatically. The Filer can change these entries as needed.



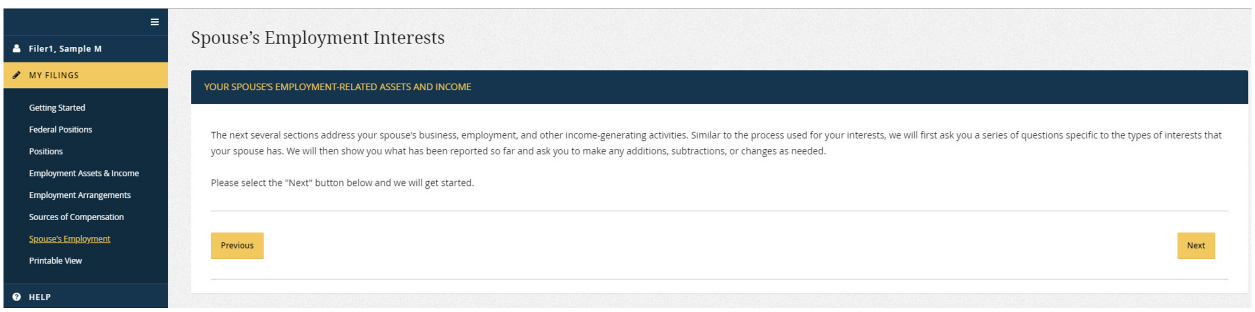
- Filer's (your) Employment Agreements and Arrangements: This page is a data entry grid equivalent to Part 3 of the OGE Form 278e. If the Filer was routed through the filing wizards, some entries will have been added to this grid automatically. The Filer can change these entries as needed.

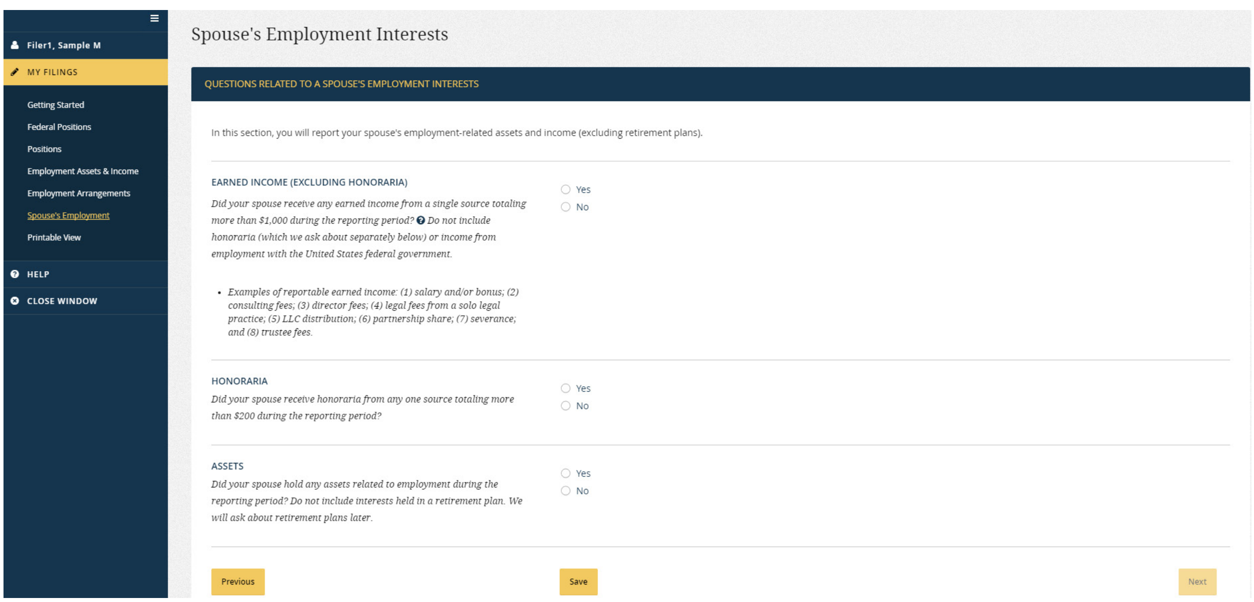


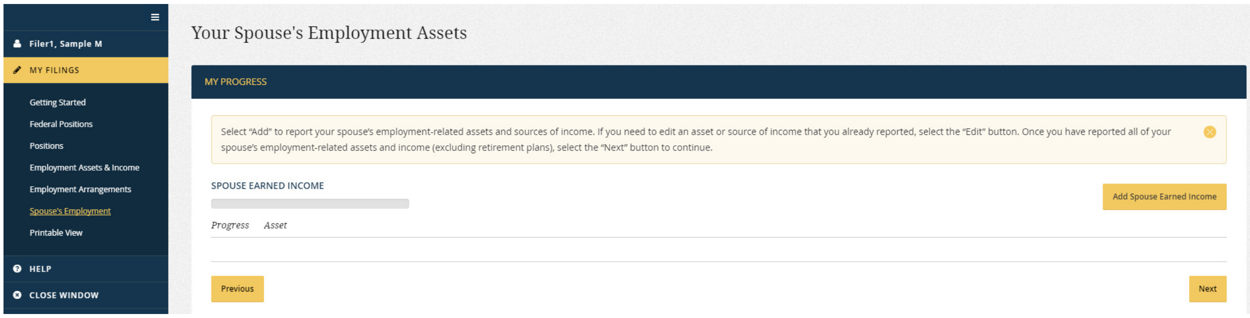
- Filer's (your) Sources of Compensation Exceeding $5,000 in a Year (*New Entrant and Nominee Reports only*): This page is a data entry grid equivalent to Part 4 of the OGE Form 278e. If the Filer was routed through the filing wizards, some entries will have been added to this grid automatically. The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



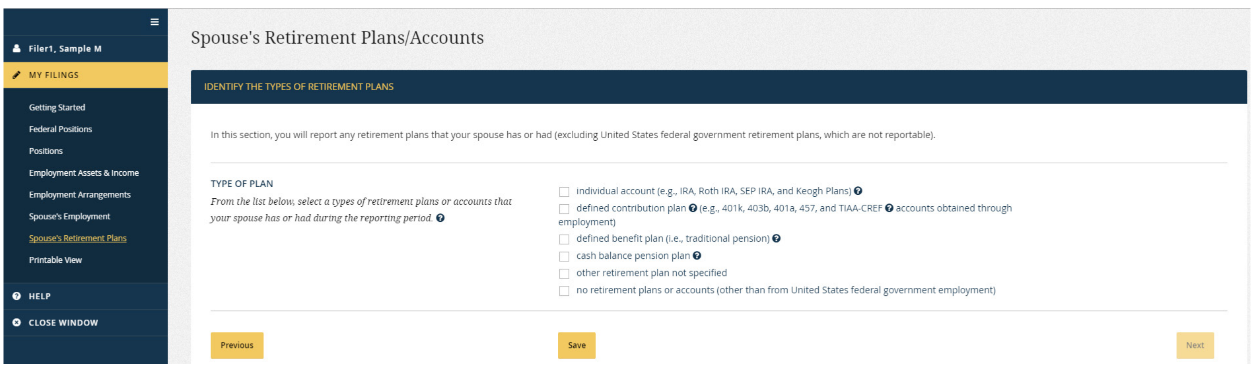
- Spouse's Employment Interests: This page begins a wizard that appears for first-time Filers who indicate that they have a spouse. The wizard also appears for Filers who indicate that they have a spouse but who did not report assets for a spouse on the prior report. The answers to the wizard questions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

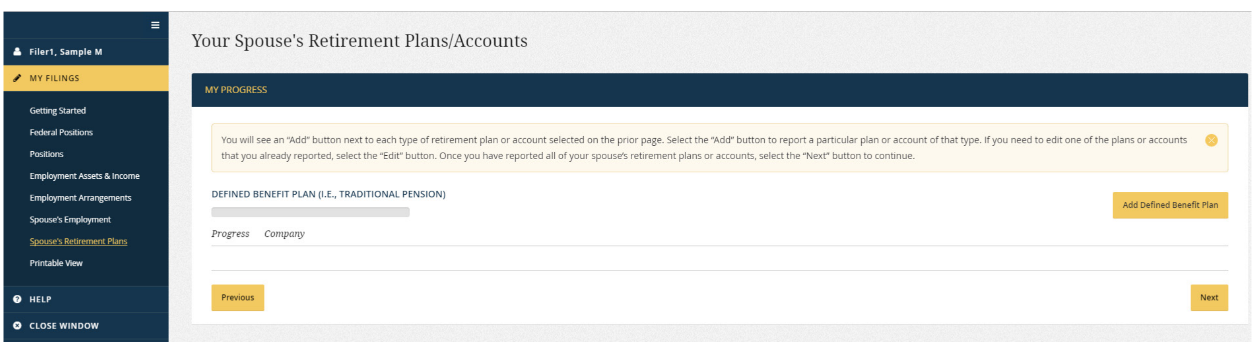




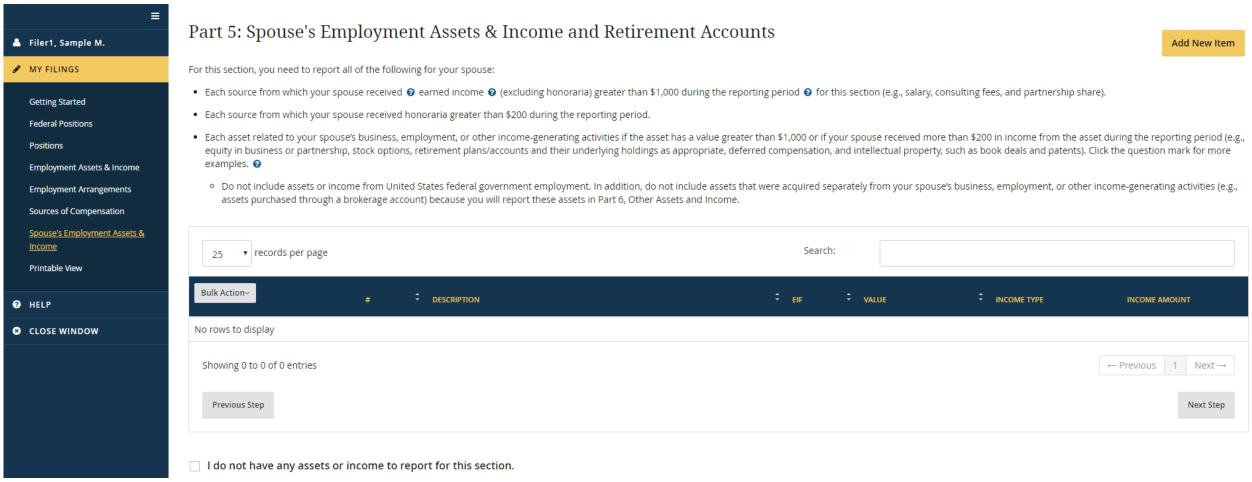


- Spouse's Retirement Plans/Accounts: This page begins a wizard that appears for first-time Filers who indicate that they have a spouse. The wizard also appears for Filers who indicate that they have a spouse but who did not report assets for a spouse on the prior report. The answers to the wizard questions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

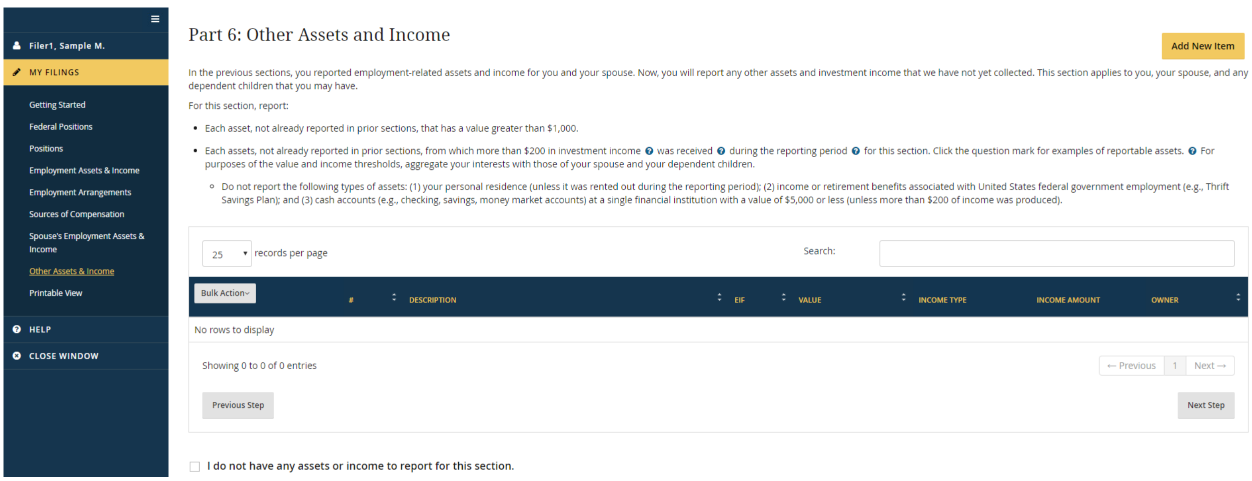




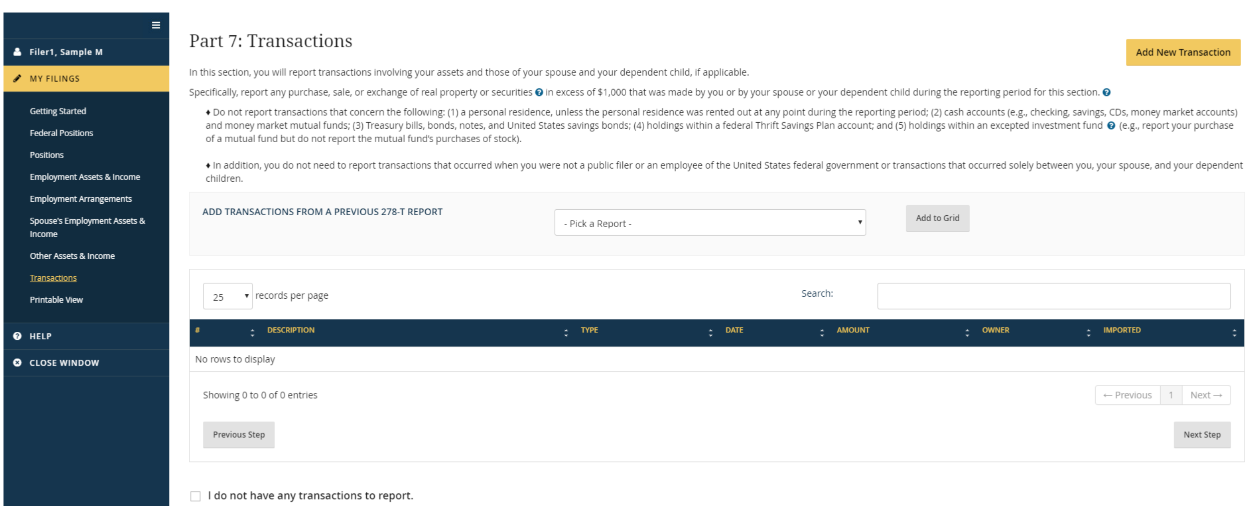
- Spouse's Employment Assets & Income and Retirement Accounts: This page is a data entry grid equivalent to Part 5 of the OGE Form 278e. The grid appears only if the Filer indicates that he or she has a spouse. Otherwise, *Integrity* automatically notes "None" on the OGE Form 278e for Part 5.



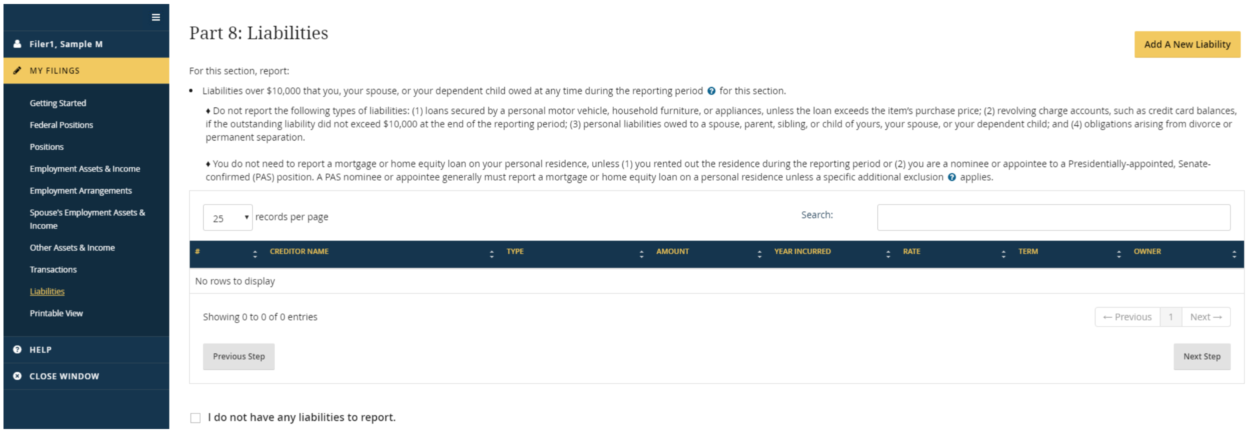
- Other Assets and Income: This page is a data entry grid equivalent to Part 6 of the OGE Form 278e.



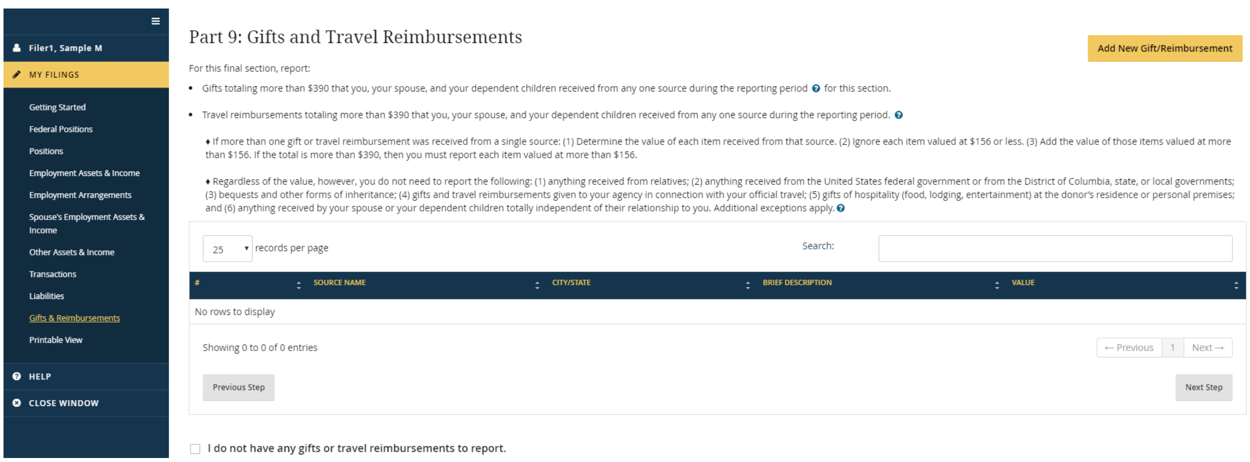
- Transactions (*Annual, Termination, and Annual/Termination Reports only*): This page is a data entry grid equivalent to Part 7 of the OGE Form 278e.



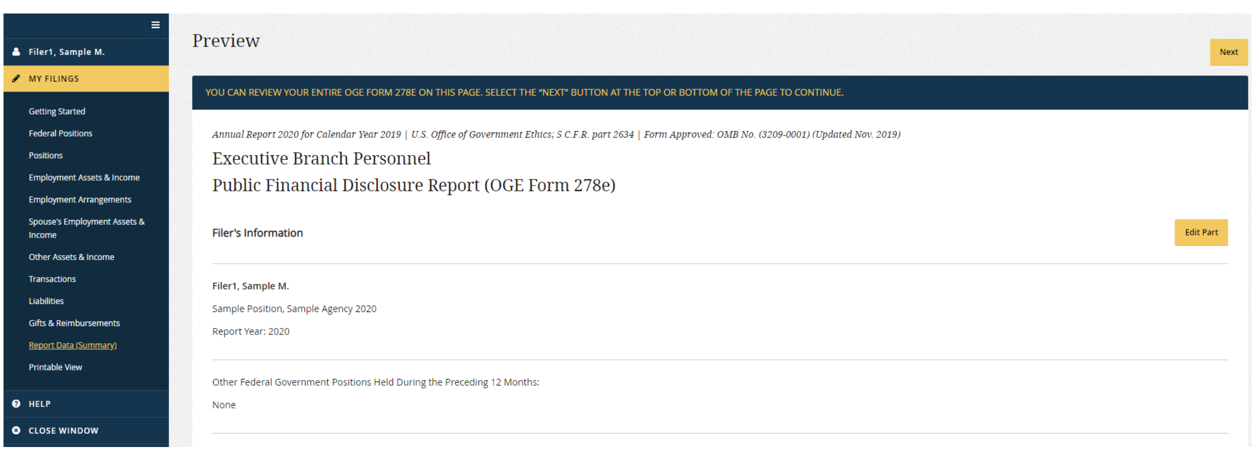
- Liabilities: This page is a data entry grid equivalent to Part 8 of the OGE Form 278e.



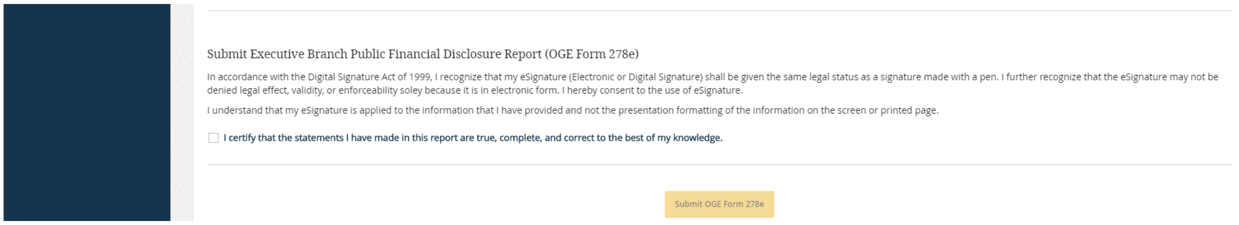
- Gifts and Travel Reimbursements (*Annual, Termination, and Annual/Termination Reports only*): This page is a data entry grid equivalent to Part 9 of the OGE Form 278e.



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



- 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.

4.3.3 - Filing Wizards

<u>Overview</u>

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

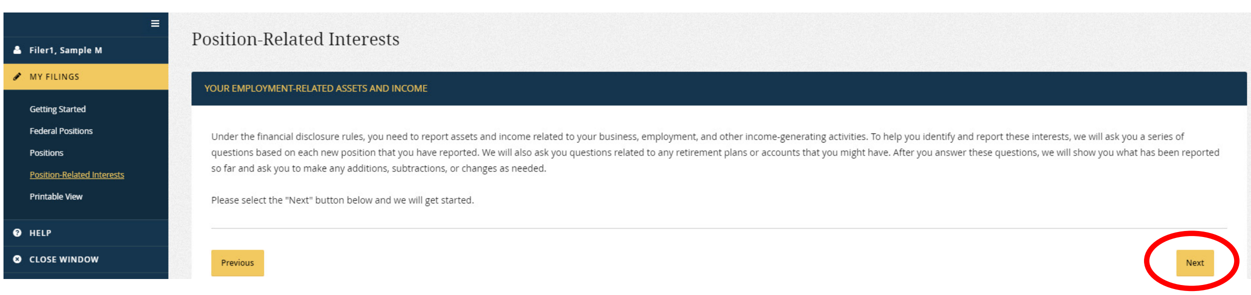
  - Spouse's Employment Interests Wizard: This wizard will appear for first-time Filers who indicate that they have a spouse. After the first report, the Filer will go through this wizard only if the Filer chose not to pre-populate a subsequent report or if the Filer did not report any assets for a spouse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

  - Spouse's Retirement Plans/Accounts Wizard: This wizard will appear for first-time 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.

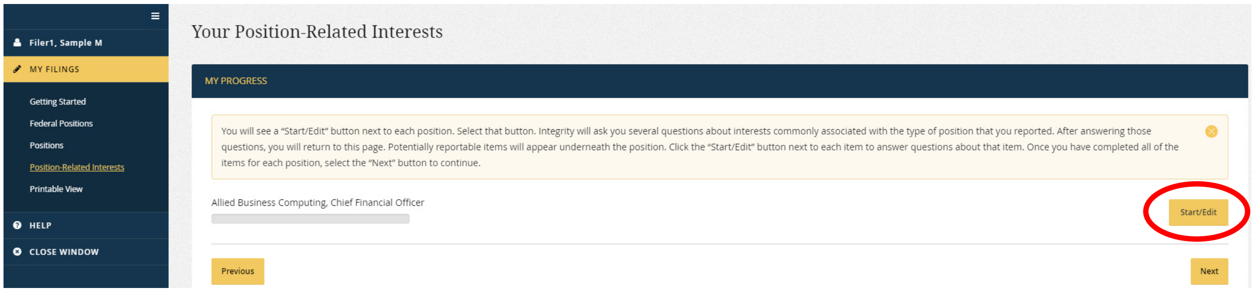
Integrity displays an "Exit Confirmation" screen before the Filer leaves the Spouse wizards. After the Filer confirms being finished with those wizards, *Integrity* will take the answers to the wizard questions and populate the appropriate data entry grid for Part 5 (Spouse's Employment Assets & Income 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.

<u>Using the Filer's Position-Related Interests Wizard</u>

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

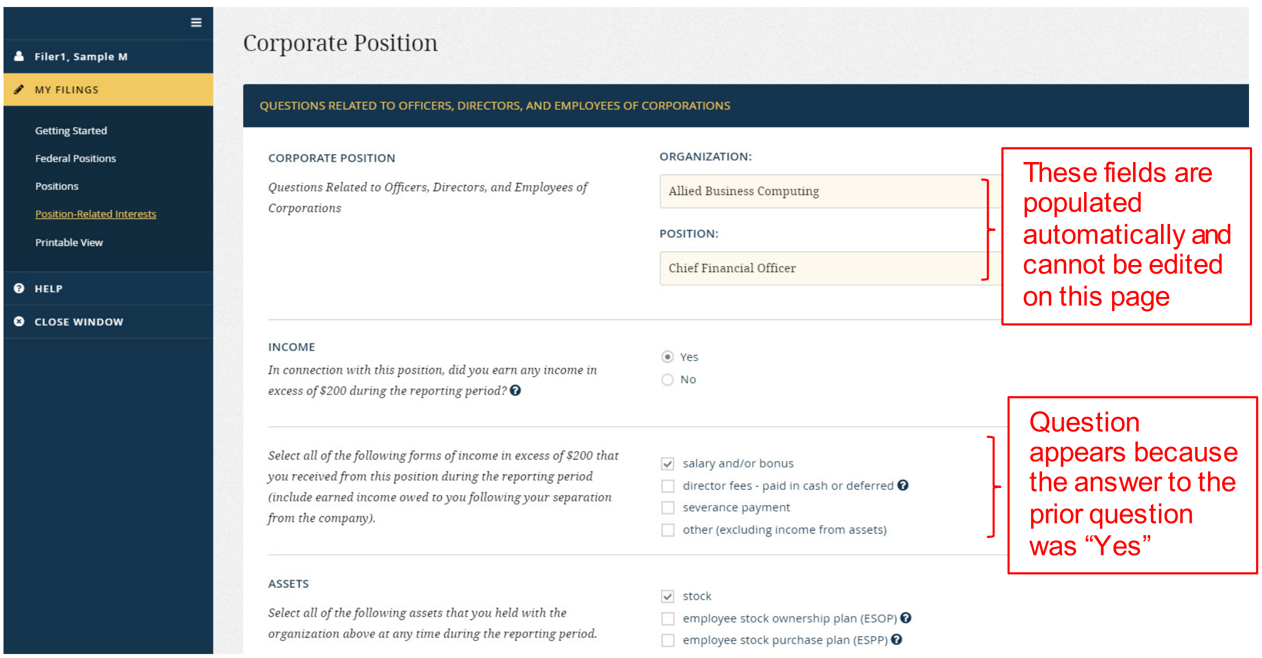


2. Chapter Page – Selecting a Position: The second page of the wizard is a list of the new positions added on the "Positions" grid. A progress bar underneath each position indicates whether the Filer has answered questions related to that position yet. At the right, there is a "Start/Edit" button. The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

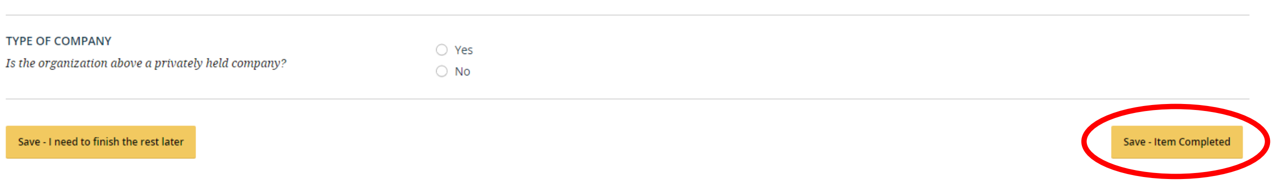


Note: If the Filer does not see a "Start/Edit" button, the Filer should try zooming out or exiting "full screen" view. See [section 3.5](#) for more information.

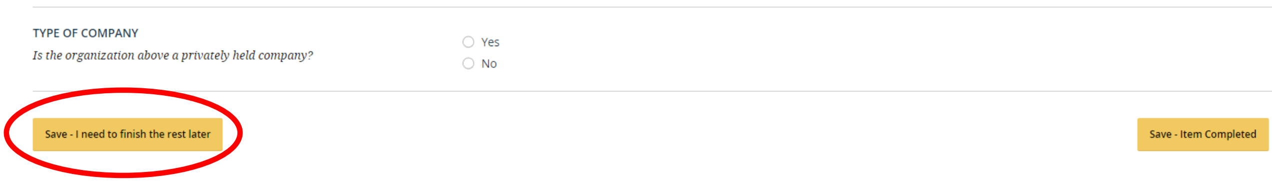
3. Basic Questions about the Position: *Integrity* will ask several questions about assets, income, and/or arrangements commonly associated with the type of position reported.



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

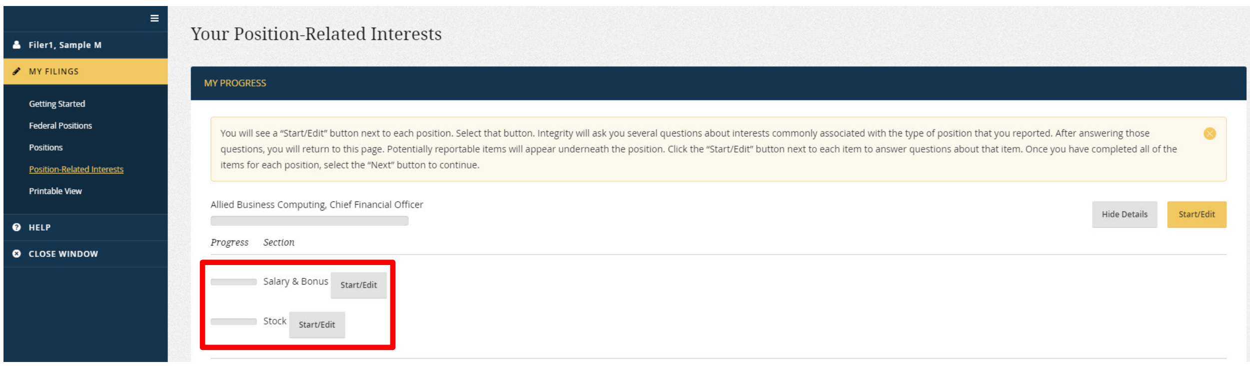


The Filer should click "I need to finish the rest later" if the Filer needs to go back to these questions later.

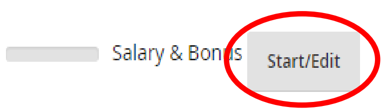


4. Chapter Page – Selecting an Interest: The Filer will return to the Chapter Page after exiting the questions related to a position. Entries will appear for any potentially reportable interests identified when completing the questions for the position.

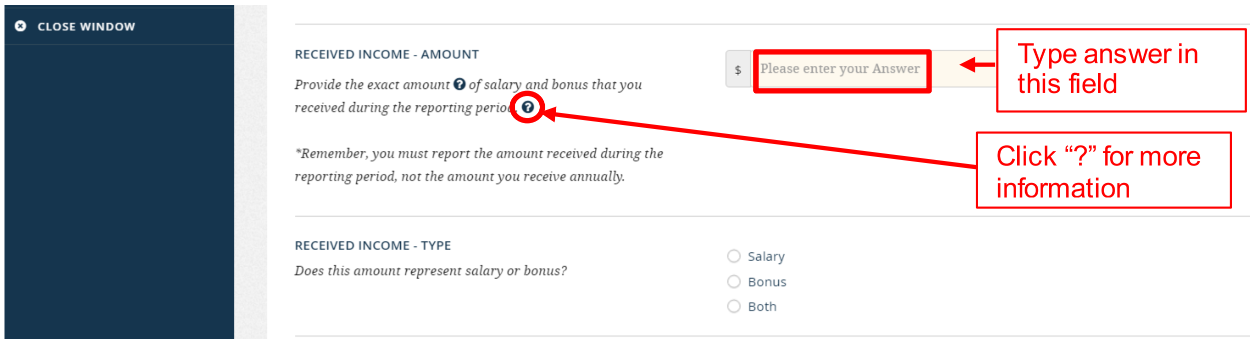
   In the prior example for the Chief Financial Officer position, the Filer checked the box for "salary and/or bonus" and the box for "stock." The Chapter Page, therefore, lists entries for "Salary & Bonus" and "Stock."



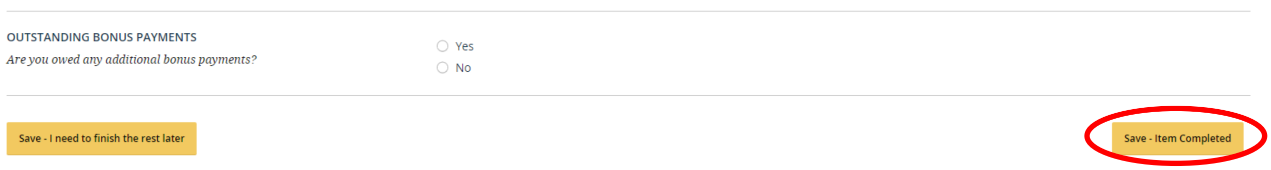
The Filer should click the "Start/Edit" button next to an entry to answer additional questions about the income or asset. In this example, the Filer should click "Start/Edit" next to the "Salary & Bonus" entry in order to answer questions about income received from Allied Business Computing.



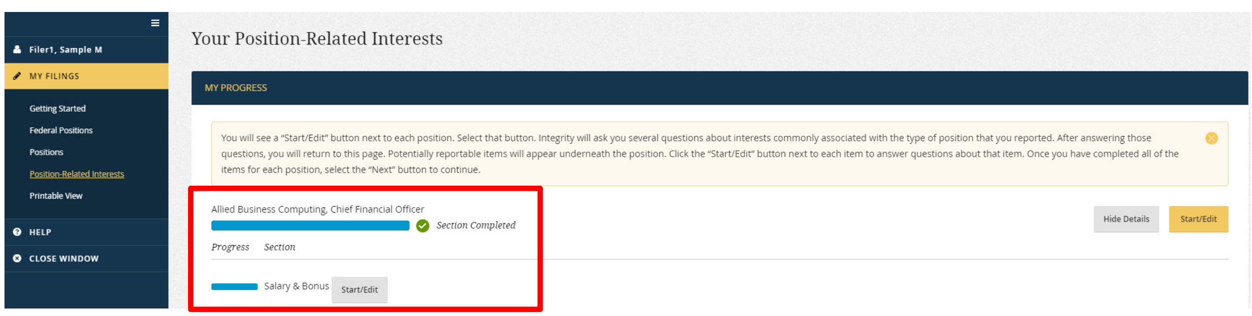
5. Specific Questions about an Interest: After clicking the "Start/Edit" button, the Filer will see a new page with questions specific to the type of asset or income. *Integrity* uses the responses to these questions to create entries on subsequent data entry grids.



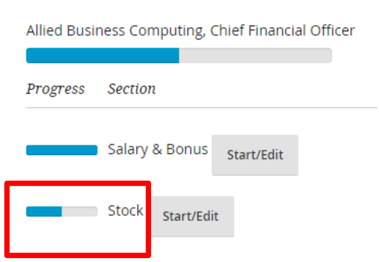
The Filer should click the "Item Completed" button at the bottom of the page if the Filer has answered all of the questions. The Filer should click "I need to finish the rest later" if the Filer needs to go back to these questions later.



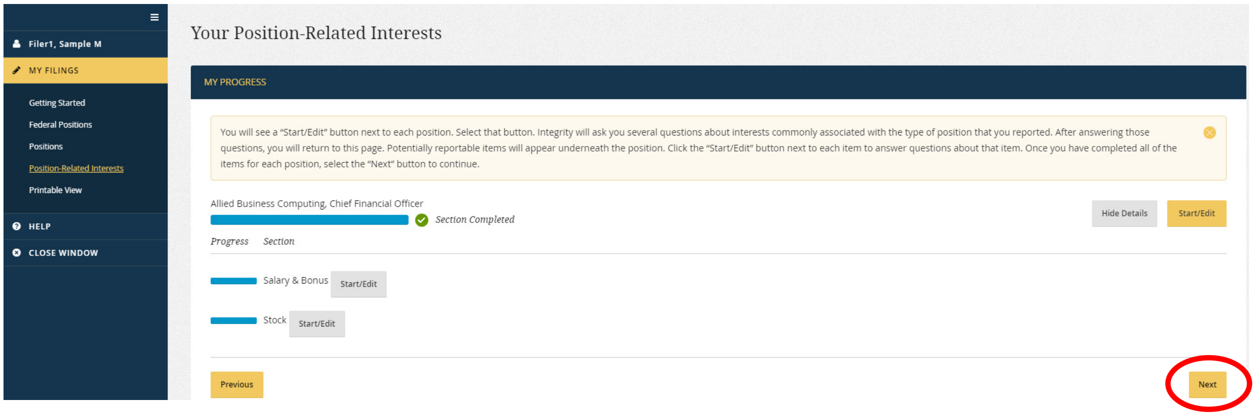
6. Chapter Page – Finished: After the Filer has clicked "Item Completed" for all positions and the interests associated with each position, the progress bar for each item will be completely blue.



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

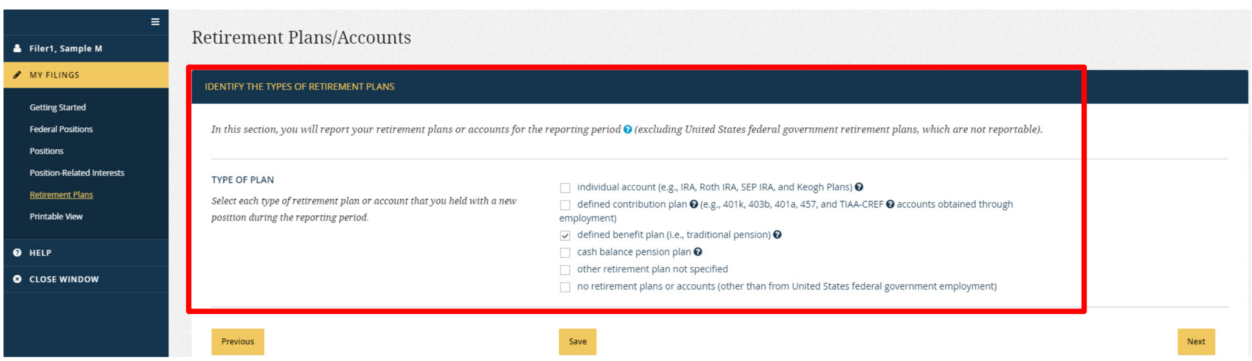


The Filer should click "Next" to move forward to the next section.

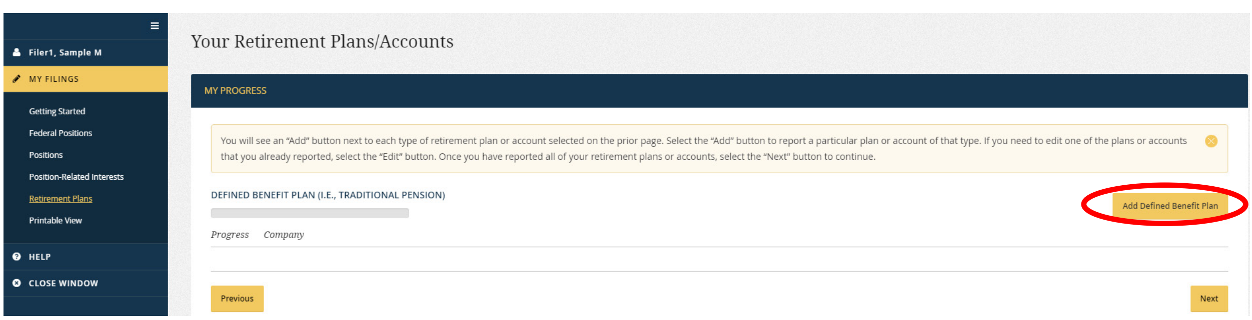


<u>Using the Filer's Retirement Plans/Accounts Wizard</u>

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.

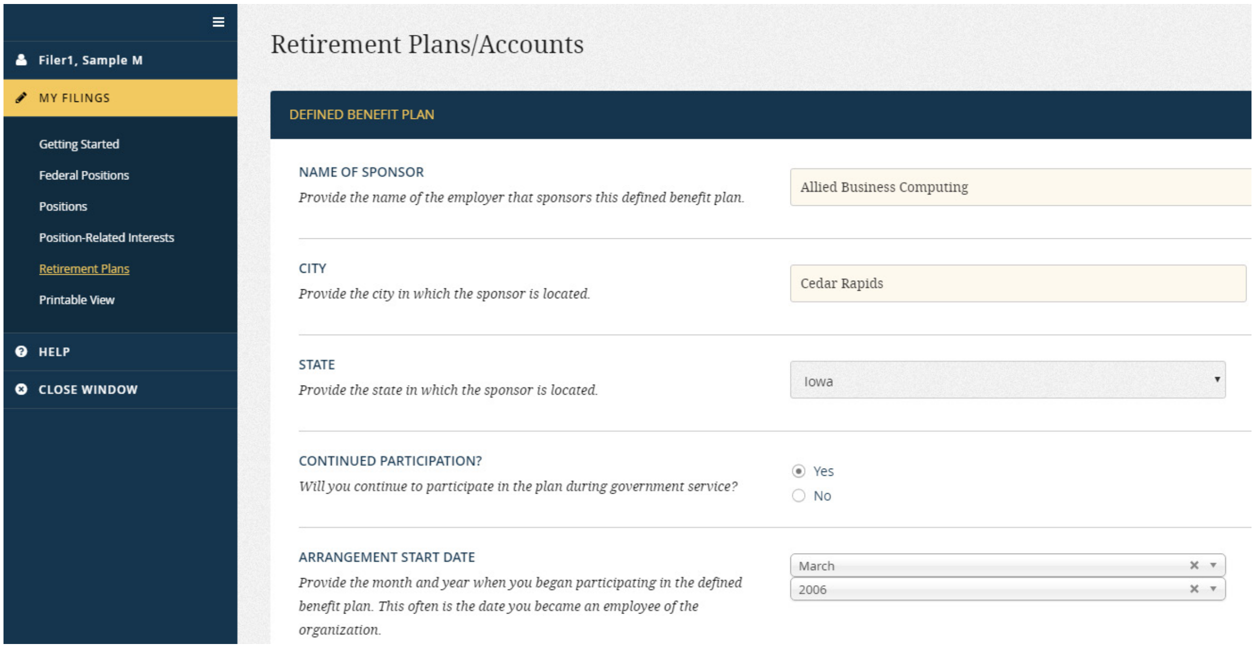


2. Chapter Page – Add a Specific Plan/Account: The second page of the wizard is a list of the plan/account types selected on the prior screen. A progress bar underneath each type indicates whether the Filer has provided an entry for that plan/account type. At the right, there is an "Add" button. The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

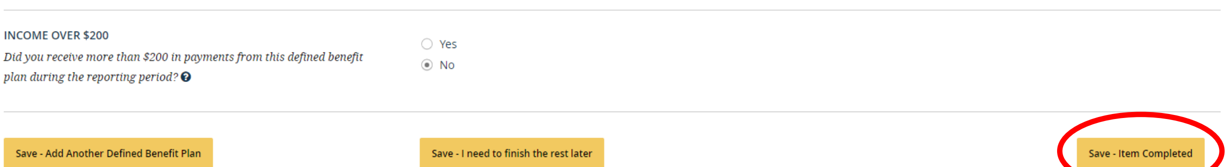


Note: To add a type of plan/account not listed on the Chapter Page, the Filer will need to return to the initial "Retirement Plan" page by clicking the "Previous" button.

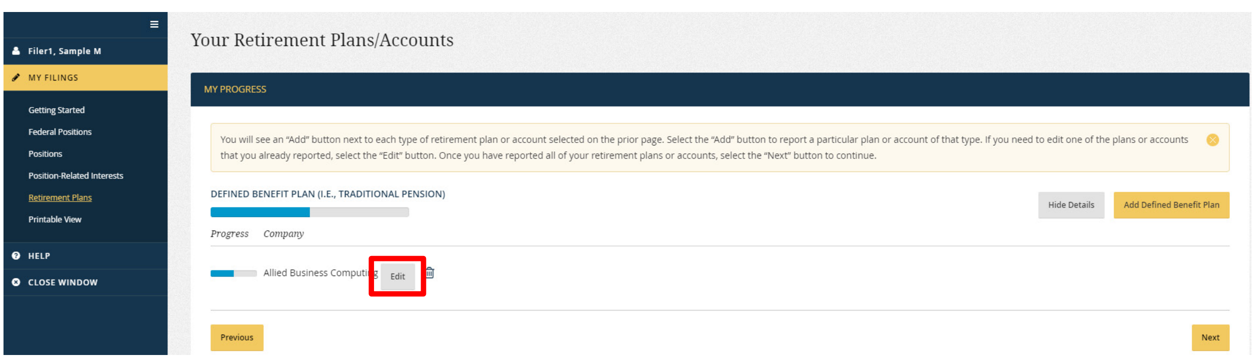
3. Questions about the Plan/Account: *Integrity* will ask questions about the particular plan/account selected. The questions vary based on the type of plan/account.



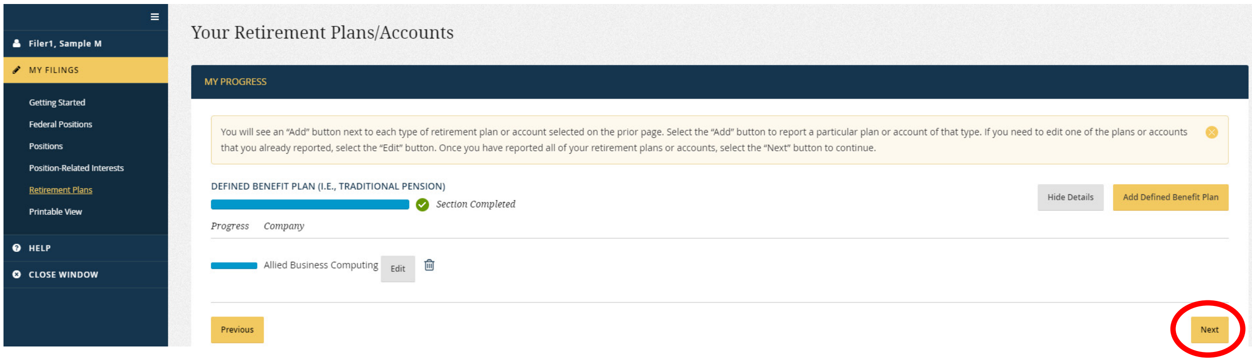
The Filer should click "Item Completed" at the bottom of the page if the Filer has answered all of the questions. The Filer should click "I need to finish the rest later" if the Filer needs to go back to these questions later. Clicking "Add Another" adds another plan/account of that same type.



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.

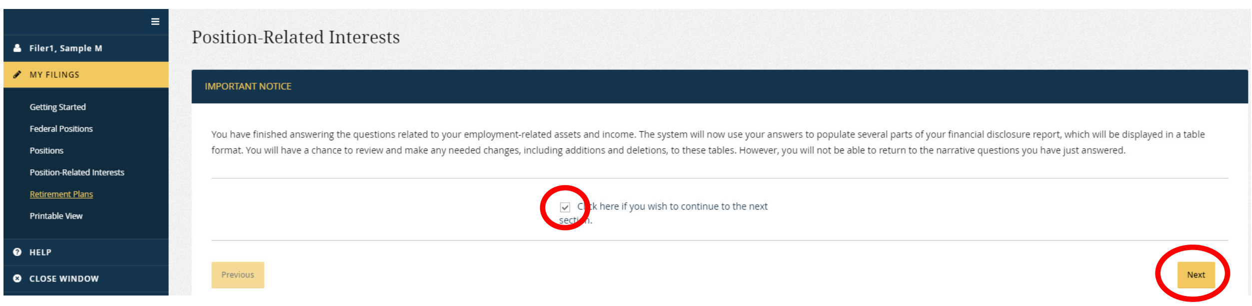


5. Chapter Page – Finished: After clicking "Item Completed" for all of the plans and accounts, the progress bar for each item will be completely blue. The Filer should click "Next" to move forward to the next section.



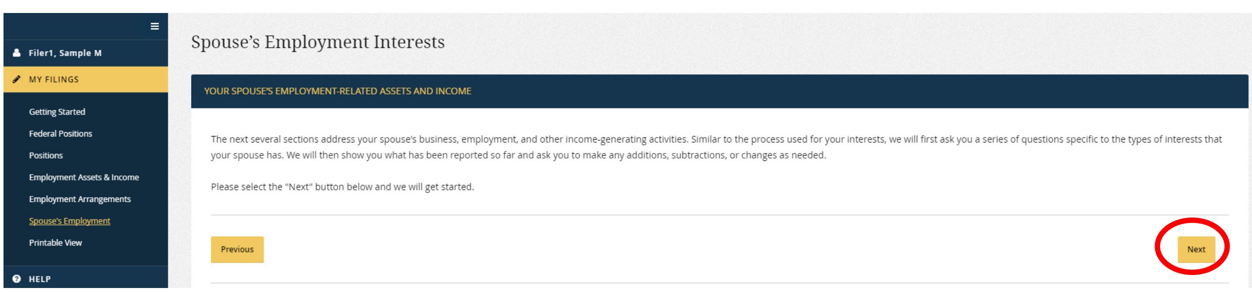
Exit Confirmation for the Filer Wizards

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.

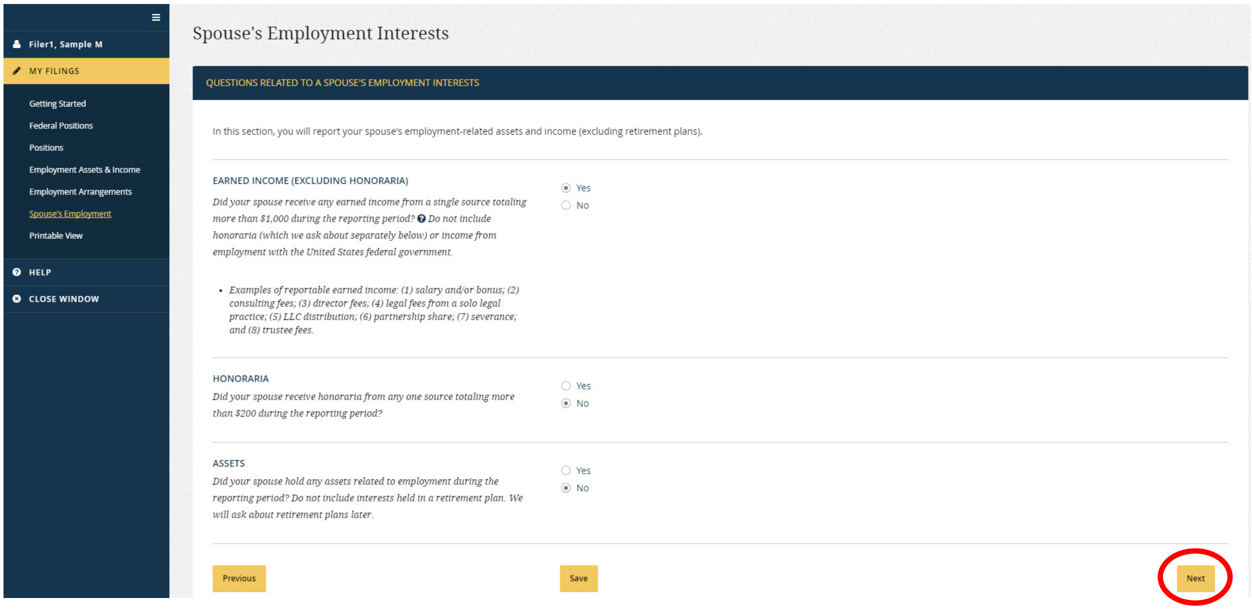


Using the Spouse's Employment Interests Wizard

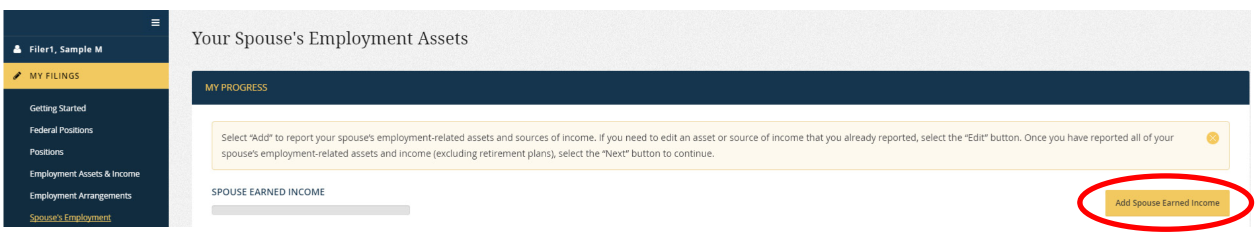
1. Introduction: The first page of the wizard is a screen that explains the wizard process. The Filer should click "Next" to continue.



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.

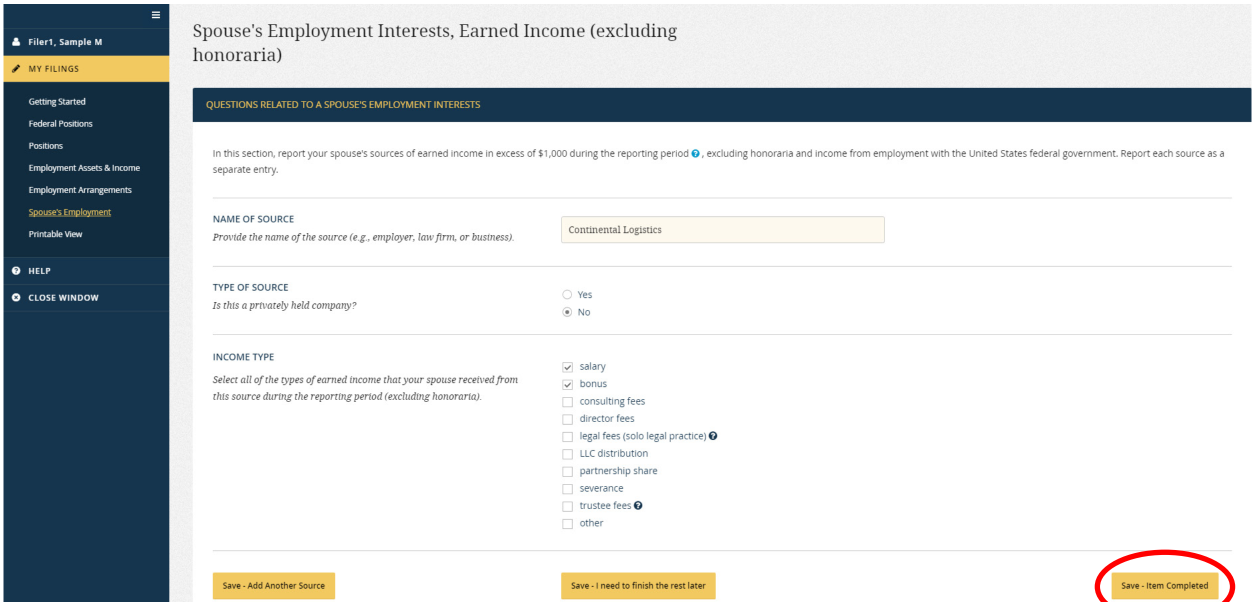


3. Chapter Page – Add a Source or Asset: The third page of the wizard is a list of the categories selected on the prior screen. A progress bar underneath each category indicates whether an entry has been provided for that category. At the right, there is an “Add” button. The Filer should click that button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

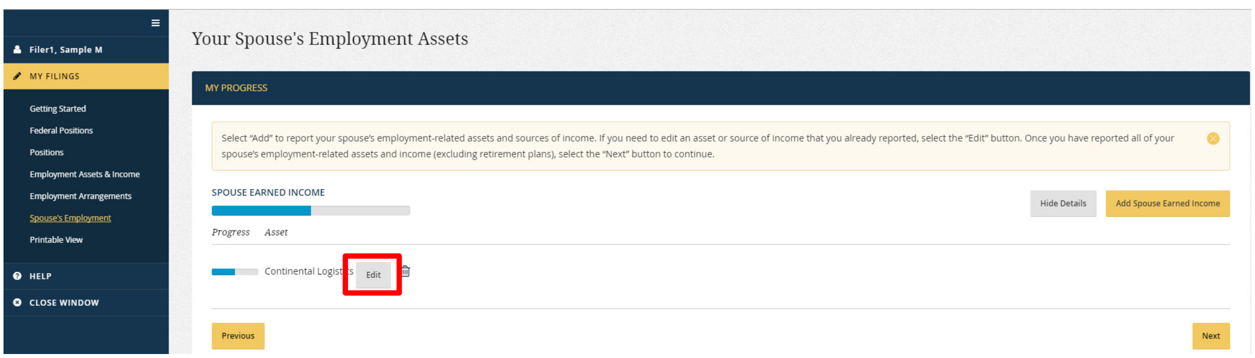


Note: To add a category not listed on the Chapter Page, the Filer will need to return to the initial “Spouse’s Employment Interests” page by clicking the “Previous” button.

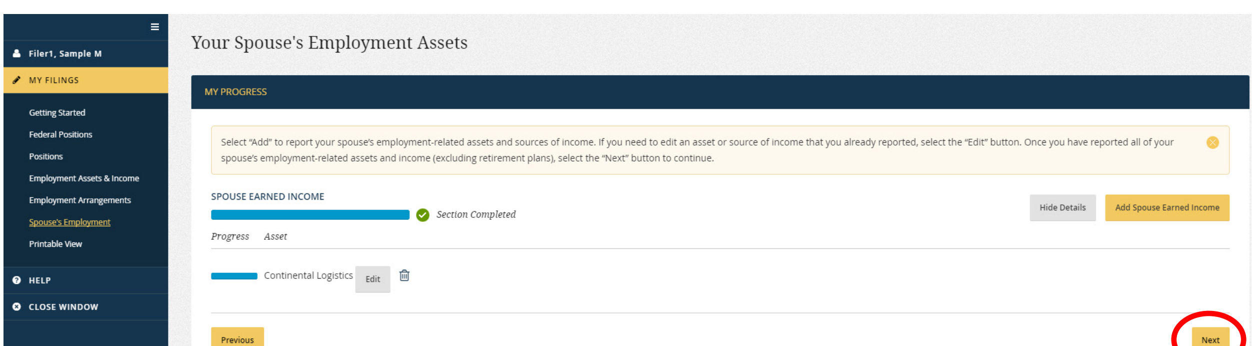
4. Questions about the Source or Asset: *Integrity* will ask several questions about the source or asset that the Filer wishes to report. The questions will differ based on whether the Filer is reporting a source of earned income (excluding honoraria), a source of honoraria, or an employment-related 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.



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.

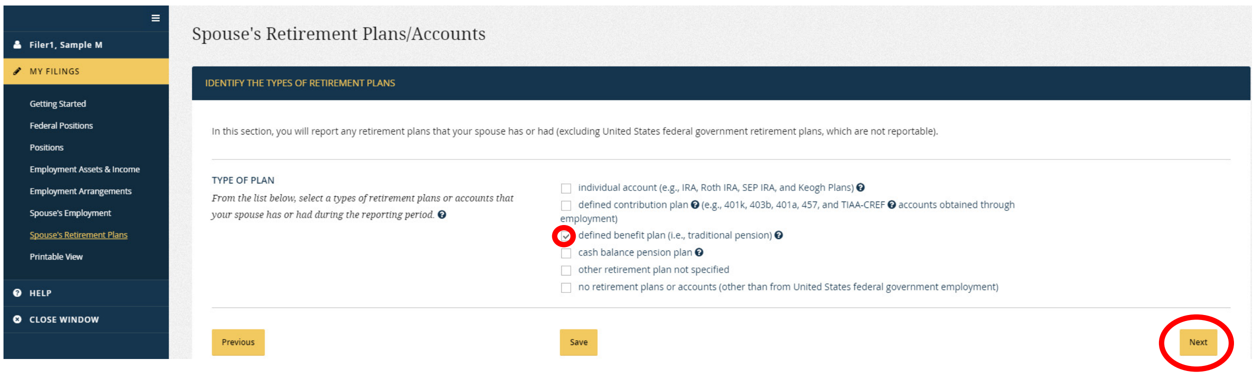


6. Chapter Page – Finished: After the Filer clicks "Item Completed" for all sources and assets, the progress bar for each item will be completely blue. The Filer should click "Next" to move forward to the next section.

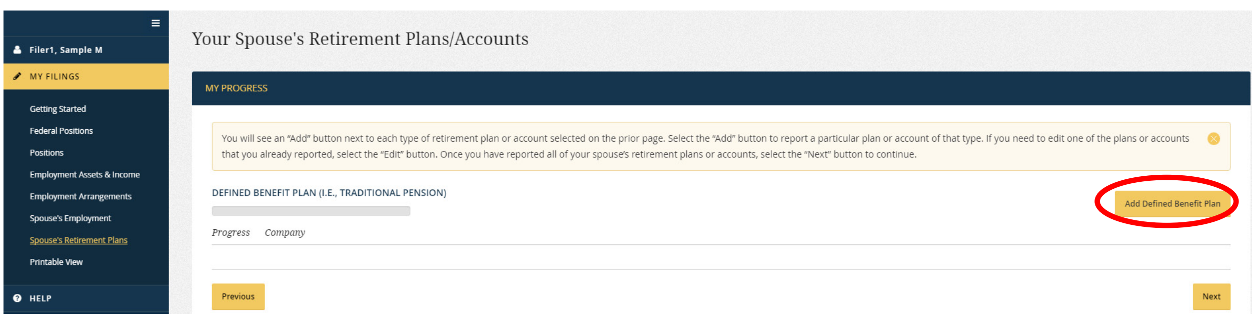


Using the Spouse's Retirement Plans/Accounts Wizard

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.

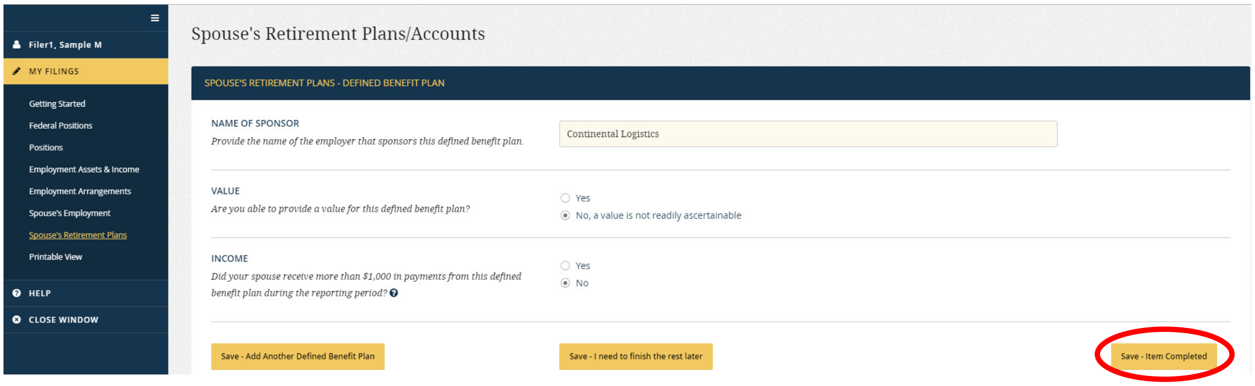


2. Chapter Page – Add a Specific Plan/Account: The second page of the wizard is a list of the plan/account types that the Filer selected on the prior screen. A progress bar underneath each type indicates whether the Filer has provided an entry for that plan/account type. The Filer should click the "Add"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

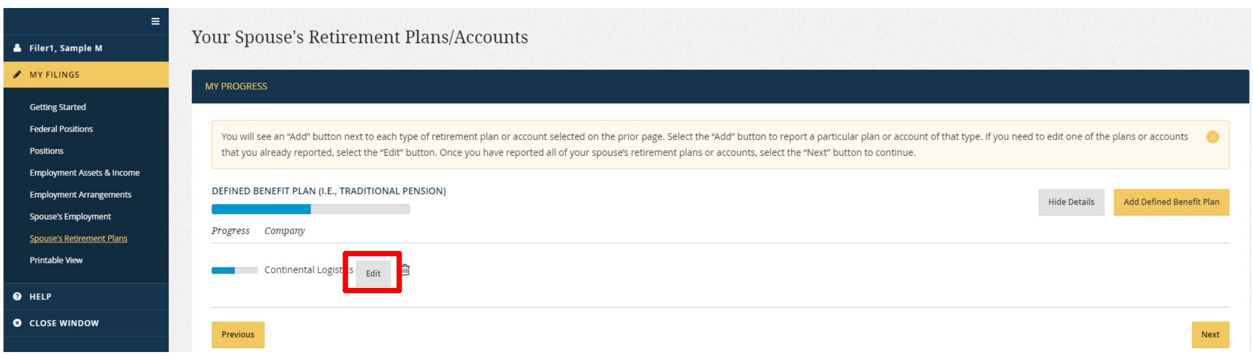


Note: To add a type of plan/account not listed on the Chapter Page, the Filer will need to return to the initial "Retirement Plan" page by clicking the "Previous" button.

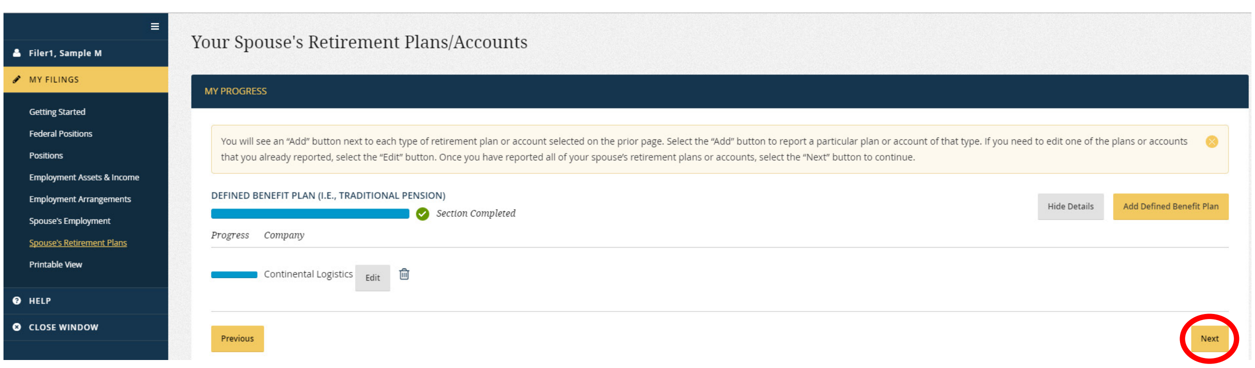
3. Questions about the Plan/Account: *Integrity* will ask several questions about the particular plan/account that the Filer wishes to report. The questions will differ based on the type of plan/account. The Filer should click "Item Completed" if the Filer has answered all of the questions. The Filer 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.



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.

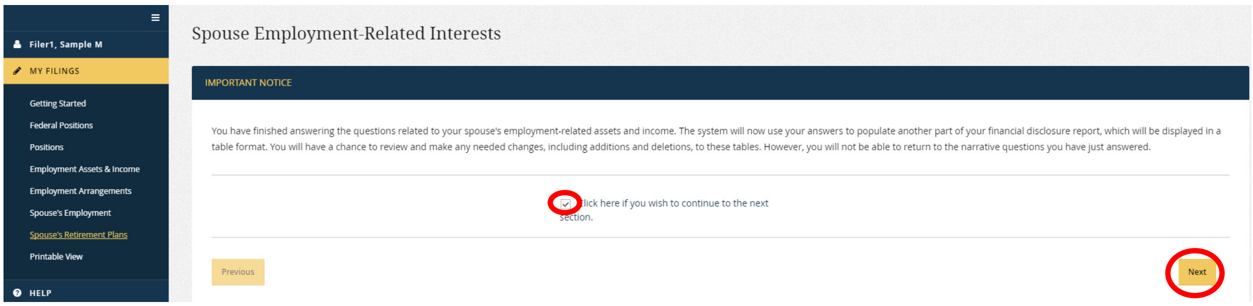


5. Chapter Page – Finished: After the Filer has clicked "Item Completed" for all plans and accounts, the progress bar for each item will be completely blue. The Filer should click "Next" to move forward to the next section.



Exit Confirmation for the Spouse Wizards

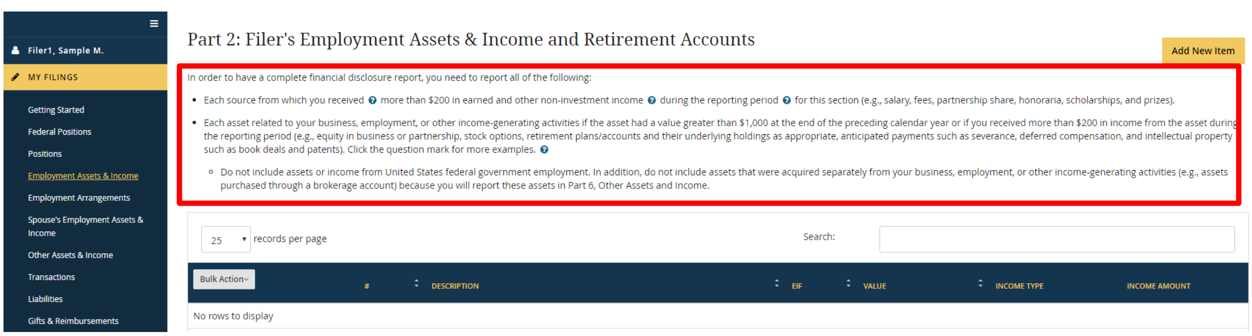
The Filer needs to confirm that he or she is finished using the Spouse wizards before the Filer can proceed to the next step. Then, *Integrity* will take the answers and populate the data entry grid for Part 5. The Filer cannot return to these wizards once population occurs, so the Filer will need to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



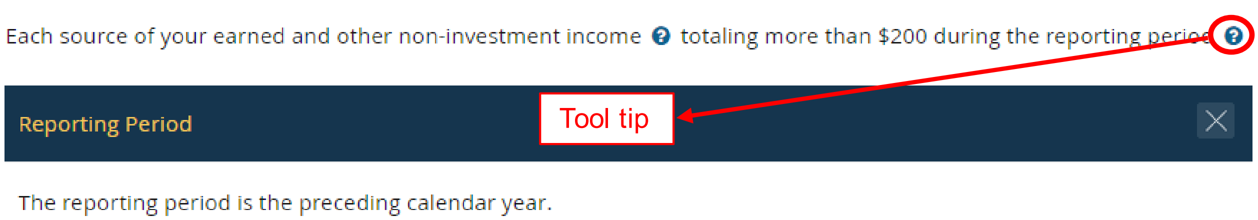
4.3.4 - Data Entry Grids: Introduction

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.

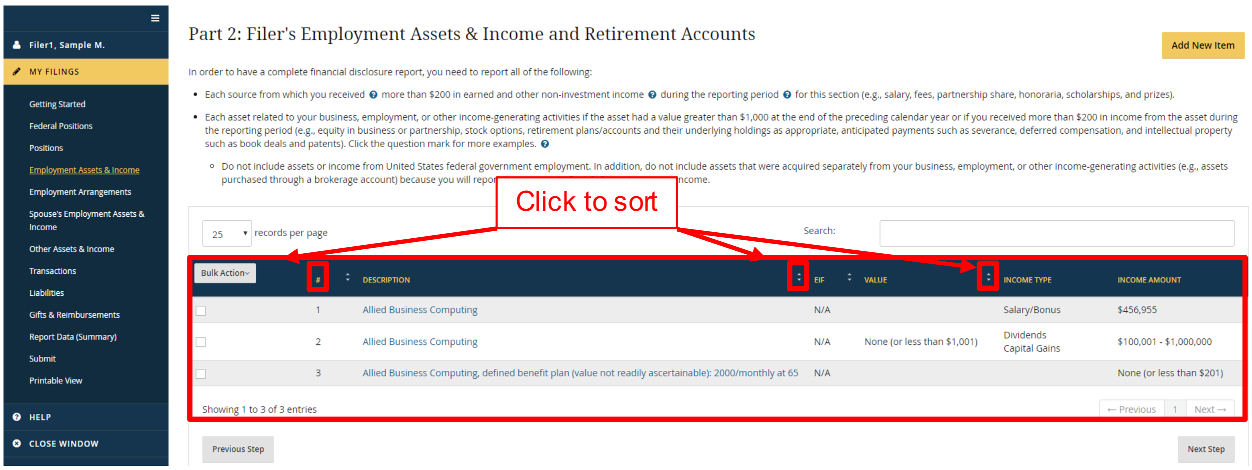


The tool tip ("?") icon indicates that additional information is available. Clicking the icon displays that information.



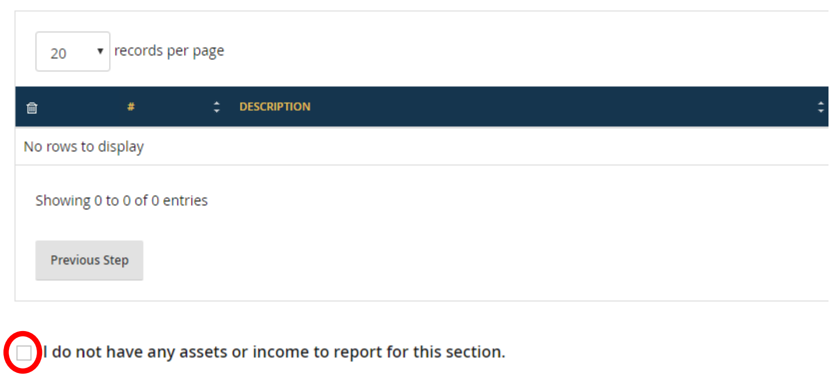
Grid

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.



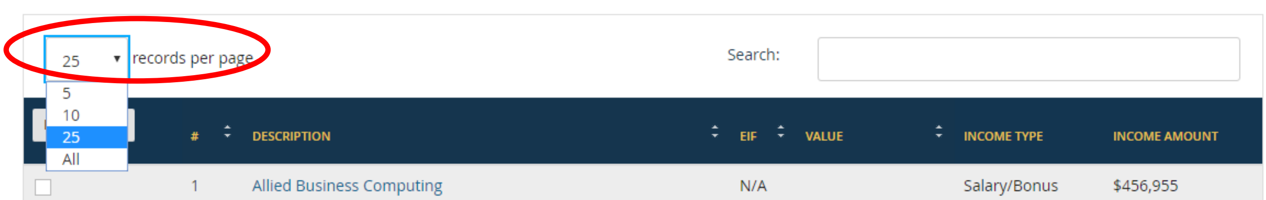
Nothing to Report

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.



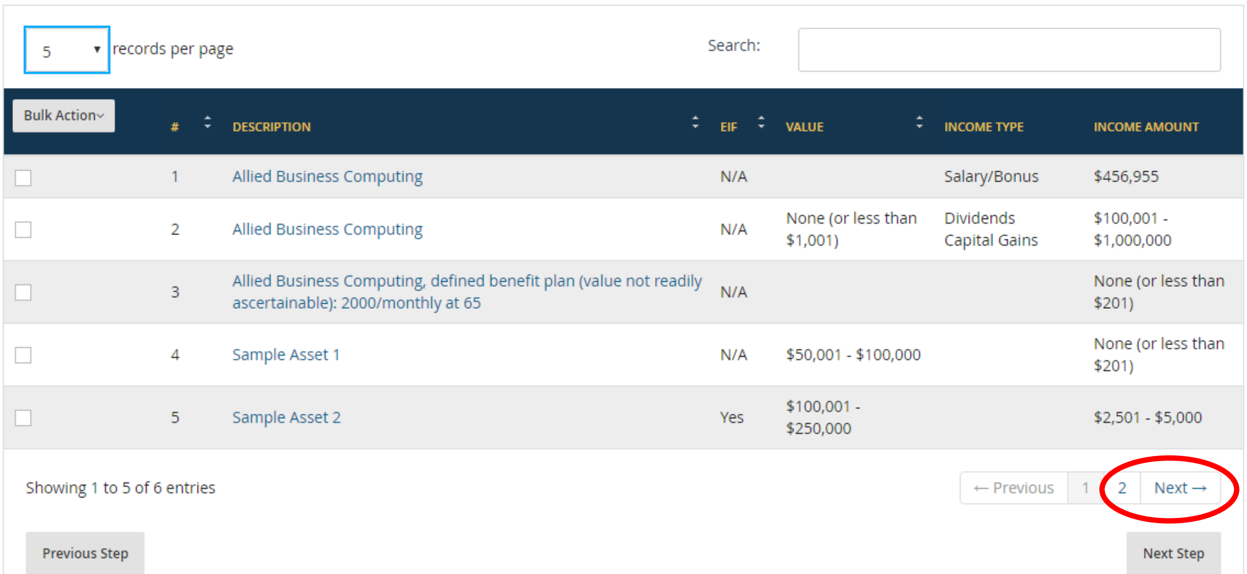
Change the Number of Entries Displayed on a Page

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



Move to a Different Page within a Grid

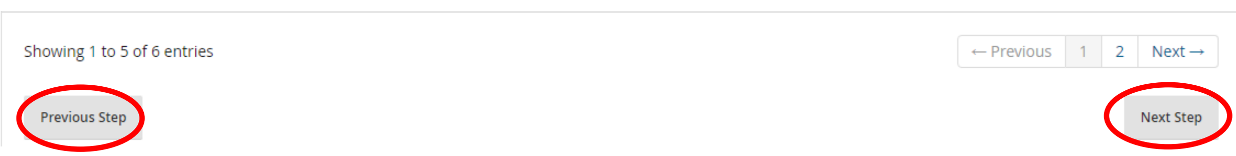
The number of row entries within a grid might exceed the number that can be displayed on a single page. To access these additional row entries, the Filer clicks the “Next” button at the bottom of the grid.



	#	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

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 left-side navigation menu.

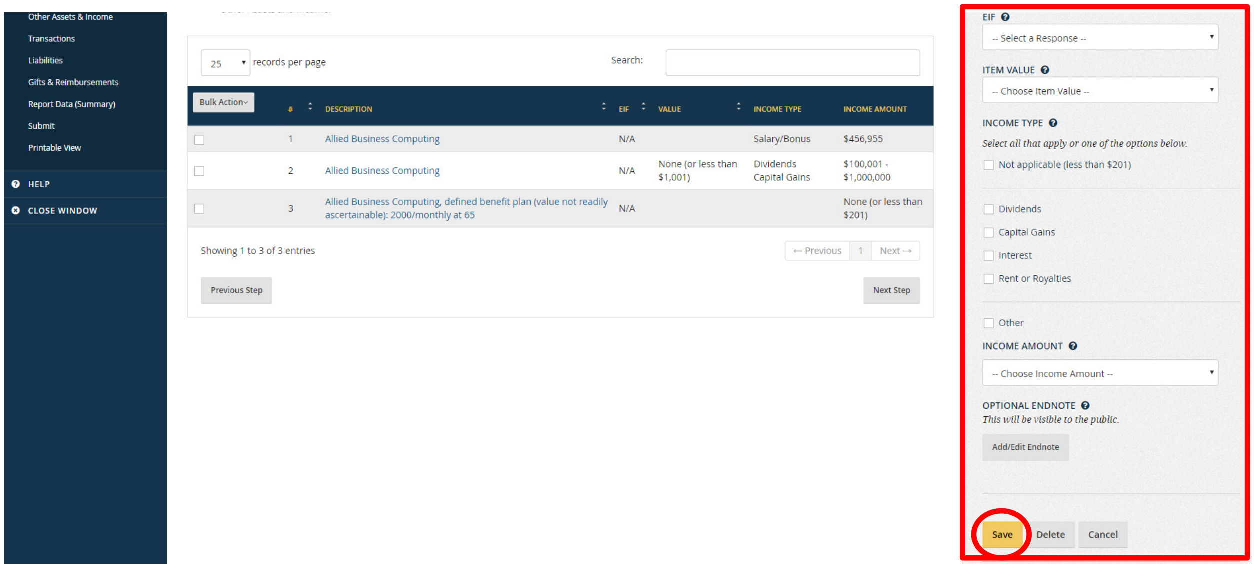


4.3.5 - Data Entry Grids: Add an Entry

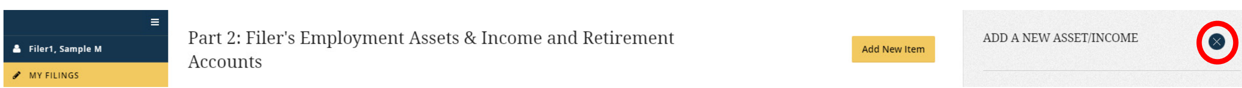
Add an Entry

Clicking the “Add” button displays the “Add” section on the right.

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.



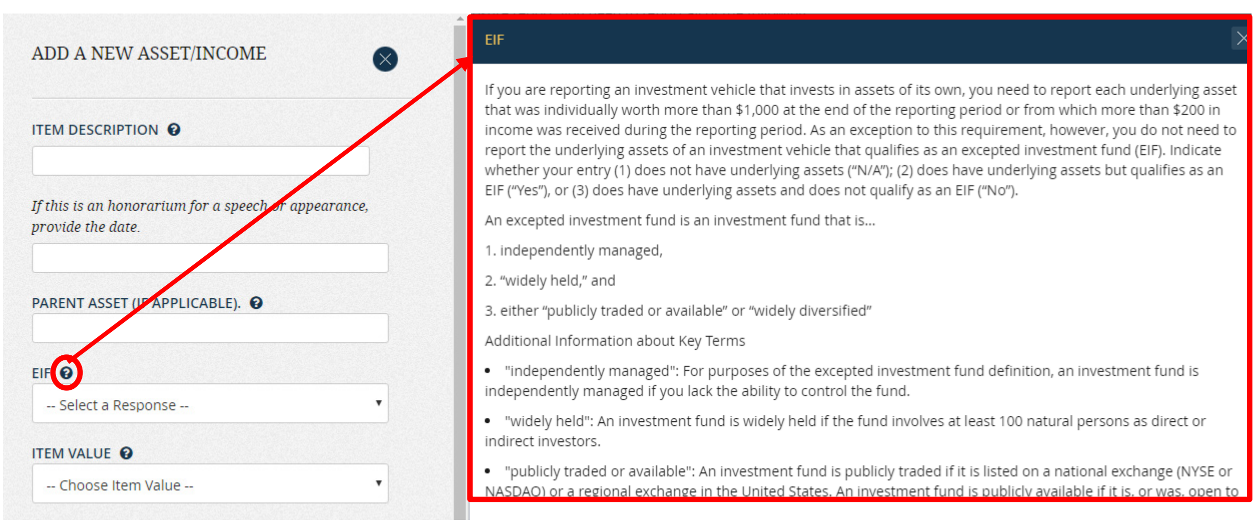
The Filer can hide the “Add” section by clicking the “X” in the upper right.



Add an Underlying Asset

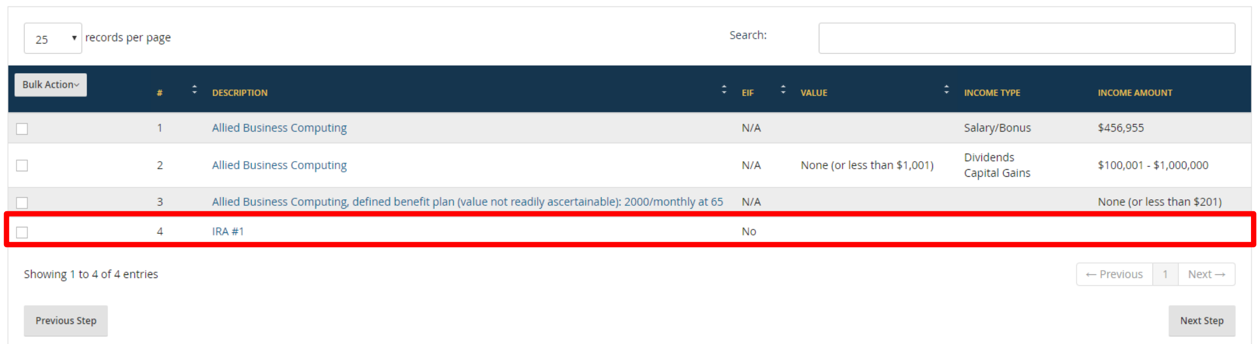
Filers sometimes need to report an asset that is held within another asset (e.g., the holdings of an investment fund that does not qualify as an excepted investment fund).

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.

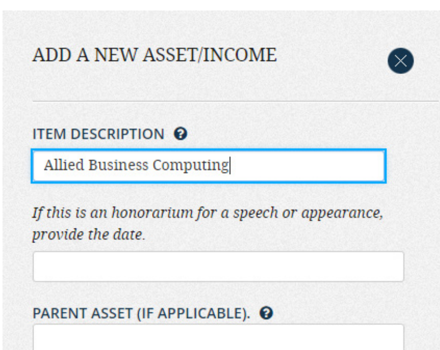


After the Filer is sure that an underlying asset is reportable, the Filer should consider whether the underlying asset must specifically be reported as an underlying asset of its "parent." For example, according to the current rules for executive branch public financial disclosure, a Filer needs to report 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.

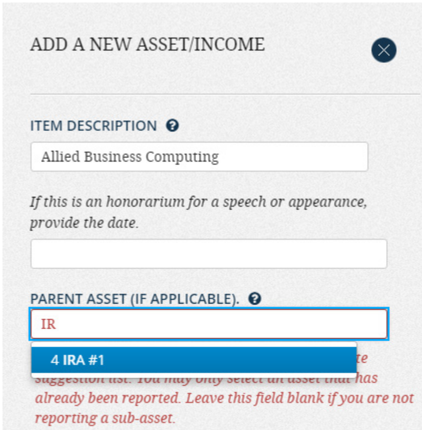
If the Filer is sure that an underlying asset is reportable and that underlying asset should be associated with its parent asset (or if the Filer would like to do so), the Filer would start the process of adding the underlying asset by adding the parent asset. For example, if the Filer is reporting a 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.



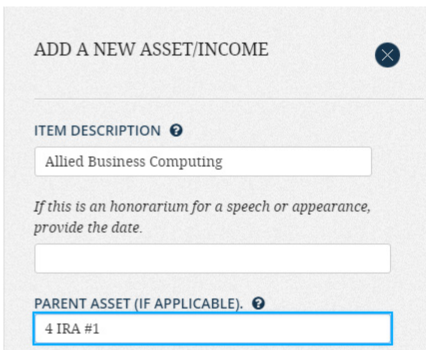
The "Add" section should still be open at the right. If the "Add" section is closed, the Filer should click the "Add" button again. The Filer should enter a description for the underlying asset. For example, if the IRA holds "Allied Business Computing" stock, the Filer would type the name of the stock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



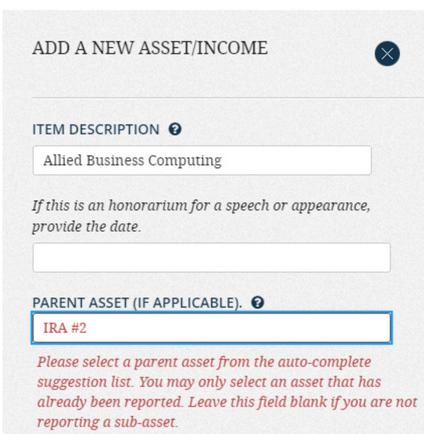
Next, the Filer should enter the name of the parent asset in the "Parent Asset" field. In this example, the Filer would type "IRA #1." As the Filer types, *Integrity* will suggest a list of options from the list of assets that the Filer already reported.



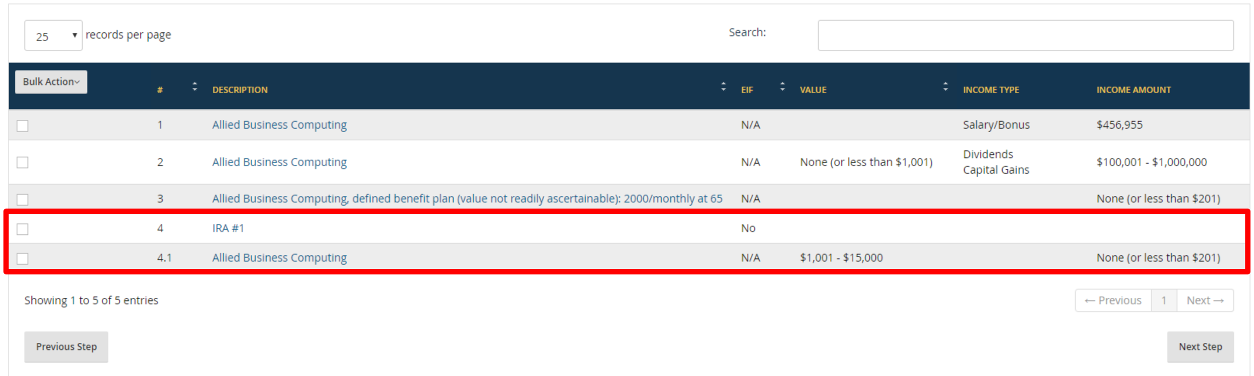
The Filer should select the name of the parent asset. The name of that asset will now appear in the "Parent Asset" field.



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.



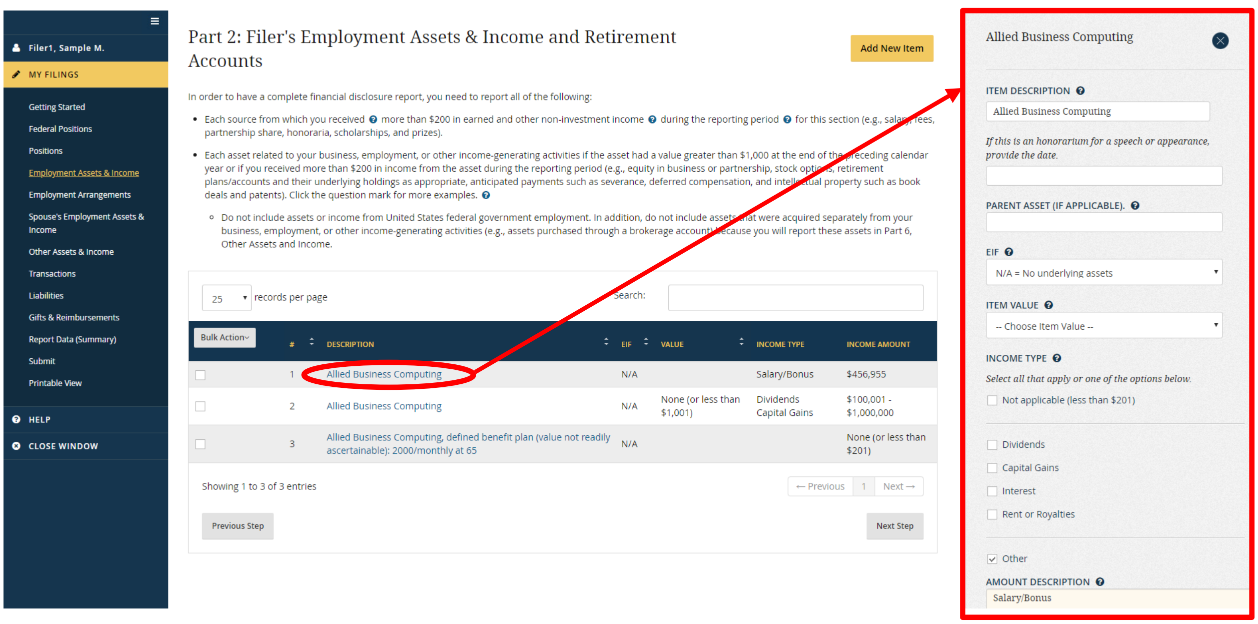
The Filer should complete the remaining fields for the underlying asset and, then, click the "Save" button. The underlying asset will now appear in the grid, and the row number will show its relationship to the parent asset.



4.3.6 - Data Entry Grids: Edit or Move an Entry

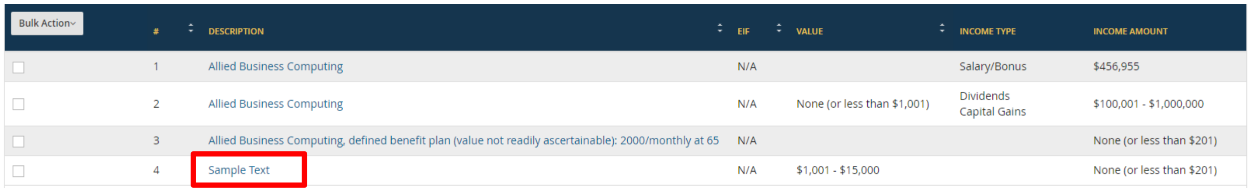
Edit an Entry

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.

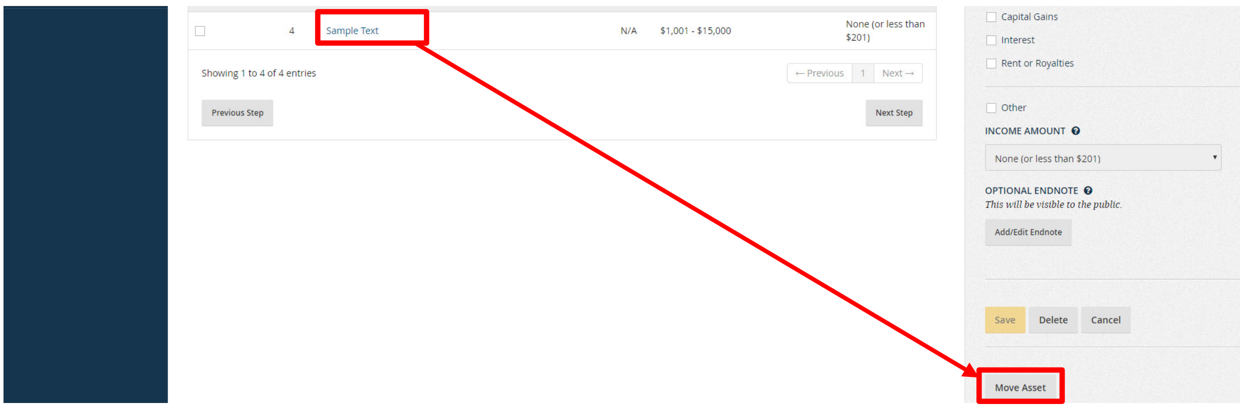


Move Entries among Parts 2, 5, and 6

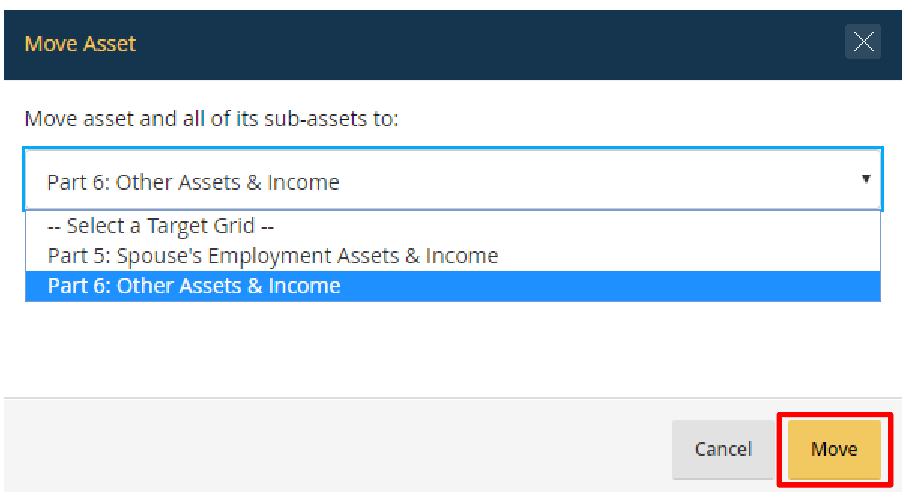
In certain cases, the Filer may need to move an entry from Part 2, 5, or 6 of the report to another one of those Parts. For example, an entry originally added to Part 2 (Filer's Employment Assets & Income and Retirement Accounts) may better meet the requirements for Part 6 (Other Assets and Income).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



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



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.



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	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	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.

<u>How Endnotes Differ from Comments and Public Annotations</u>

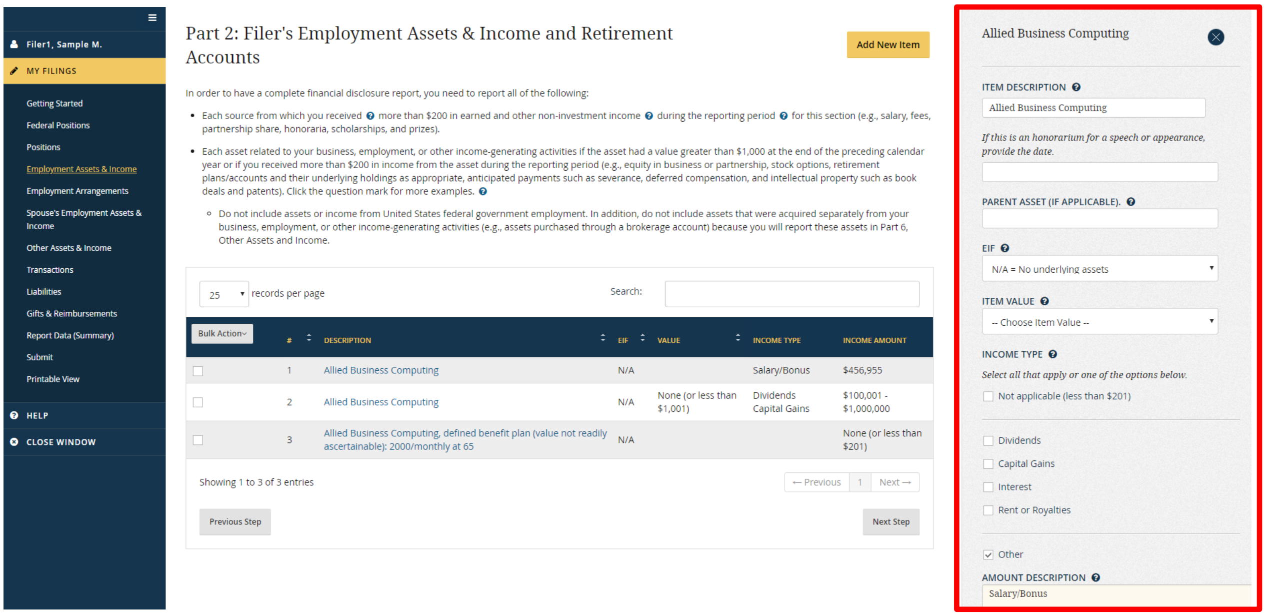
An endnote is considered an integral part of the associated line entry. Therefore, the endnote will be included on the printable, publicly releasable report and will be retained until the report reaches the end of the applicable records retention period. The Filer should not use endnotes to communicate 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 section 4.5.4.

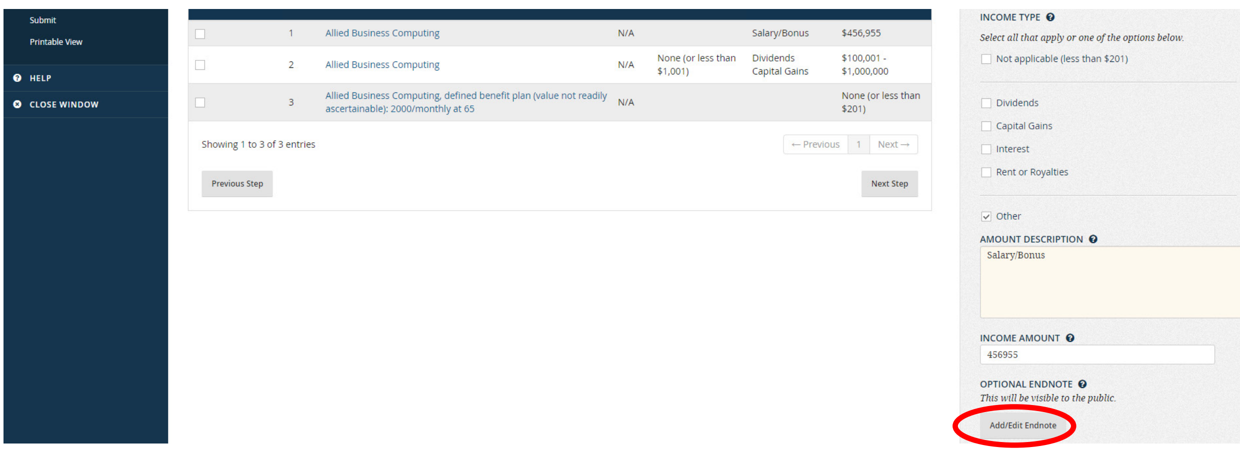
The “Public Annotation” feature provides a way for Reviewers to add a note that will be included on the printable, publicly releasable version of the report (i.e., the equivalent of a pen-and-ink note on the face of a paper form). These annotations will be retained until the report reaches the end of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

<u>Add Endnotes</u>

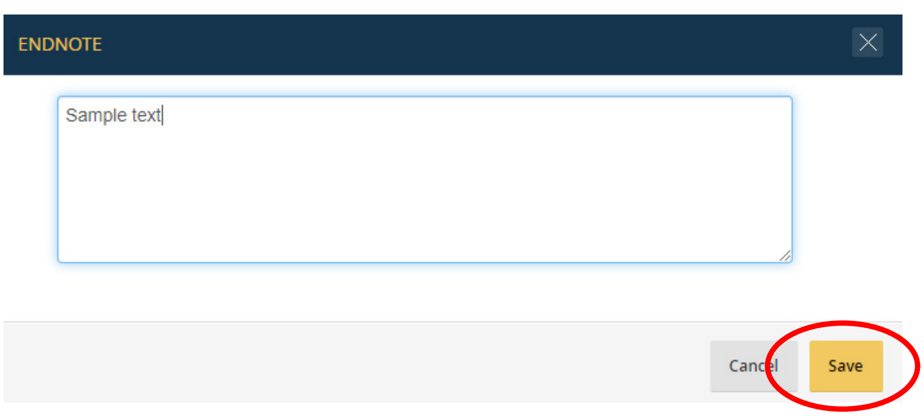
The Filer should open the “Add” section at the right side of the screen by clicking the “Add” button (for a new entry) or selecting the text in the “Description” column (for an existing entry).



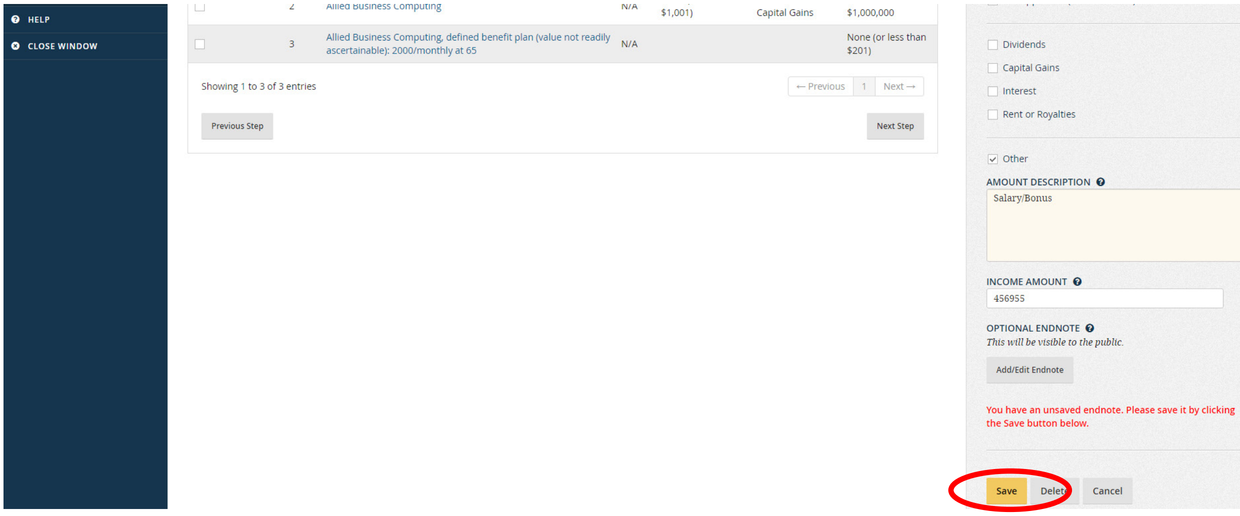
The Filer should scroll to the bottom of the "Add" section and click the "Add/Edit Endnote" button.



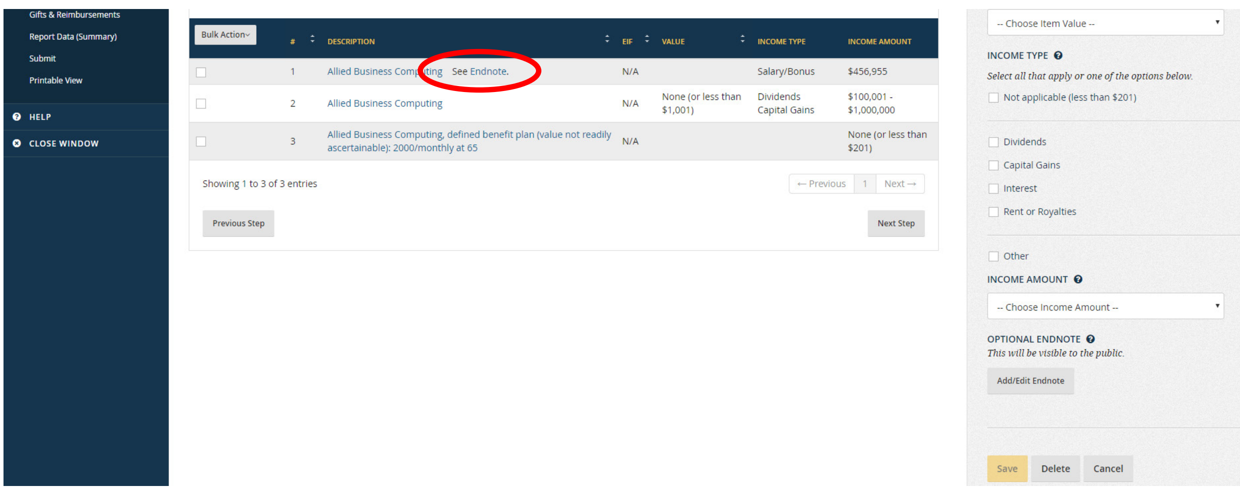
In the "Endnote" window that appears, the Filer should enter the text of the endnote and click "Save."



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

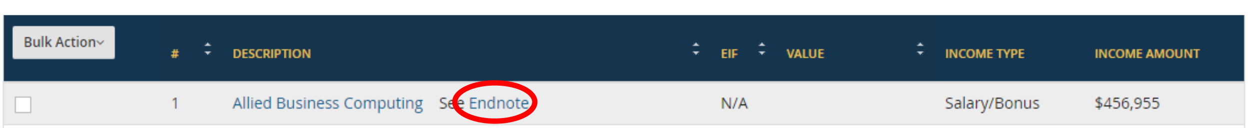


The phrase “See Endnote” now appears in the Description field for the line entry associated with the endnote.



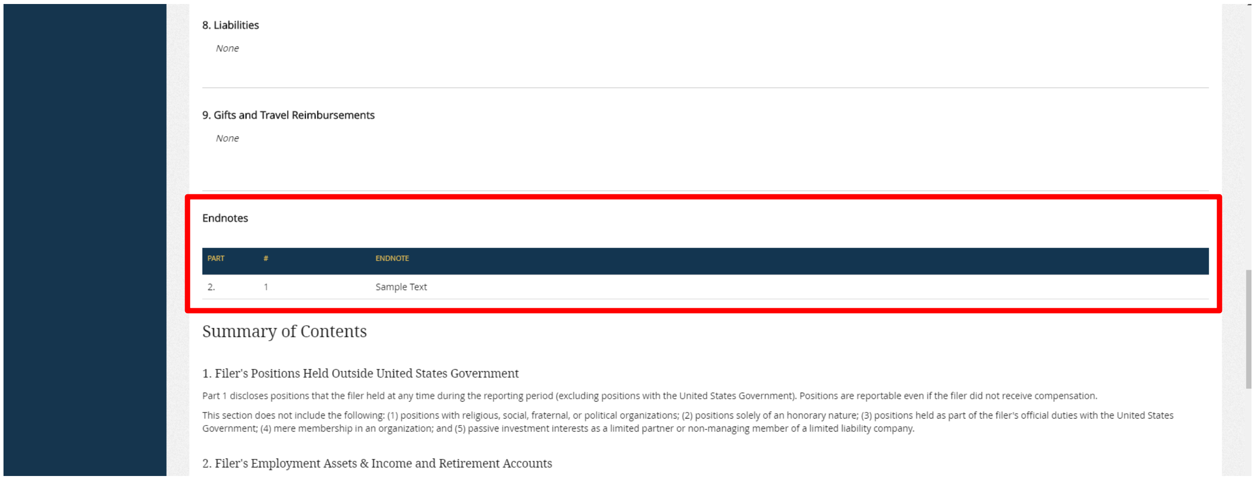
<u>View Endnotes</u>

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



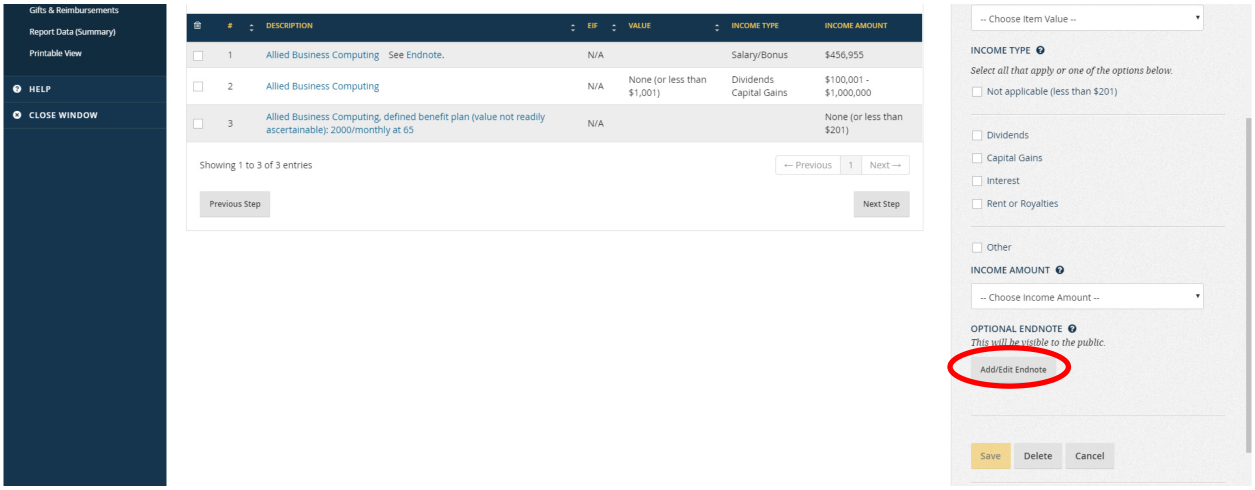
The Filer will not be able to edit the endnote within the window that appears. To edit an endnote, see the “Edit Endnotes” section below.

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.

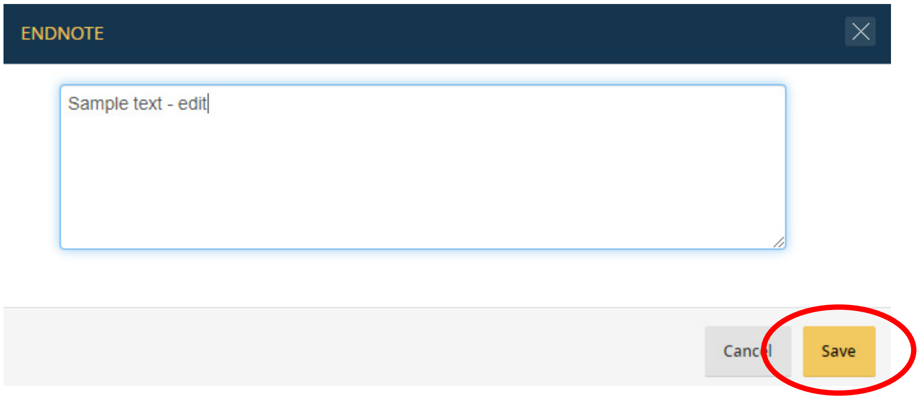


Edit Endnotes

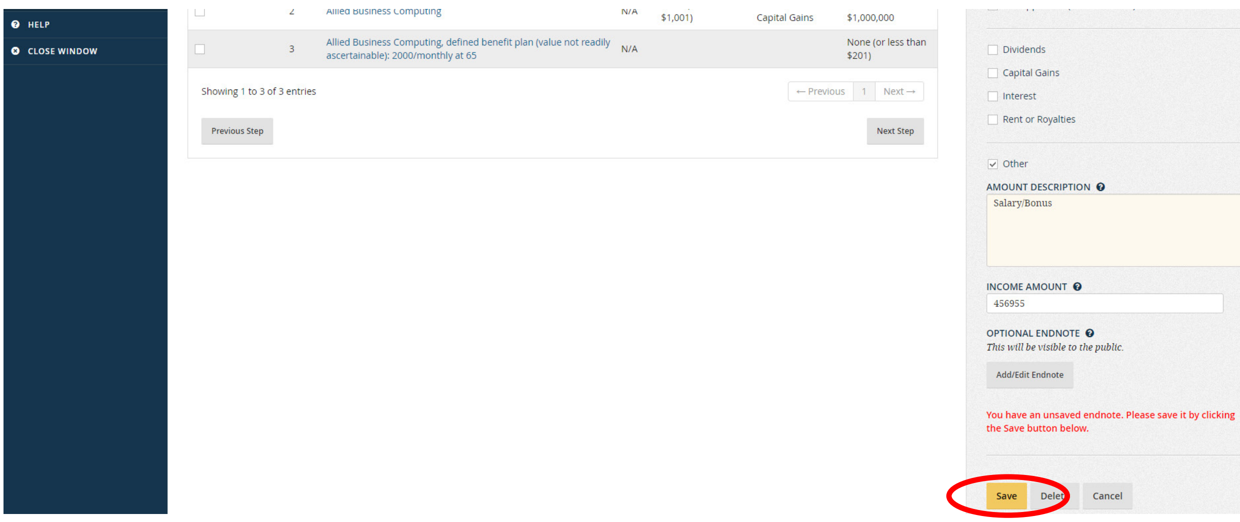
The Filer should open the "Add" section at the right side of the screen by selecting the text in the "Description" column. The Filer should scroll to the bottom of the "Add" section and click the "Add/Edit Endnote" button.



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

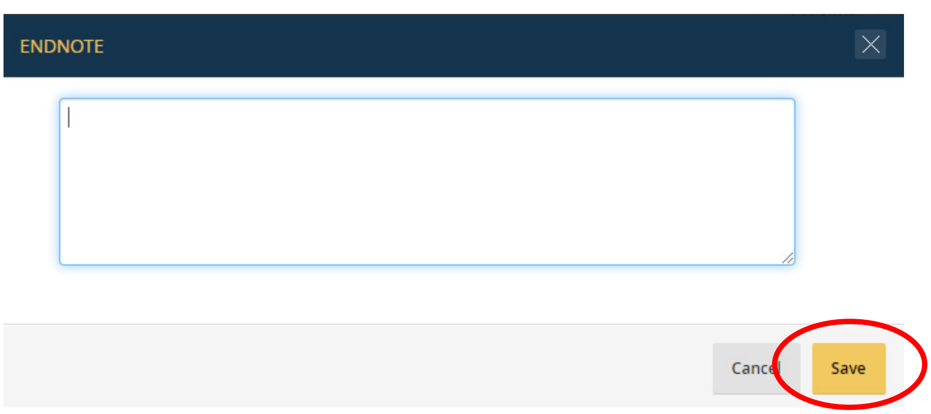


The Filer completes the process by clicking the “Save” button at the bottom of the “Add” section.



Delete Endnotes

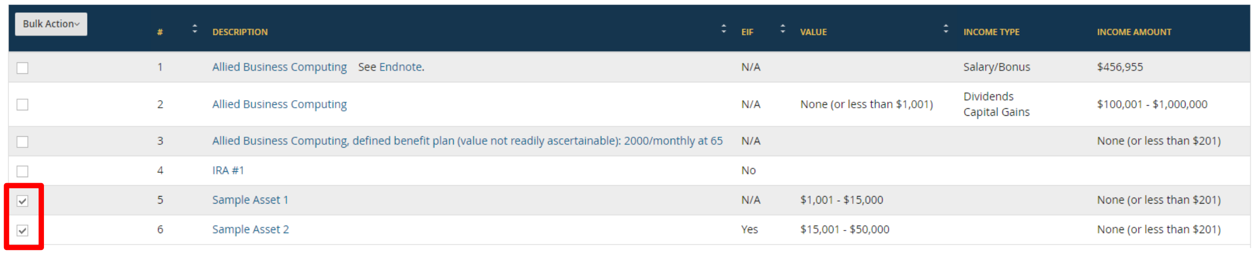
The Filer deletes an endnote by following the basic steps for editing an endnote; however, when the “Endnote” window is open, the Filer should delete all of the endnote text and click “Save” in the now-empty window.



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.

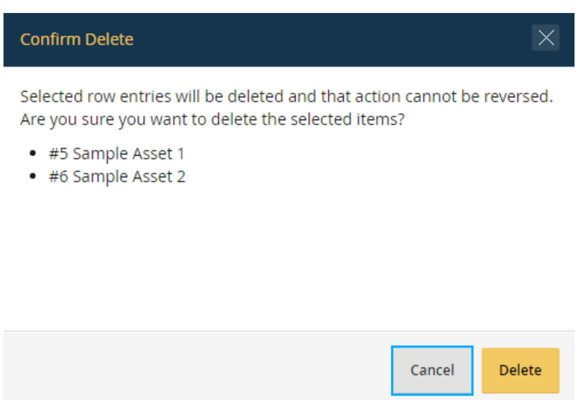
To begin, the Filer should select the checkbox for each entry being deleted, moved, or associated with a parent. The “Bulk Action” button is inactive until the Filer checks at least one box.



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

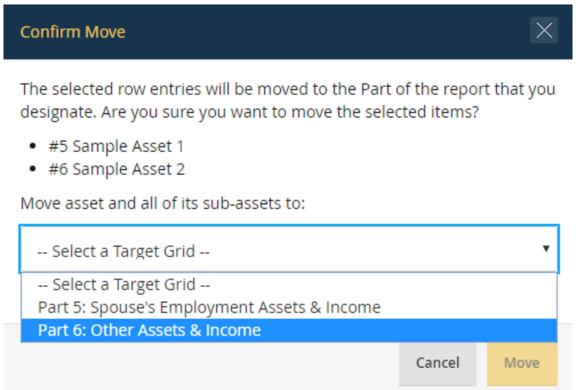
<u>Delete</u>

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.



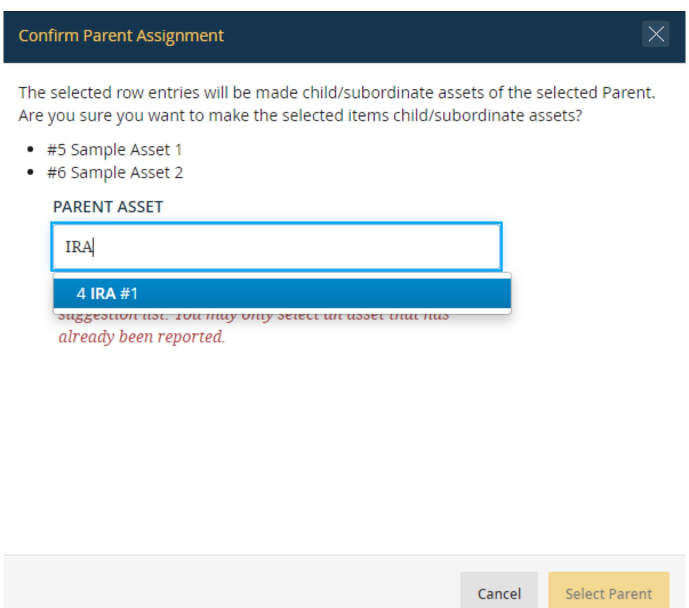
Move to Different Part

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.



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.

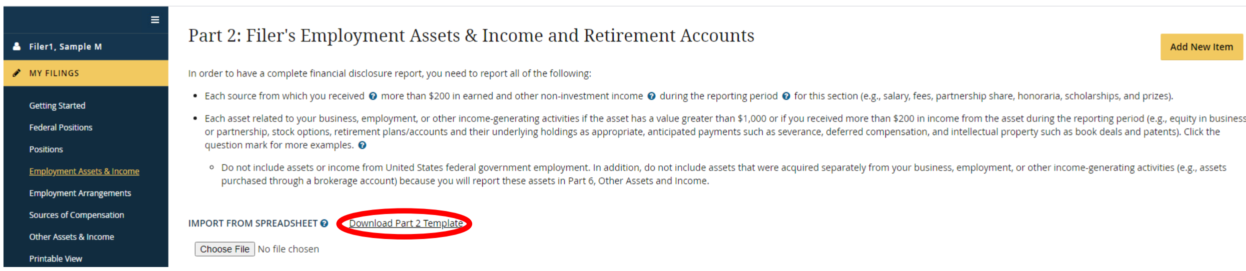


4.3.10 - Data Entry Grids: Import Entries

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.

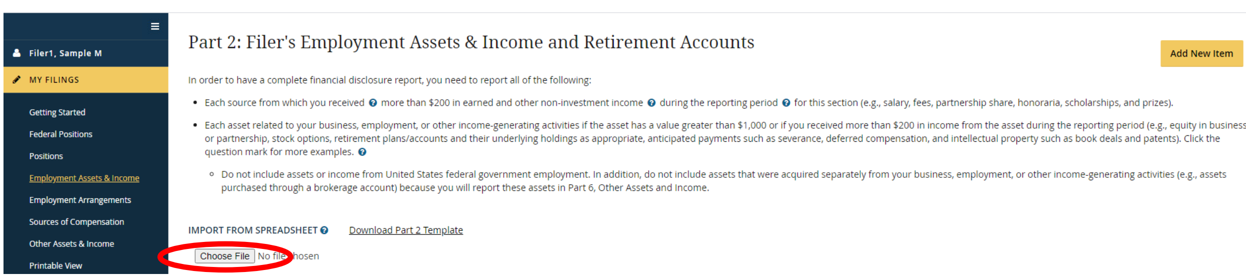
First, the Filer should click the "Download Template" link above the data entry grid.



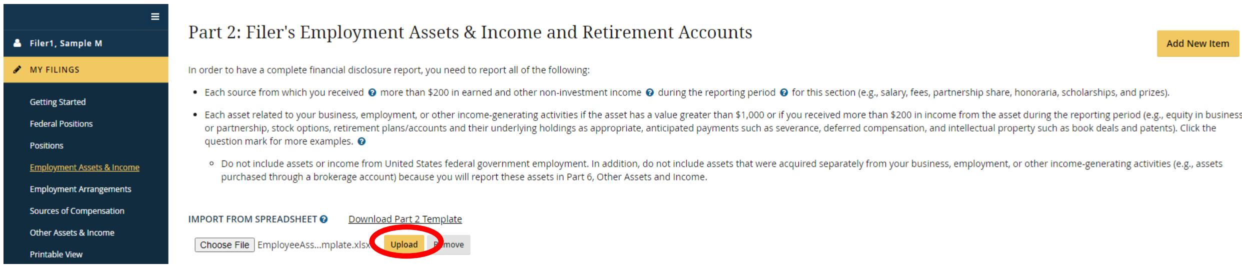
The Filer should then specify where to save a copy of the template. After doing this, the Filer should open the template and begin adding information. The first row of the template has the header labels for each column, which correspond to fields on the data entry grid. The second row is a sample entry,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

	A	B	C	D	E	F	G	H	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.

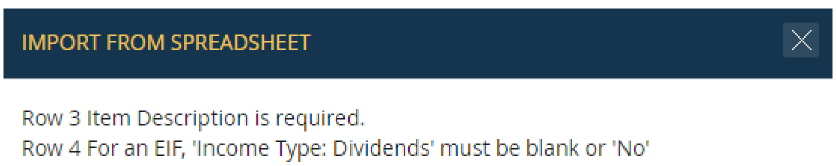


The Filer should select the template from the location in which the Filer saved it. The Filer should click the "Upload" button.



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

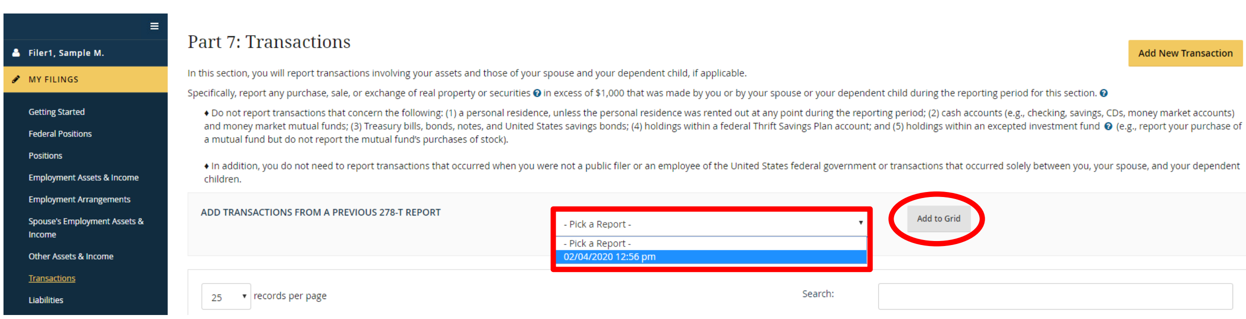
Imported entries must include a description in the Item Description field and follow the data validation rules for EIF, Income Type, and Income Amount. If one of the entries does not meet these criteria, the import process will fail and the Filer will receive an error message that identifies the problematic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



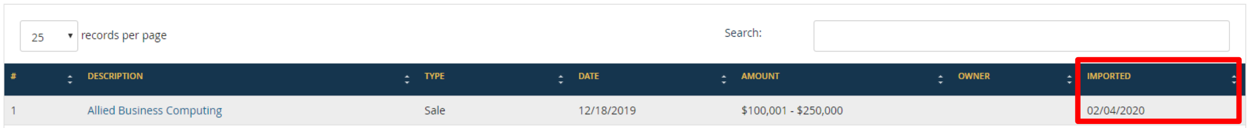
Import Transactions from a Periodic Transaction Report into the Transactions Grid

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.

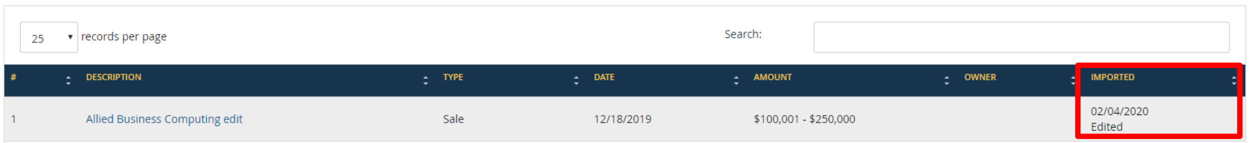
To import transactions, the Filer goes to the "Transactions" grid and selects a report from the "Add Transactions" drop-down field. Then, the Filer clicks the "Add to Grid" button.



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.

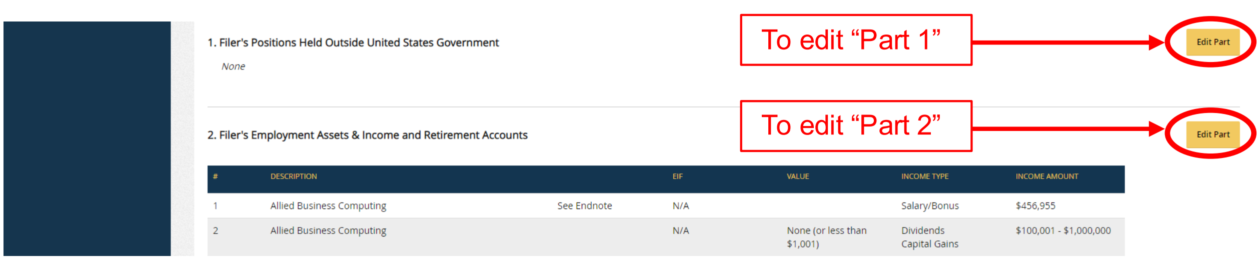


If the Filer edits an imported transaction, the “Imported” column will note the edit.



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.



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.

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 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

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.

Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
N/A	N/A	General	(01/31/20, Filer 2, Sample M.): The filer agreed to update the reported information if it changes before or on the indicated termination date.

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

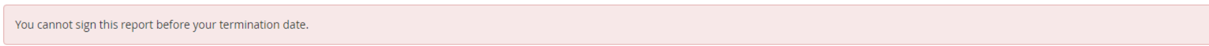
If today's date is more than 15 days before the termination date on the "Getting Started" page, the "Submit" page will display an error message.

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.



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

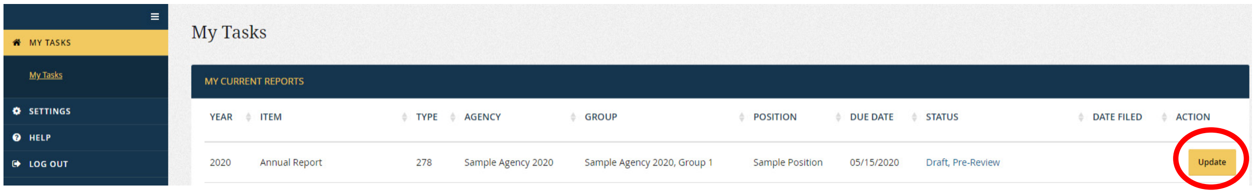
The Filer should click the "Export to PDF" button in the upper right corner of the screen. The PDF will appear in a new window.

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.



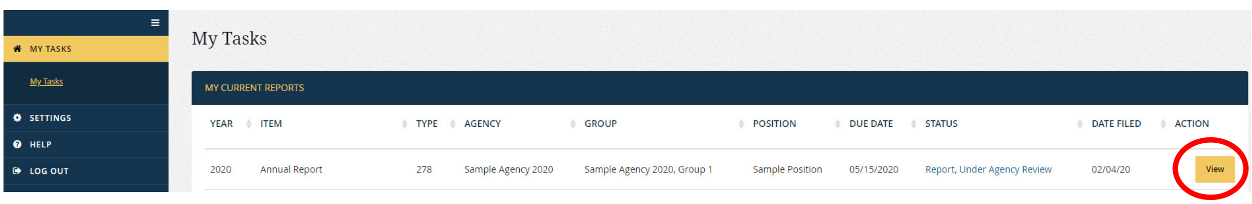
The Filer will begin the report on "Getting Started" again; however, the Filer can use the left-side navigation menu or the "Next" buttons to move to the appropriate section.

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.



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 section 4.5.7 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 section 4.5.9 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.

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.

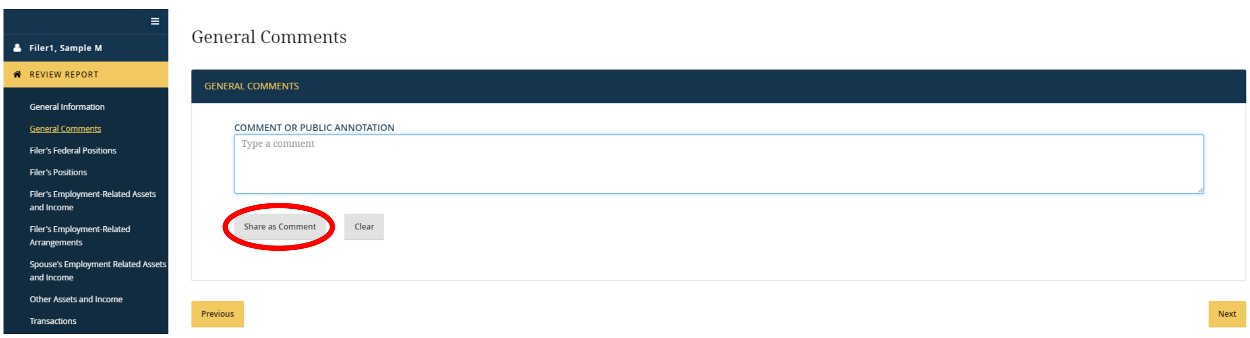
Ability to Add or Delete Comments

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

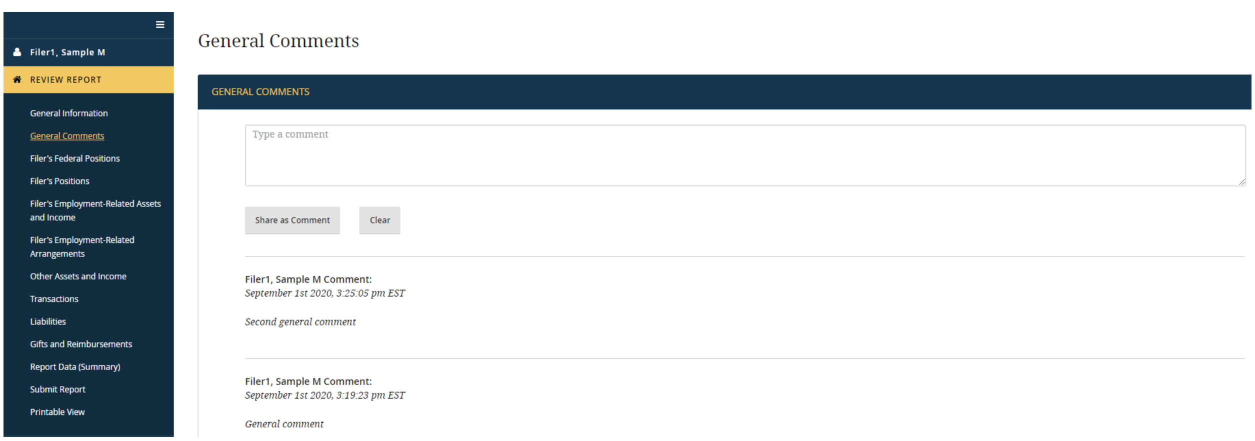
General Comments

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.



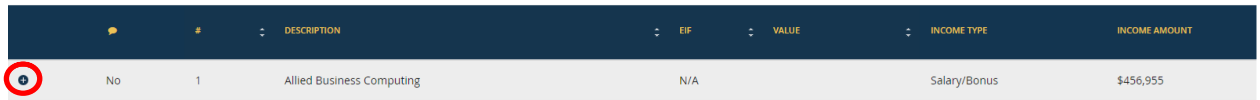
Comments display from most recent to oldest, so the newly added comment will appear at the top of the list of comments.



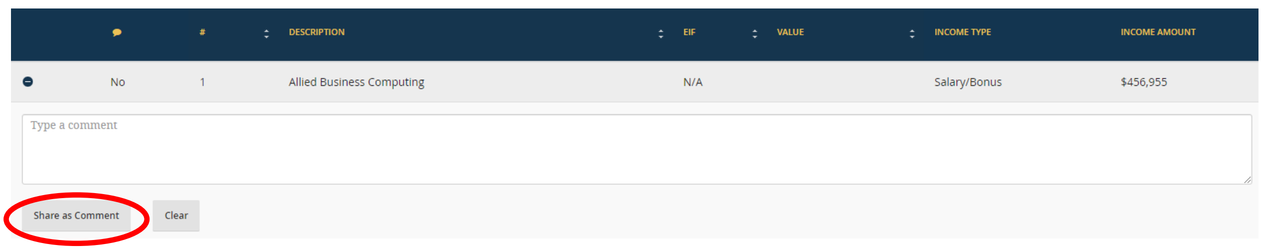
Line Entry Comments

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

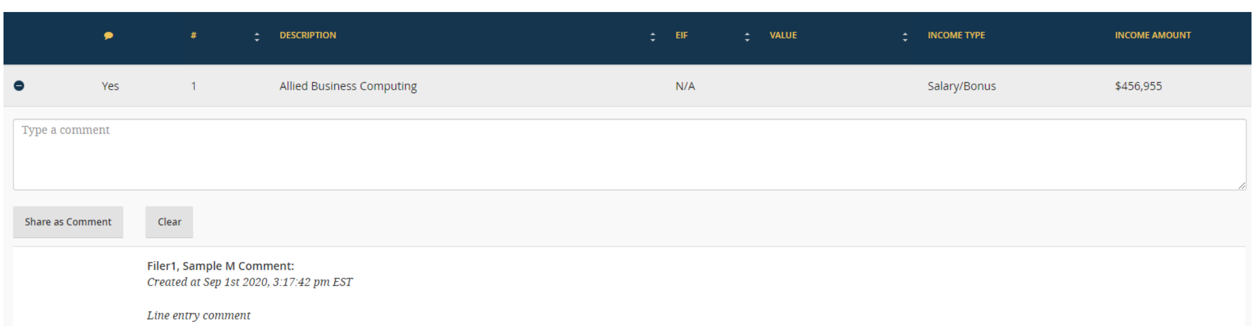
Within a data entry grid, the caption ( ) column indicates whether a line entry has an existing comment. The Filer should click the "+" icon to the left of the entry to access this comment or to add a new comment for this entry.



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.



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	COMMENT
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-and-ink 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.

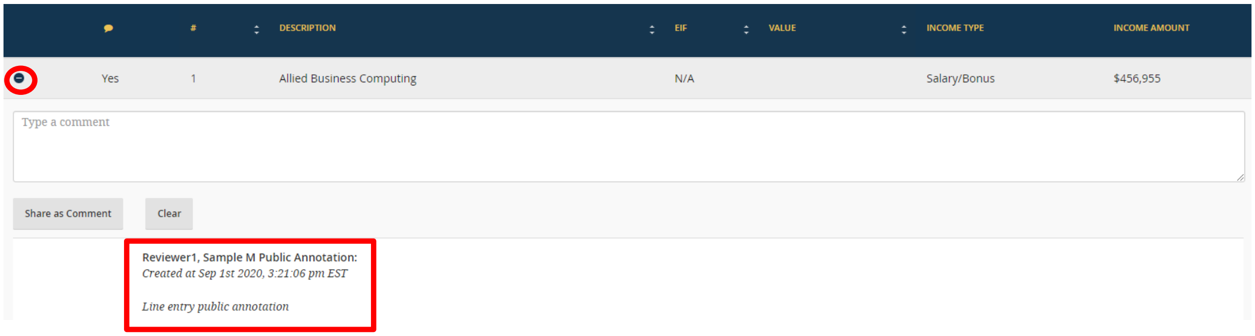
General Public Annotations

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

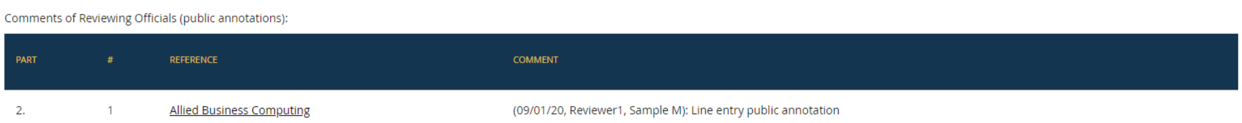
Line entry public annotations are annotations made by a Reviewer that are linked to a particular line entry in a data entry grid.

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.”



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.



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

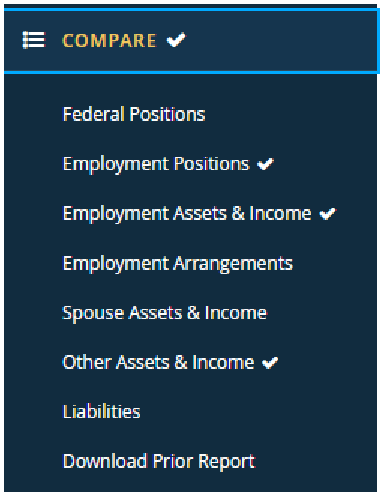
The “Compare” feature will track changes made to a report that was pre-populated from another report. The Filer and Reviewers can check the “Compare” page to see if there are any differences between the reports.

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

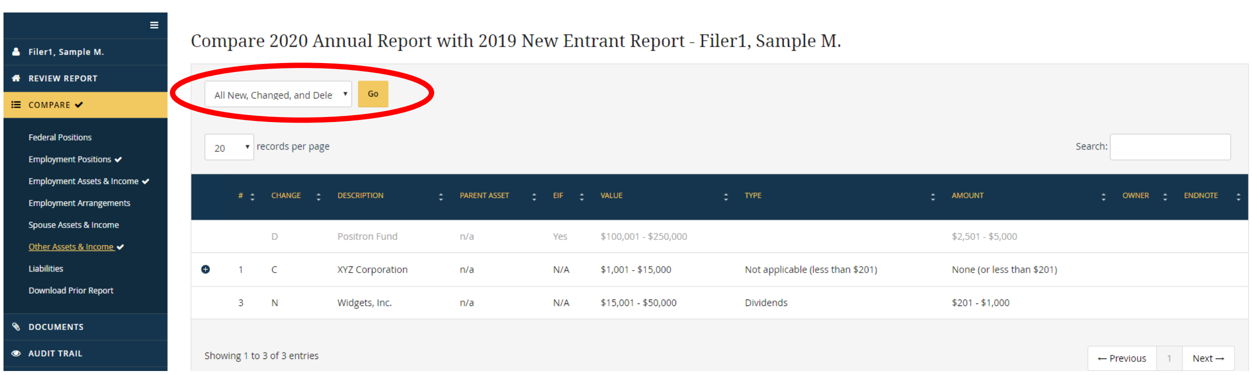
A checkmark appears next to the “Compare” menu option if there are changes between the current report and the prior report from which the Filer pre-populated. Additional checkmarks appear next to the specific data entry grids that have changes. For example, in the image below, the checkmark next to “Other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



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.

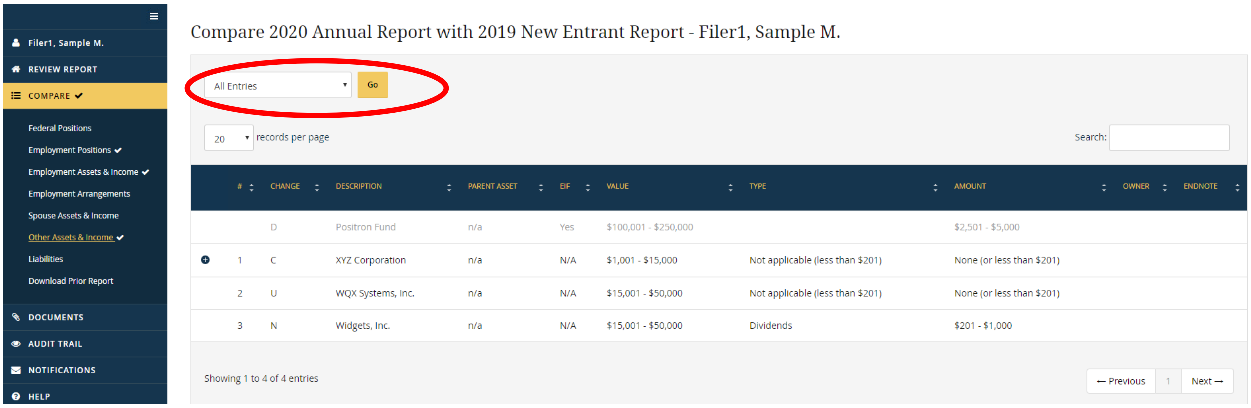
All Differences

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.



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.”



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.”

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.

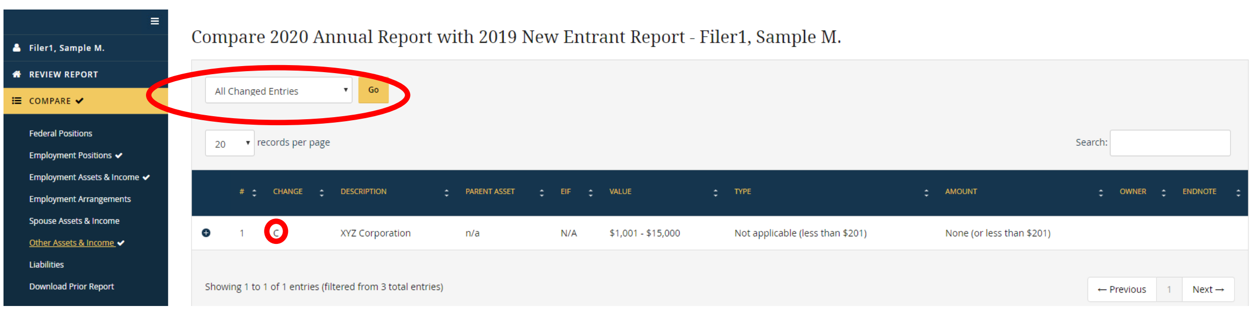
The row will show the new, added entry as it appears on the 2020 Annual report. The “Change” column at the left will display the letter “N,” indicating that the row was added and did not appear on the 2019 New Entrant report.

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.



Clicking the “+” icon displays the entry as it appeared on the 2019 New Entrant report.

#	CHANGE	DESCRIPTION	PARENT ASSET	EIF	VALUE	TYPE	AMOUNT	OWNER	ENDNOTE
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

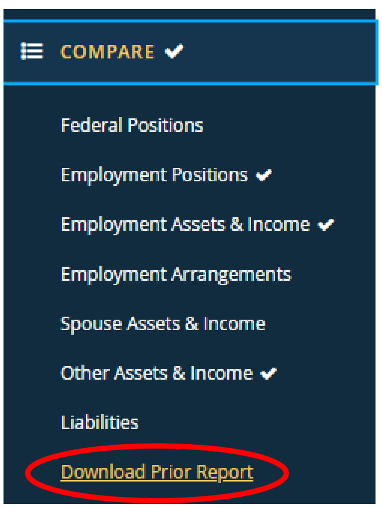
To see just entries from the prior report that were deleted from the current report, the Filer should select the “All Deleted Entries” filter option.

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.

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.

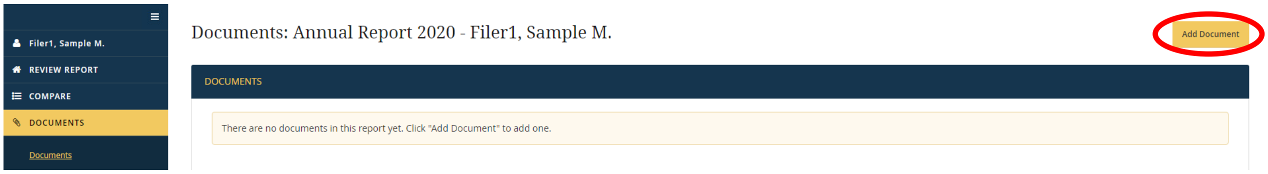


4.5.8 - Documents

“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).

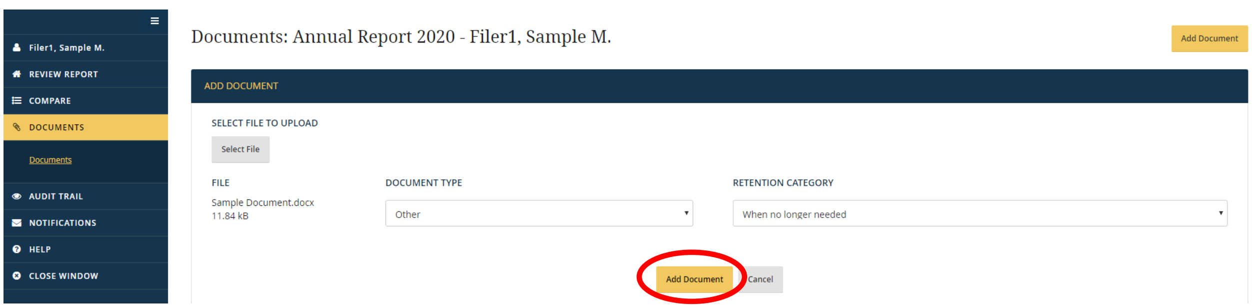
Add a Document

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



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

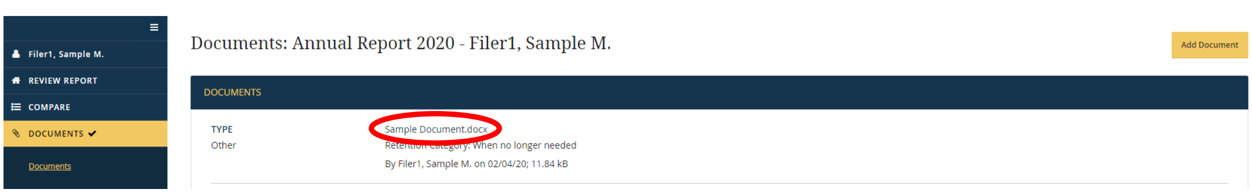
After the Filer has chosen the document, additional fields will appear that permit the Filer to specify the document type and retention category. These fields are primarily for use by Reviewers and Agency records personnel. The Filer should click the “Add Document” button in the lower part of the screen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



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

<u>View a Document</u>

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

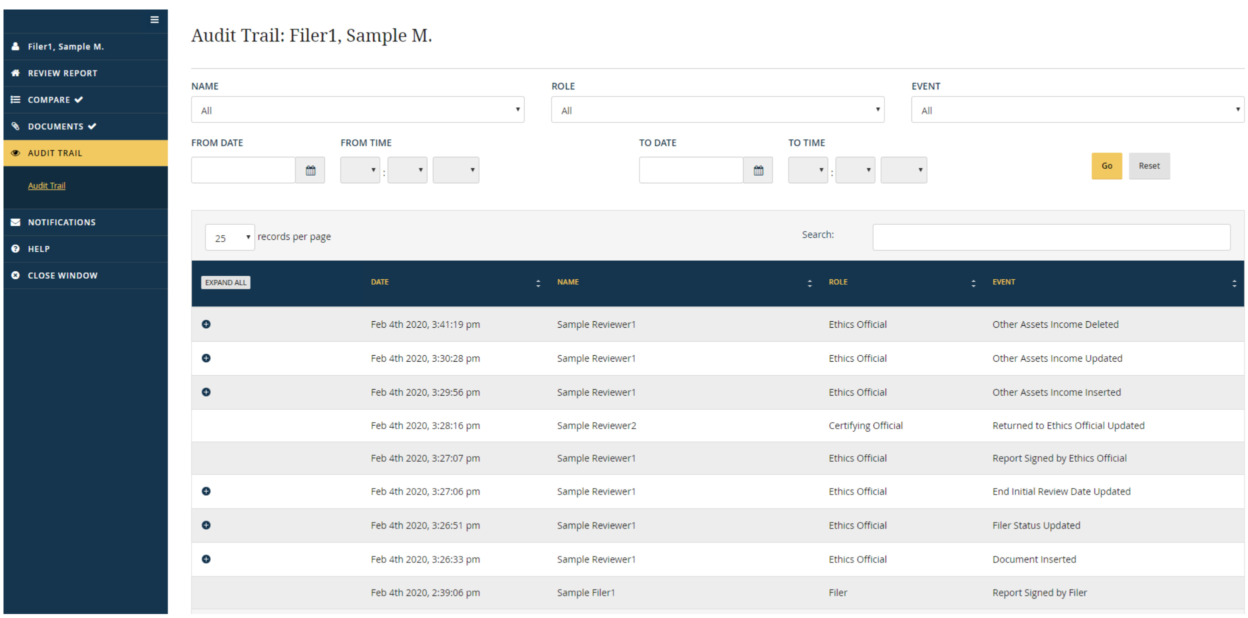
Filers cannot edit metadata for a document.

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.



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.

<u>Columns</u>

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.

<u>Workflow Events</u>

“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

<u>Changes to Documents</u>

“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 Reviewer1	Ethics Official	Other Assets Income Inserted

DESCRIPTION	PARENT ASSET	EIF	VALUE	TYPE	AMOUNT	OWNER
Widgets, Inc.	n/a	N/A	$1,001 - $15,000	Not applicable (less than $201)	None (or less 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	TYPE	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

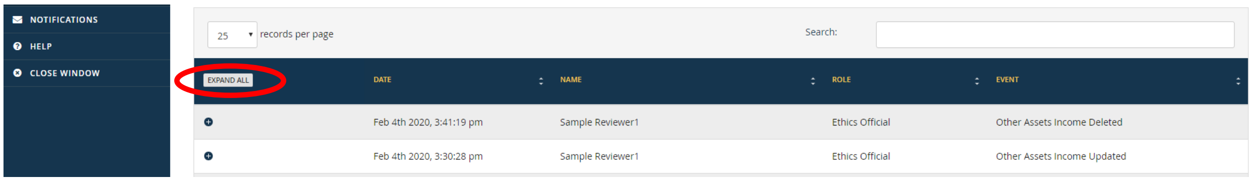
"Audit Trail" will identify the deletion of a grid entry on a report after filing as a "deletion." Clicking the "+" icon displays the values of the entry that was deleted.

EXPAND ALL	DATE	NAME	ROLE	EVENT
	Feb 4th 2020, 3:41:19 pm	Sample Reviewer1	Ethics Official	Other Assets Income Deleted

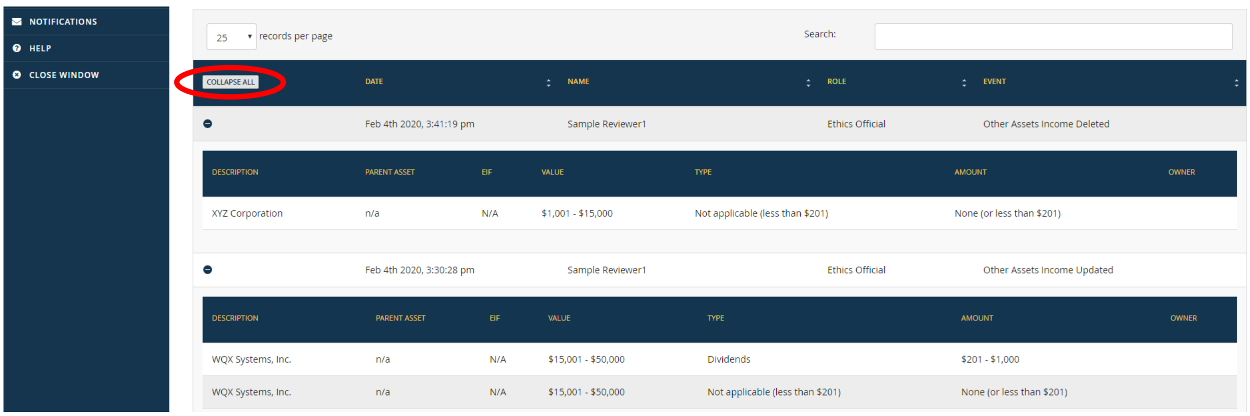
DESCRIPTION	PARENT ASSET	EIF	VALUE	TYPE	AMOUNT	OWNER
XYZ Corporation	n/a	N/A	$1,001 - $15,000	Not applicable (less than $201)	None (or less than $201)	

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.

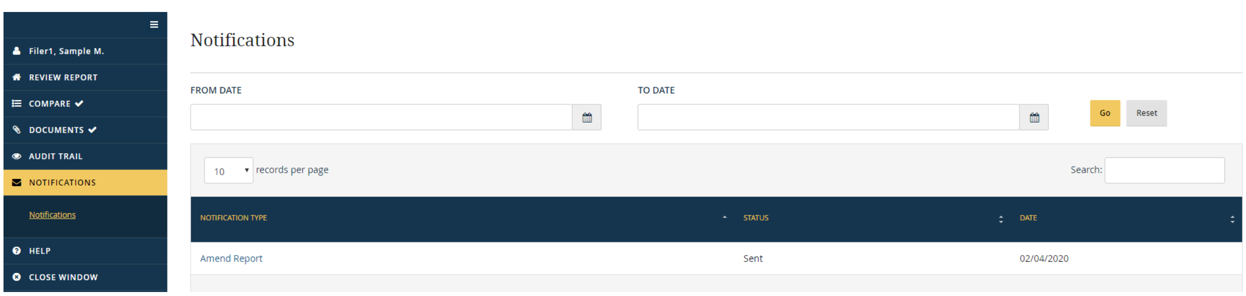


Clicking the “Collapse All” button hides the details for all events.



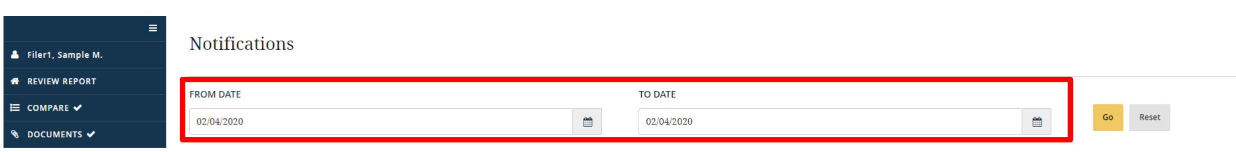
4.5.10 - Notifications

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.



Filters

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.



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.

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 section 4.5.7 for more information.

4.6.4 - Documents

The Filer can still upload documents related to this report. See section 4.5.8 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 section 4.5.10 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."

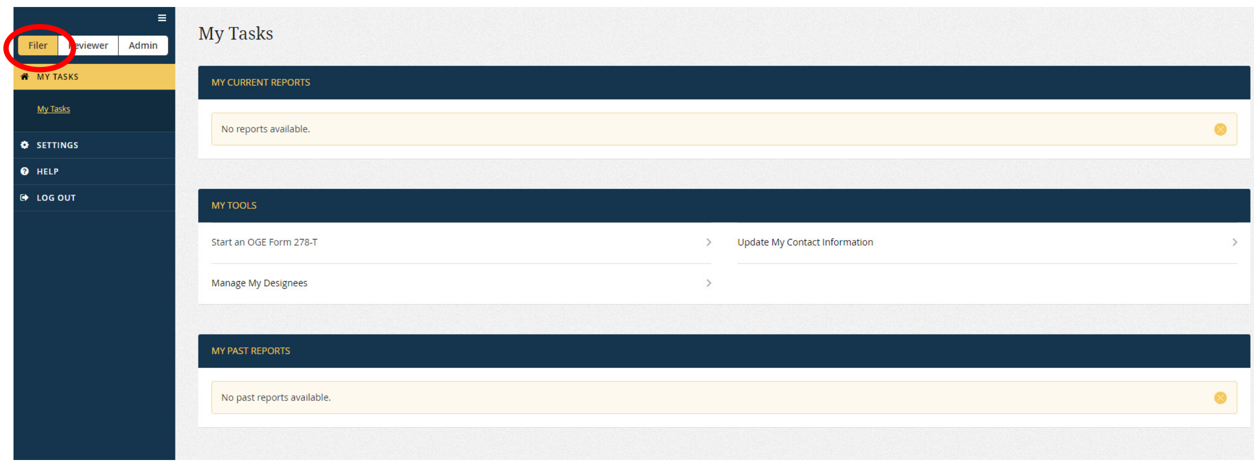
Section 5: Filer Actions (OGE Form 278-T)

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.



5.1.2 - Menu Options

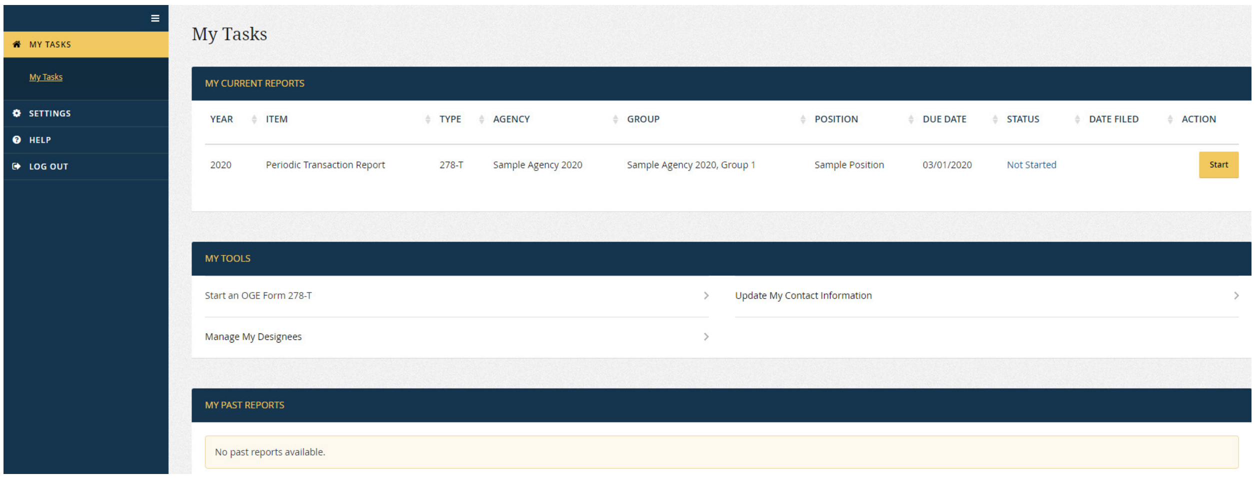
The menu options on the primary Filer interface window are:

- 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.

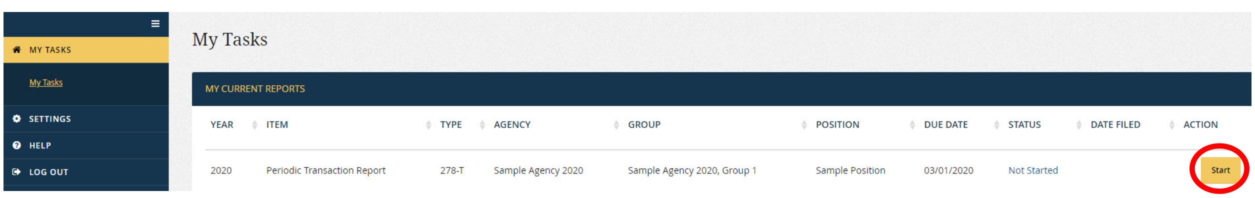
- My Current Reports: Displays any assigned, started, or review-in-progress reports.
- My Tools: Displays links for self-assigning a 278-T, viewing/editing contact information, and adding/removing Filer Designees.
- My Past Reports: Displays previously completed reports.



5.2 - Start a Report

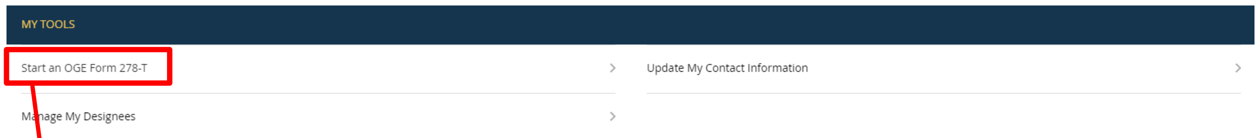
5.2.1 - Select an Assigned Report

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.

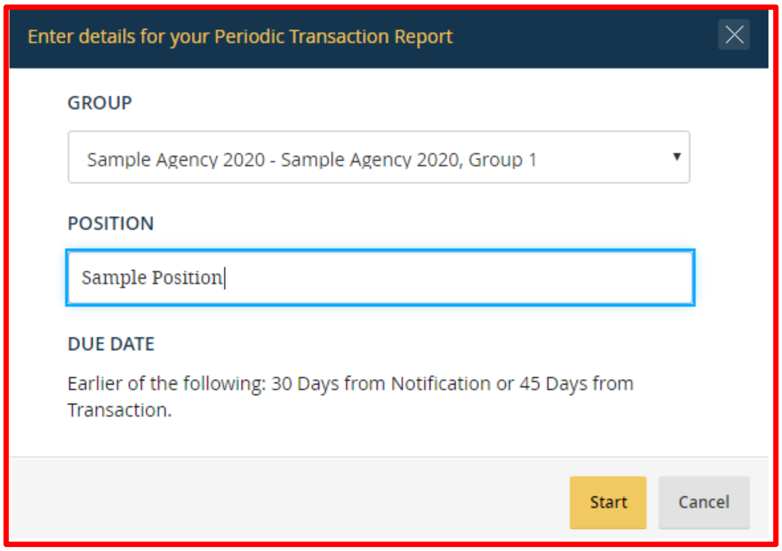


5.2.2 - Self-Assign a Report

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



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.



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 **before** 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 self-assigned 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 **before** 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 pre-populated 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.

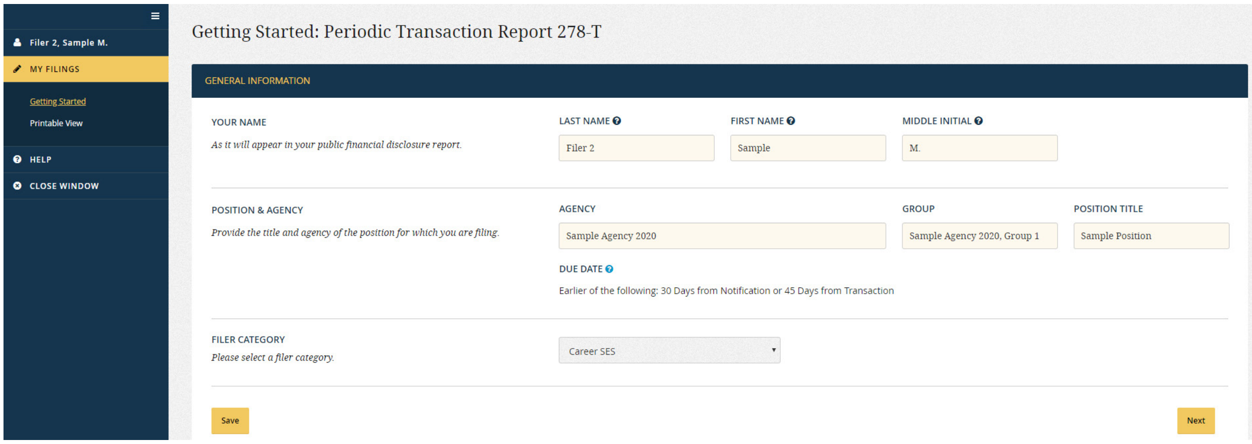
Submission and Printing

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.

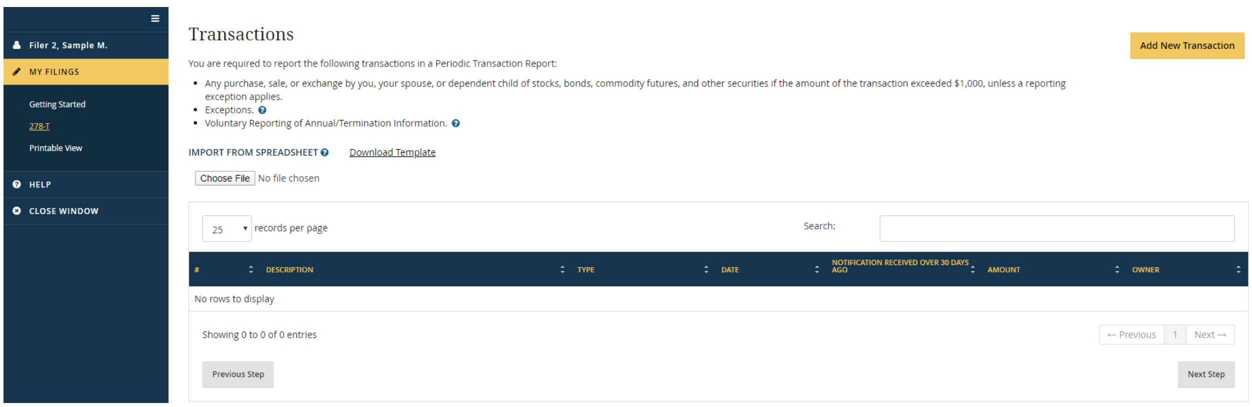
5.3.2 - Steps and Menu Options

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.

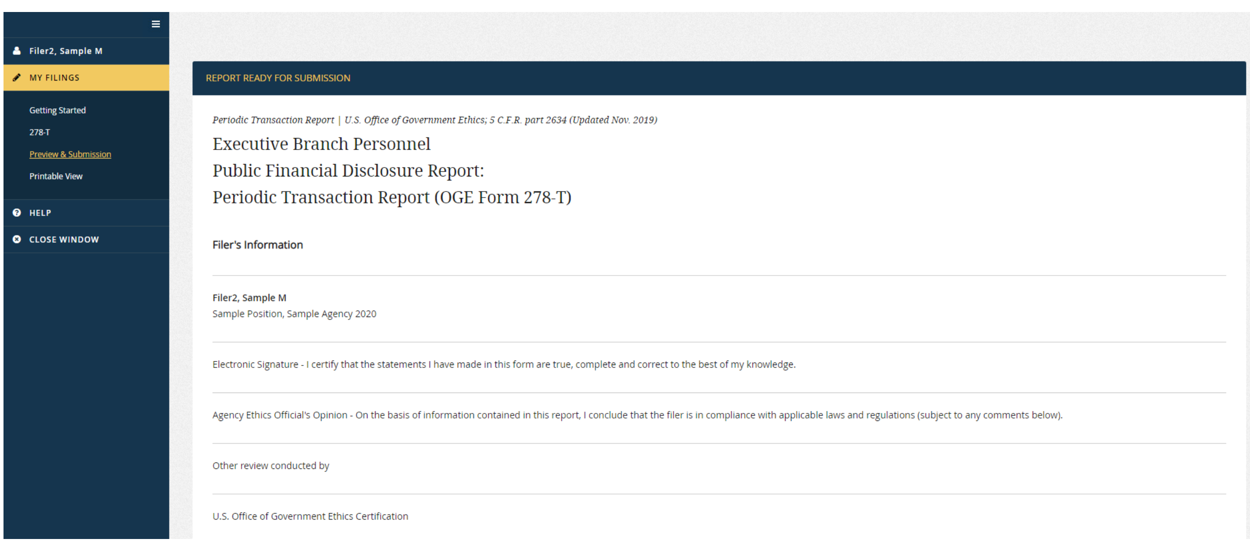
- Getting Started: This page contains questions that populate the Cover Page of the OGE Form 278-T. "Getting Started" also collects information about the "Filer Category" (i.e., appointment type). See section 5.2.3 for more information.

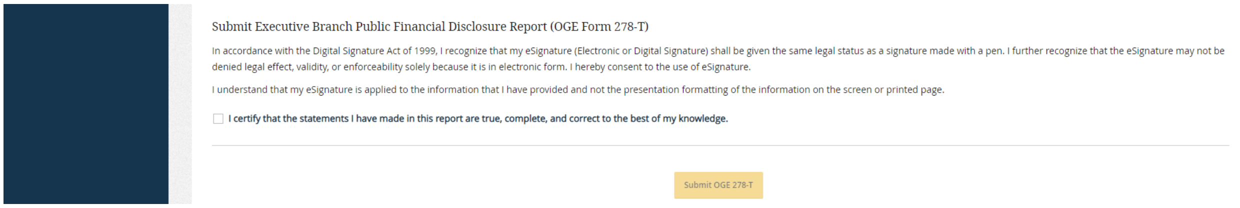


- 278-T: This page is the data entry grid used to report transactions.



- Preview & Submission: 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.



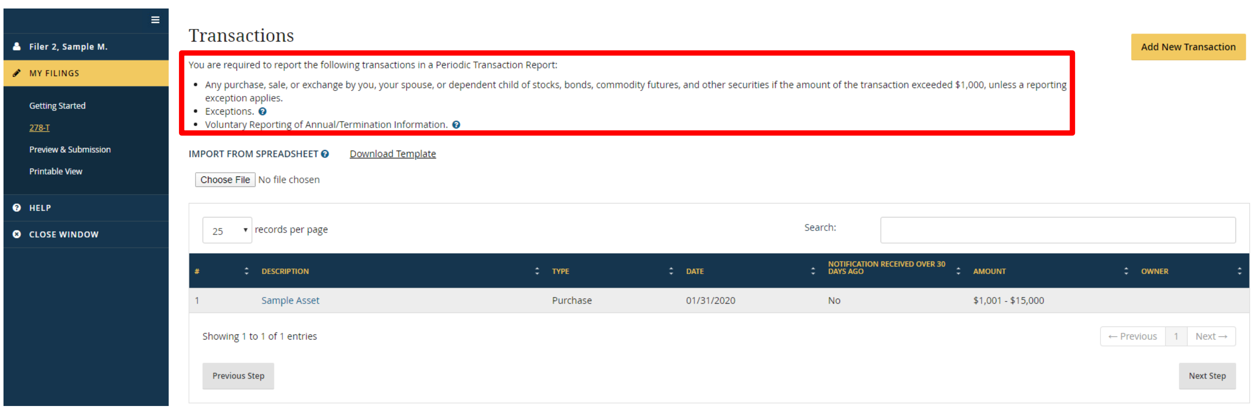


- Printable View: This page is used to print a hard copy of the OGE Form 278-T.

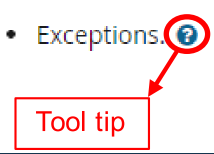
5.3.3 - Data Entry Grid: Introduction

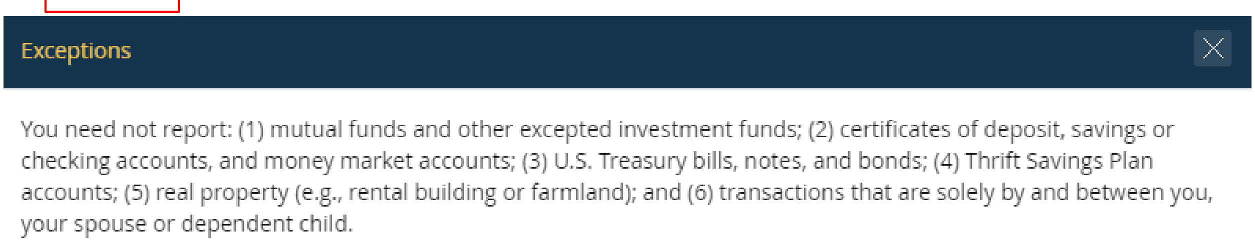
Instructions

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.



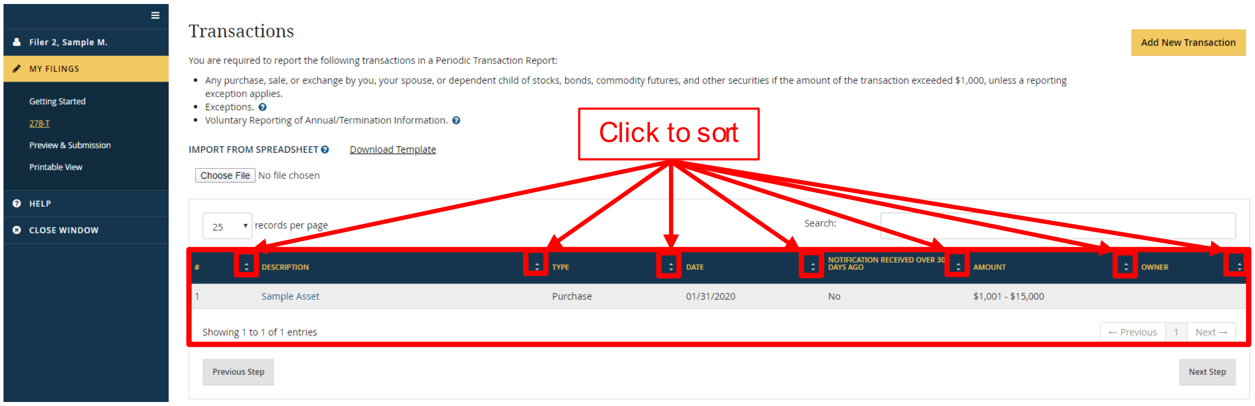
The tool tip ("?") icon indicates that additional information is available. Clicking the icon displays that that information.





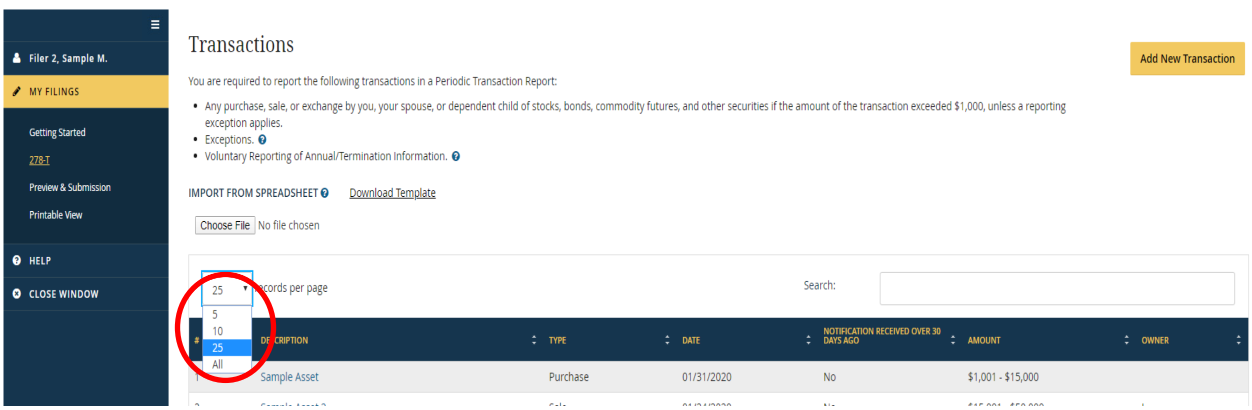
Grid

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.



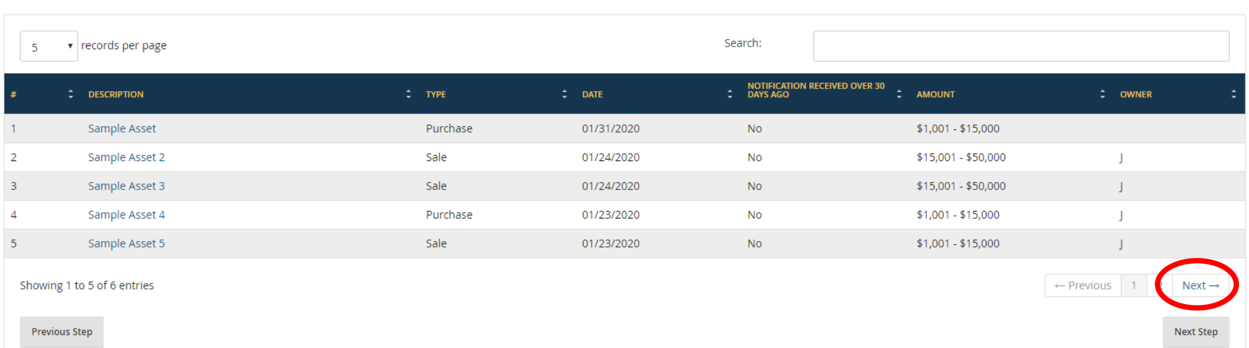
Change the Number of Entries Displayed on a Page

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



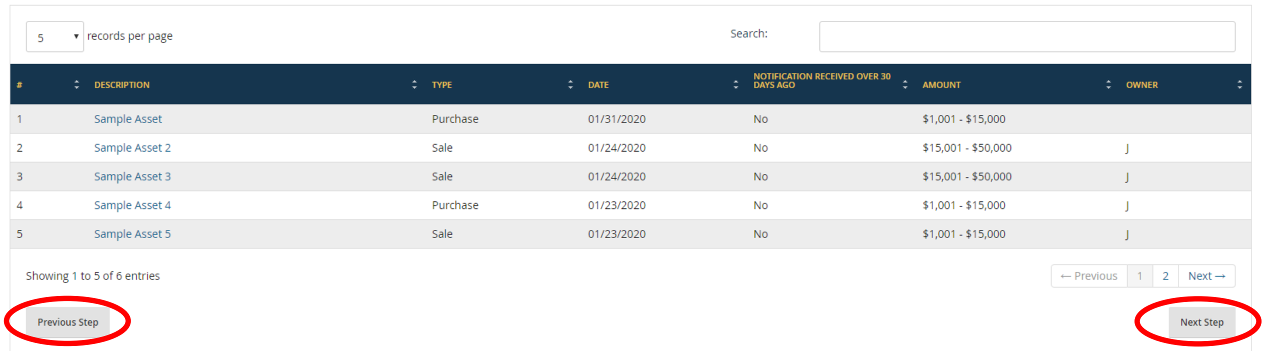
Move to a Different Page within a Grid

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.



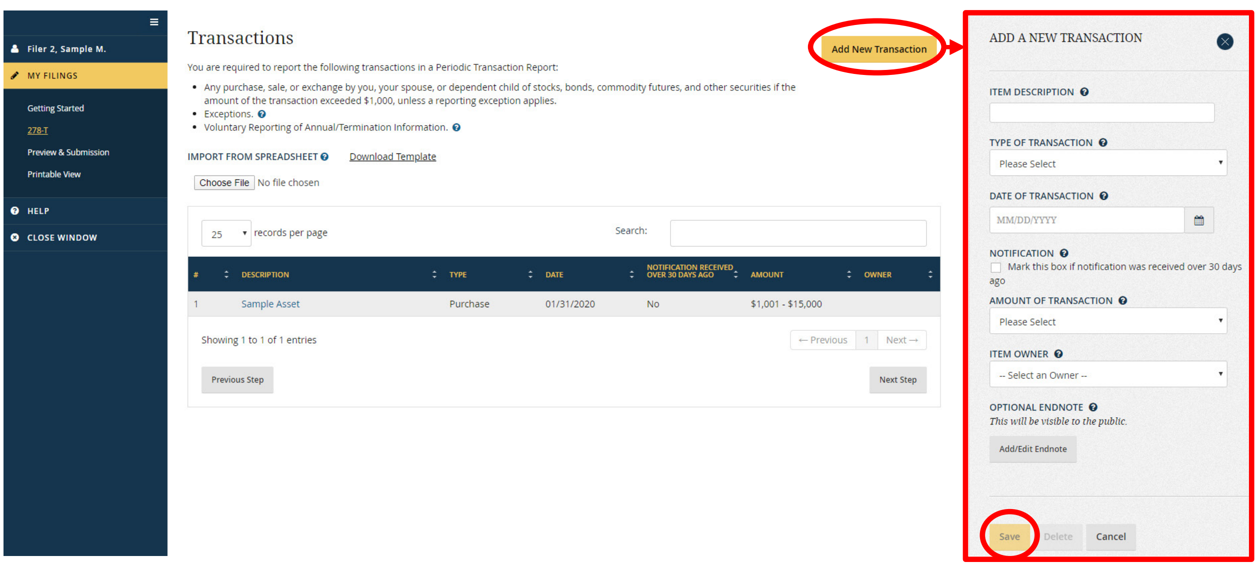
Move to a Different Step

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.

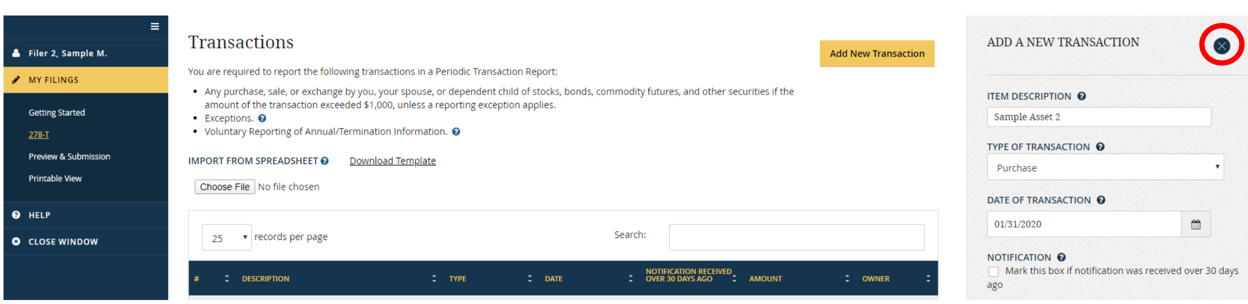


5.3.4 - Data Entry Grid: Add an Entry

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.



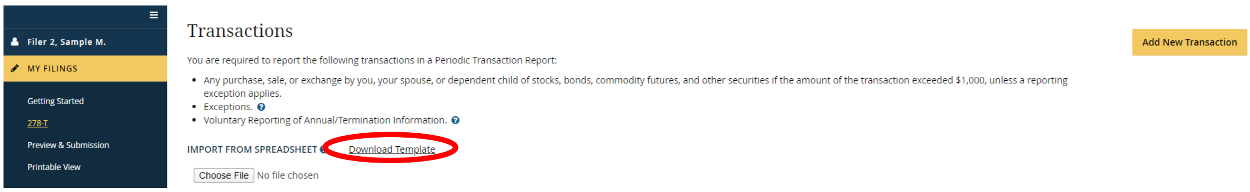
The Filer can hide the "Add" section by clicking the "X" in the upper right.



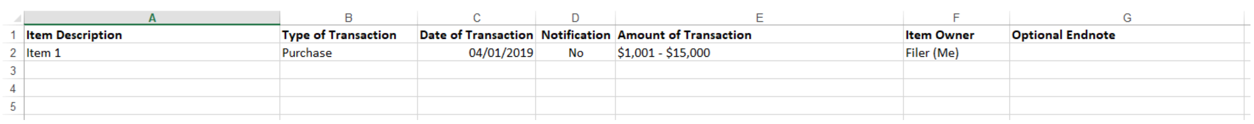
5.3.5 - Data Entry Grid: Import Entries from a Spreadsheet

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.

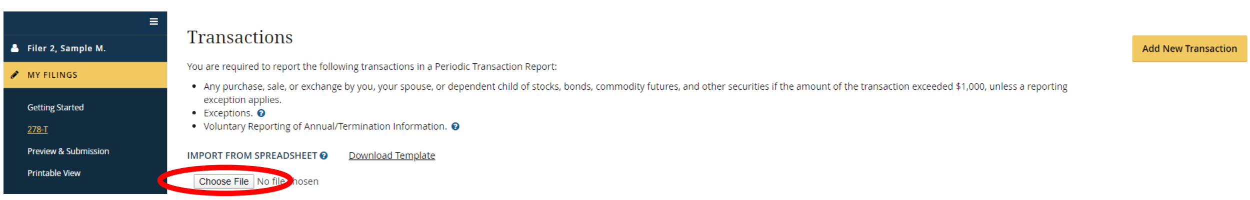


Second, the Filer should specify where to save a copy of the template. After doing this, the Filer should open the template and begin adding information. The first row of the template has the header labels for each column, which correspond to fields on the data entry grid. The second row is a sample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

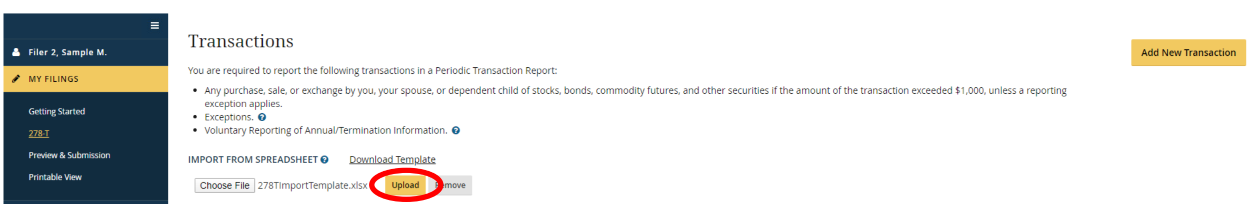


	A	B	C	D	E	F	G
1	Item Description	Type of Transaction	Date of Transaction	Notification	Amount of Transaction	Item Owner	Optional Endnote
2	Item 1	Purchase	04/01/2019	No	$1,001 - $15,000	Filer (Me)	
3							
4							
5							

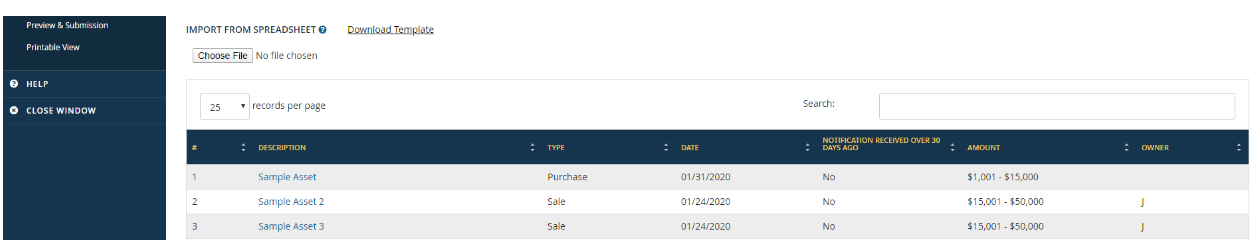
After adding the rows to import, the Filer should save the template and click the "Choose File" button.



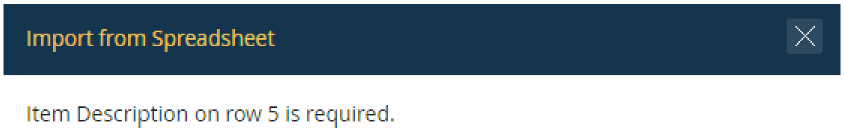
Next, the Filer should select the template from the location in which the Filer saved it. The Filer should click the "Upload" button.



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

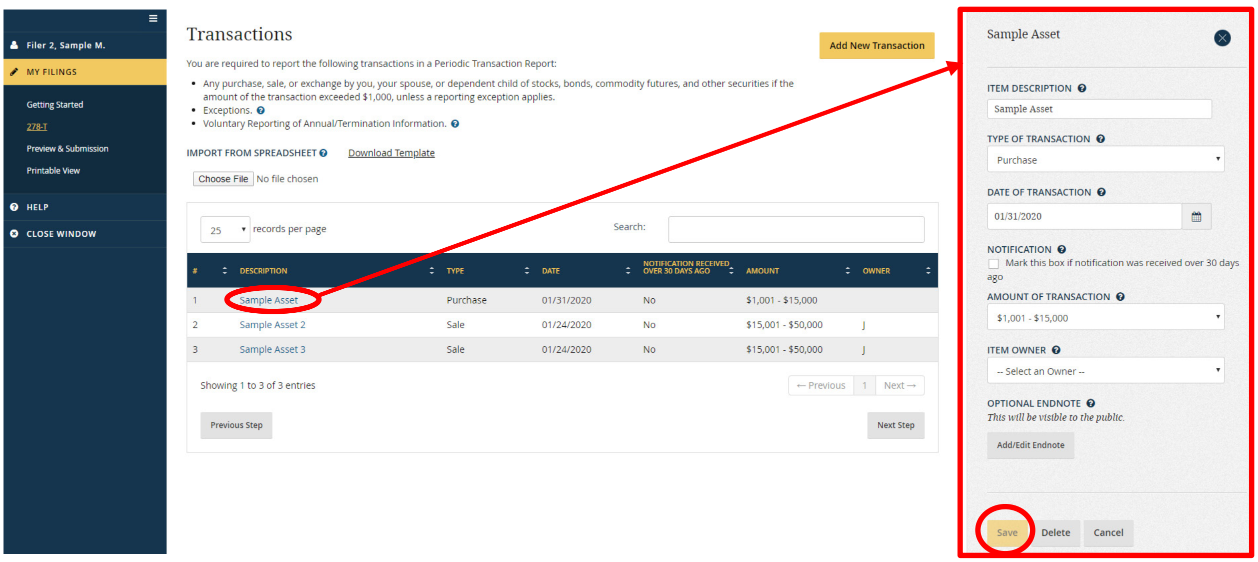


Imported entries must include a description in the Item Description field. If the Filer left that field blank for any entry, the import process will fail and the Filer will receive an error message that identifies the problematic row in the template.



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.



5.3.7 - Data Entry Grid: Delete an Entry

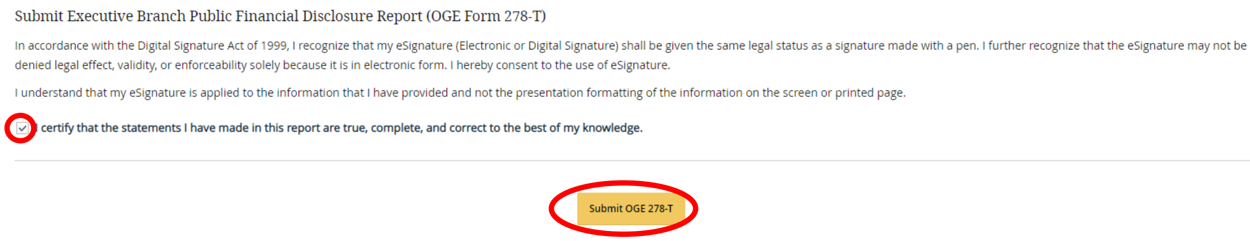
The Filer should select the text that appears in the "Description" field. The entry data will appear in the "Add" section at the right side of the screen. The Filer should click the "Delete" button. Deletions are irreversible.

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.

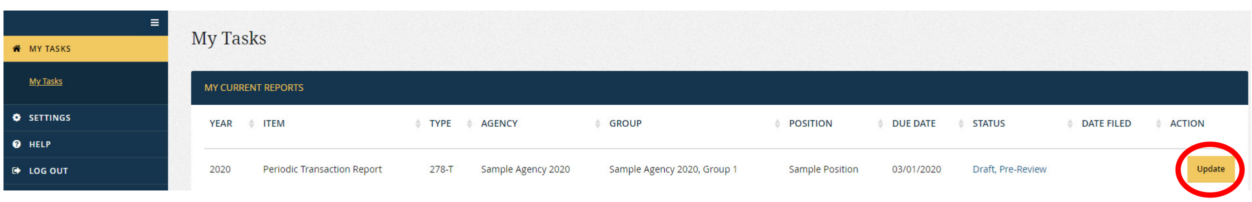


5.3.9 - Print the Report

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.



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 section 4.5.9 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.

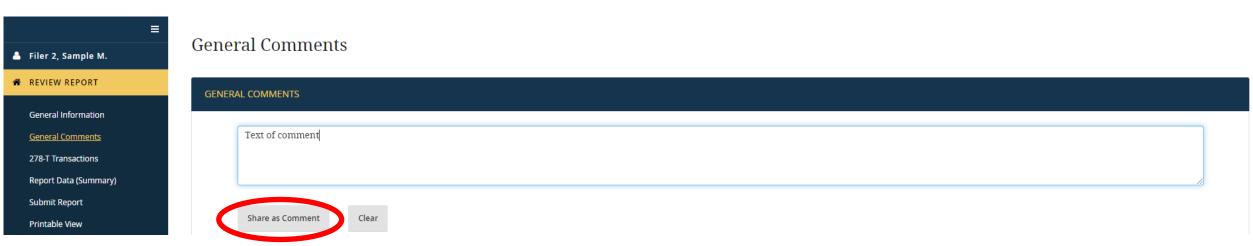
Ability to Add or Delete Comments

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

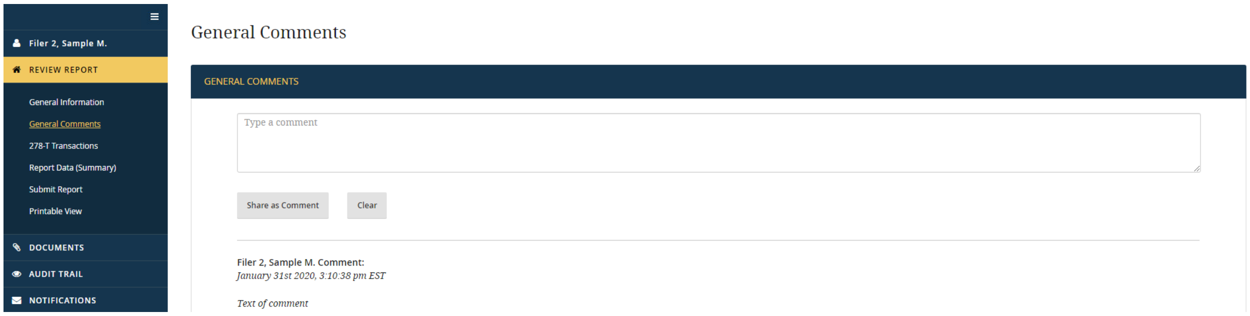
General Comments

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.



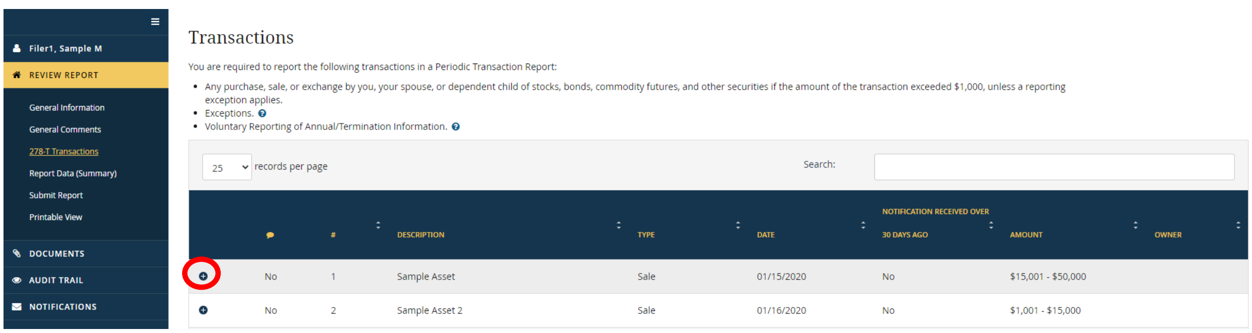
Comments display from most recent to oldest, so the newly added comment will appear at the top of the list of comments.



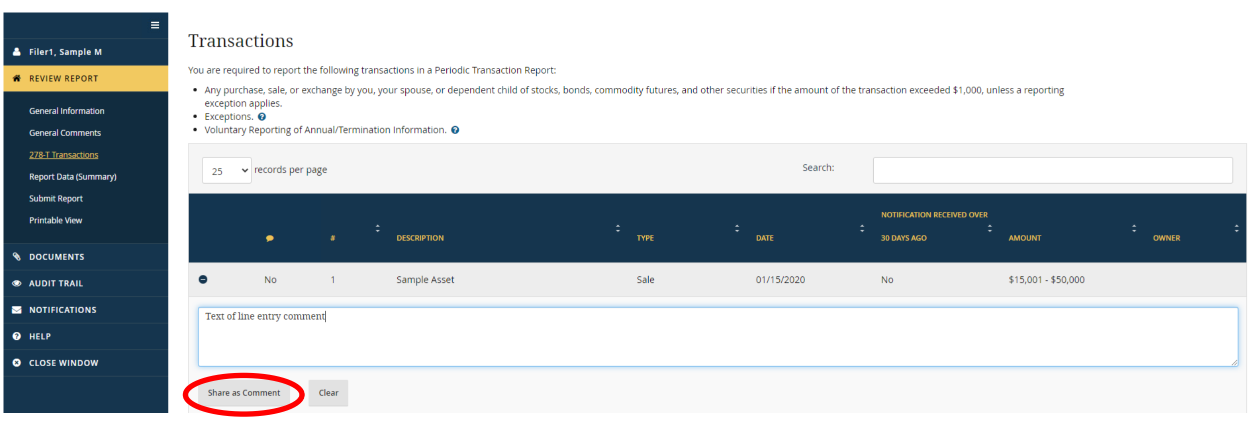
Line Entry Comments

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 () 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.



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.



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	COMMENT
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.

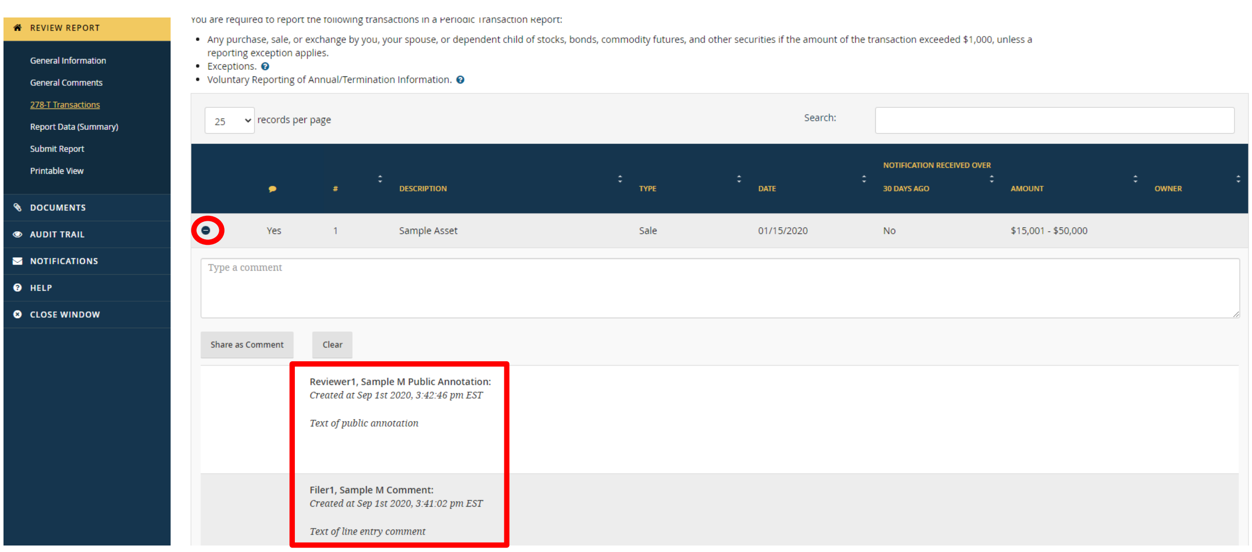
General Public Annotations

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."

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."



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 (public annotations):

PART	#	REFERENCE	COMMENT
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 section 4.5.10 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.

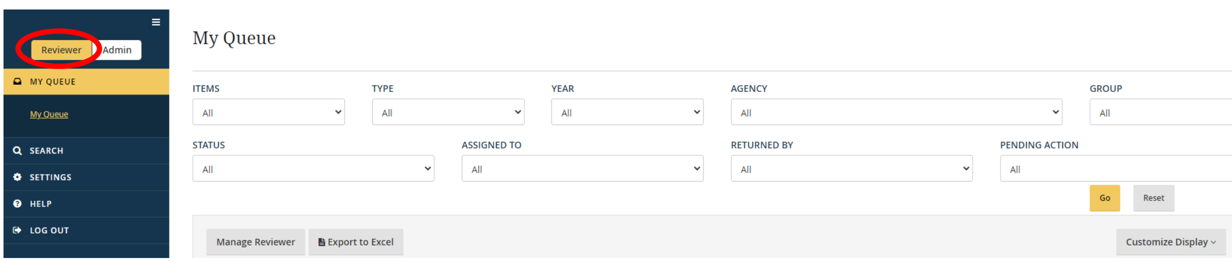
Section 6: Reviewer Actions

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.



6.1.2 - Menu Options

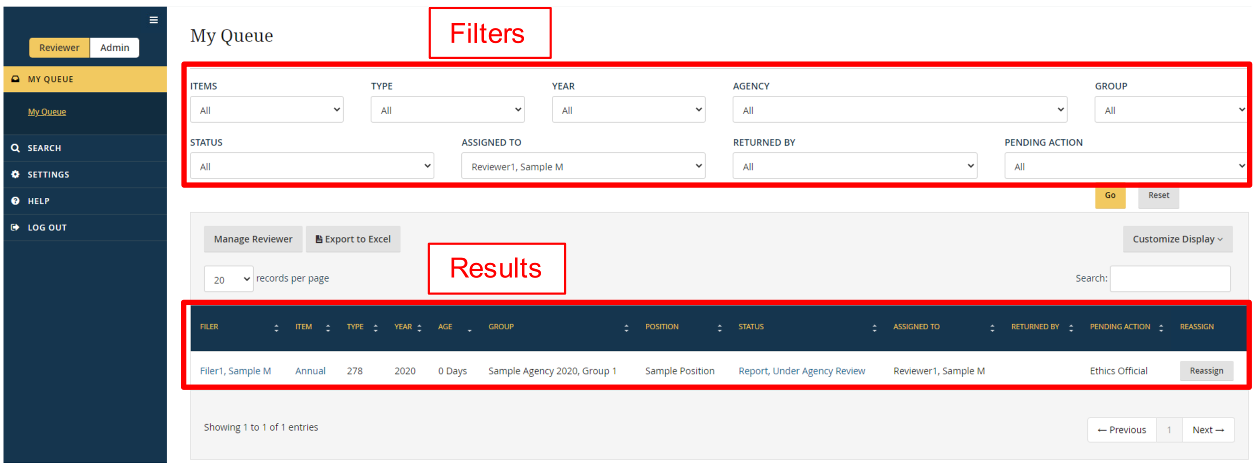
The menu options on the primary Reviewer interface window are:

- 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.



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."

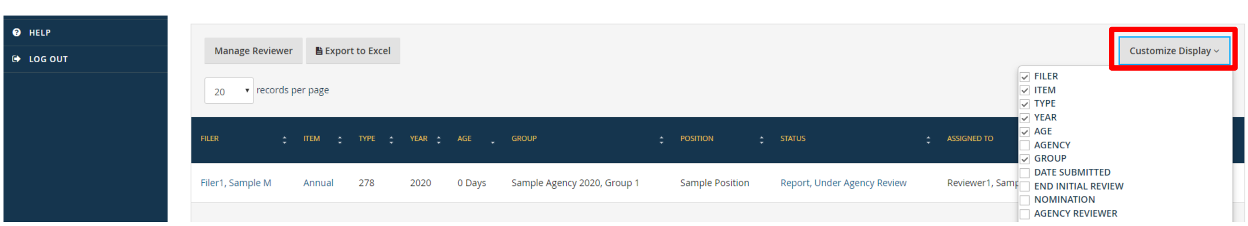
- Assigned To: The "Assigned To" filter limits results based on whether the report is currently assigned to the user for action or not. By default, the filter is set to your name so that only reports assigned to you are displayed.

- 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 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.

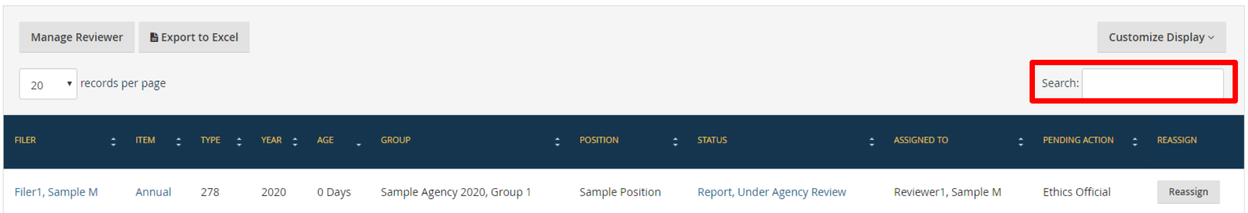
6.2.2 - Customize and Further Filter the Display of Results

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.



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.



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.

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 section 1.9.1 for an overview of Primary and Alternate role holders and see section 1.9.2 for a description of the various roles.

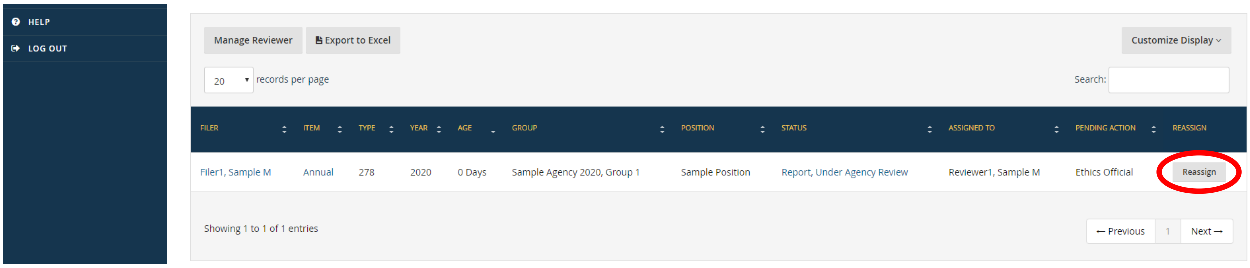
- Example 1: Let's say a report in Group 1.1 follows the Filer to Certifying Official workflow. The Primary Certifying Official is Martha Jones. After the report is filed, the report is assigned, by default, to Martha Jones as the Primary Certifying Official. The report can be reassigned to an Alternate 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.

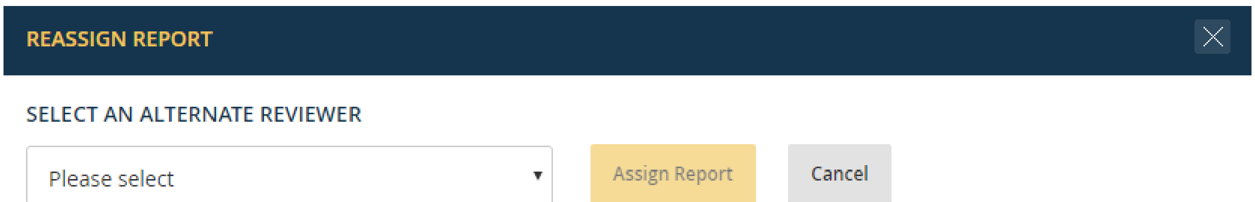
If the Agency has not enabled the Cascade All Roles feature, the list of available users includes only the Primary and Alternate role holders in that Group. So, in example 1 above, the Reviewer could not reassign the report to a Primary or Alternate Certifying Official in Group 1. Those role holders 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

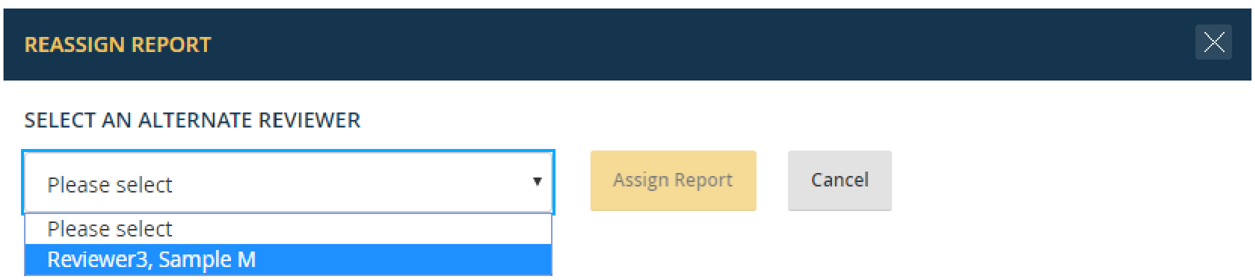
To assign a single report, find the report in the results table and click the "Reassign" button at the far right. If no other users hold the role that must act next in the workflow for that report, the "Reassign" button will not appear.



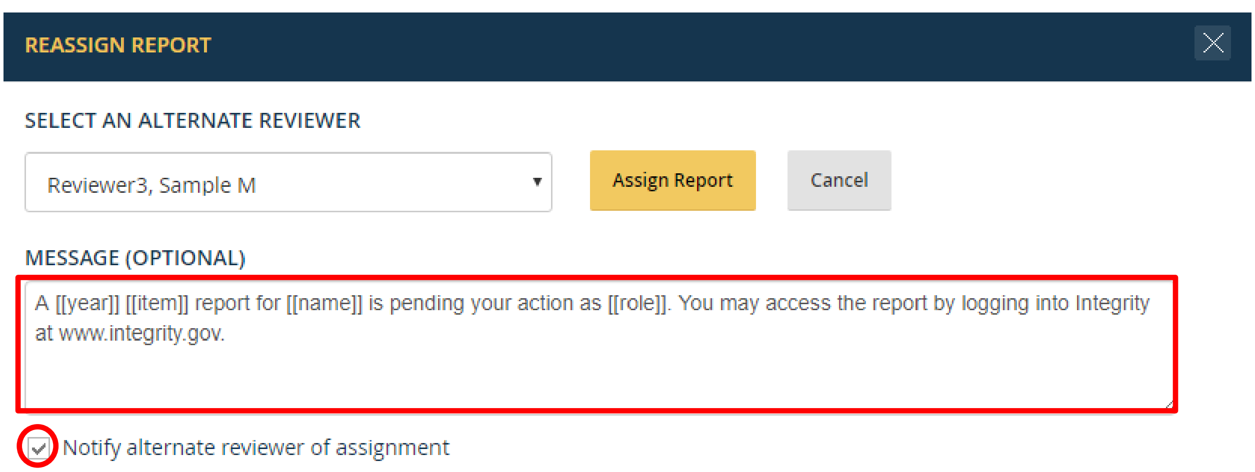
Assuming you can assign the report, a new window will appear after clicking the "Reassign" button.



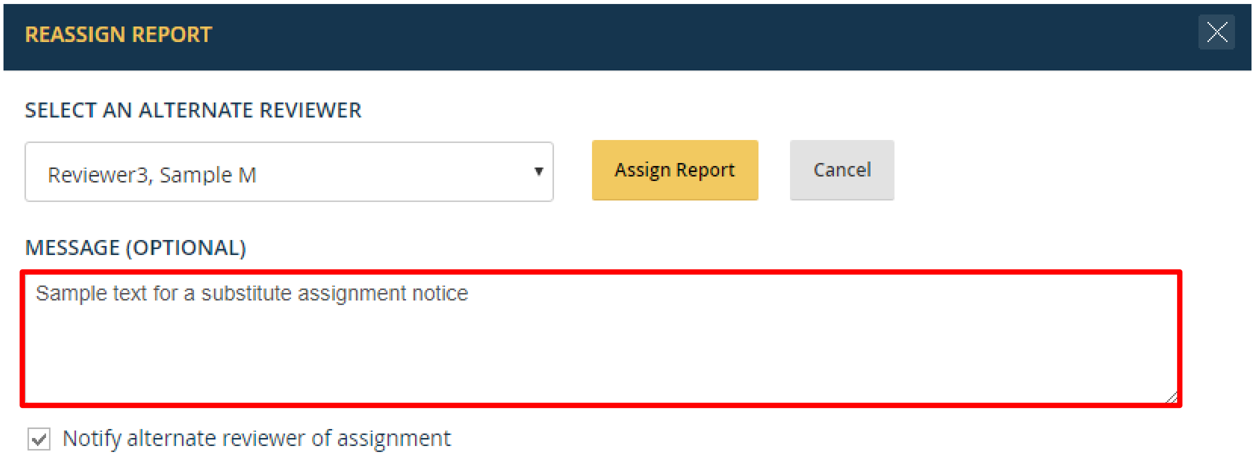
Select the name of an available role holder.



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.



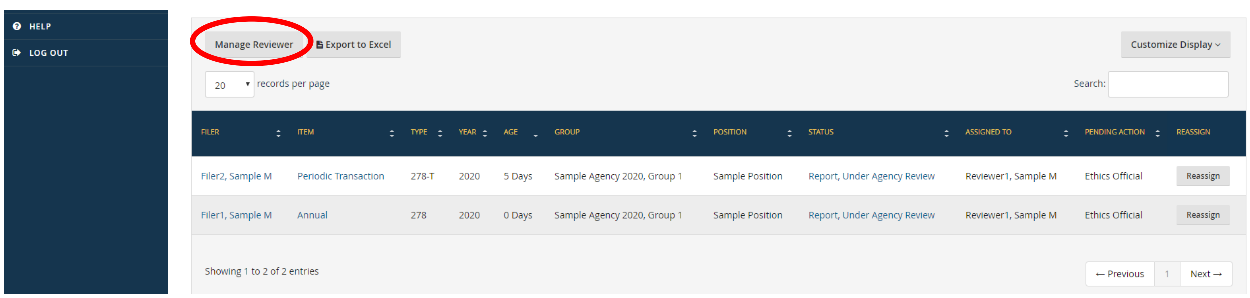
You can supply a different message by entering substitute text in the “Message (Optional)” box.



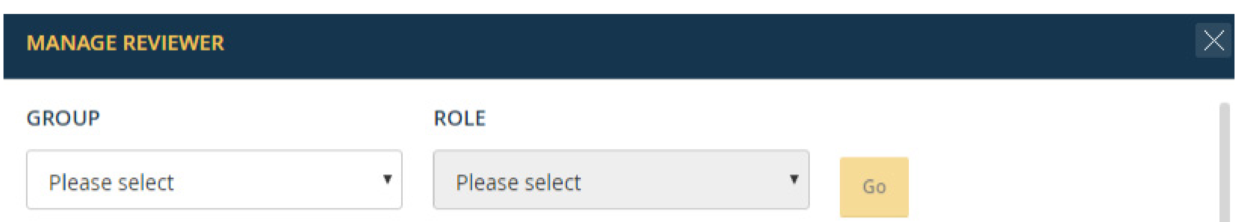
Clicking the “Assign Report” button completes the assignment.

<u>Assign Multiple Reports</u>

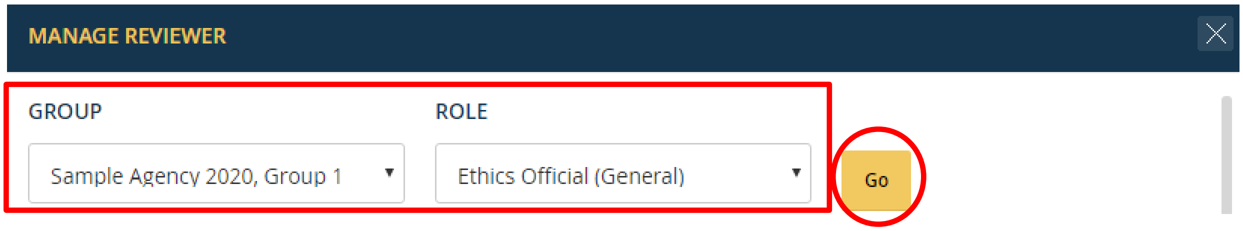
To assign multiple reports to the same role holder, click the “Manage Reviewer” button in the upper left of the results table.



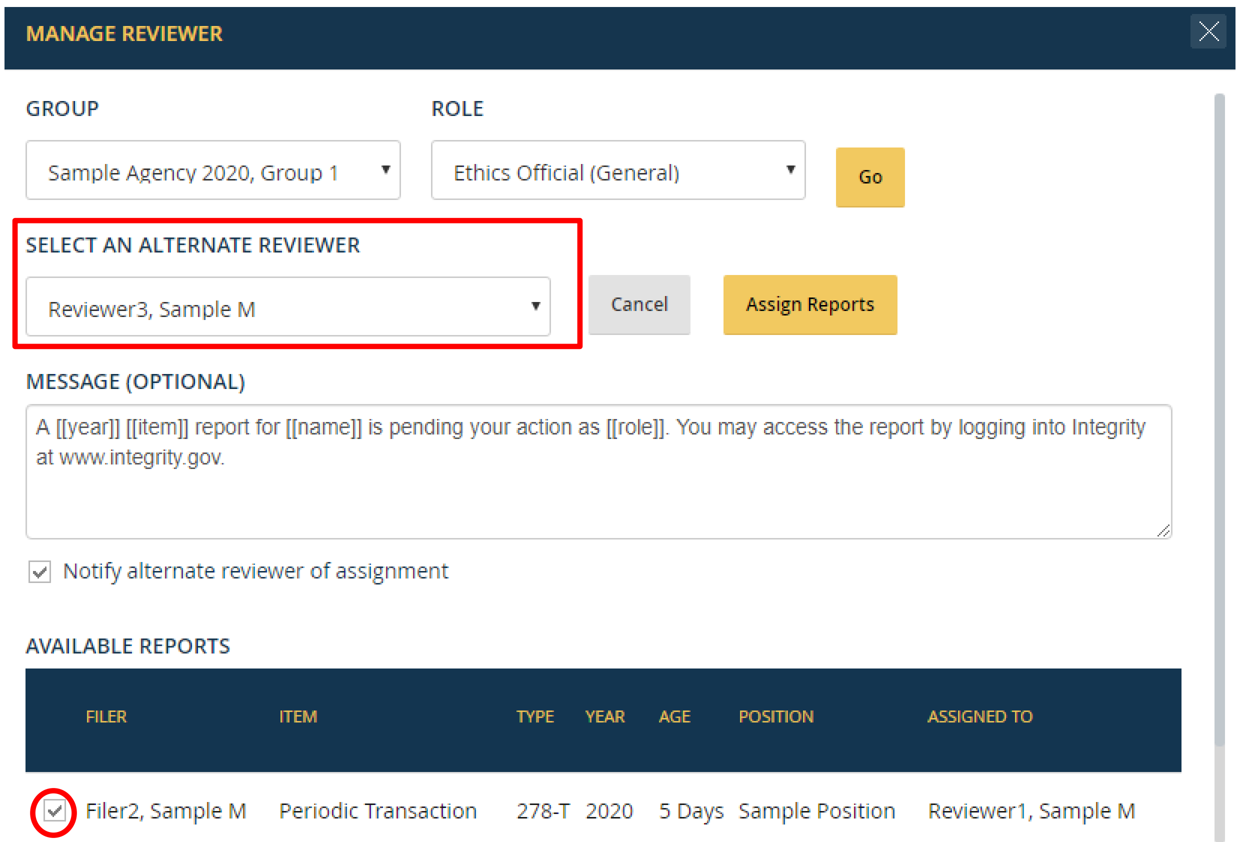
A new window will appear.



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



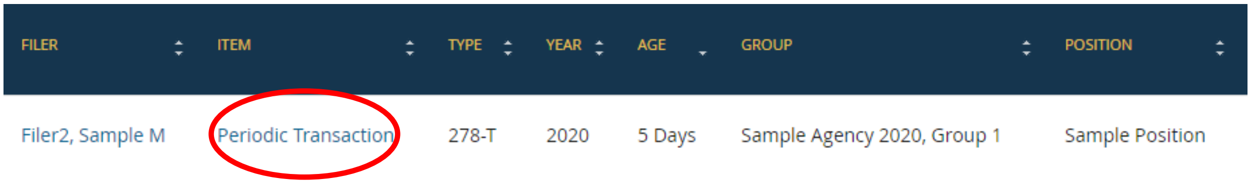
Integrity will display the reports within the Group that are pending action for that role. Check the boxes next to the reports to assign and select an alternate Reviewer from the "Select an Alternate Reviewer" drop-down field.



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.

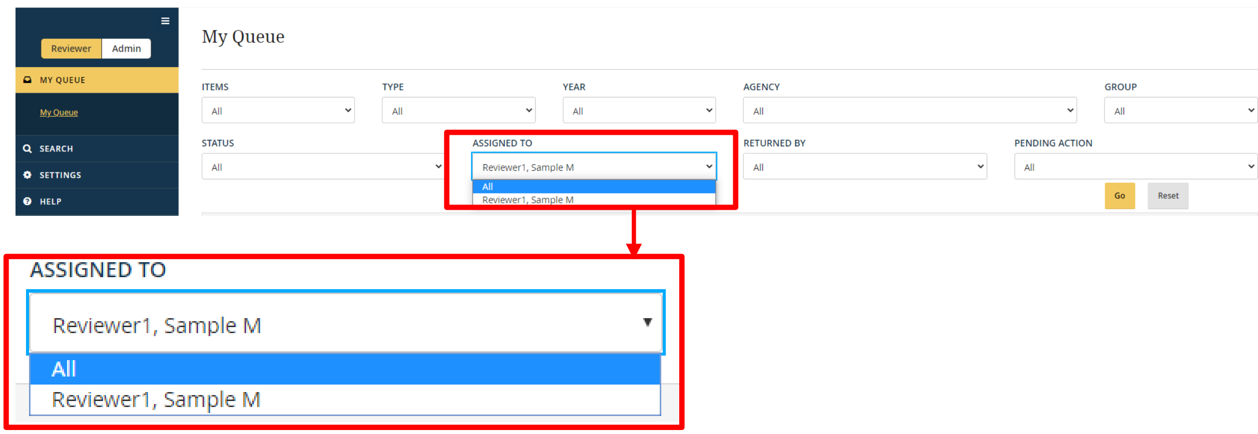


If you do not see the "Item" column, check the "Customize Display" button to make sure the column has not been hidden.

6.2.6 - Find Other Reports

<u>Find Reports Assigned to Any Reviewer</u>

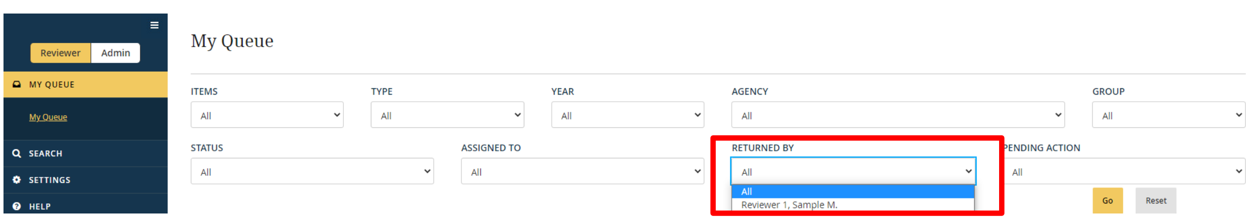
To find a report assigned to another Reviewer, set the "Assigned To" filter to "All."

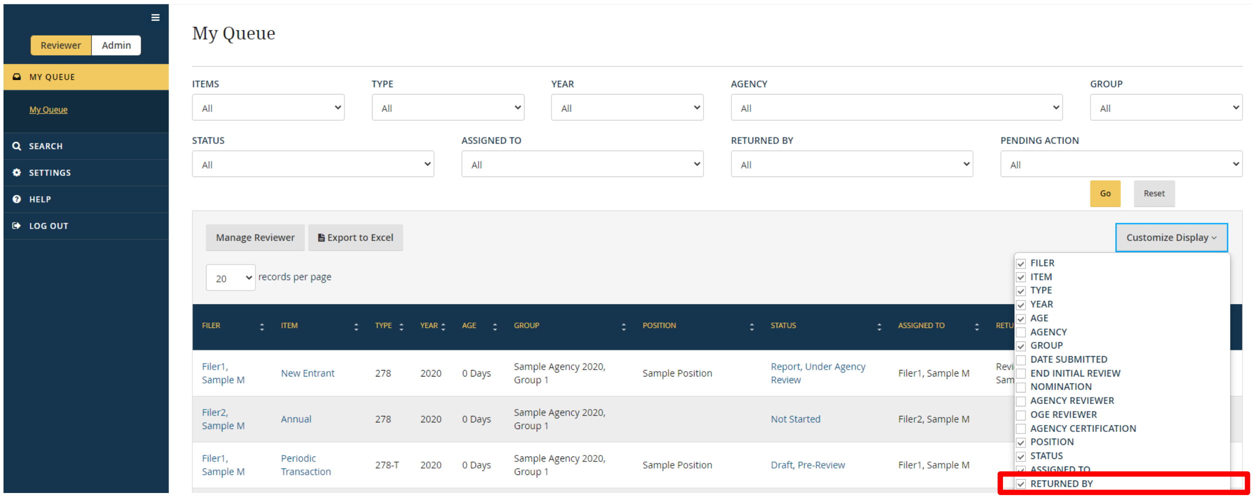


<u>Find a Returned Report</u>

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

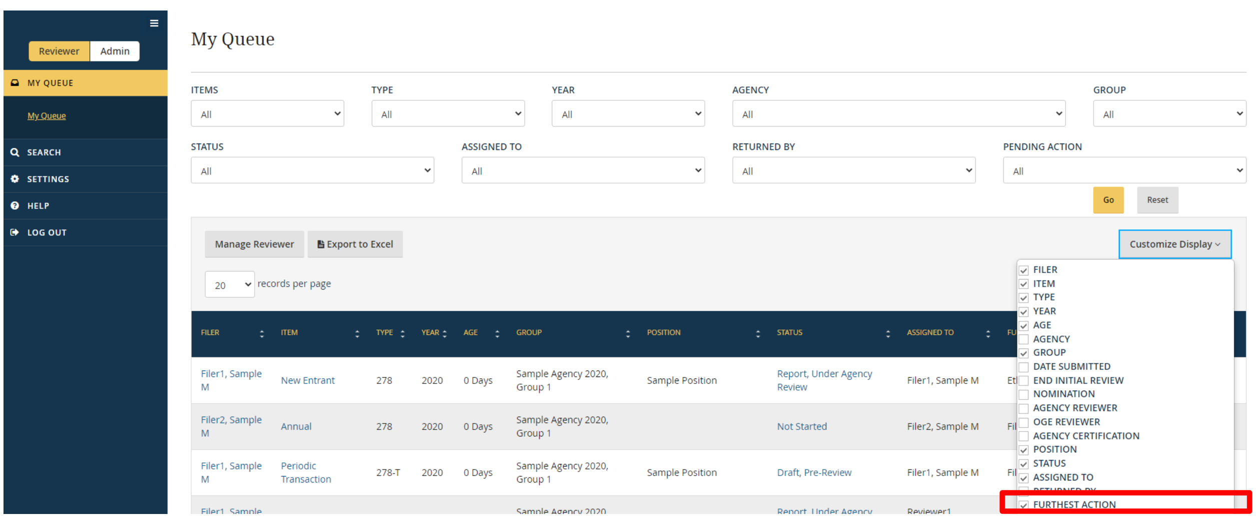
To find a report by the Reviewer who mostly recently returned the report, you can use the "Returned By" filter option or select the "Customize Display" option and choose the "Returned By" column.





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.



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.

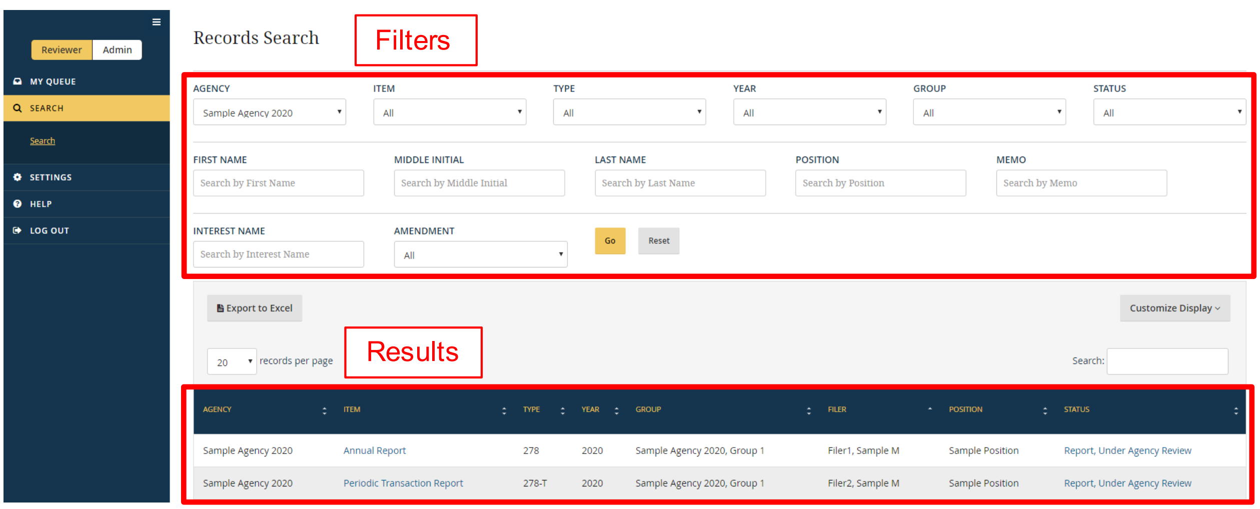
3. You do not have access to the Group in which the report was filed. Check whether another Reviewer with access to the Group can find the report.

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.



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 section 6.3.3.

- 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 section 6.3.3.

- Position: The “Position” filter limits results based on the position title or part of the position title and wildcard characters. See also section 6.3.3.

- 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 section 6.3.3 for more information on wildcard searches. See section 6.6.2 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.

Type	**Part**	**“Interest Name” Filter Searches…**
OGE Form 278e	Part 1 – Filer’s Positions Held Outside United States Government	“Organization Name” field
OGE Form 278e	Part 2 – Filer’s Employment Assets & Income and Retirement Accounts	“Description” field
OGE Form 278e	Part 3 – Filer’s Employment Agreements and Arrangements	“Employer or Party” field
OGE Form 278e	Part 4 – Filer’s Sources of Compensation Exceeding $5,000 in a Year	“Source Name” field
OGE Form 278e	Part 5 – Spouse’s Employment Assets & Income and Retirement Accounts	“Description” field
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 Reimbursements	“Source Name” field
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 section 6.7.8 for more information about amendments to certified reports.

6.3.3 - Wildcard Searches

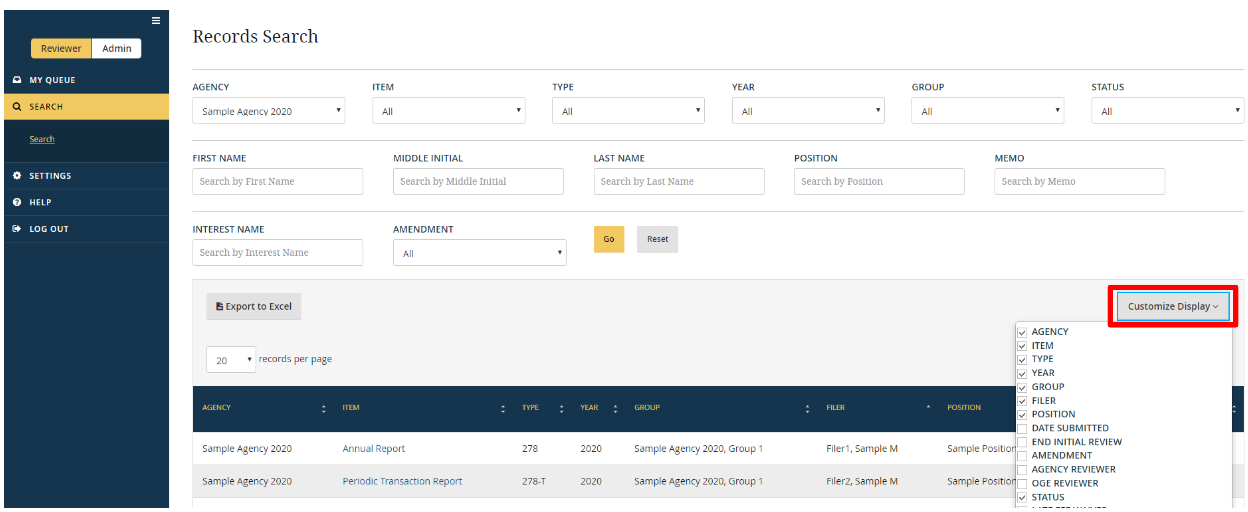
The “Search” page permits wildcard searches in certain fields.

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.



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.

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.

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 - Review an 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.

Group 1
|
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 section 7.2.5 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.

- o 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 pre-populated 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*.

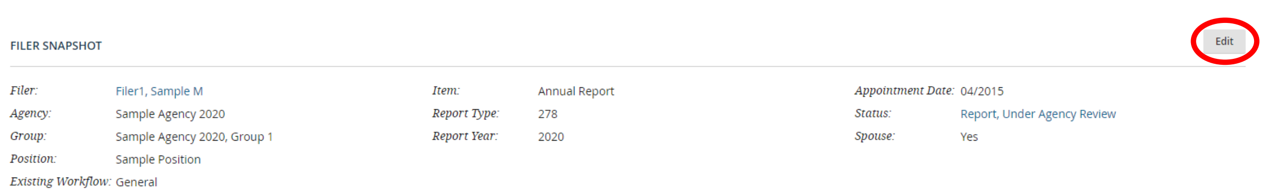
- Help: The "Help" page provides links to basic information about *Integrity* and the public financial disclosure forms.

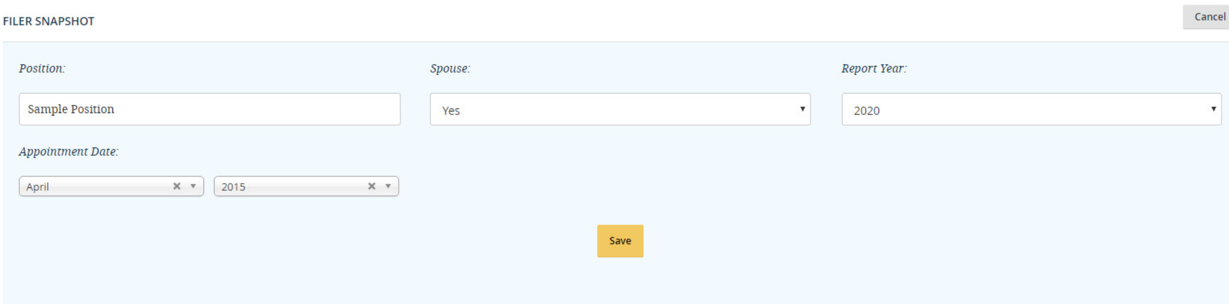
6.4.3 - General Information Page

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.

Filer Snapshot

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





- 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 section 6.4.8 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 section 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.

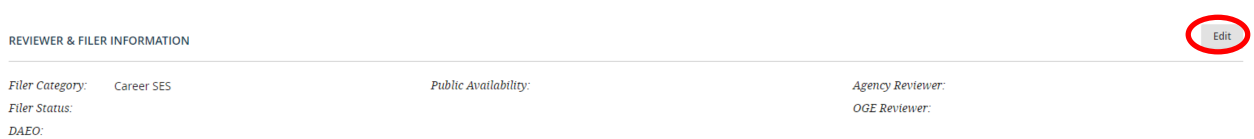
- Status: This field indicates where the report is in its lifecycle. Depending on the workflow, however, a report may go through several levels of review within a single Status. To check where a report is within the workflow, click the hyperlinked text in the "Status" column. A new window will appear.

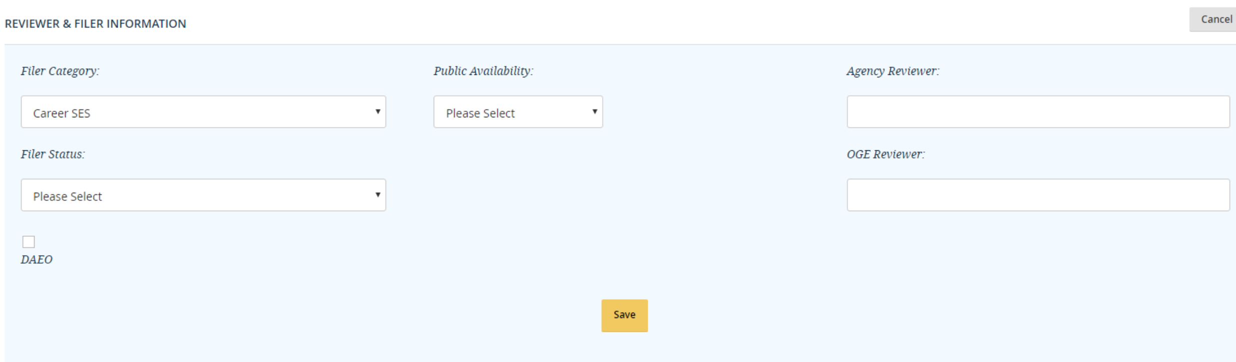
The window displays the workflow for that report and the Primary role holder at each step within that workflow. The far right column specifies whether a role holder has taken action for a particular step, including the name of that role holder.

- 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.

<u>Reviewer & Filer Information</u>

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.





- 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*.

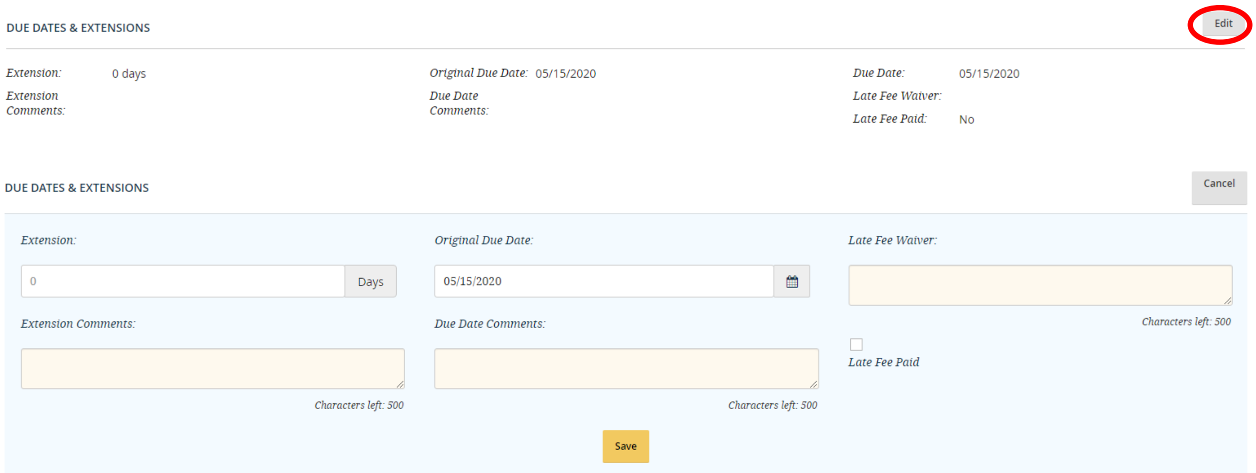
- Public Availability: This field indicates whether the report is releasable to the public or not. In most cases, an OGE Form 278e or OGE Form 278-T is releasable to the public. An Admin user makes an initial determination when assigning the report. Reviewers can update this determination if needed.

- 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.



- 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.

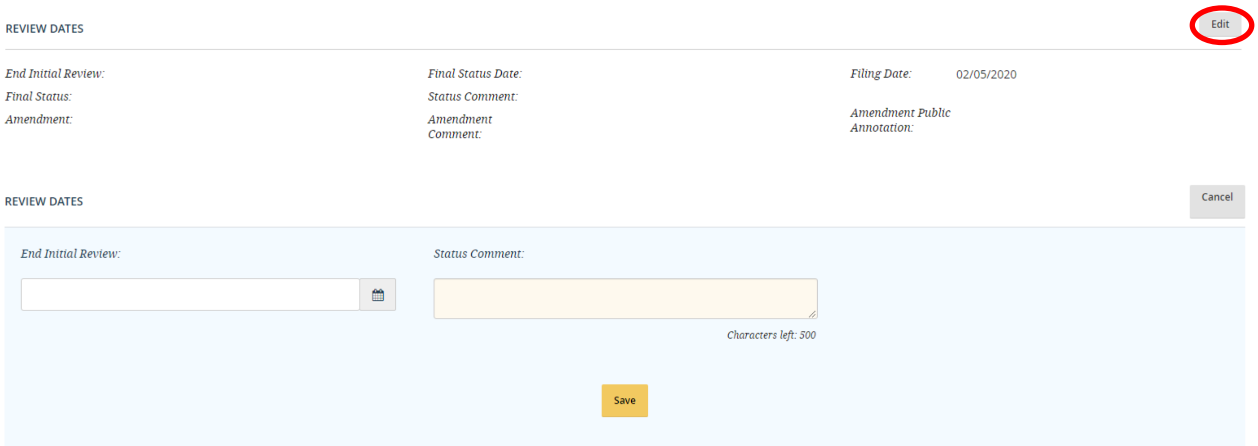
- Due Date: *Integrity* automatically calculates the due date based on the original due date and the number of days of any extension granted.

- 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.



- 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 section 6.7.8.

6.4.4 - Edit Grid Entries

Reviewers can edit grid entries in the same way that a Filer would edit entries. See section 4.3.6 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 section 4.5.4 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 section 4.5.5 for more information on public annotations.

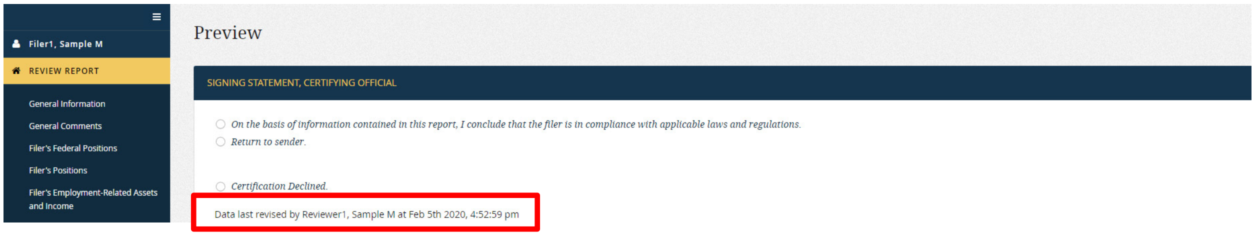
6.4.7 - Submit, Return, or Close a Report

Submit ("Sign") a Report

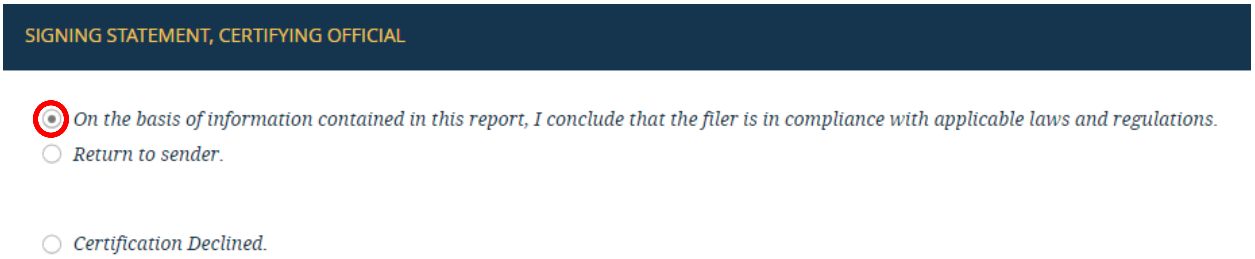
Submitting a report in *Integrity* is the equivalent of approving or signing the report. For the Certifying Official, submission certifies the report and ends the review process. For intermediate Reviewers, submission forwards the report to the next level of review.

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.



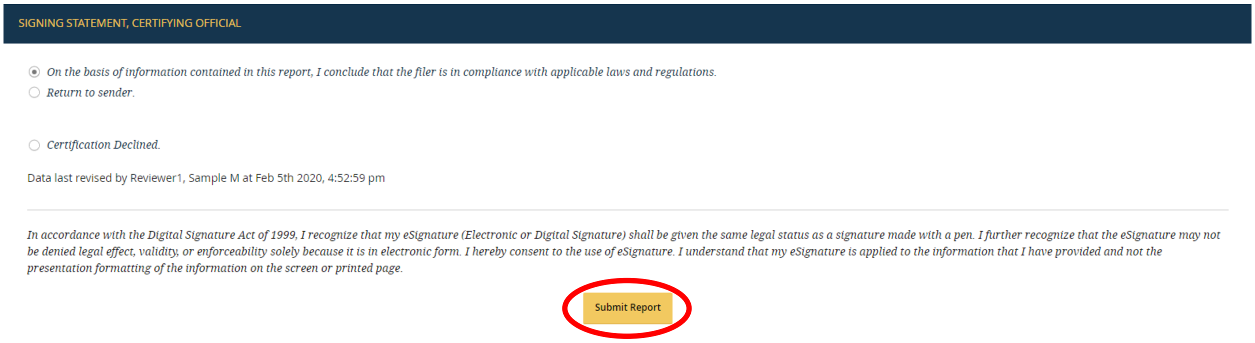
2. Select the option that indicates agreement with the Review Statement.



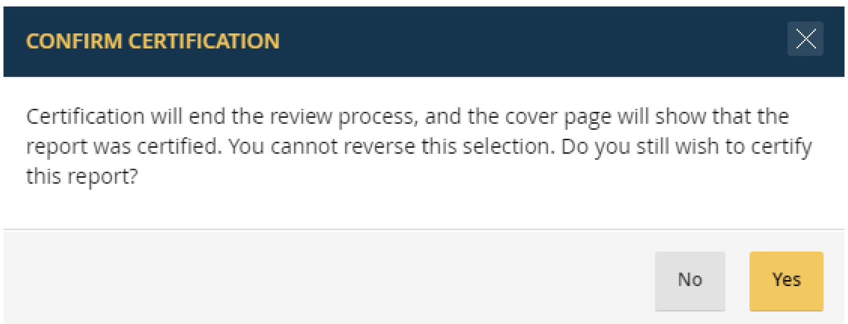
The Review Statement will differ depending on your role. In addition, only the signatures of Reviewers who performed both a technical and conflicts review appear on the Cover Page of the printable, publicly releasable version of the report, unless the Agency has enabled the Display Signatures for Intermediate Reviewers option. See section 7.2.5 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.

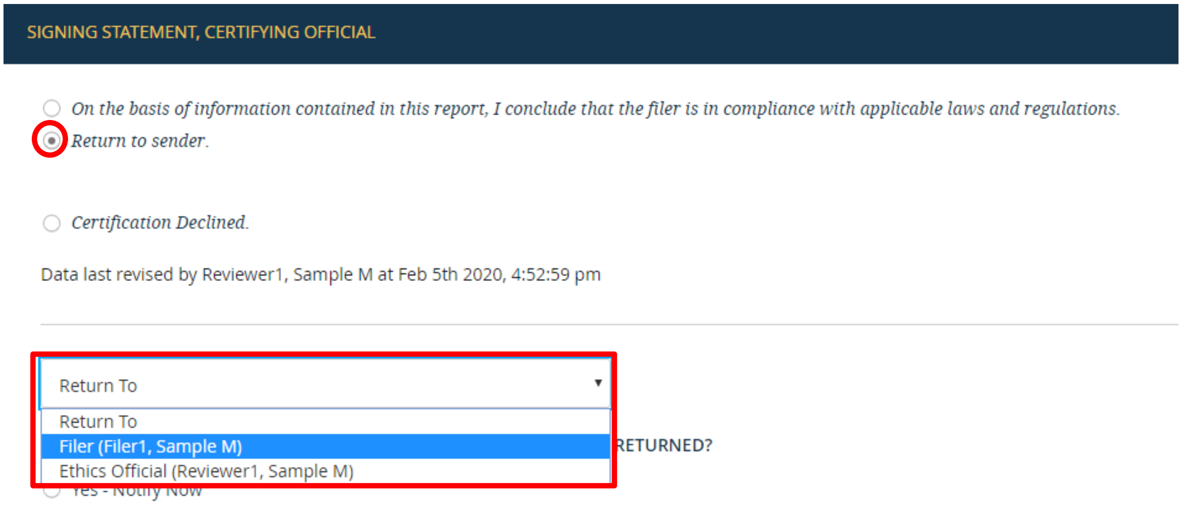
Return a Report

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."

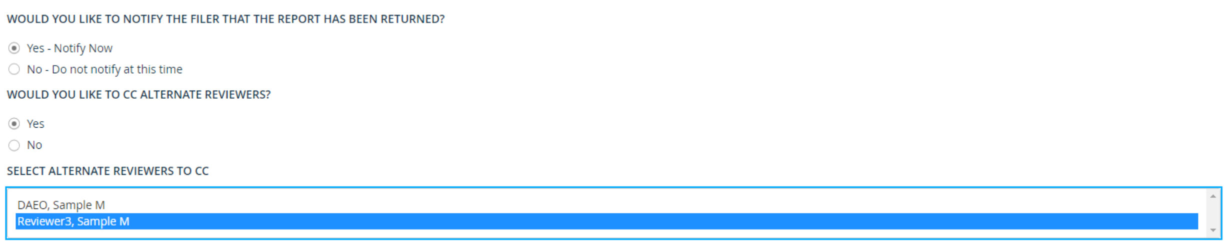
To return a report, take the following steps:

1. Go to the "Submit" page.

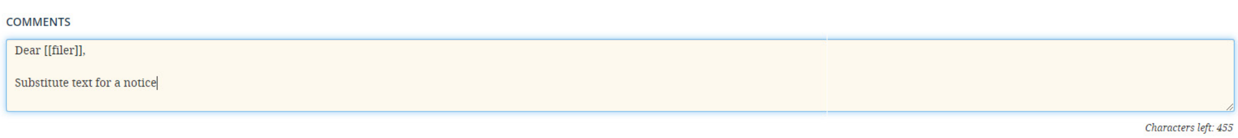
2. Select the "Return to" option and then select the user to whom to return the report.



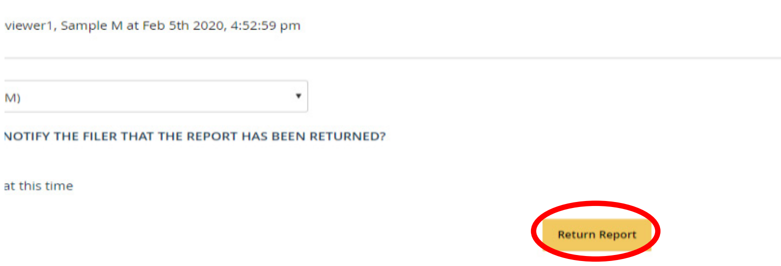
Specify whether *Integrity* should notify the Filer or Reviewer that the report has been returned and whether alternate Reviewers should be copied as well. If copying alternate reviewers, *Integrity* will display a list of reviewers who also have permission to take action for the current workflow step (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).



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.



3. Click the "Return Report" button. You will receive a message stating that the report has been returned.



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.

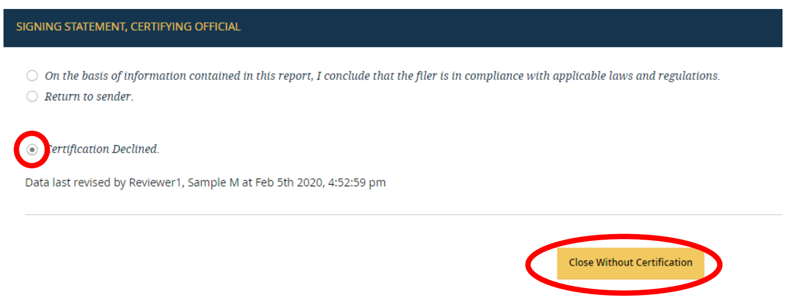
Important: A closed report cannot be re-opened; therefore, do not choose this option unless you are sure that the report should be closed and that such action is in conformance with rules set by OGE and the Agency. Do not decline certification if the report was created in error or if a report must be 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.

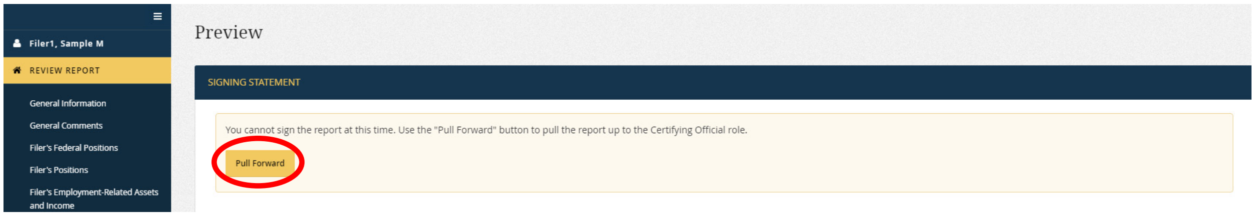


Integrity will ask you to confirm the decision. After confirmation, you will receive a message stating that the report has been closed.

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)*

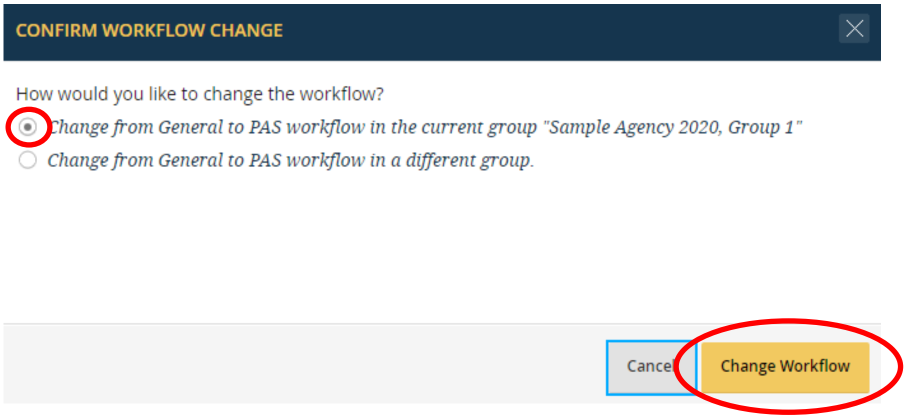
A report is sometimes assigned using the incorrect workflow. For example, a General 278 report (not reviewed by OGE) might be assigned using the PAS/DAEO workflow. If the Filer has not yet started the report, any user with report-assignment rights can change the workflow in the Admin interface. See section 7.6.7. 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

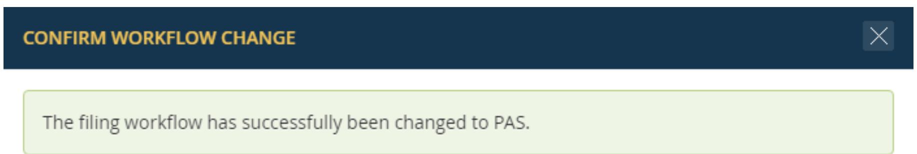
To change the workflow, take the following steps:

1. Go to the "General Information" page and select the "Change Workflow" button.

Select how to change the workflow and click the "Change Workflow" button.



You will receive a notification if the change was processed successfully.



Changing Workflows in the Current Group

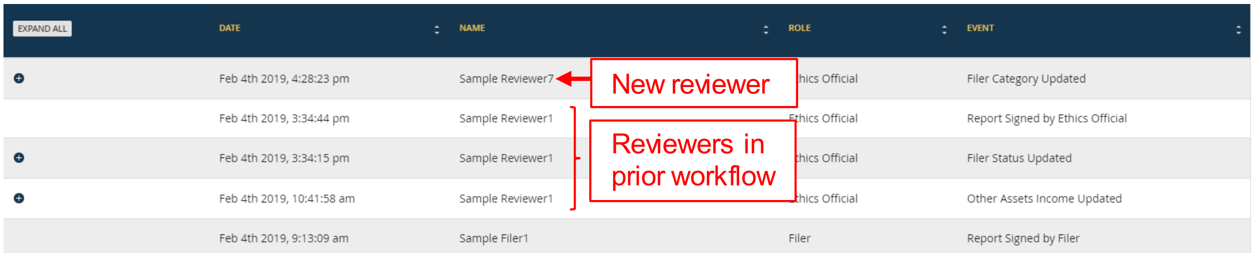
You can change the workflow of a report without changing the Group if the current Group supports both the General 278 and PAS/DAEO workflows. If the Group does not support both workflows, you can either change the report to the workflow of a different Group or add a workflow to the current Group. See section 7.3.4 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 section 7.5.3 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."



The workflow change will also be noted as a system-generated public annotation on the Cover Page of the report.

6.5 - Review an 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 self-assigned 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 section 6.4.3 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 section 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 section 5.5.4 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 section 5.5.5 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 section 6.4.7 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 section 6.4.8 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 section 4.5.7 for more information on the basic functioning of "Compare."

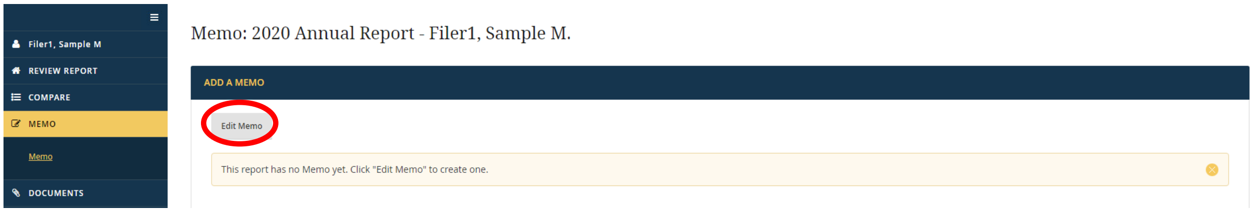
Integrity does not provide a "Compare" feature for an OGE Form 278-T.

6.6.2 - Memo

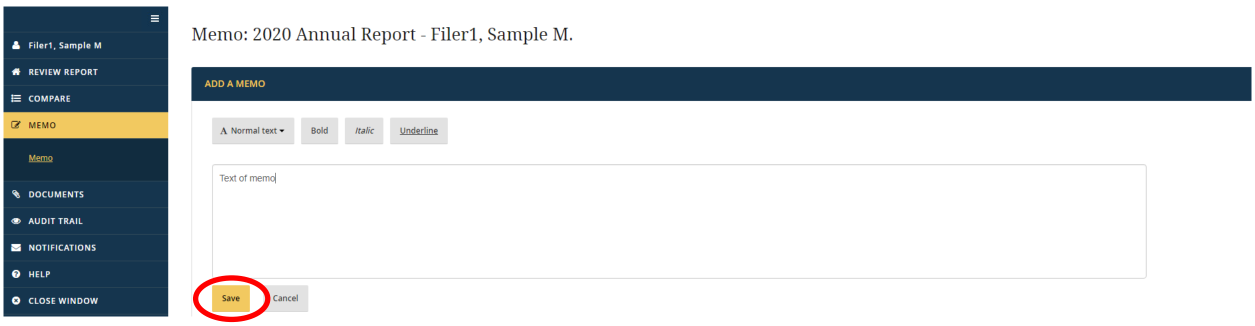
The "Memo" page provides a space for Reviewers to record notes that should be retained with the report after the review process ends. The Filer does not have access to the "Memo" page, and the "Memo" page is not part of the printable, publicly releasable report. Notes entered into the "Memo" page, therefore, 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.



Enter the desired text into the blank text box and click the "Save" button.



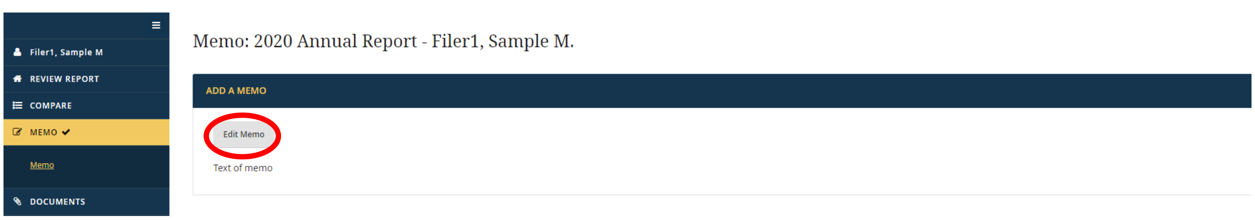
A checkmark will appear next to the "Memo" menu option, signaling that a memo exists.

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

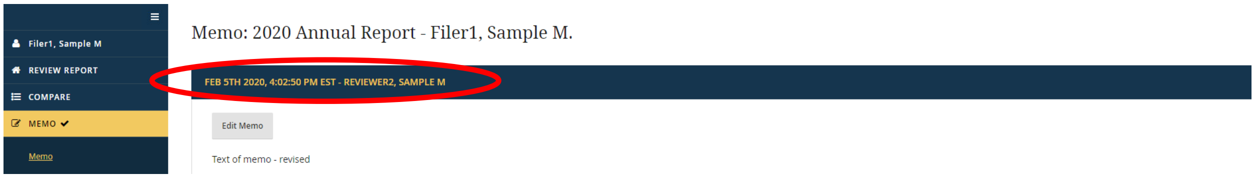
To edit a memo, click the "Edit Memo" button and make the desired change in the text box.



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."



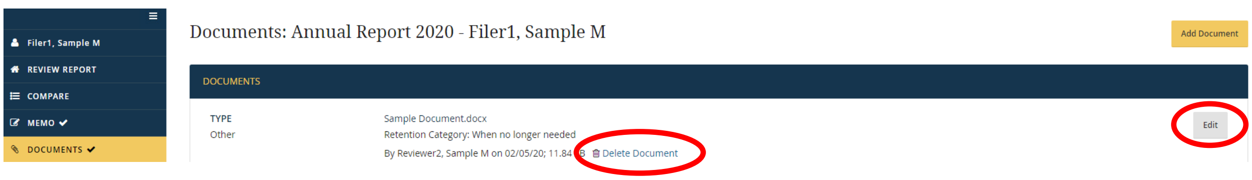
To save notes that cannot be updated by another Reviewer, you can upload notes as a static document (e.g., a scanned page or an Adobe PDF file) on the "Documents" page.

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 section 4.5.8 for information about adding documents.



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 section 6.7.8 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.

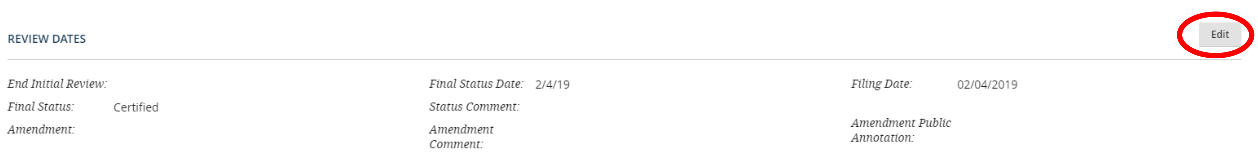
6.7.8- Amendments to General 278 Reports

<u>Make an Amendment</u>

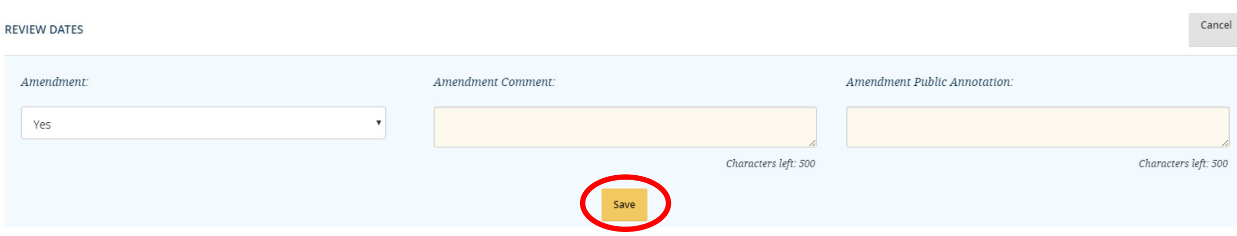
Neither Filers nor Reviewers have the ability to edit the entries of a report after the review is complete. In lieu of an edit to a report entry, an amendment letter or other document can be uploaded into *Integrity* on the “Documents” page. Brief amendments can also be addressed through a public annotation.

<u>Flag an Amended Report (*Certifying Officials only*)</u>

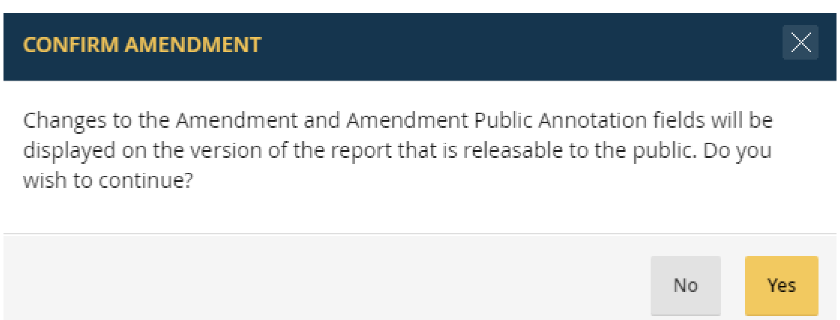
To indicate that a report has been amended, go to the “Review Dates” section of the “General Information” page for the report and click the “Edit” button.



Select “Yes” in the “Amendment” field and click the “Save” button.

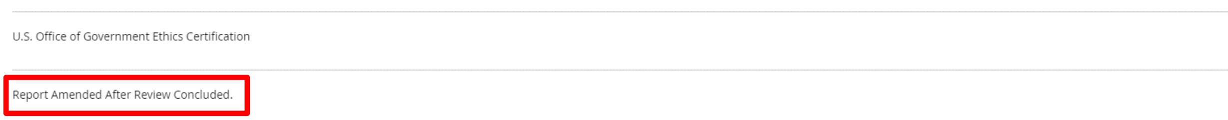


Integrity will ask you to confirm the decision.



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.



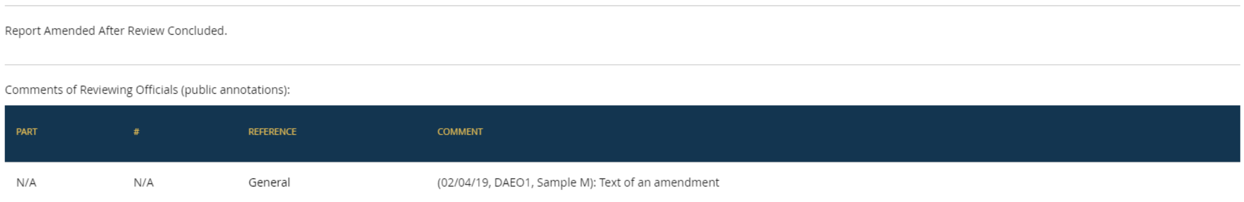
Amendment Comments (*Certifying Officials only*)

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*)

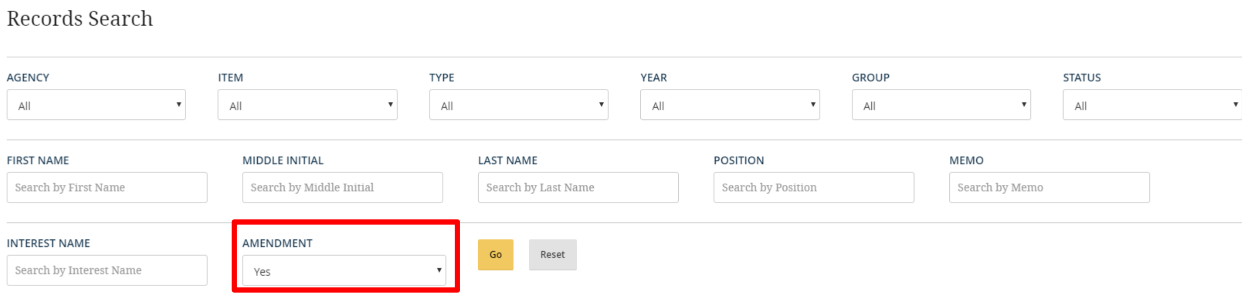
You can enter text into the "Amendment Public Annotation" field to provide a brief, public explanation of the amendment. If the amendment is too lengthy or complex to address in this field, you can use the field to direct the reader to an amendment letter or other document that has been uploaded into *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.

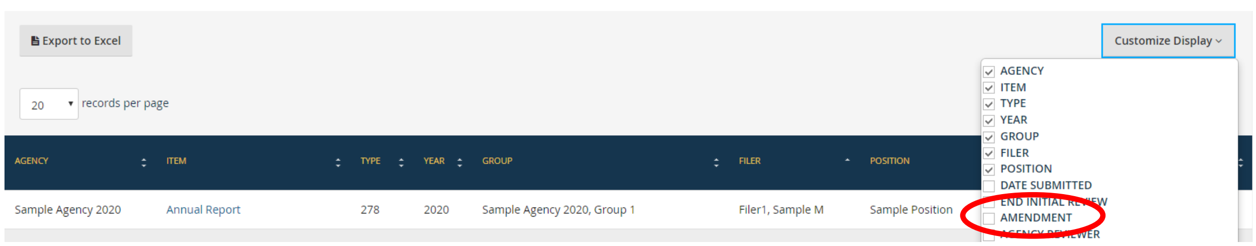


<u>Finding Amended Reports</u>

To identify which reports have been amended, you can go to the "Search" page and set the "Amendment" filter to "Yes."



Alternatively, you can select the "Amendment" field from the "Customize Display" drop-down list.



<u>Audit Trail</u>

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.

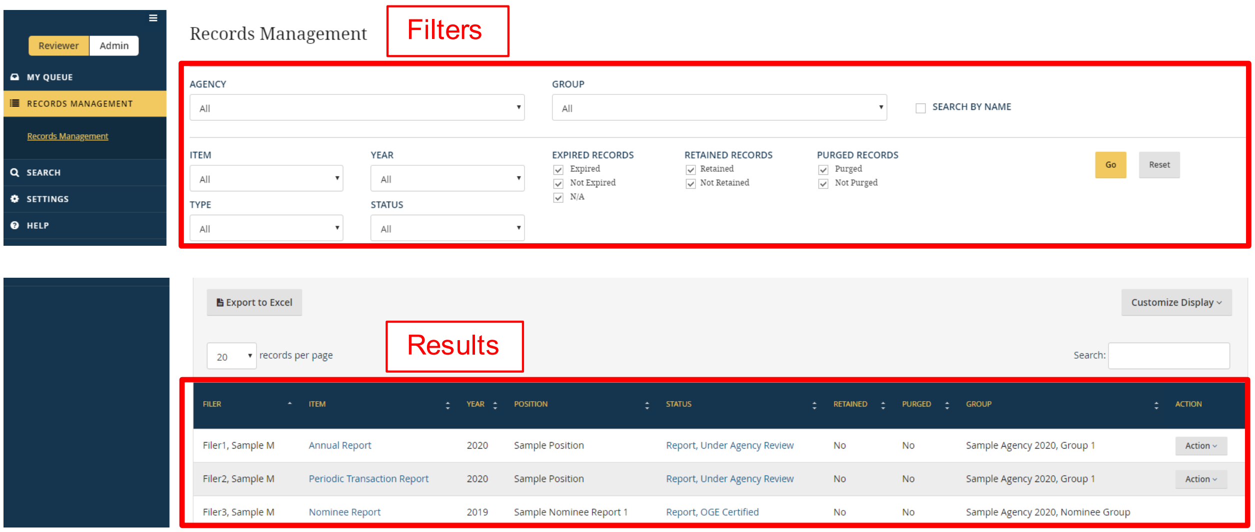
6.8 - Manage Records

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.



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.

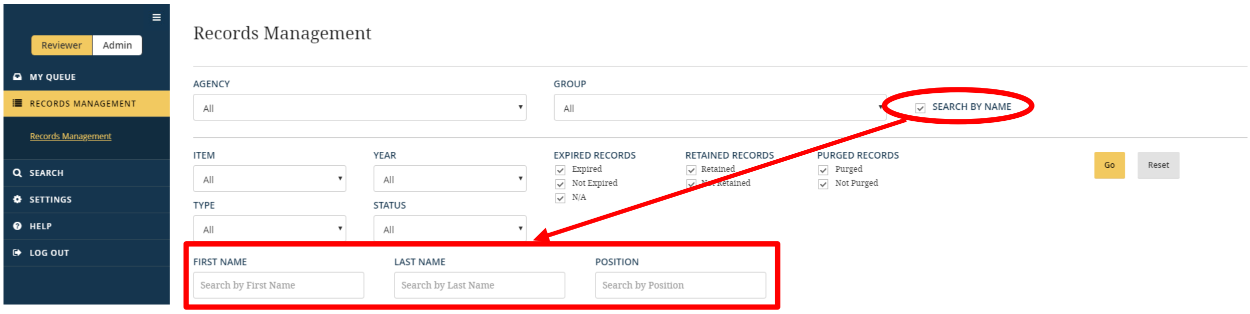
6.8.3 - View Reports

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.



- 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 section 6.8.5 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 section 6.8.4 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 section 6.8.5 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.

You can reverse the action by clicking the “Action” button and selecting “Do Not Retain.”

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 278e		
Workflow	**Report Status**	**Expiration Status Rules**
General 278	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	The expiration status is “N/A,” and the report can be purged or deleted at any time.

OGE Form 278e		
	Report Certified or Closed without Certification	The expiration status is "Not Expired." The 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)	The expiration status is "Not Expired." The report expires 6 years after OGE certifies the report or closes the report without certification.
	Report Certified or Closed without Certification (Nominees)	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 Certified or Closed without Certification	The expiration status is "N/A," and the report can be purged or deleted at any time.
	Report Certified or Closed without Certification	The expiration status is "Not Expired." The 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 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	The expiration status is "Not Expired." The 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.

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.

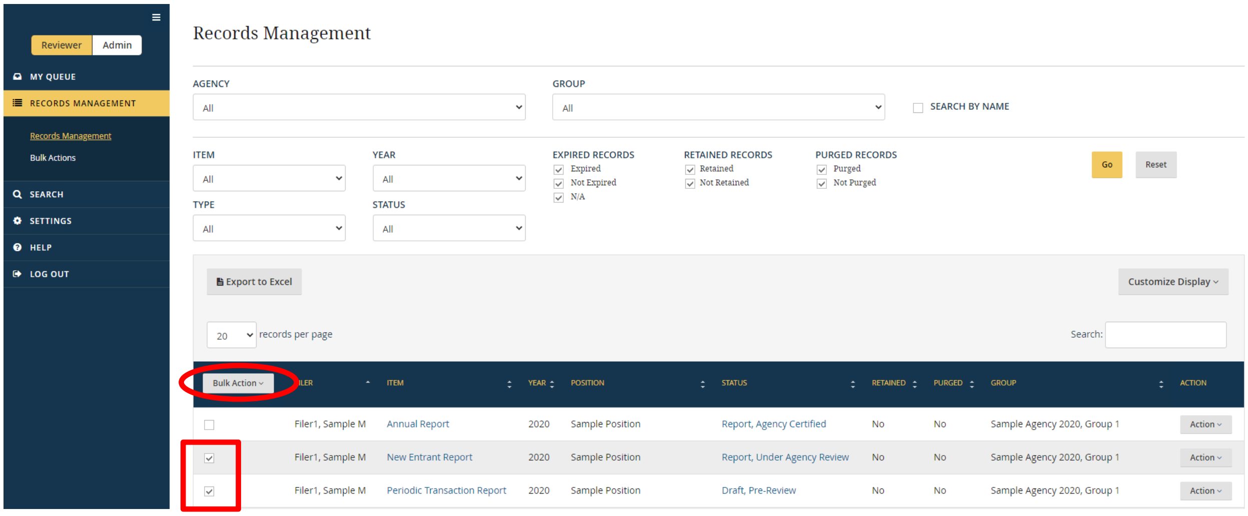
Deleting a report removes the report entirely from *Integrity*. Authorized Agency users can run a management report to identify deleted reports and who deleted the reports; however, the report itself cannot be recovered.

6.8.6 - Bulk Records Actions

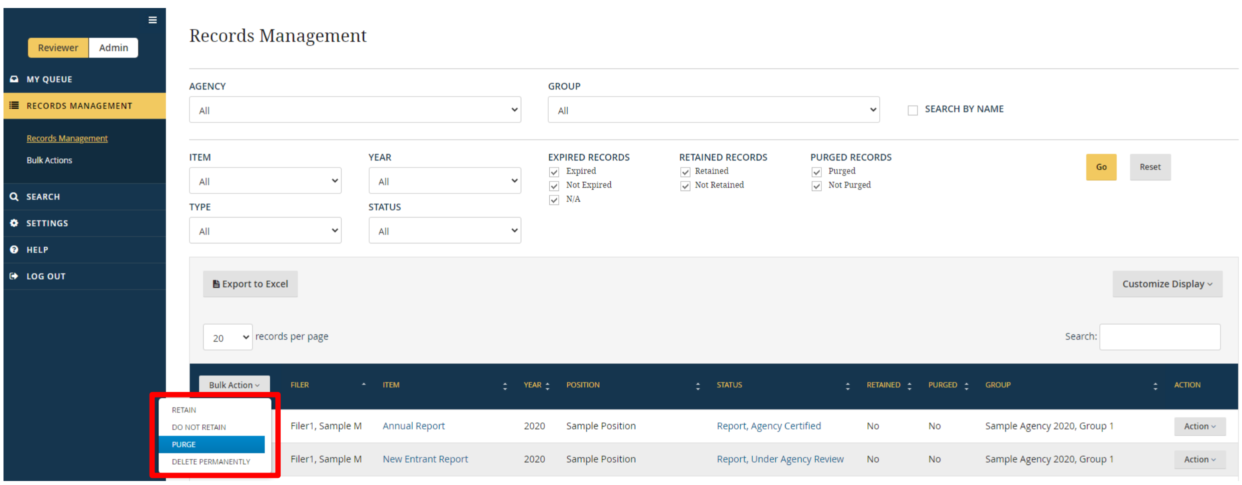
You can select more than one report at a time to purge or delete. These bulk actions are subject to a 24-hour processing hold to guard against the accidental removal of large amounts of data.

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.



From the drop-down selection, choose whether to purge or delete the selected reports.

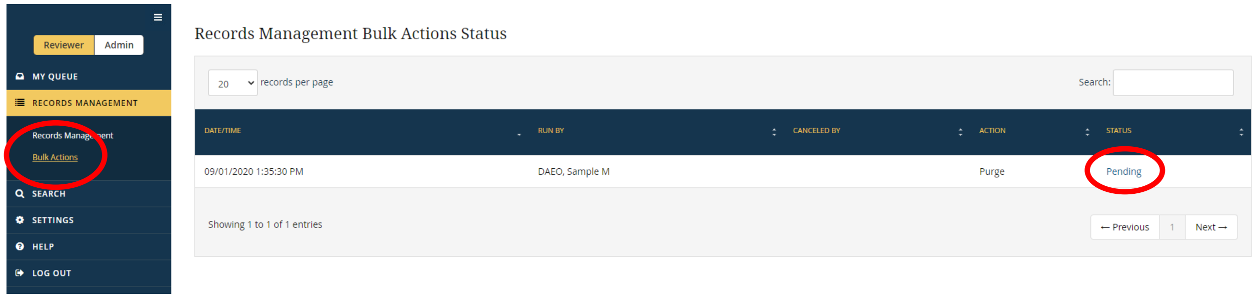


Confirm that you wish to proceed.

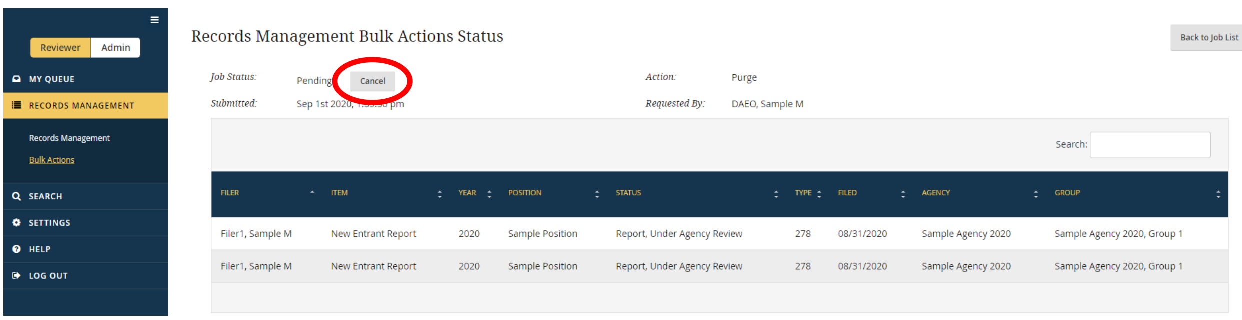
An email notification of the bulk records action will be sent to the email addresses that have been specified at the Agency and Group level. This notice will identify the Groups affected by the bulk action request and note that the action will be processed 24 hours from the time of the request. See sections 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.



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.



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.

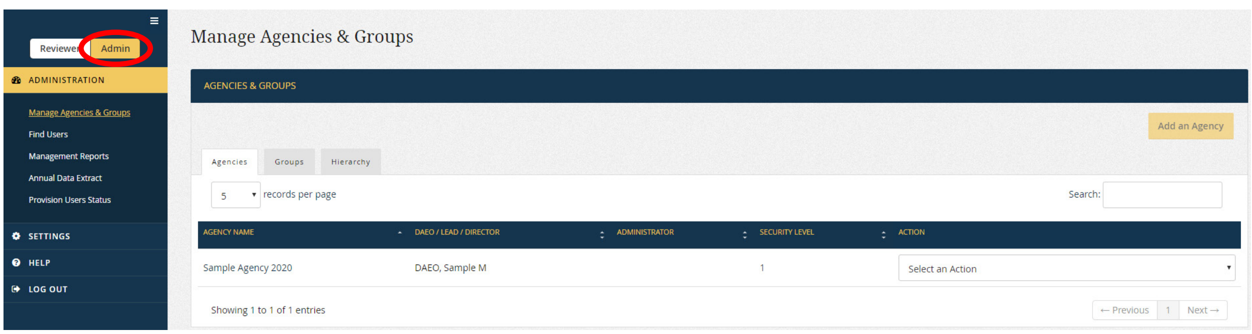
Section 7: Administrative Actions

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.



7.1.2 - Menu Options

The menu options on the primary Admin interface window are:

- Administration: 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.

- o 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.

- Settings: This page is used to update one's own contact information. See section 3 for more information.

- Help: This page contains basic information about *Integrity*.

- Log Out: Selecting "Log Out" exits *Integrity*.

7.2 - Agency Set-up

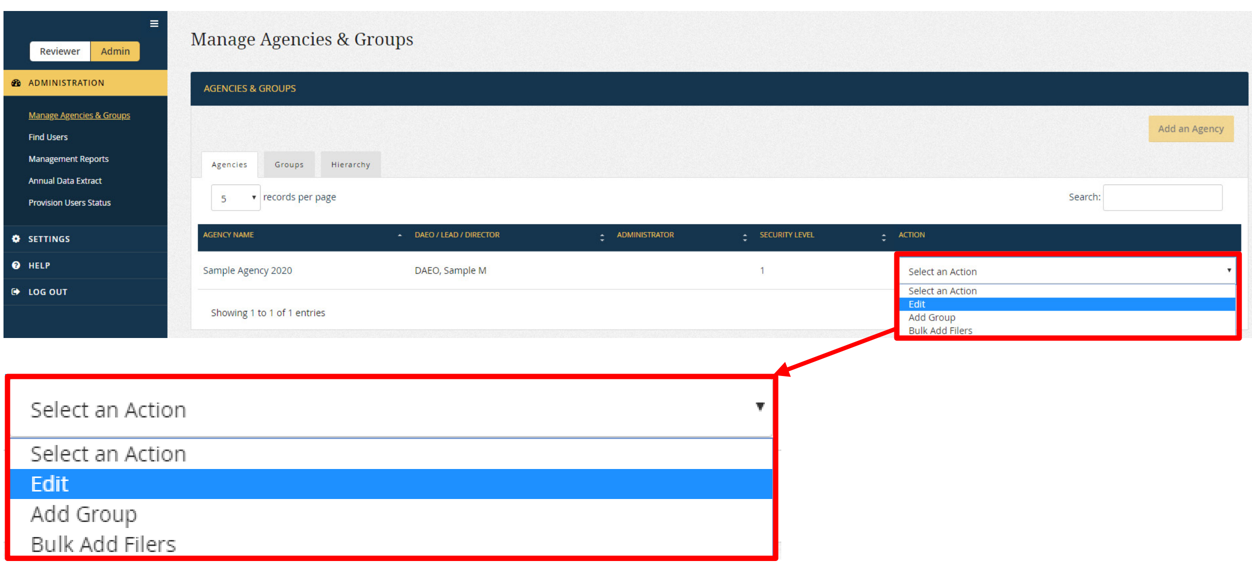
Users with sufficient permissions can view and edit Agency-level settings.

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

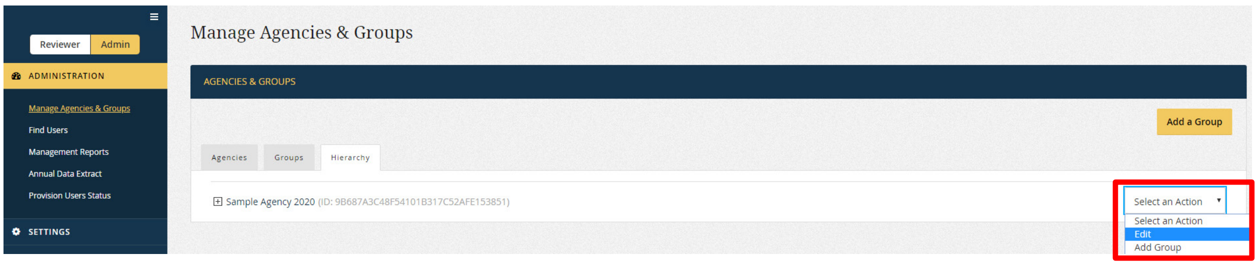
Three tabs will appear after selecting "Manage Agencies & Groups" from the list of options in the left-side navigation menu. The tab for "Agencies" is highlighted by default.



Select "Edit" from the "Select an Action" drop-down field at the far right. The "Agency Set-up" page will appear.

Hierarchy Tab

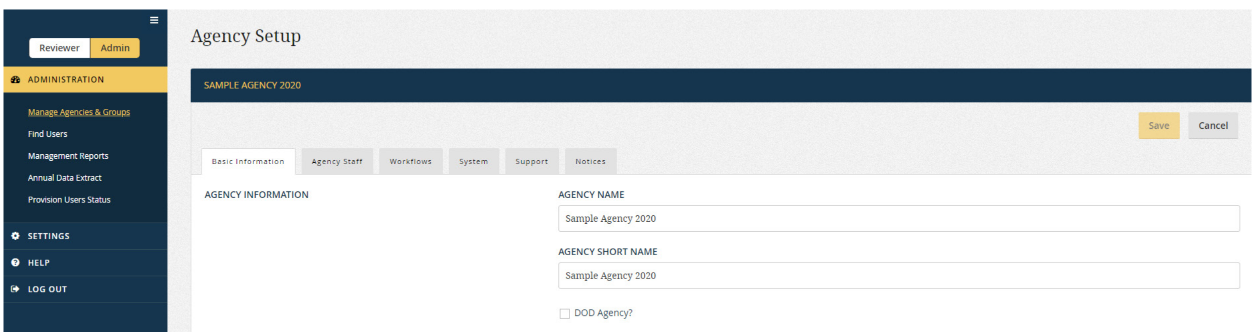
As an alternative means of accessing the Agency, you can select "Manage Agencies & Groups" from the list of options in the left-side navigation menu. Three tabs will appear. Click the "Hierarchy" tab and select "Edit" from the "Select an Action" drop-down field for the Agency level of the hierarchy.



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.



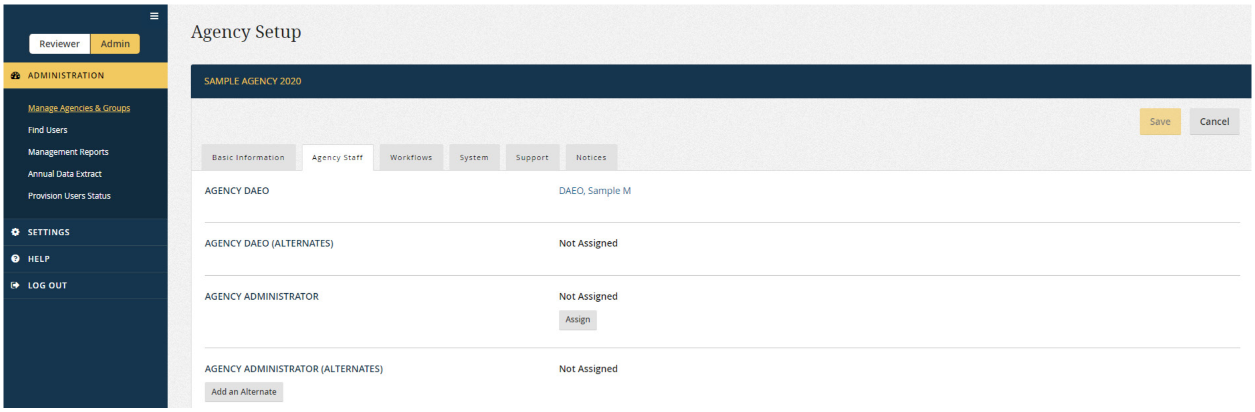
- Agency Name (available to *Integrity* Helpdesk only): This field specifies the name of the Agency for all user-facing parts of *Integrity*. The "Agency Name" also displays on the Cover Page of OGE Form 278e and OGE Form 278-T reports.

- 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 section 7.2.5.

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.



- 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.

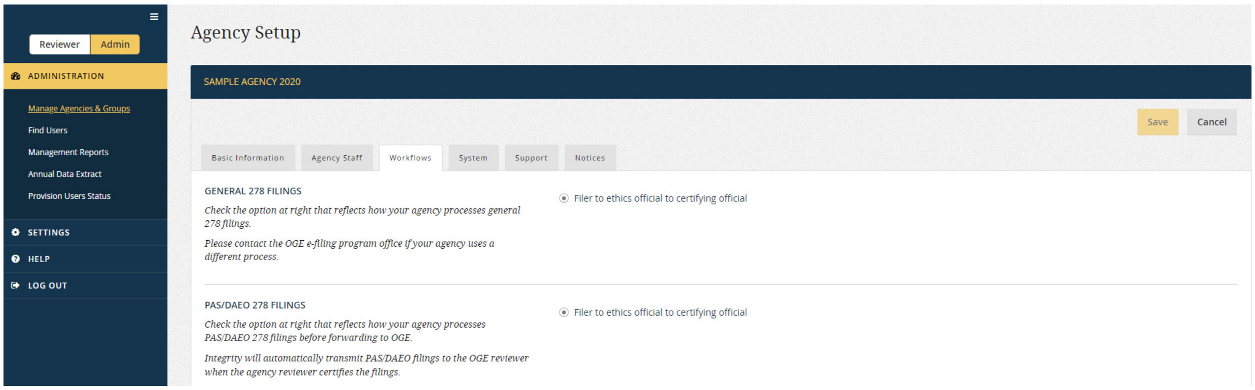
- Agency Administrator: The DAEO or DAEO (Alternate) may assign the Agency Administrator role here. Every Agency can have one and only one individual who holds the Agency Administrator role, but Agencies may leave the role empty. The role assignment function operates the same way as it does for all staff roles. See section 7.4 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 section 7.4 for more information on assigning roles.

  Note: For assigned roles, clicking the user's name displays that user's contact information.

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.

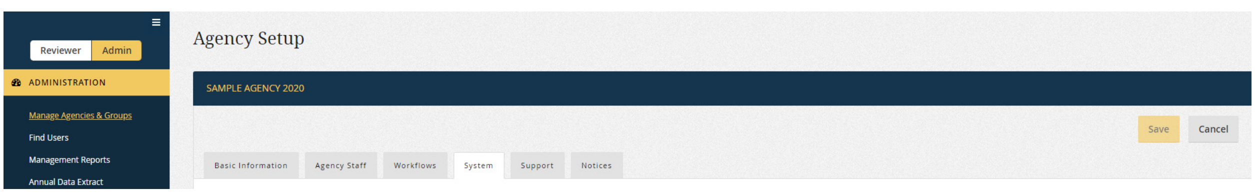


- General 278 Filings: The displayed option will show the workflow for all reports filed at the Agency that do not go to OGE for additional review.

- 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

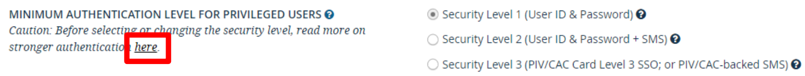
This section displays options for login security, requiring a job description, requiring the DOD Annual Post-Employment and Section 804 notice, cascading roles, displaying intermediate review signatures, and permitting early Termination reports.



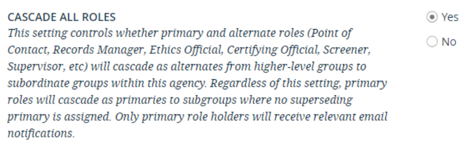
- Require Job Description: Selecting "Yes" requires Filers to attach a job description before filing an OGE Form 278e.

- 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.

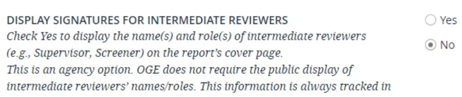
- Minimum Authentication Level for Privileged Users (available to *Integrity* Helpdesk only): This option specifies the permissible login methods for users with any role at the Agency other than Filer or Filer Designee. Section 2.2 provides basic information about the security levels and login methods. 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.



- 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 they can in the parent Group. Note 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 section 1.9.1.



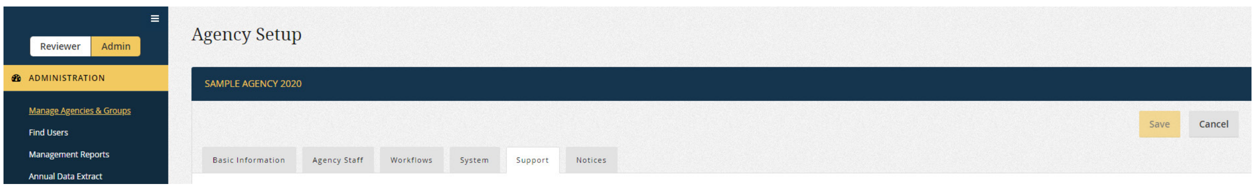
- Display Signatures for Intermediate Reviewers: Selecting "Yes" displays the signatures of Supervisors and Screeners on the Cover Page of a report in the "Other review conducted by" section. If "No is selected, these signatures do not display on the Cover Page; only the signature of a reviewer with 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 section 6.4.7.



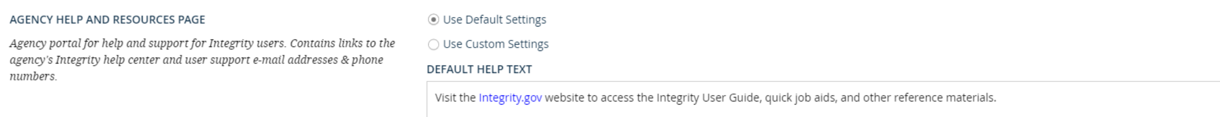
- Early Termination: Selecting "Yes" permits a Filer to submit a Termination or Annual/Termination report up to 15 days before the termination date entered on the "Getting Started" page. In such a case, the Filer will see an early filing notice on the "Submit" page, which confirms the Filer's agreement 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

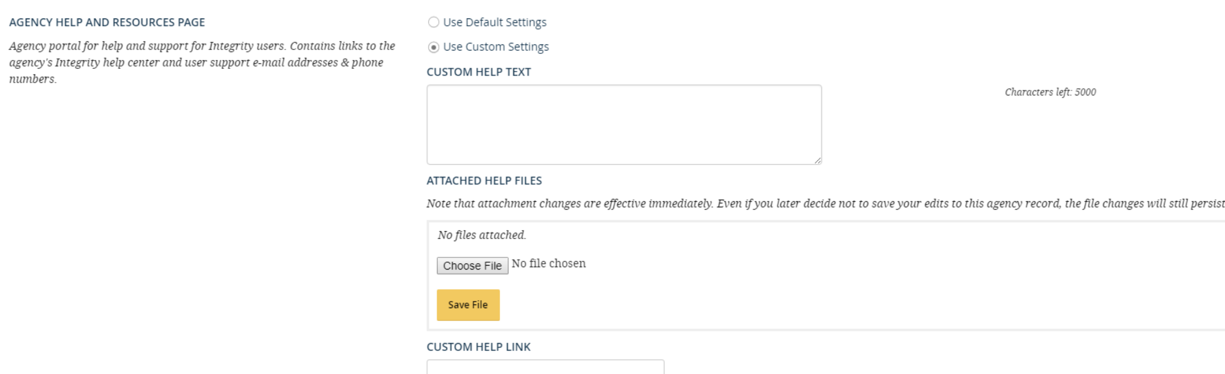
This section displays the current settings for the “Agency Support” link under the “Help” tab. Note that some *Integrity* users have access to multiple Agencies. Those users will see the “Help” text supplied by each of their Agencies.



- 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.

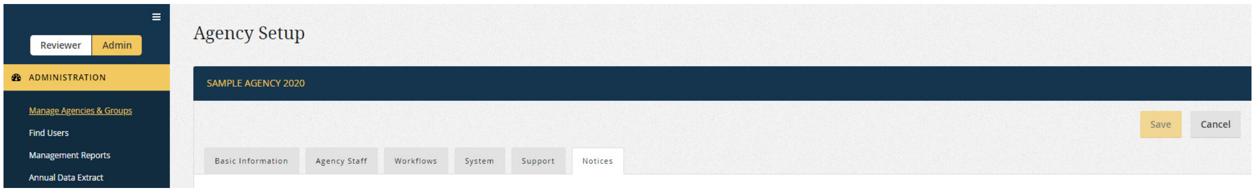


- Use Custom Settings: Select “Use Custom Settings” to provide alternate text, a custom link, or attach help files.

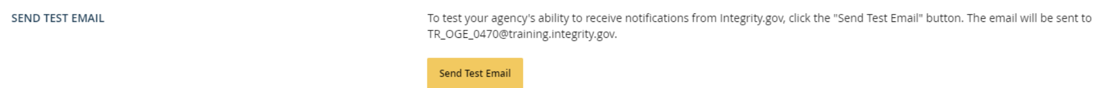


7.2.7 - Edit the Notices Tab

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.



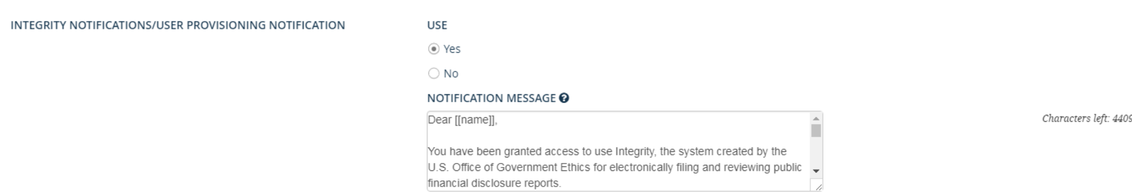
- Send test email: This field allows you to test whether emails are being received from *Integrity*. Click the "Send Test Email" button. If you do not receive the test email, the security settings at the Agency may be blocking delivery. Consult with IT support at the Agency and the *Integrity* Helpdesk as needed.



- 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 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.

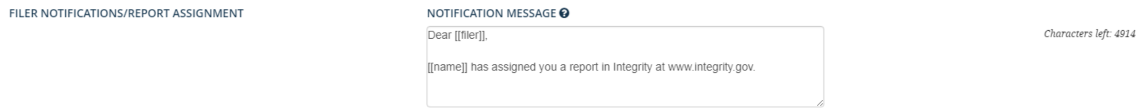
- *Integrity* notifications / User provisioning notification: This field controls whether users at the Agency will receive a notice when added to *Integrity*.



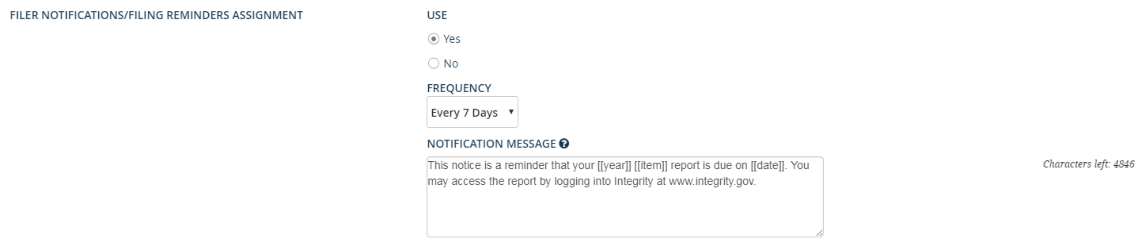
- *Integrity* notifications / Cloaked user provisioning notification: This configuration option is currently inactive.

- *Integrity* notifications / Annual profile update: This configuration option is currently inactive.

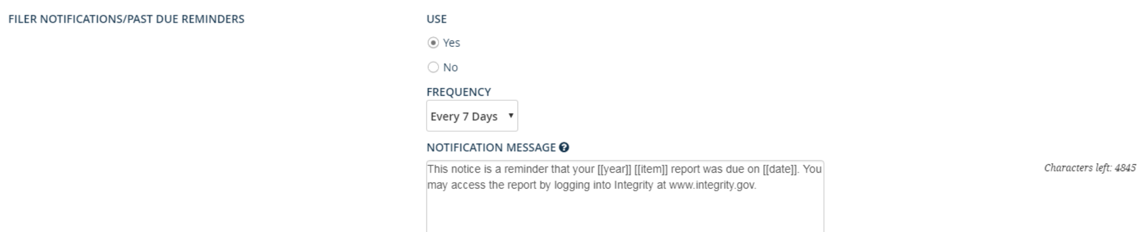
- Filer notifications / Report assignment: This field controls the default text of the report assignment notice that users can send when assigning a report at the Agency. Users may modify the text of an individual notice or choose not to send a notice.



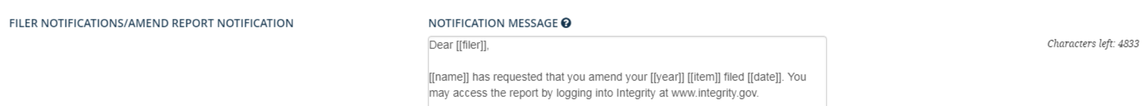
- Filer notifications / Filing reminders assignment: This field controls whether Filers at the Agency will receive reminders that they have a pending report to complete. The Agency can also set the frequency of the reminders and the text used.



- Filer notifications / 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.



- 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 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 NOTIFICATIONS/AMEND REPORT REMINDER NOTIFICATION

USE

Yes

No

NOTIFICATION MESSAGE

Dear [[filer]],

[[name]] has requested that you amend your [[year]] [[item]] filed [[date]]. You may access the report by logging into Integrity at www.integrity.gov.

Characters left: 4833

- 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].

Characters left: 4807

- 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

- 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

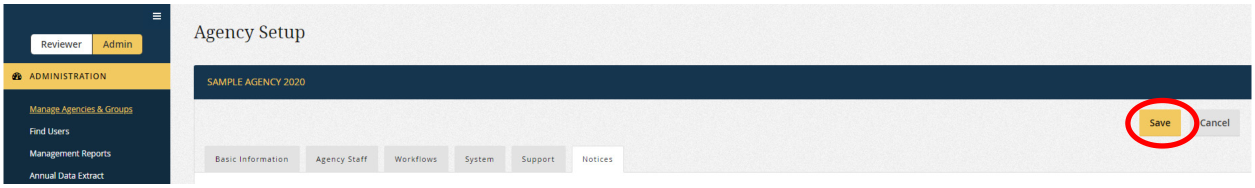
NOTIFICATION MESSAGE

A [[year]] [[item]] 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

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.

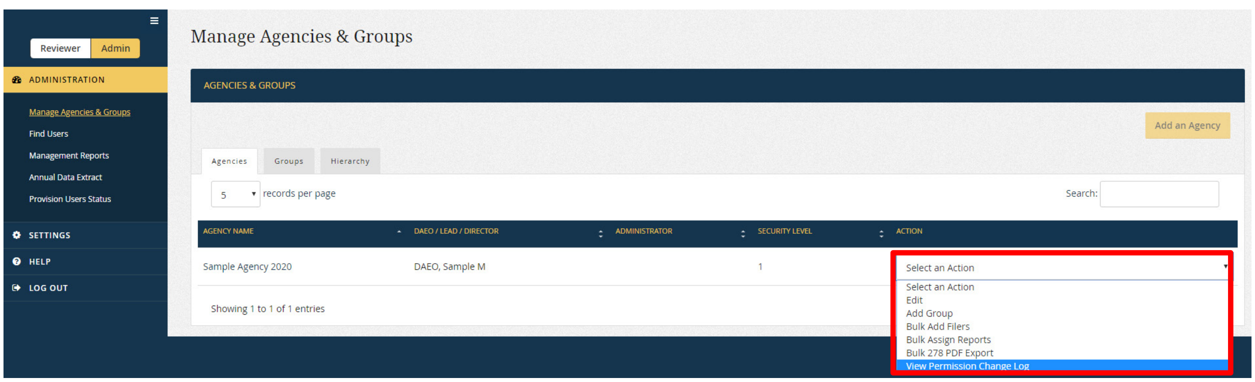


After clicking “Save,” you will return to either the “Agencies” or “Hierarchy” tab, depending on how you accessed the “Agency Set-up” page.

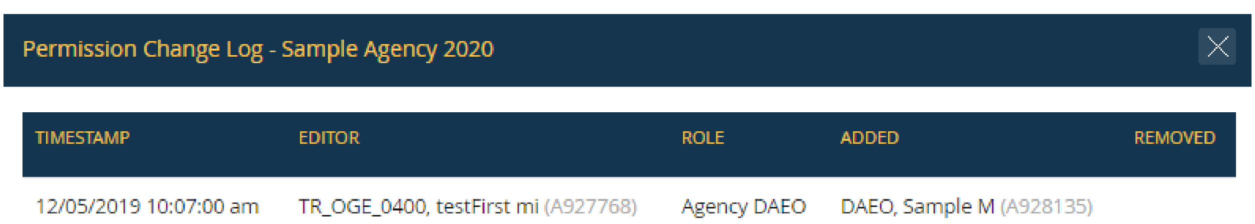
Note: You will lose the edits if you navigate away from this page or are logged out due to inactivity before clicking “Save.”

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.



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
12/05/2019 10:07:00 am	TR_OGE_0400, testFirst mi (A927768)	Agency DAEO	DAEO, Sample M (A928135)	

7.3 - Manage Groups

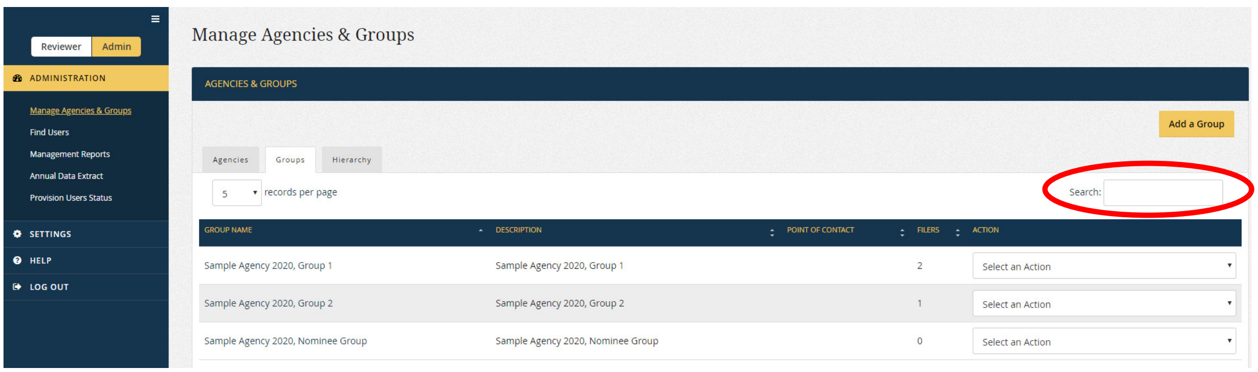
This section explains how to add, remove, and move Groups as well as how to edit basic information about the Group that controls staff, Filer, and report assignments.

7.3.1 - Access Groups

You can access a Group from either the "Groups" tab or the "Hierarchy."

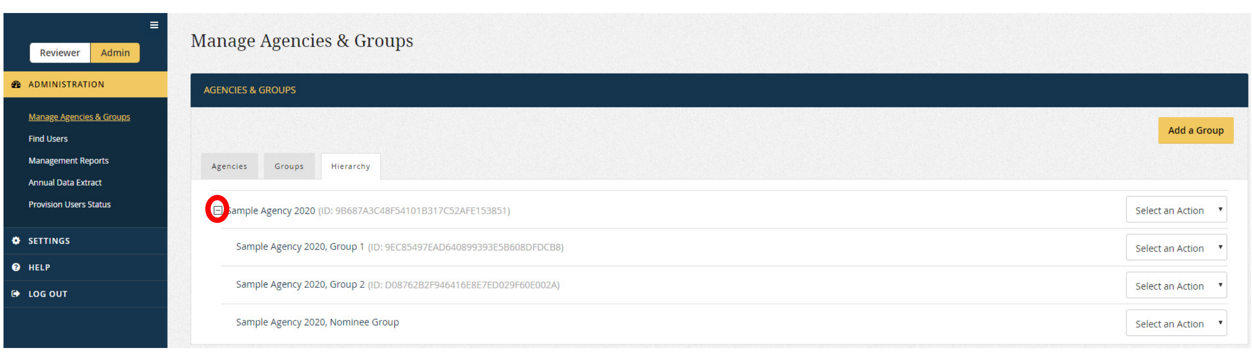
Groups Tab

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.



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.



Agency-Level Users

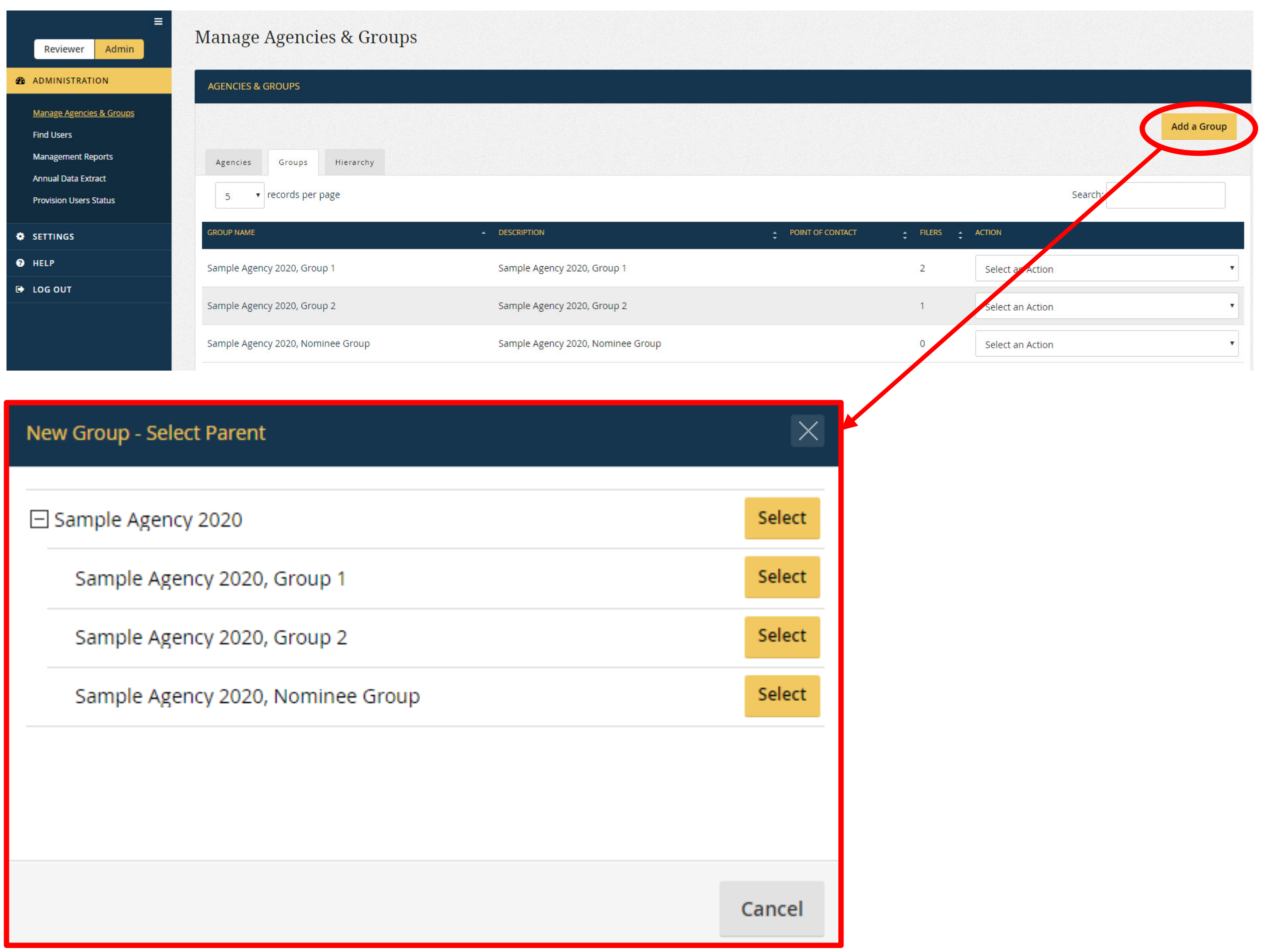
Users with the DAEO, DAEO (Alternate), Agency Administrator, or Agency Administrator (Alternate) role will have access to every Group within the Agency. All Groups will appear in both the “Groups” and “Hierarchy” tabs.

7.3.2 - View and Edit Rights

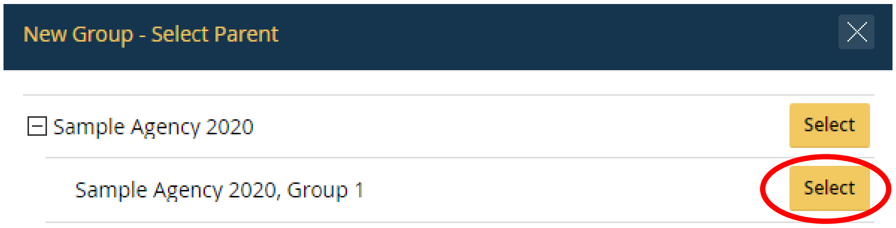
You may add, remove, move, and edit “Basic Information” for a Group if you have a staff role within that Group or if you hold one of the Agency-level roles (i.e., DAEO, Agency Administrator, and their Alternates). You may also add, remove, move, and edit “Basic Information” for any subordinate Group 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

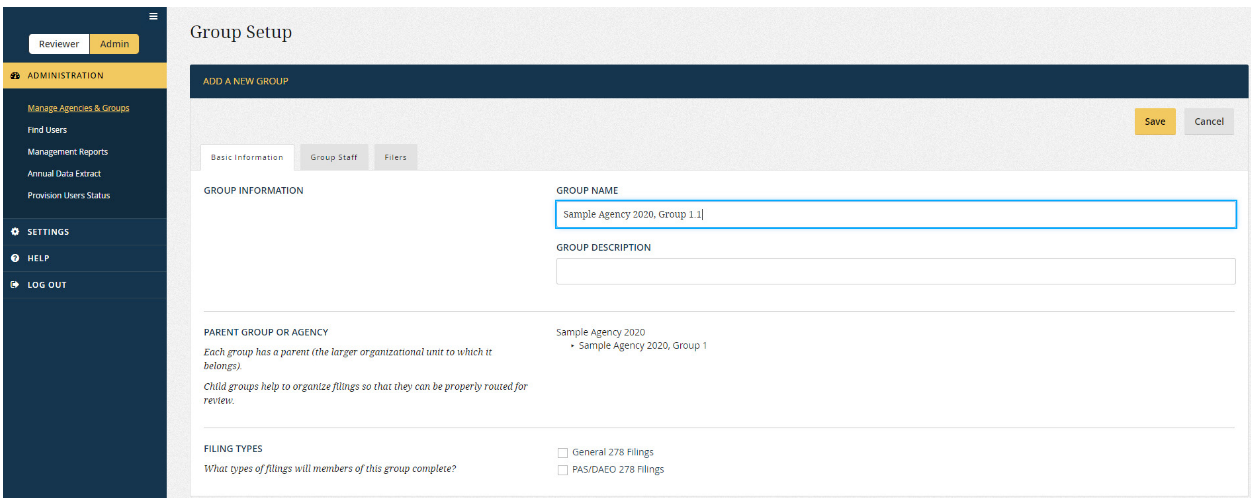
On the “Groups” or “Hierarchy” tab, click the “Add Group” button. A new box will appear that asks the user to select the parent of this Group (i.e., specify the new Group’s place in the organizational hierarchy).



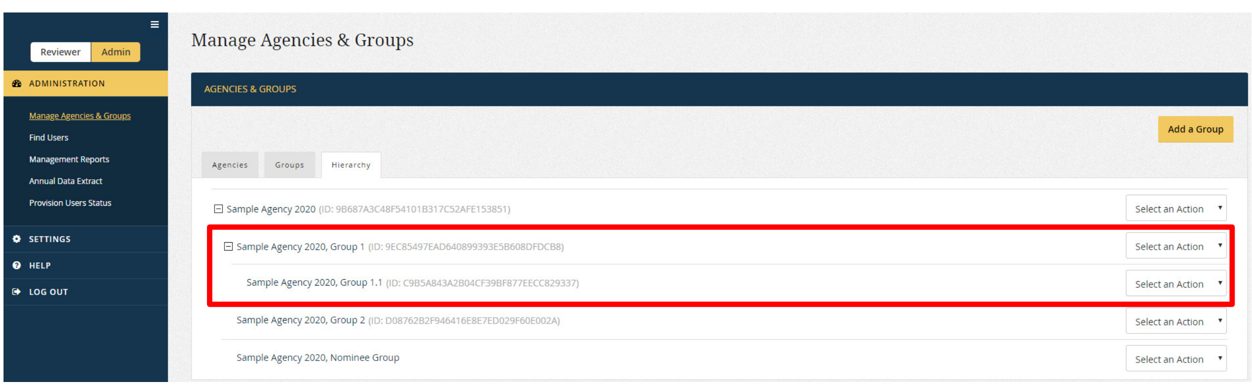
For example, if you want to create a new Group that is below Group 1 (e.g., Group 1.1), select Group 1 as the parent.



After you select the parent Group, the main "Group Set-up" page will appear.

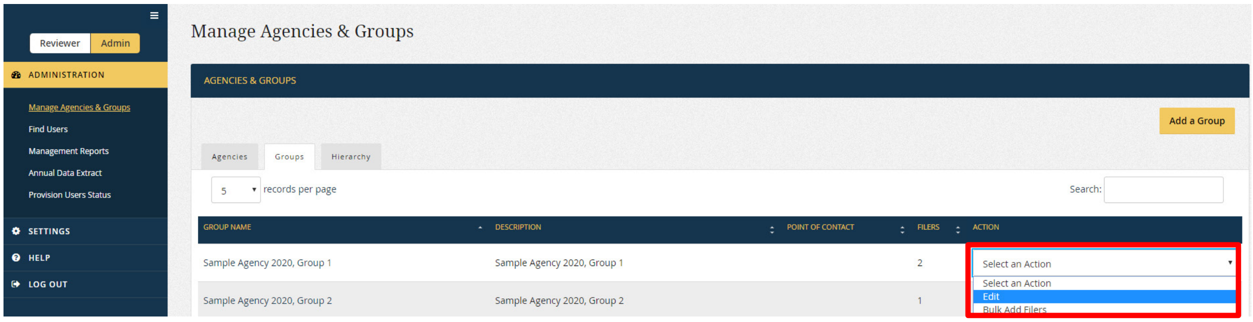


The "Group Set-up" page has three tabs: "Basic Information"; "Group Staff"; and "Filers." Complete the necessary information for each tab and click the "Save" button in the upper right to complete the process. You can see the relationship between the new Group and its parent Group on the "Hierarchy" tab.

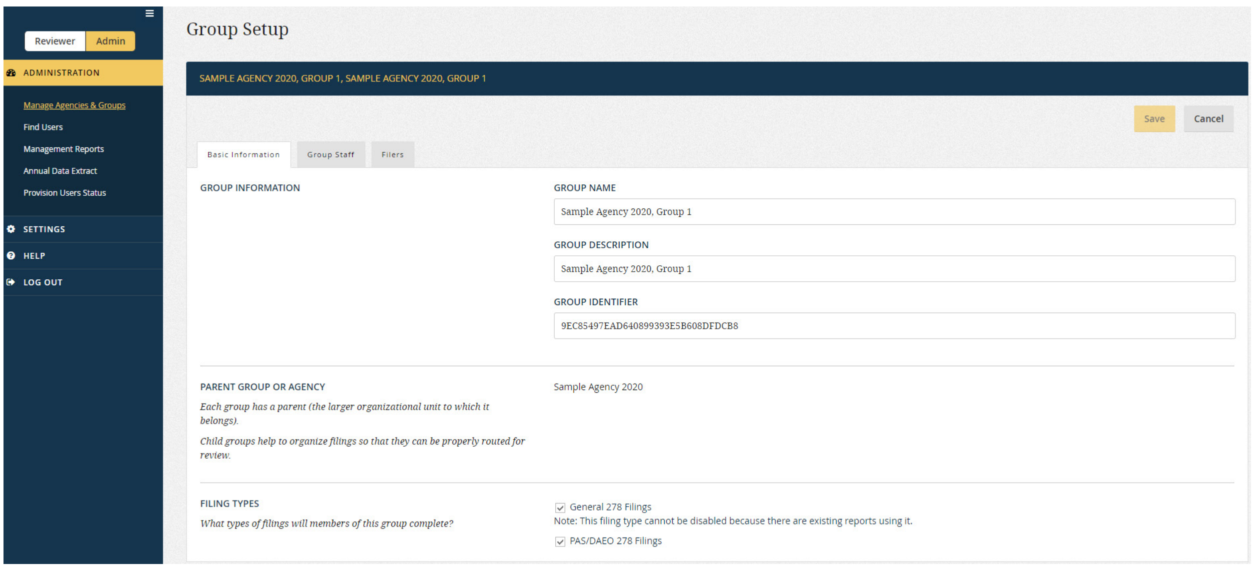


7.3.4 - Edit Basic Information for a Group

On the "Groups" or "Hierarchy" tab, select "Edit" from the "Select an Action" drop-down field. The "Group Set-up" page will appear.



The “Basic Information” tab is selected by default.



- 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.

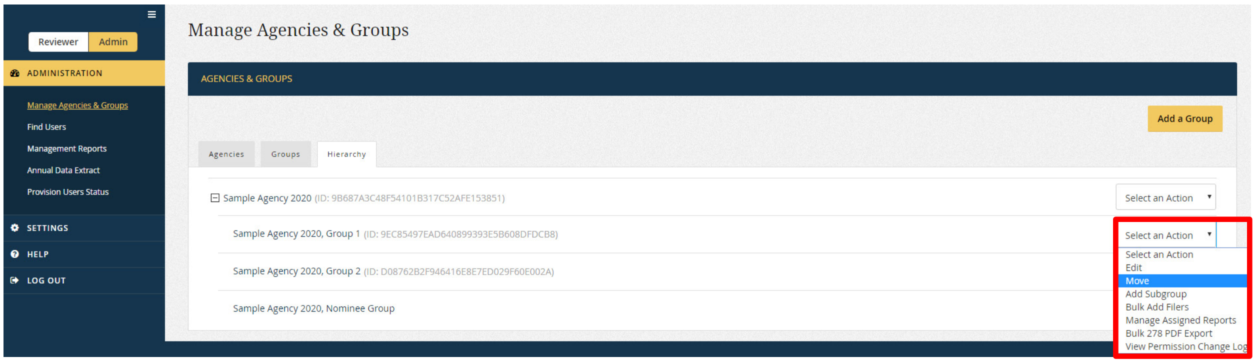
- Group Identifier (*visible to Agency-level users / view only*): This field specifies the Group’s unique identification code. This code is helpful in cases where the same name has been applied to more than one Group.

- Parent Group or Agency (*view only*): This field specifies where a Group is located within the organizational hierarchy of the Agency.

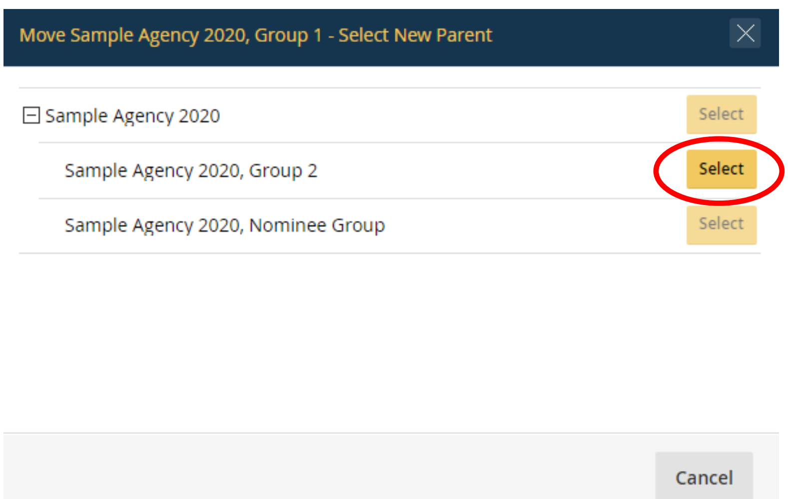
- Filing Types: This field specifies whether the Group handles only General 278 reports, only PAS/DAEO reports, or both. The selection will determine which roles must be completed on the “Group Staff” tab. In addition, if a Group can handle only one type of report, you may assign only that type of Filer 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.



In the "Move" pop-up window, select a new parent Group. The moved Group will become a subordinate of that parent.

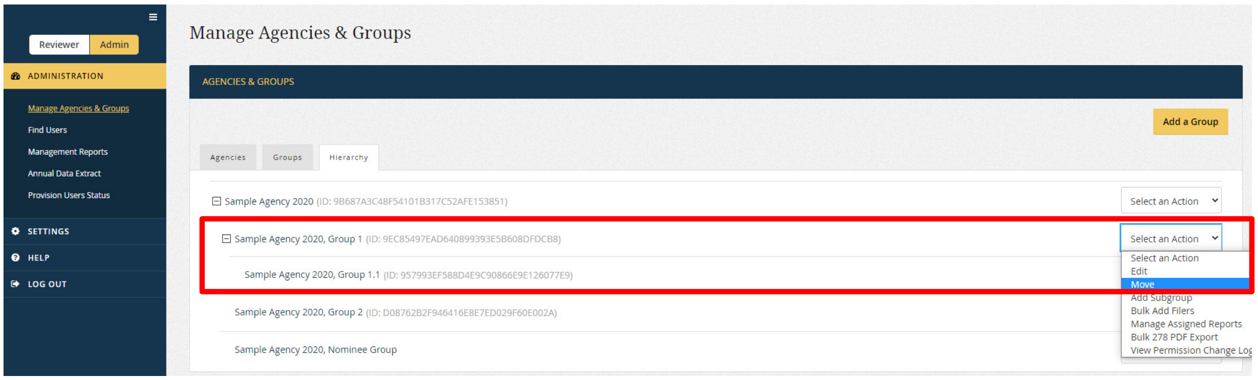


<u>Permission to Move Groups</u>

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.

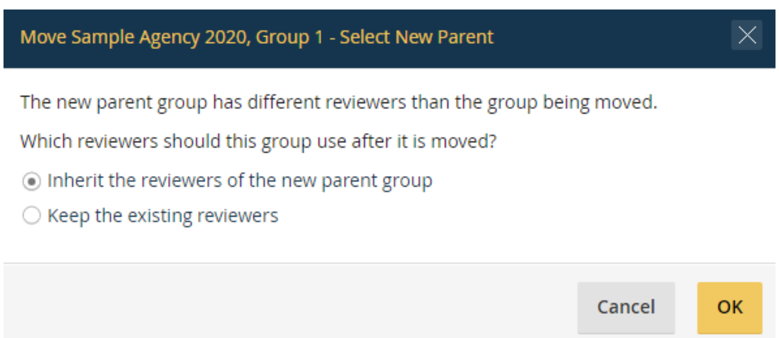
Treatment of Subordinate Groups

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.



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

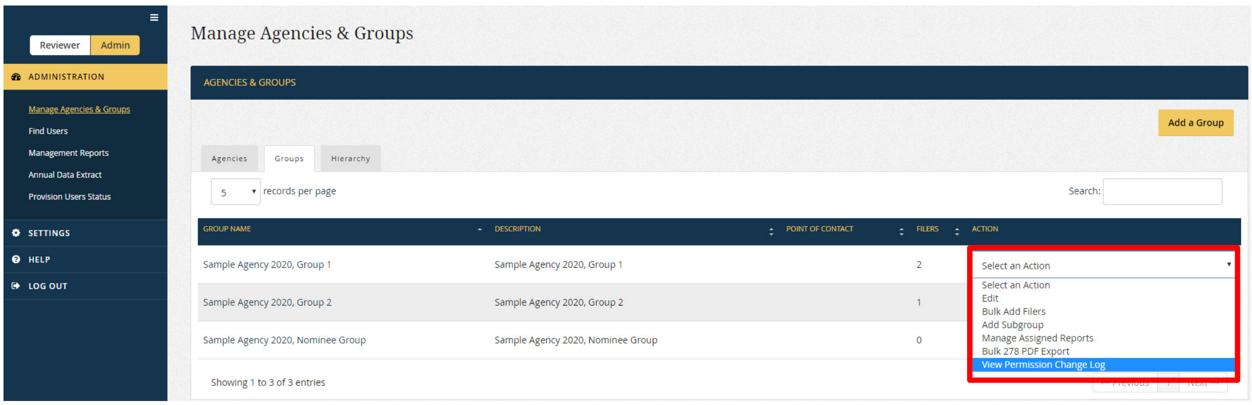
All reports filed in a Group move with a moved Group. To the extent that the staff roles have changed, the change affects future actions on the report. A move does not affect review actions that have already taken place.

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.



The log will appear in a pop-up window, displaying the most recent changes first.

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.

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.

7.4.3 - Edit Rights

You may edit staff roles for a Group only if you have certain staff roles.

<u>POC ("Point of Contact")</u>

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.

<u>Certifying Official</u>

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.

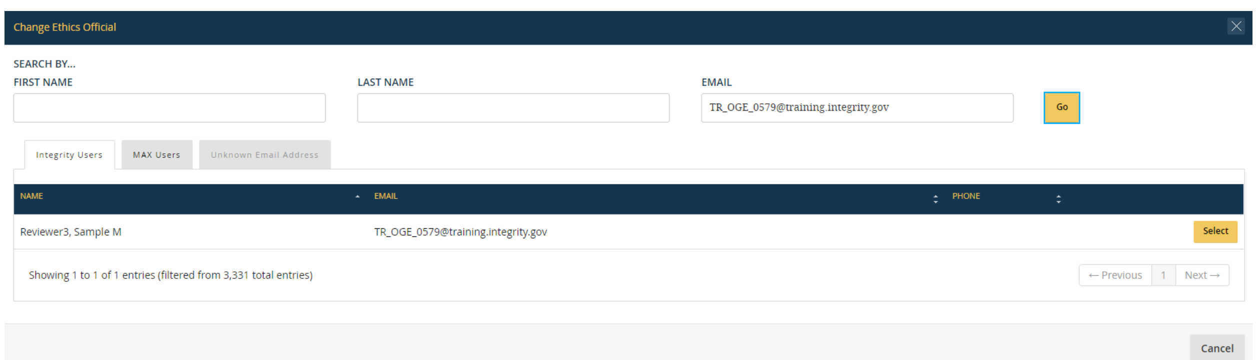
No Self-Assignments

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.

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.



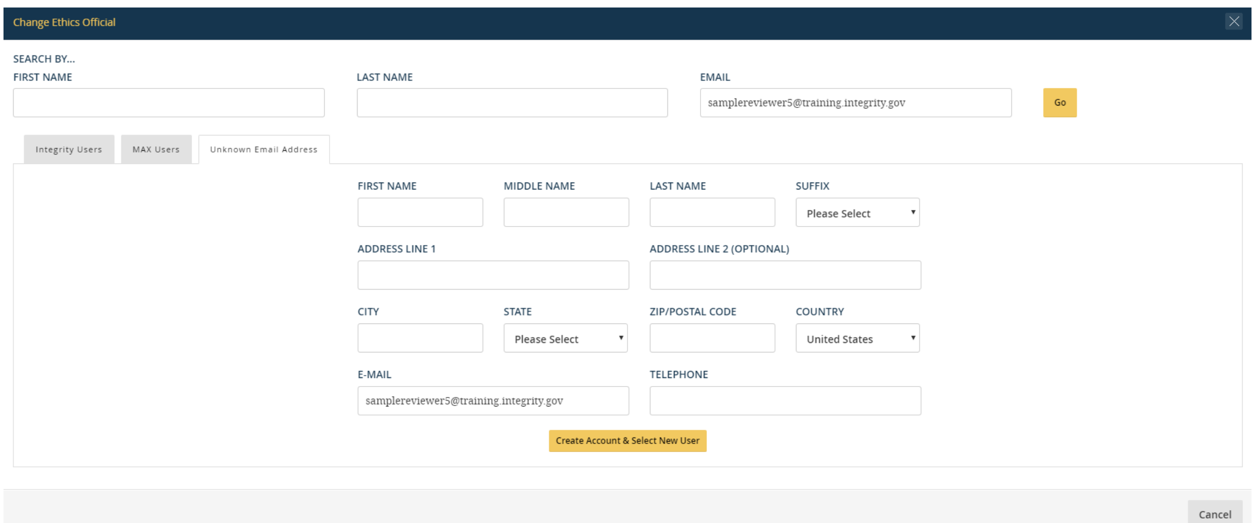
The next steps will depend on which of the following applies: (1) the individual has an active *Integrity* account; (2) the individual has an inactive *Integrity* account; (3) the individual does not have an *Integrity* account but does have a MAX account; or (4) the individual does not have an *Integrity* 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."



Once back at the "Group Staff" tab, click the "Save" button in the upper right of the screen to complete the process.

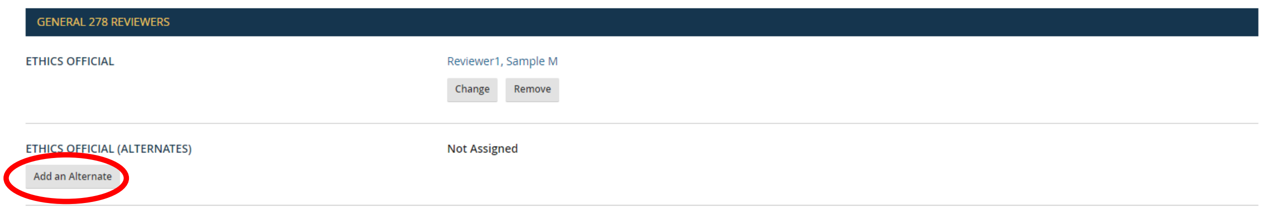
7.4.5 - Remove a Primary Role

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.

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

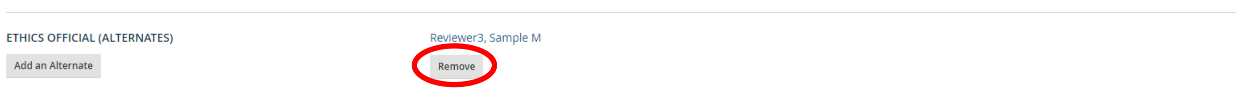
On the "Group Staff" tab, click the "Add an Alternate" button that appears under the Alternate role to add. The "Add/Assign/Change Role" box will appear. See section 7.4.4 for more information about the "Add/Assign/Change Role" box.



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.



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 section 7.3.1 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.

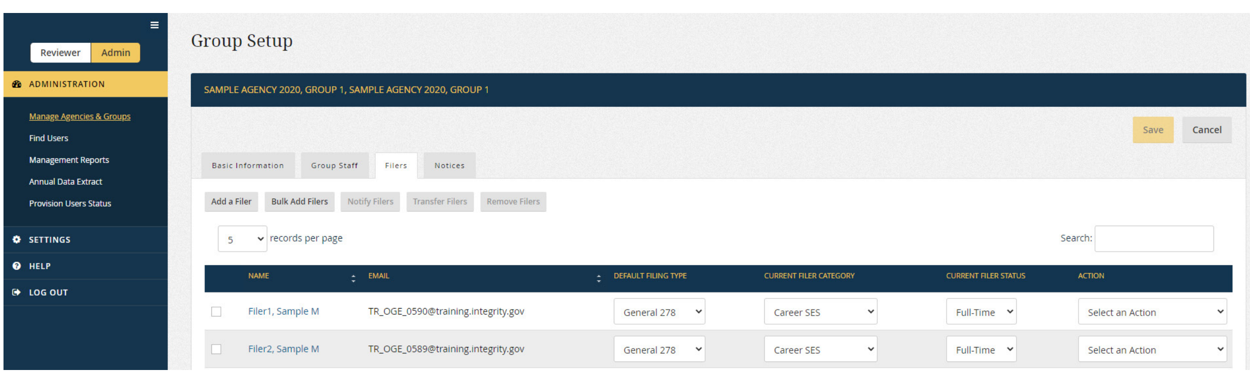
- Email: This field displays the email address that the Filer uses to log into *Integrity* and to receive *Integrity* notices. If the email address requires updating, you would typically add the Filer to *Integrity* again with the new, correct email address and then merge that account with the old account. See section 7.7.6.

- 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.

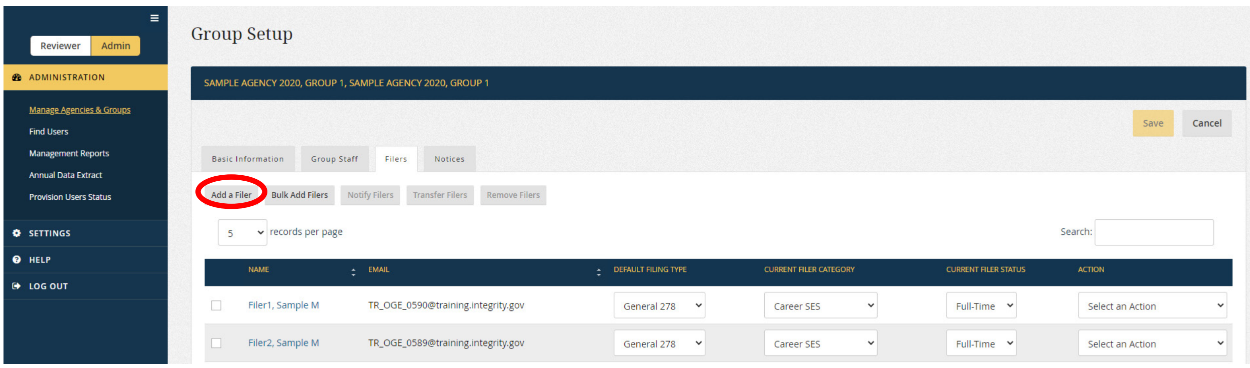


7.5.2 - View and Edit Rights

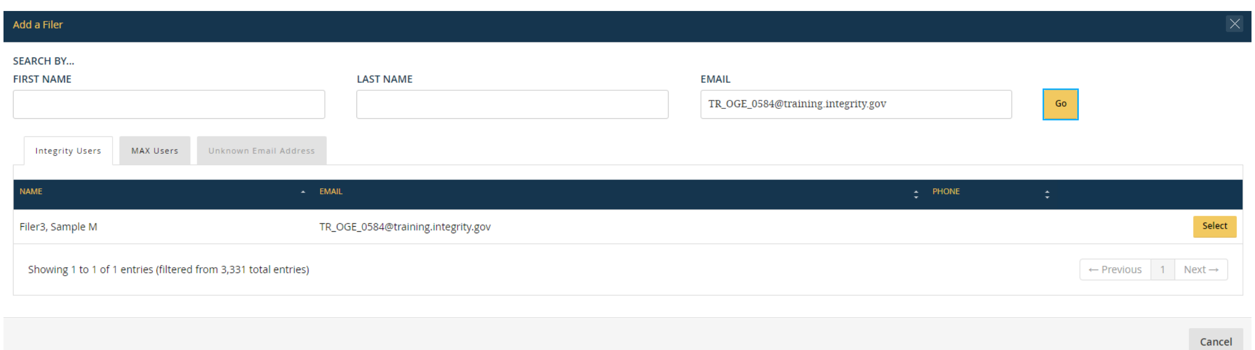
You may view, add, edit, remove, transfer, and notify Filers within a Group if you have a staff role within that Group or if you hold one of the Agency-level roles (i.e., DAEO, Agency Administrator, and their Alternates). You also have the same rights in any subordinate Group below that Group in the organizational hierarchy.

7.5.3 - Add a Single Filer

On the “Filers” tab, click the “Add a Filer” button.

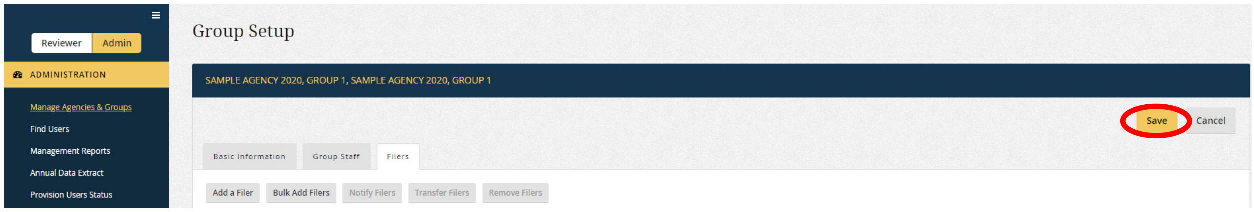


The “Add/Assign/Change Role” box will appear. Type the email address of the individual to add as a Filer and click the “Go” button. You can search by name as well; however, the results will not be as limited.



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.



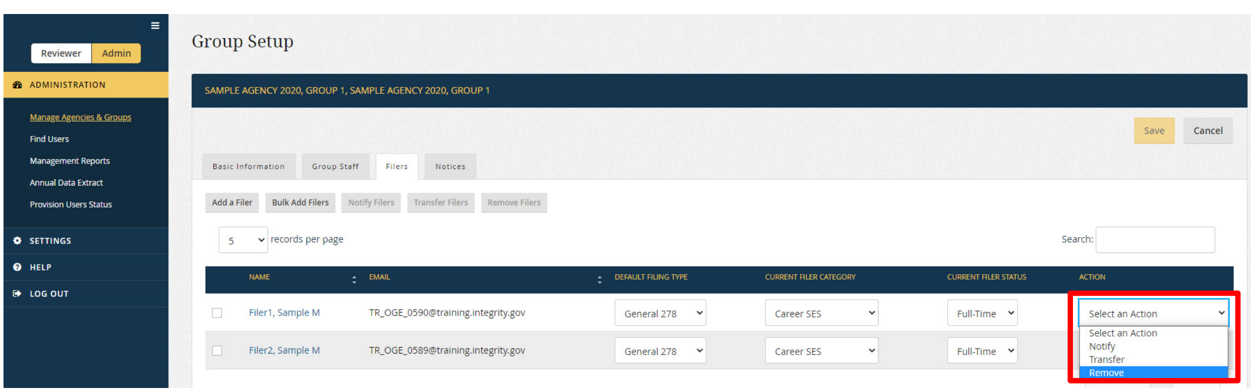
- Existing, Inactive *Integrity* Account: The "Name" field will display the word "inactive." In this case, contact the *Integrity* Helpdesk. Typically, if the individual will be using the same email address as the one associated with the inactive account, the preferred approach will be to reactivate 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.

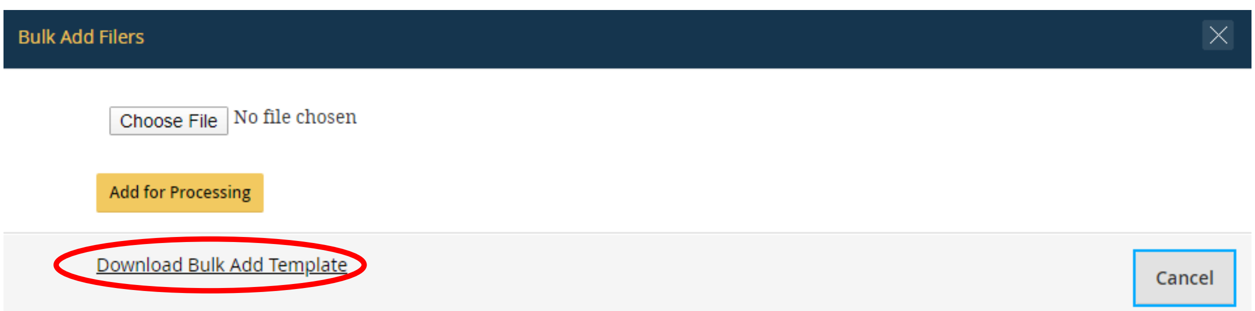


Removing a Filer does not remove any assigned or completed reports associated with that Filer. You can remove assigned-but-not-started reports from the "Manage Assigned Reports" page. All other reports would need to be removed from the "Records Management" page.

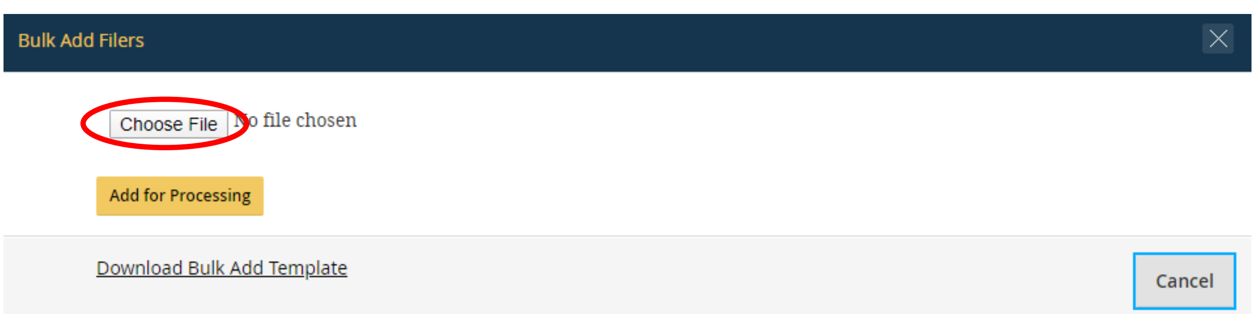
7.5.5 - Add Multiple Filers to One Group (Bulk Add - Group Level)

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.

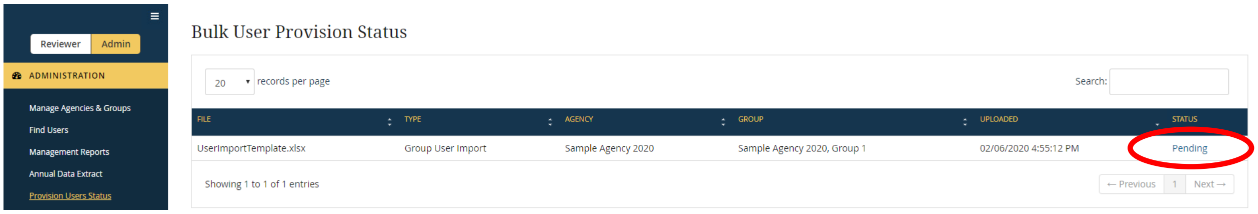
Alternatively, you can click the "Bulk Add Filers" button that appears on the "Filers" tab within the Group. In either case, click the "Download Bulk Add Template" link in the pop-up window that appears.



Download the template and follow the instructions to add Filers. After completing the template, return to this page and click the "Choose File" button.

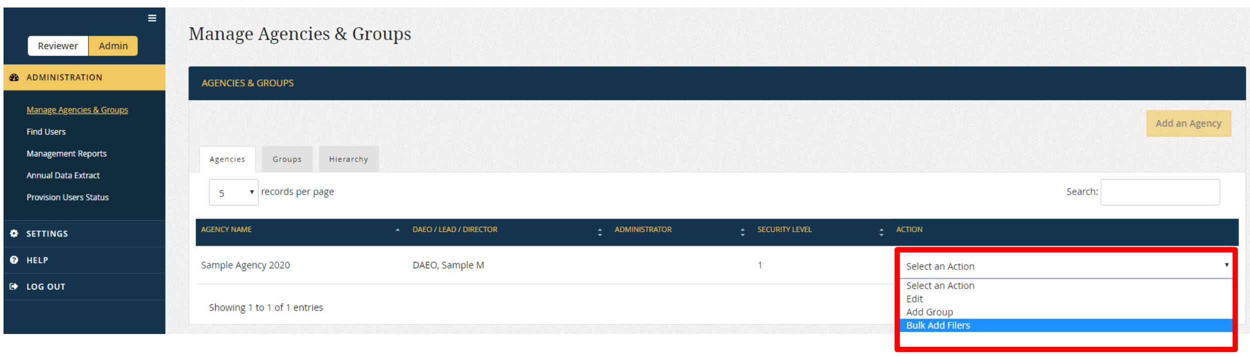


Select the template that was downloaded and completed. Clicking the "Add for Processing" button adds the list to the queue of pending bulk provisioning requests. It may take up to 20 minutes before *Integrity* adds all of the Filers from the list. Check the status of a bulk provisioning request on the "Provision Users Status" page. Clicking the link in the "Status" field displays additional information.

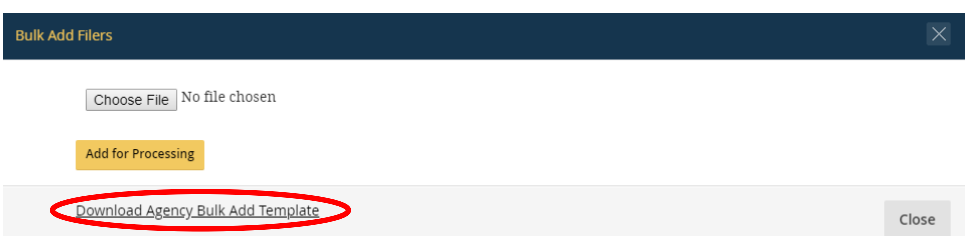


7.5.6 - **Add Multiple Filers to Different Groups** (Bulk Add - Agency Level)

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.



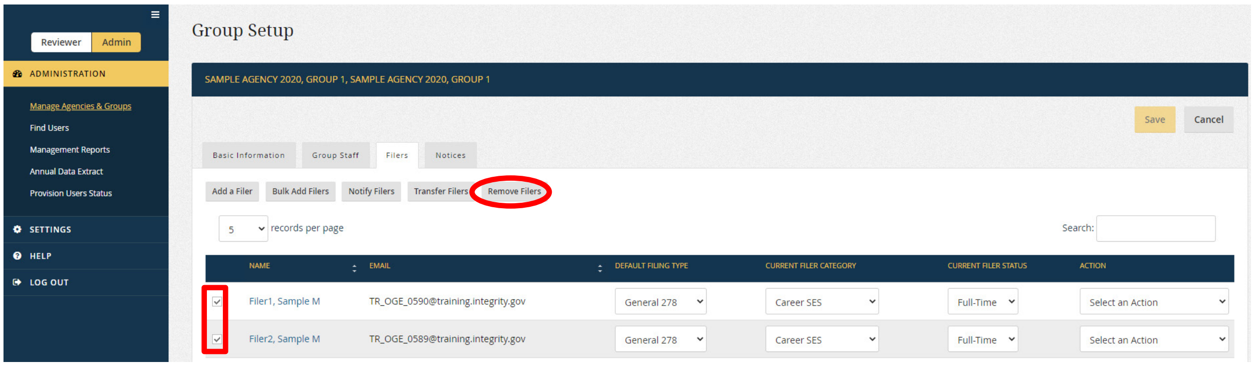
Click the "Download Agency Bulk Add Template" link, download the template, and follow the instructions to add Filers.



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.

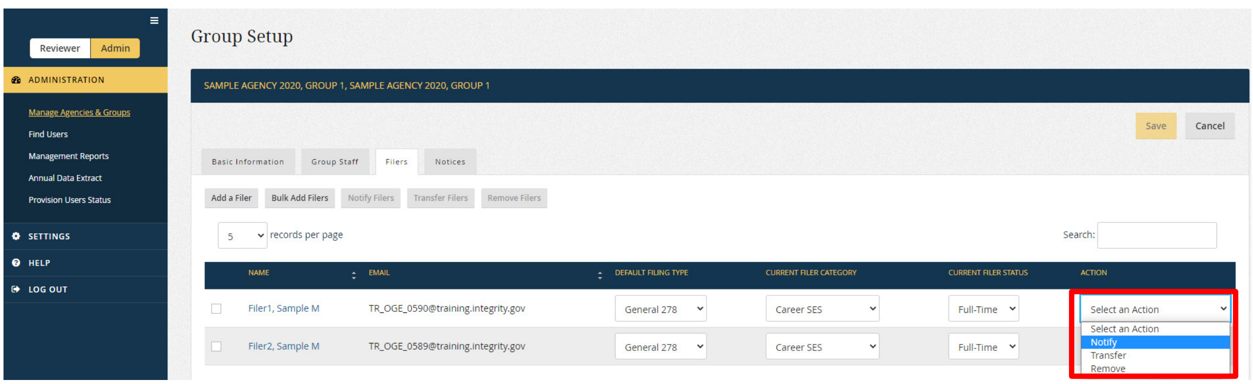
7.5.7 - Delete Multiple Filers

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.



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.

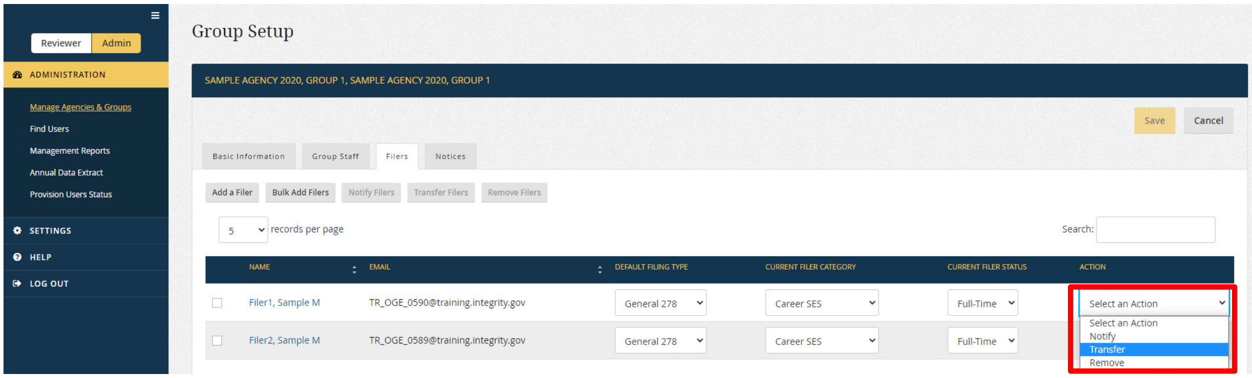


Clicking the "Schedule Now" button sends a user provisioning notification. The default notification text follows the template specified at the Agency level on the "Notices" tab. See section 7.2.7 for more information.

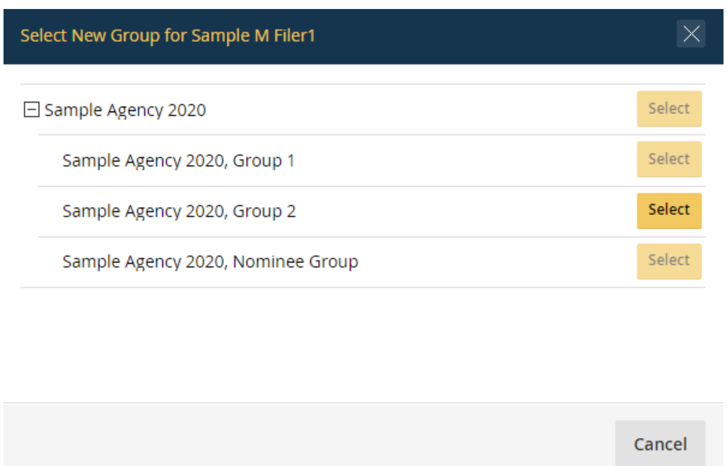
7.5.9 - Transfer Filers to a Group at the Agency

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.



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.



7.5.10 - Transfer Filers to a Group at a Different Agency

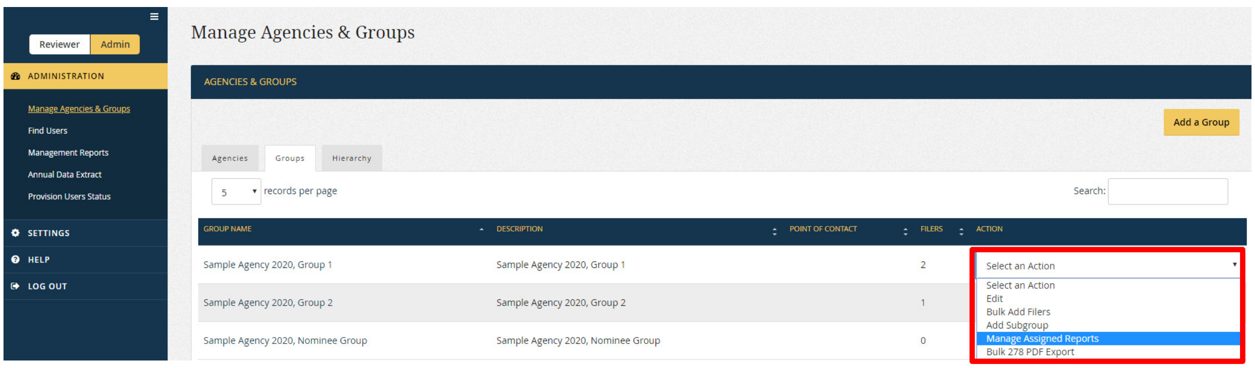
Contact the *Integrity* Helpdesk if a Filer needs to be transferred to a Group at another Agency. In most cases, a Filer who moves to a new Agency will not be “transferred” within *Integrity*. Instead, the new Agency will add the individual as a Filer using a new email address, and the *Integrity* Helpdesk 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 section 7.7.6 for additional information.

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.

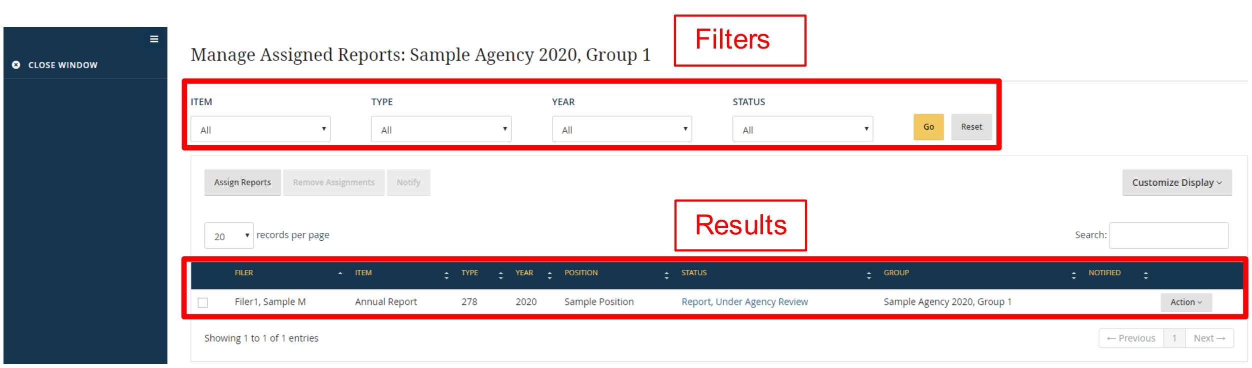


7.6.2 - View and Edit Rights

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."



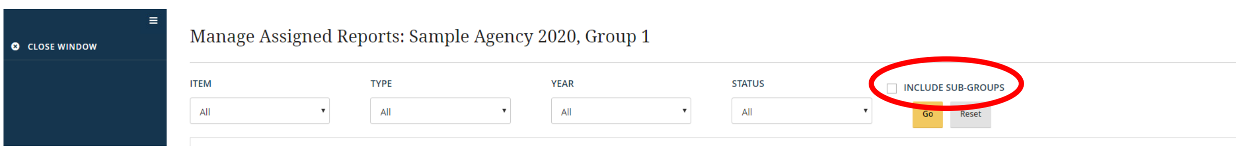
- Item: The "Item" filter limits results based on whether the report is a New Entrant, Annual, Termination, Annual/Termination, or Periodic Transaction report. By default, the filter is set to "All" so that reports are displayed regardless of the Item.

- 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 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.

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.



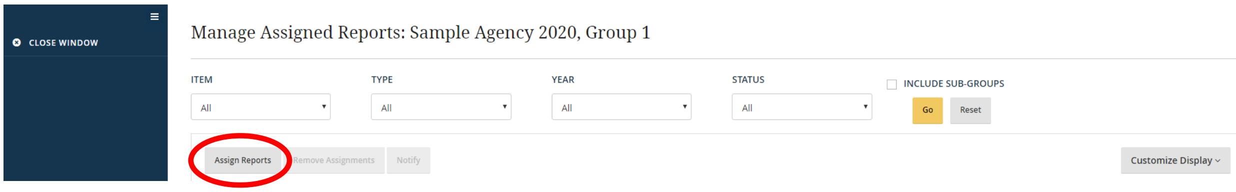
Checking that box will return results for the selected Group and for all subordinate Groups in the organizational hierarchy. For example, if the hierarchy includes a Group 1.1 and a Group 1.1.1 beneath Group 1, checking the box will display report assignments for Group 1, Group 1.1, and Group 1.1.1.

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.

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.

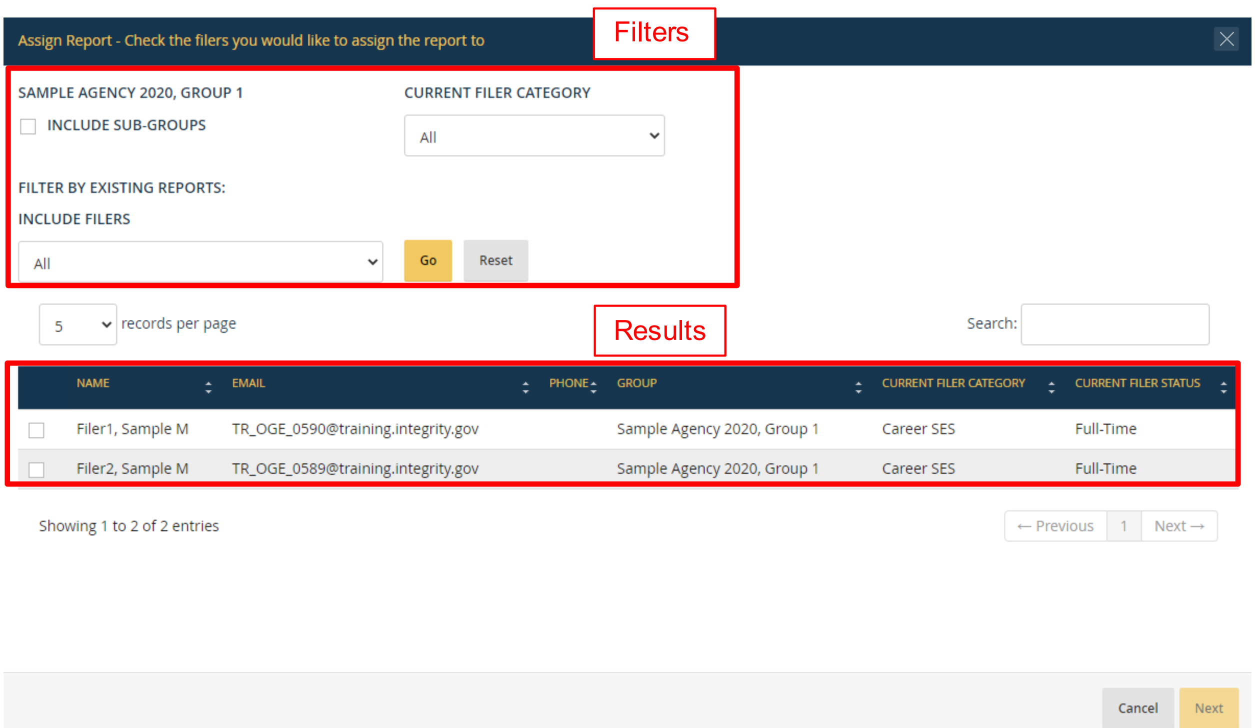
7.6.4 - Assign Reports to Filers in a Group and Any Subordinate Groups

On the "Manage Assigned Reports" page, click the "Assign Reports" button. The "Assign Report" box will appear.



<u>View the Eligible Filer(s)</u>

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."

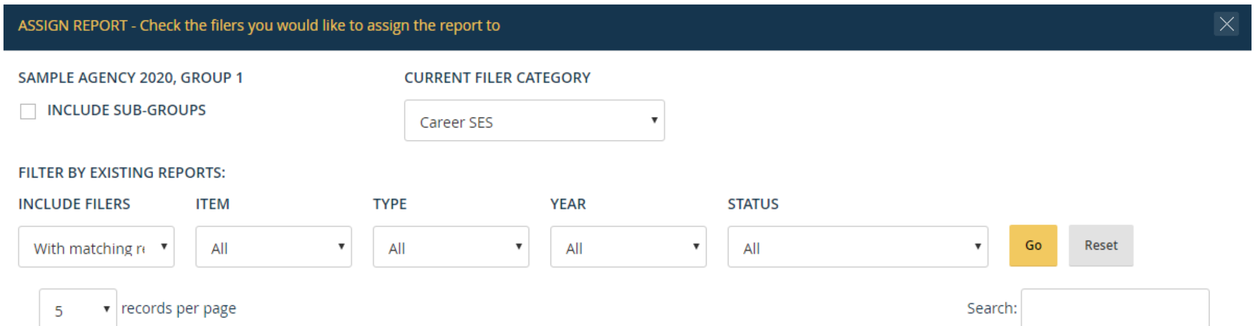


- Include Sub-Groups: If there are subordinate Groups beneath the selected Group, this checkbox will be available. Checking the box will apply the filters and return results for Filers in the selected Group and all subordinate Groups.

- 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.

- 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.



- 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."

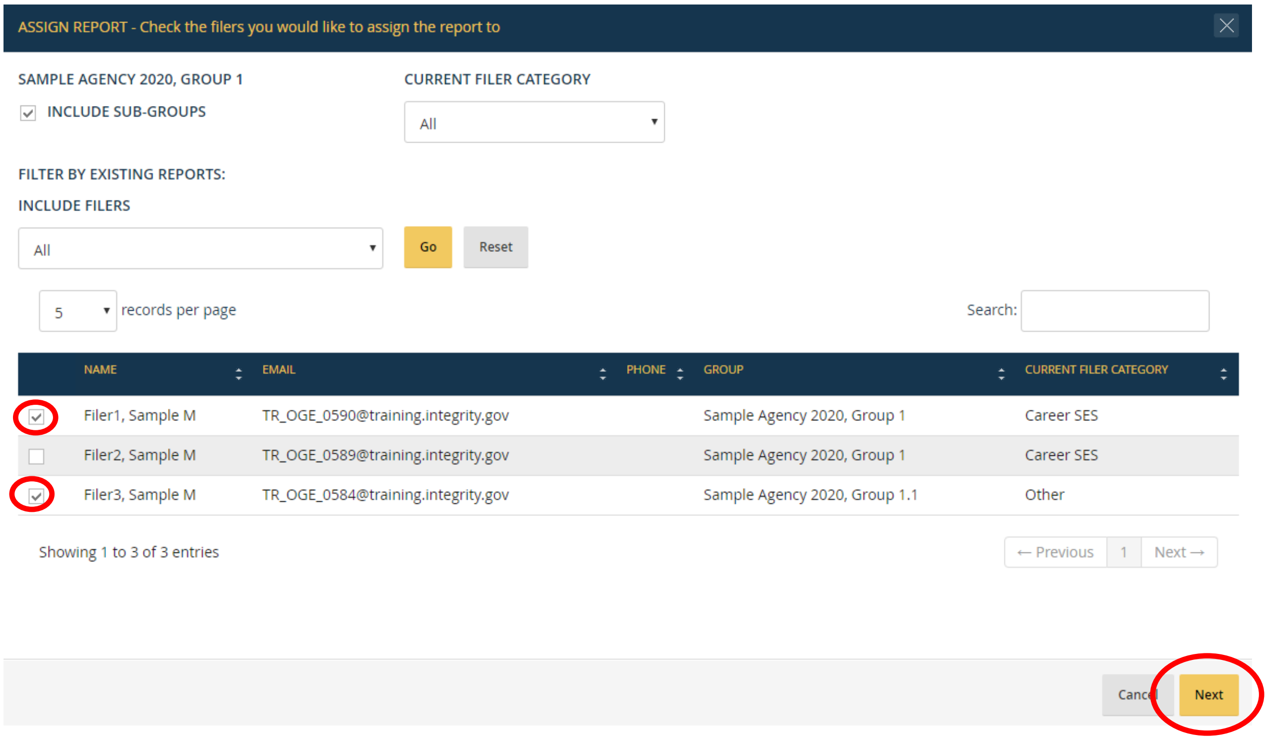
- Year: If "Include Filers" is set to "with matching reports," you will see only those Filers with a pending report assignment for the same Year (e.g., 2019 reports if set to "2019"). If "Include Filers" is set to "without matching reports," you will see only those Filers without a pending report assignment 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.



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 section 7.3.4. 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 section 7.6.10 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 total 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.

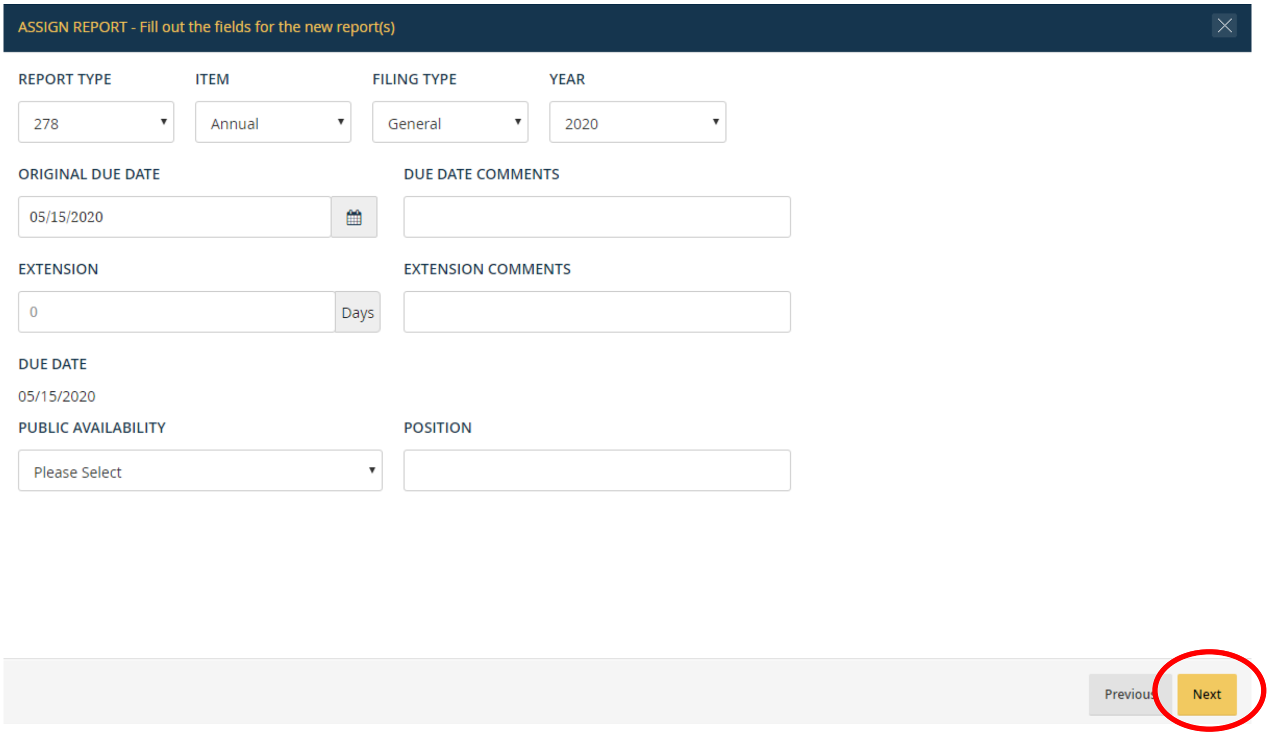
- Extension Comments: Enter any comments needed to explain why the extension was granted. You can edit this field later through the "Edit Assignment" function or on the "General Information" page of the report.

- 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.



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.

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 section 7.7.6 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.

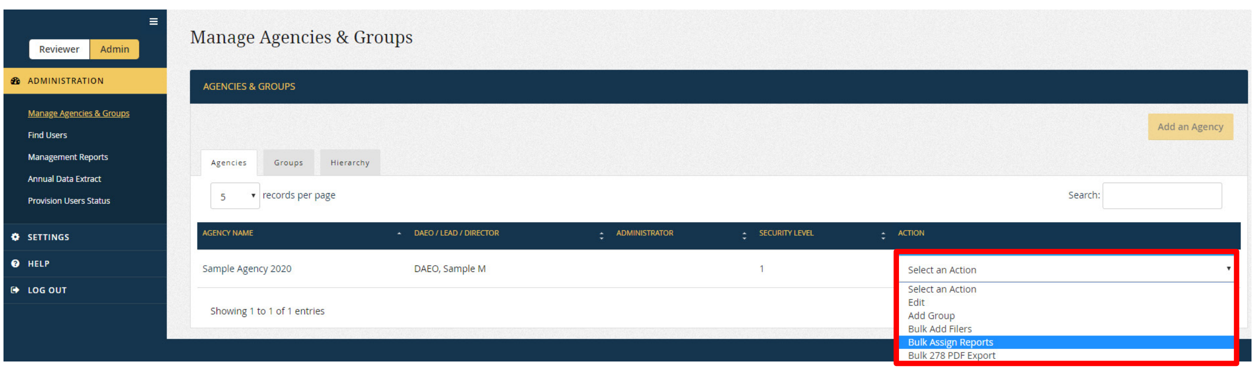
- Eligible Filers: The Bulk Annual Assignment process can reach Filers in any Group at the Agency. The Group-level assignment process reaches Filers in the selected Group and any subordinate Group. However, depending on the organizational hierarchy at the Agency, the Group-level assignment process might 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 1.1.1, 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 1.1, Group 1.1.1, and Group 1.2 but not to Filers in Group 2, Group 2.1, or Group 2.2.

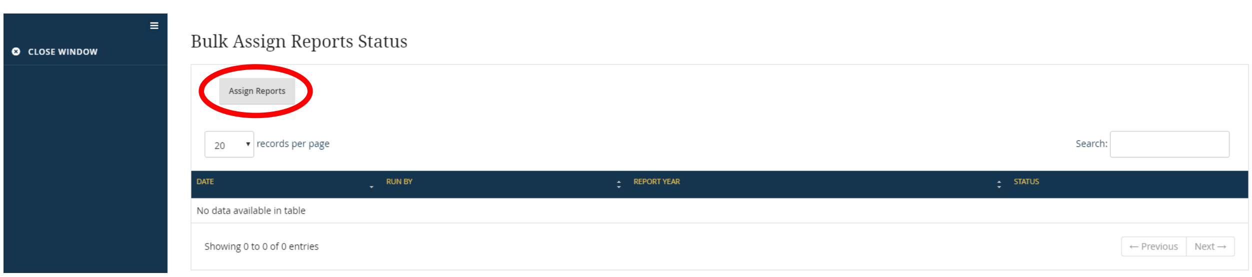
```
Agency
|
Group 0
|                               |
Group 1                         Group 2
|               |               |                   |
Group 1.1       Group 1.2       Group 2.1           Group 2.2
|
Group 1.1.1
```

Annual Bulk Assignment Steps

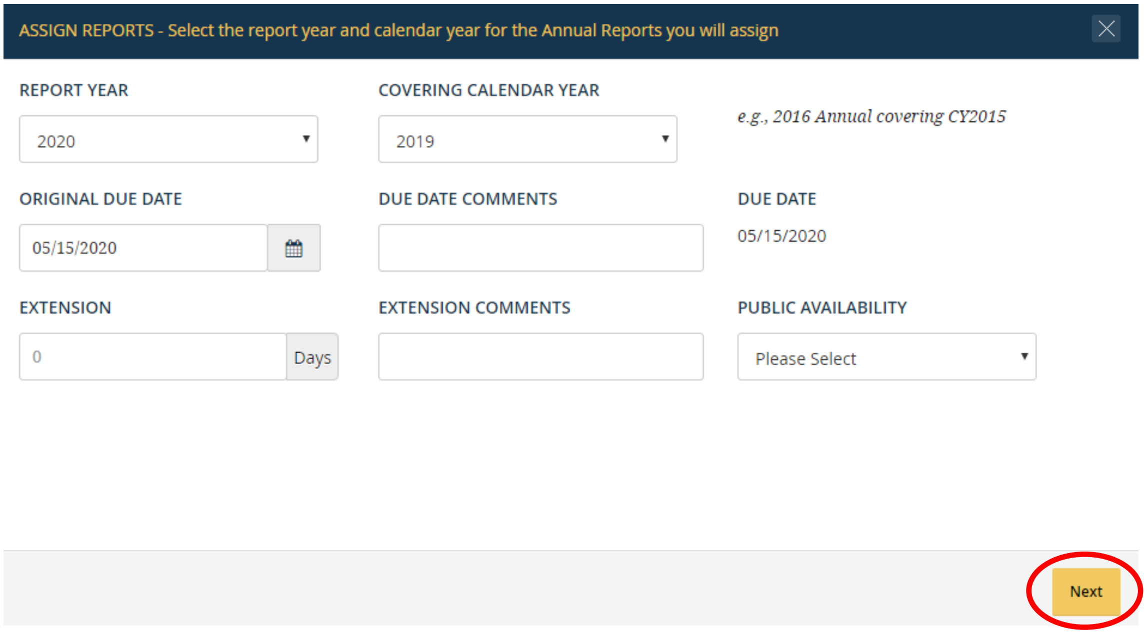
To bulk assign Annual reports, go to the “Agencies” or “Hierarchy” tab and select “Bulk Assign Reports” from the “Select an Action” drop-down field.



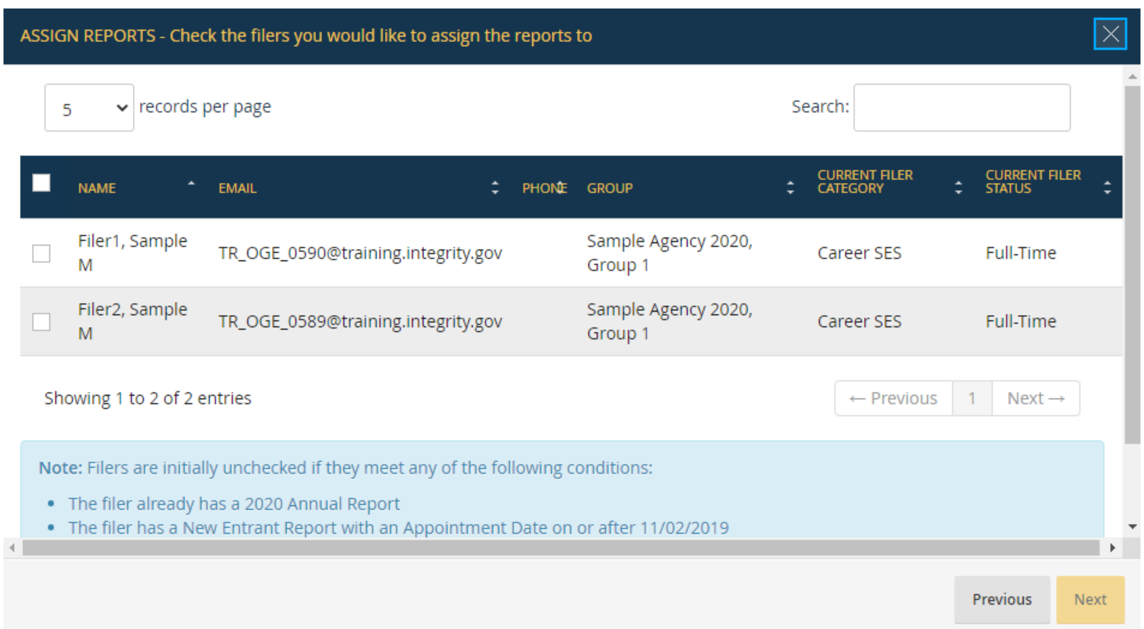
The “Bulk Assign Reports Status” page will open in a new window. The page will display the status of any prior bulk assignments. Click the “Assign Reports” button.



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.”

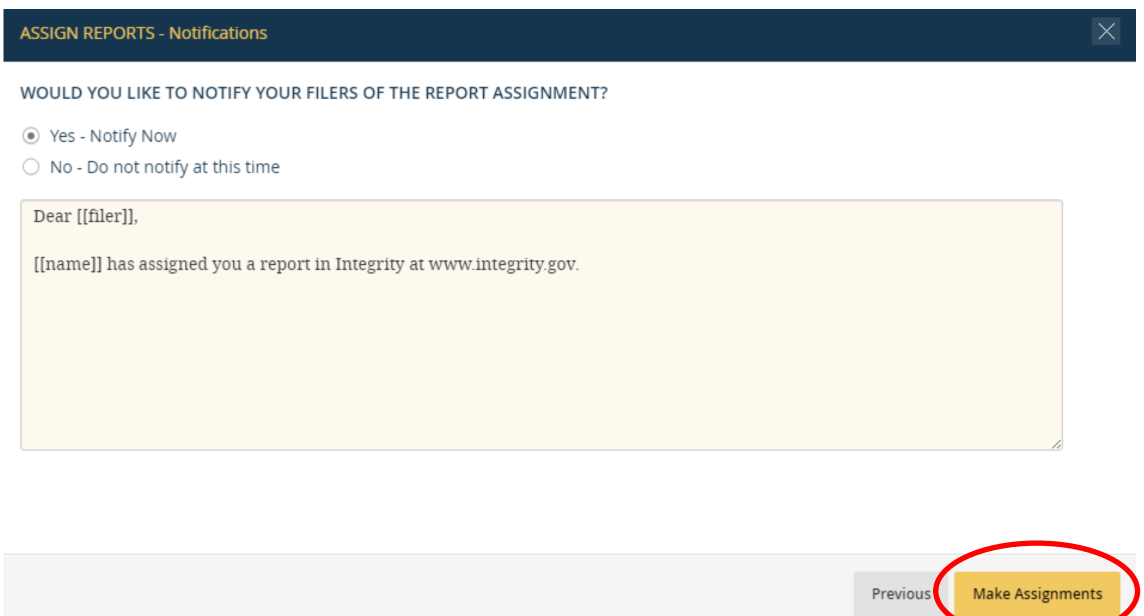


On the following page, you will see a list of Filers at the Agency.

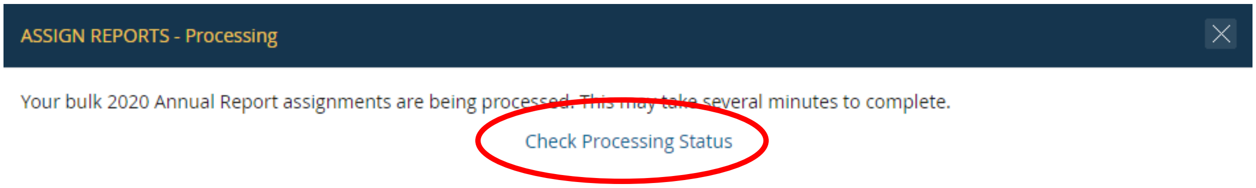


Checkmarks appear next to the Filers who will receive an Annual report assignment. *Integrity*, by default, checks each Filer except for those Filers who: (1) have already received an Annual report assignment for the selected Report Year; (2) have a New Entrant report with an appointment date on or after 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.

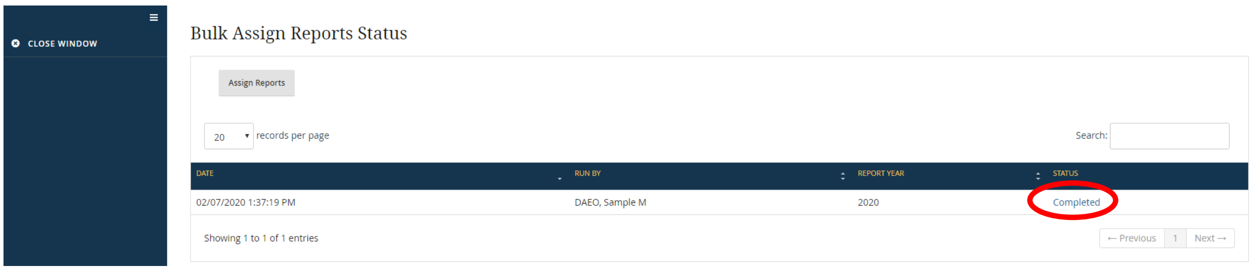
Specify whether *Integrity* should send the Filer(s) an email notification of the report assignment. You can edit the notification text in the text box below. Clicking "Make Assignments" completes the process.



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.



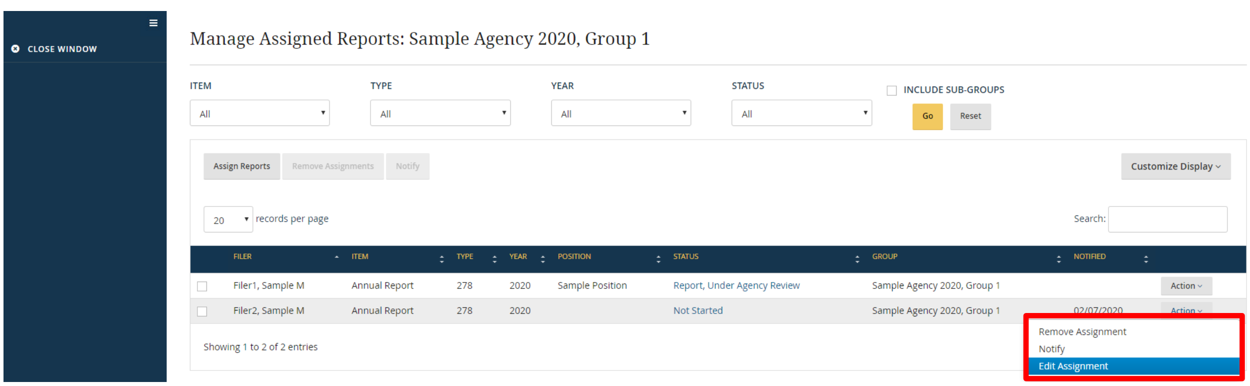
After a bulk assignment process has finished, you can review the results by going to the "Bulk Assign Reports Status" page and clicking the link in the "Status" column.



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.



<u>Edit a Report that the Filer Has Not Started</u>

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.

<u>Edit a Report that the Filer Has Started</u>

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.

<u>Notify the Filer</u>

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.

<u>Check the Notification Status</u>

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 section 6.8.

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.

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.

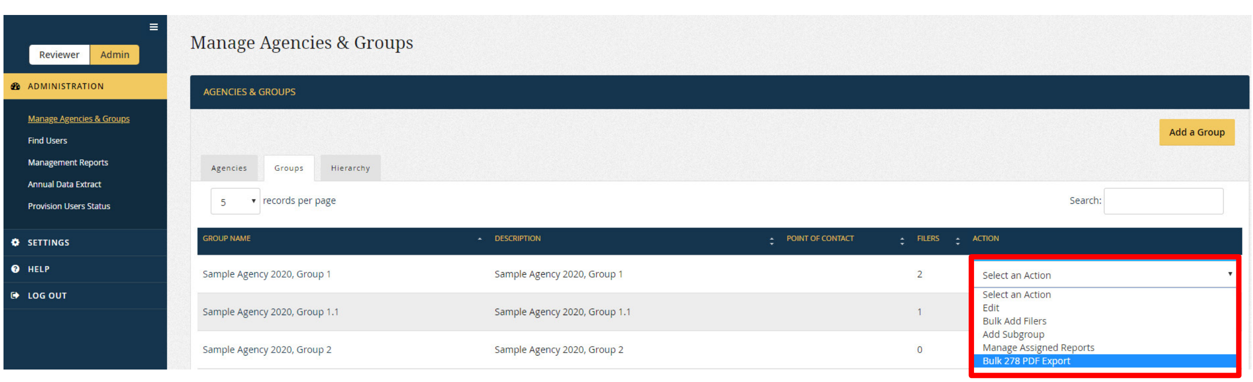
- General 278 Reports: Any report that has been certified or closed without certification by the Agency.

- PAS/DAEO Reports (excluding Nominees): Any report that has been certified or closed without certification by OGE.

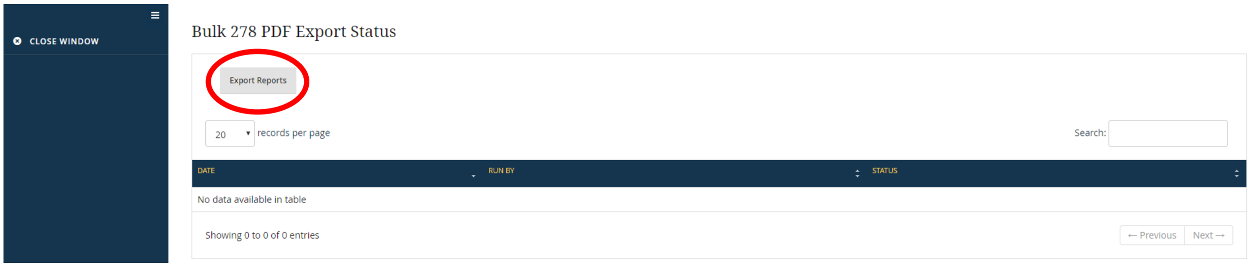
Because the export rules differ by Report Type, you will need to run the bulk export process for Nominee reports, General 278 reports, and PAS/DAEO reports (excluding Nominees) separately.

Initiate a Bulk Export: Group and Any Subordinate Groups

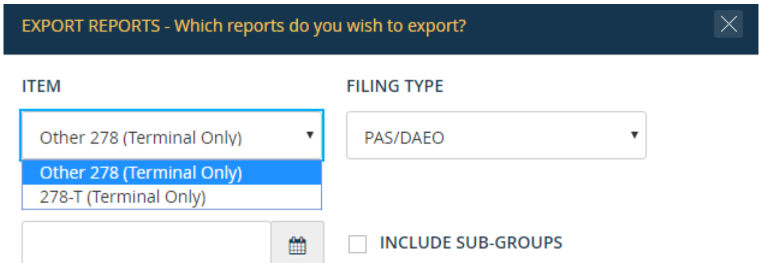
To bulk export a selection of reports from a Group and all subordinate Groups, go to the "Manage Agencies & Groups" page, open the "Groups" or "Hierarchy" tab, and select "Bulk 278 PDF Export" from the "Select an Action" drop-down field.



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.



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).



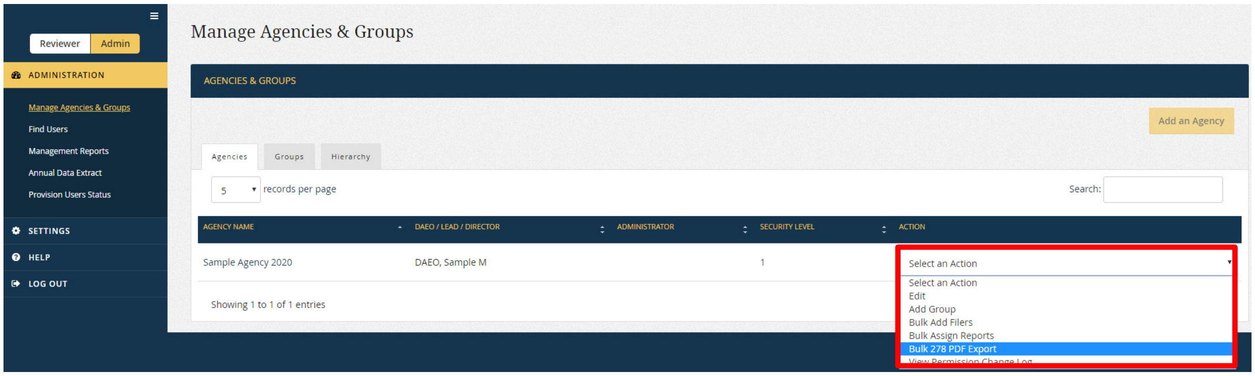
If exporting Nominee reports, you will need to enter a date, which will limit the results to reports that were released to the Agency after that date. You can also choose to limit results based on the status of the Nominee report.

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.

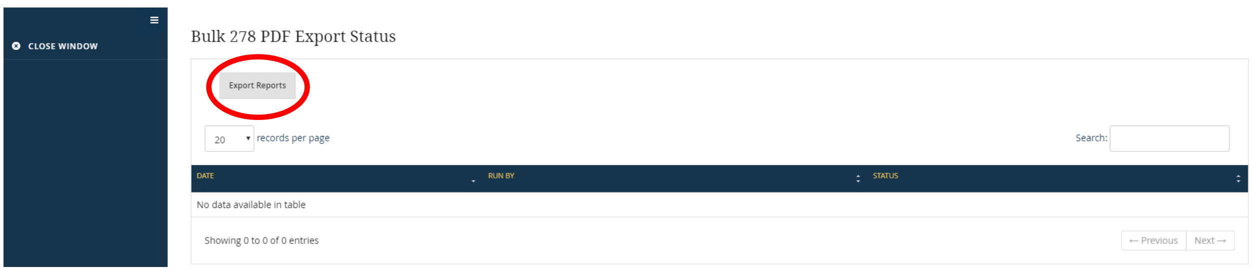
Clicking the "Export Now" button completes the process.

<u>Initiate a Bulk Export: Entire Agency</u>

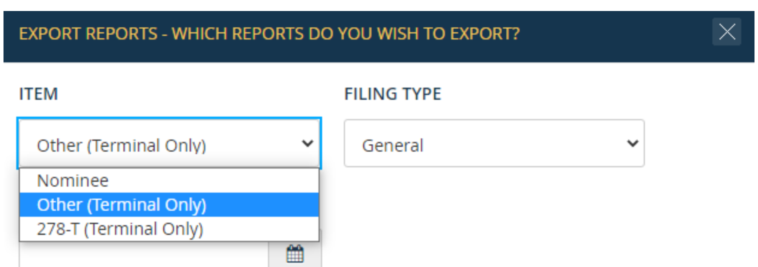
To bulk export a selection of reports from across the entire Agency, go to the "Manage Agencies & Groups" page, open the "Agencies" or "Hierarchy" tab, and select "Bulk 278 PDF Export" from the "Select an Action" drop-down field.



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.



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).



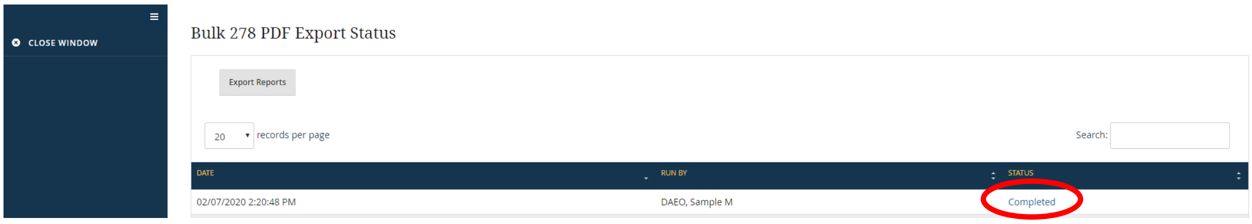
If exporting Nominee reports, you will need to enter a date, which will limit the results to reports that were released to the Agency after that date. You can also choose to limit results based on the status of the Nominee report.

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.

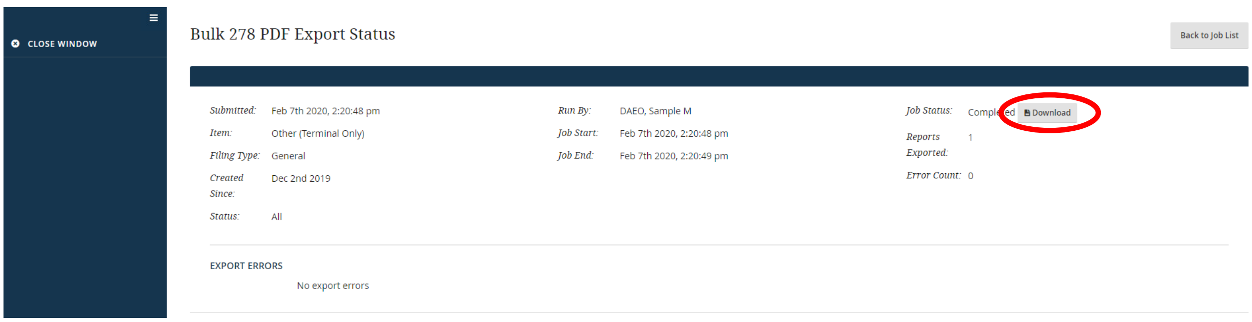
Clicking the "Export Now" button completes the process.

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.



On the next page, click the "Download" button.



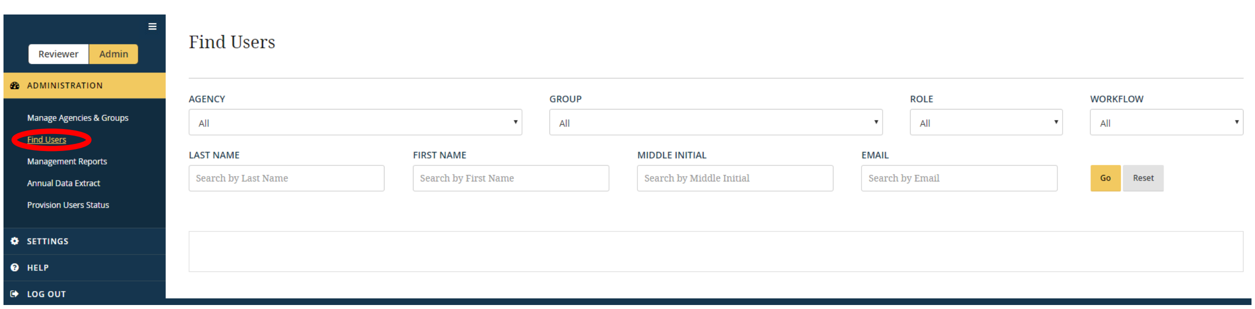
The reports will be downloaded as a zip file. Note that bulk export reports are only available for 24 hours. If you do not download the reports within that time period, you will need to run the bulk export process again.

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.



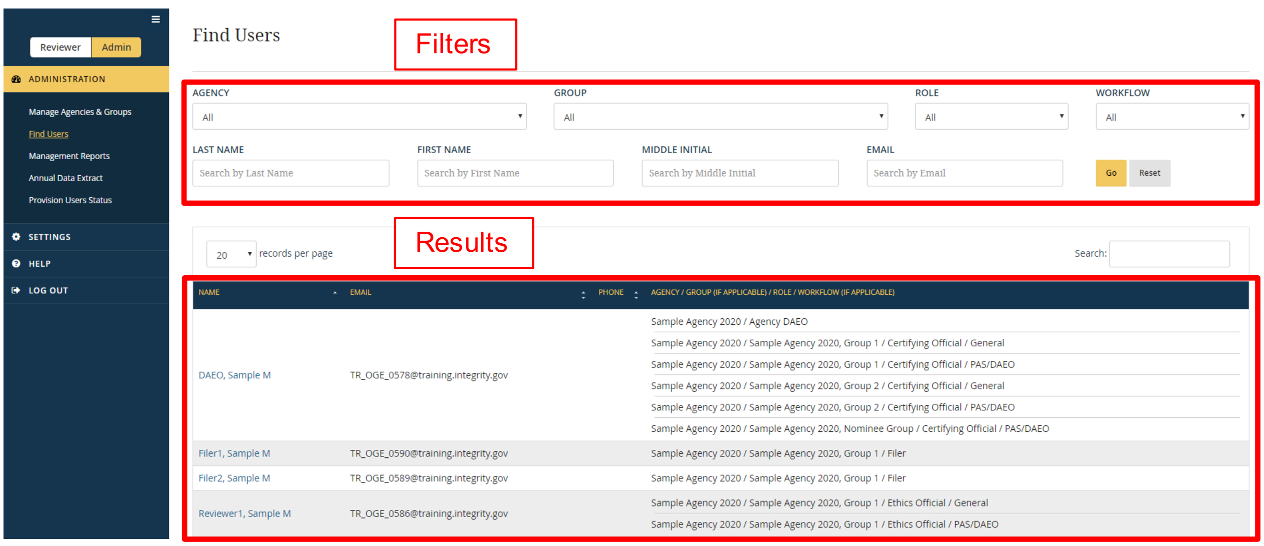
7.7.2 - View Rights

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.



<u>Filter Options</u>

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.

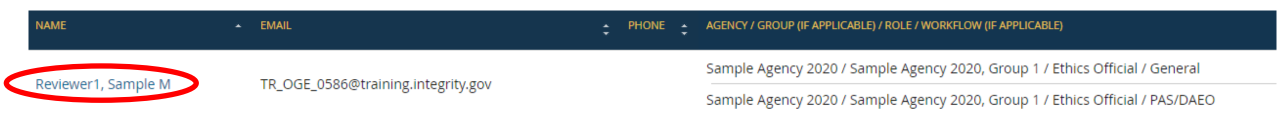
- Workflow: The “Workflow” filter limits results based on the type of workflow in which the user holds a Reviewer role. By default, the filter is set to “All” so that users are displayed regardless of the roles held. Note that you cannot currently use this filter to limit results based on a Filer’s default 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.

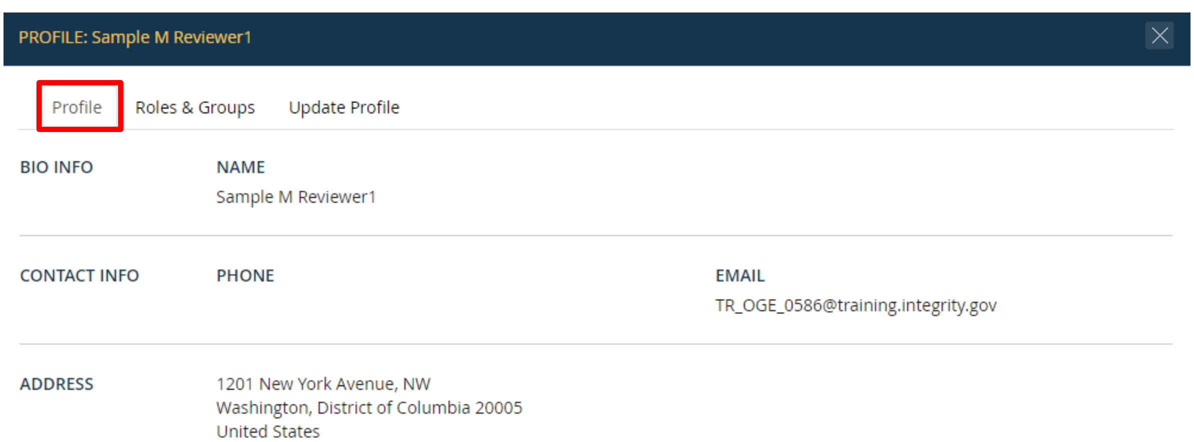
7.7.4 - View a User’s Information

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.



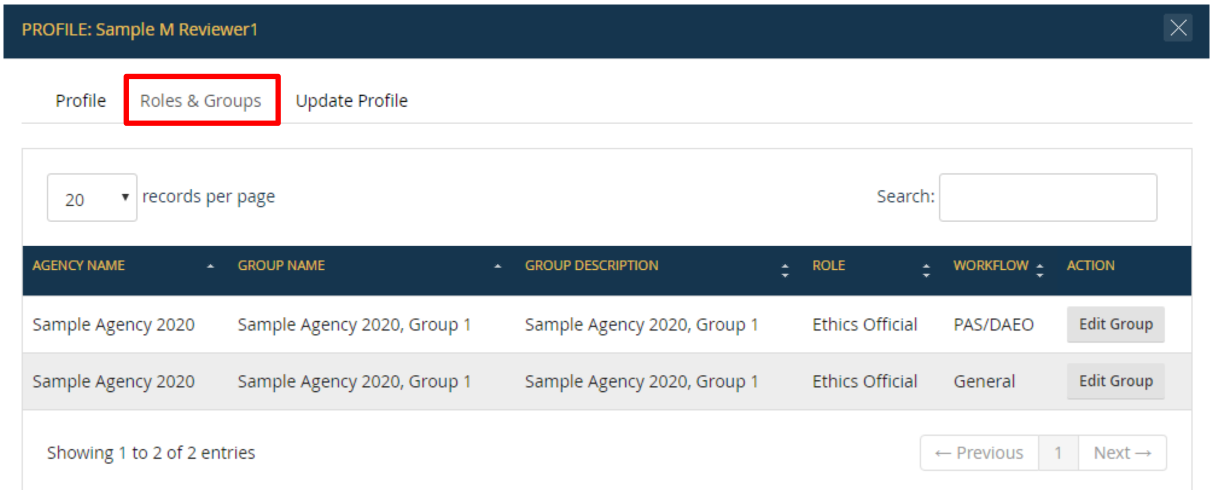
Profile

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.



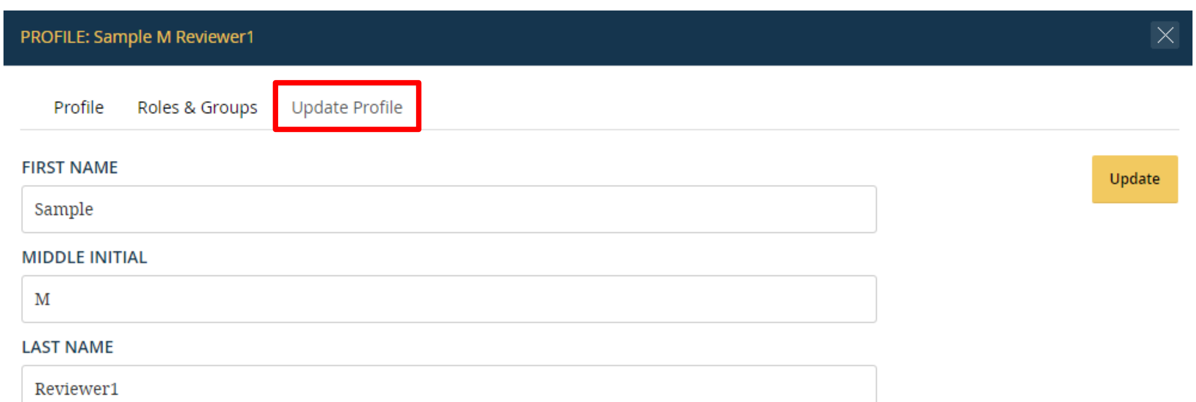
Roles and Groups

The “Roles and Groups” tab displays the roles that the user has in each Group to which you have access.



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.



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 pre-populating 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.

<u>Authority to Merge Accounts</u>

Only the *Integrity* Helpdesk may merge accounts.

<u>Request a Merger of Accounts</u>

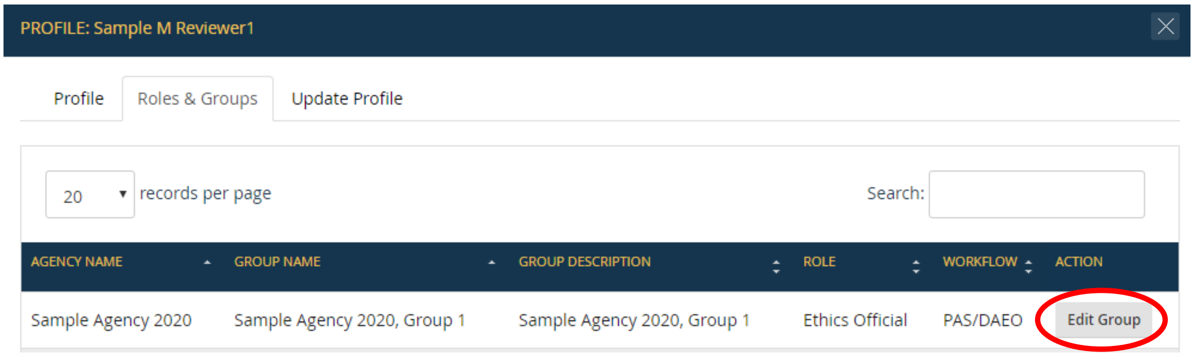
To request the merger of two accounts, an Agency should send an email request to the *Integrity* Helpdesk <u>after</u> the "new" email address has been added to *Integrity*. In the example above, Agency 2 should not send a merger request until Martha Jones has been added as a Filer within Agency 2 using 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

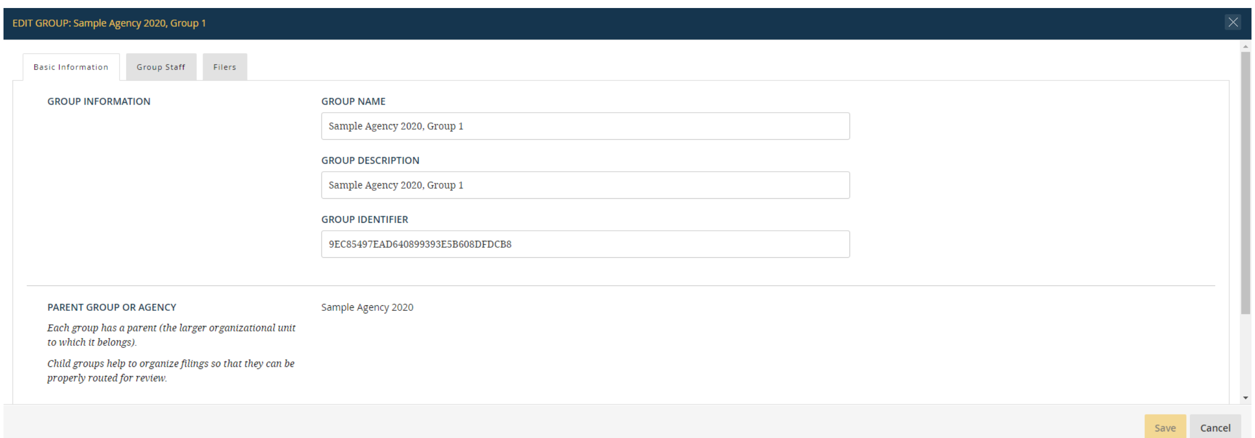
The "Roles and Groups" tab provides a convenient way to edit a user's permissions in a Group without navigating away from the "Find Users" page. You can also use this tab to initiate changes to other users' roles in that same Group; however, in many cases, you will find it easier to make such changes by selecting the "Manage Agencies & Groups" link from the main left-side navigation menu. See section 7.4.

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.

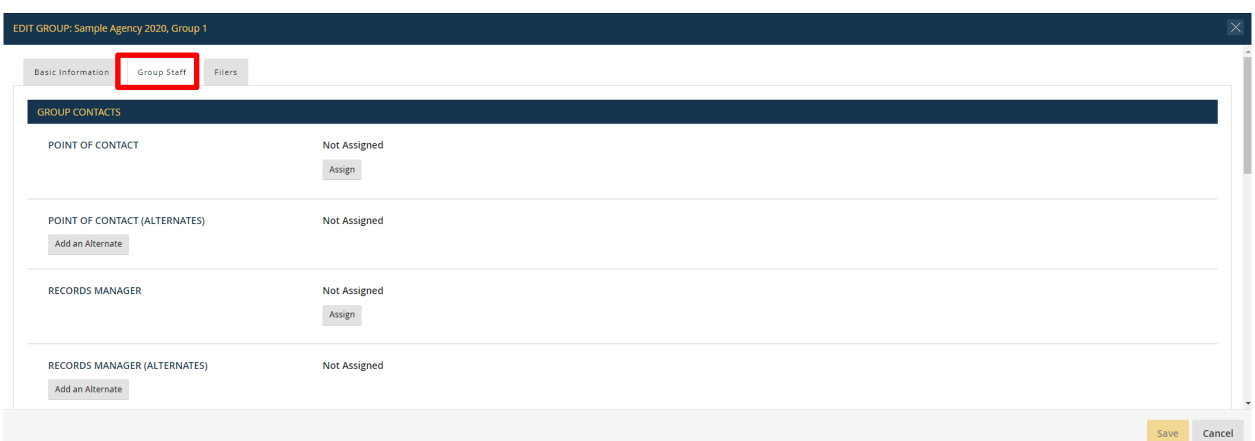


Clicking the “Edit Group” button opens a new “Edit Group” window.

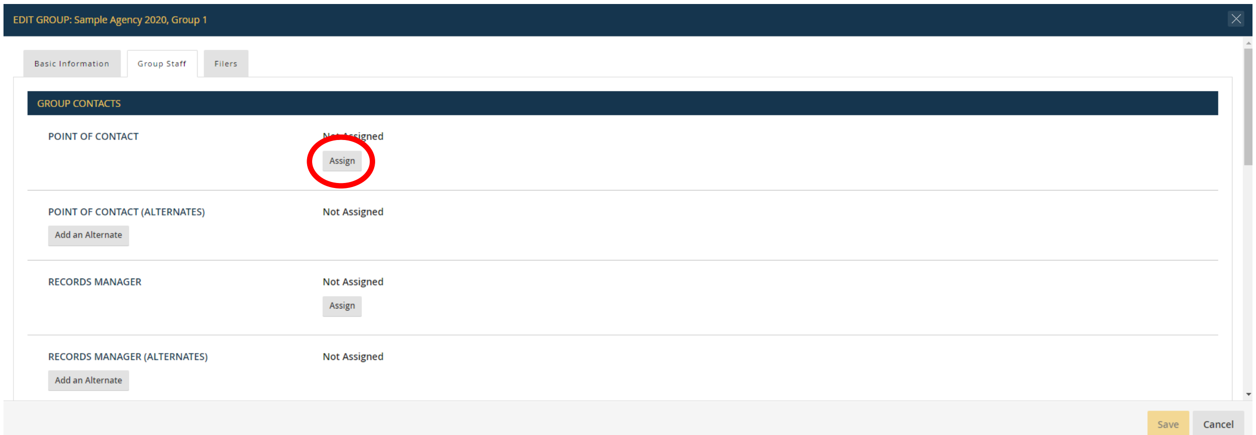


Make Updates to a User’s Staff Role

After opening the “Edit Group” window, click the “Group Staff” tab.



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.



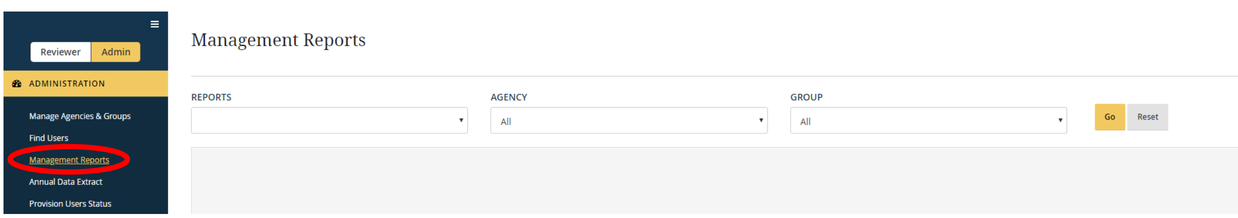
Click the “Save” button in the bottom right to complete your updates. You will be returned to the “Roles and Groups” tab for the selected user. Close that window to return to the main “Find Users” page.

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.

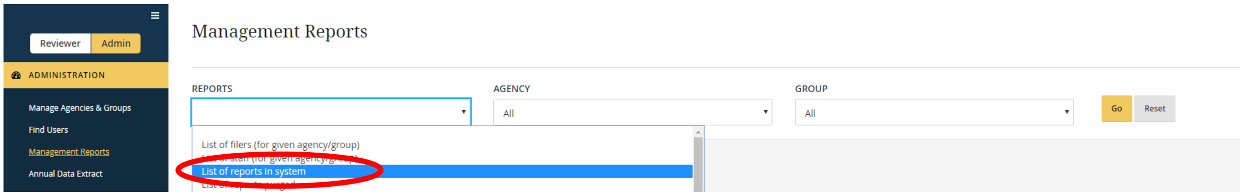


7.8.2 - View Rights to Management Reports

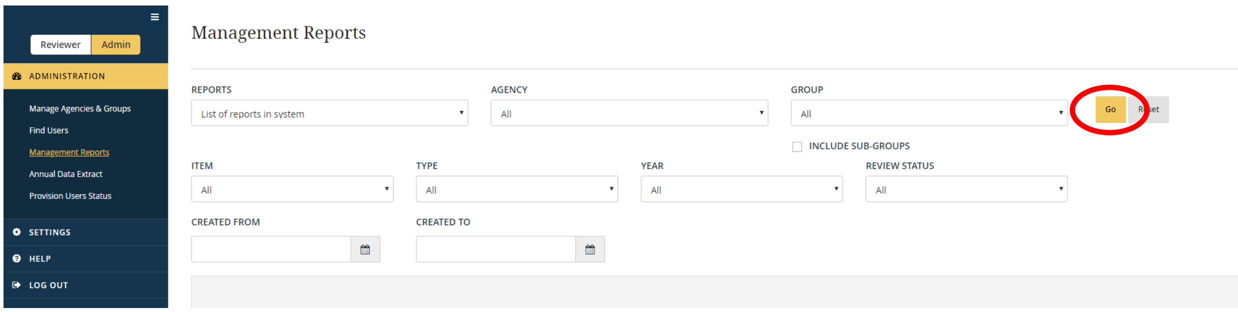
The list of available reports will vary based on the staff roles that you hold. Assuming you can access a report, the results will be limited to those Groups to which you otherwise have access (i.e., any Group in which you have a staff role and all subordinate Groups of that Group).

7.8.3 - Open a Management Report

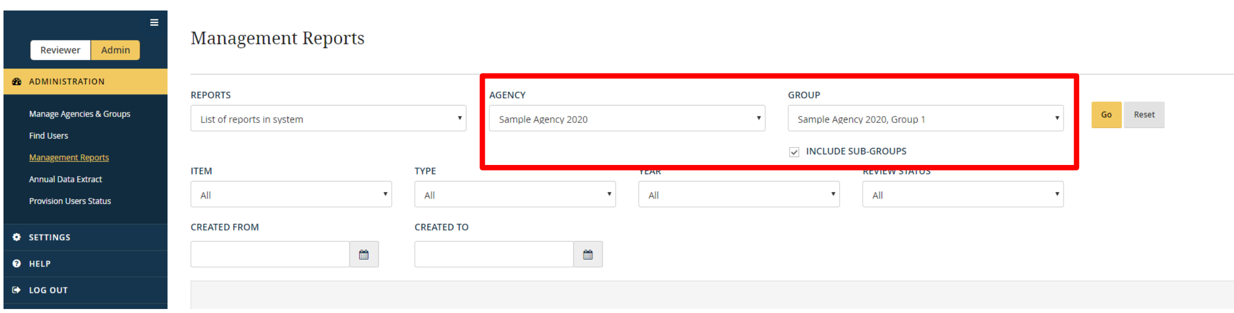
On the “Management Reports” page, select the desired management report from the “Reports” drop-down field.



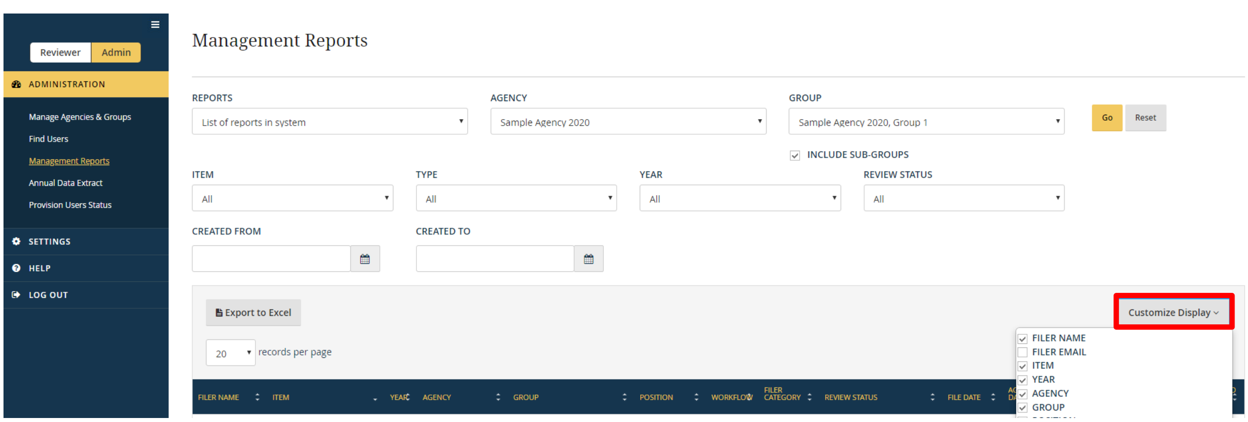
If you want to limit the results, select from the available filter conditions, which vary based on the management report. Click the "Go" button to generate the results.



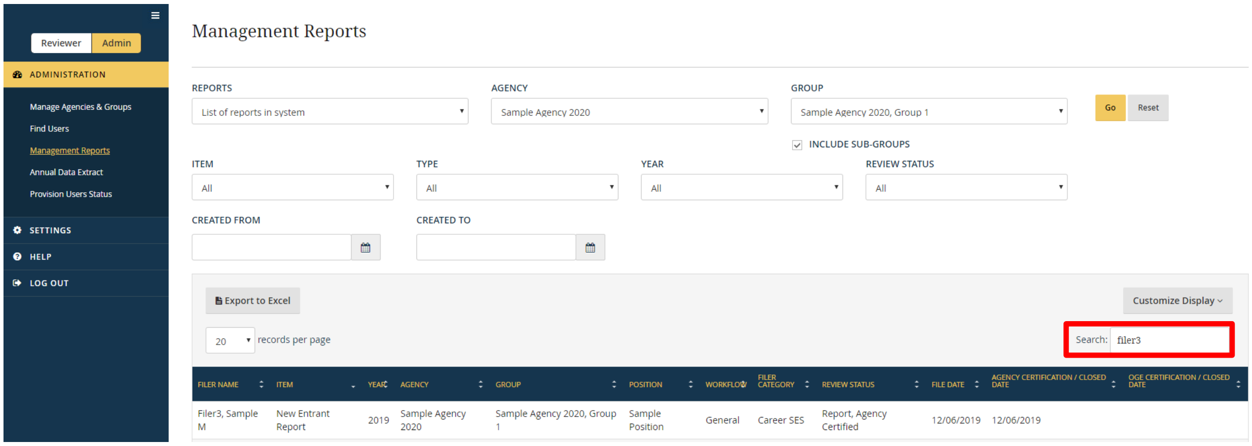
Note that certain management reports include an "Include Sub-Groups" filter. To use this filter, select an Agency and a specific Group from the "Group" filter and check the box next to "Include Sub-Groups." *Integrity* will limit results to records associated with that Group and all subordinate Groups 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.



You can adjust the number of columns that display by clicking the "Customize Display" button in the upper right corner of the results table.

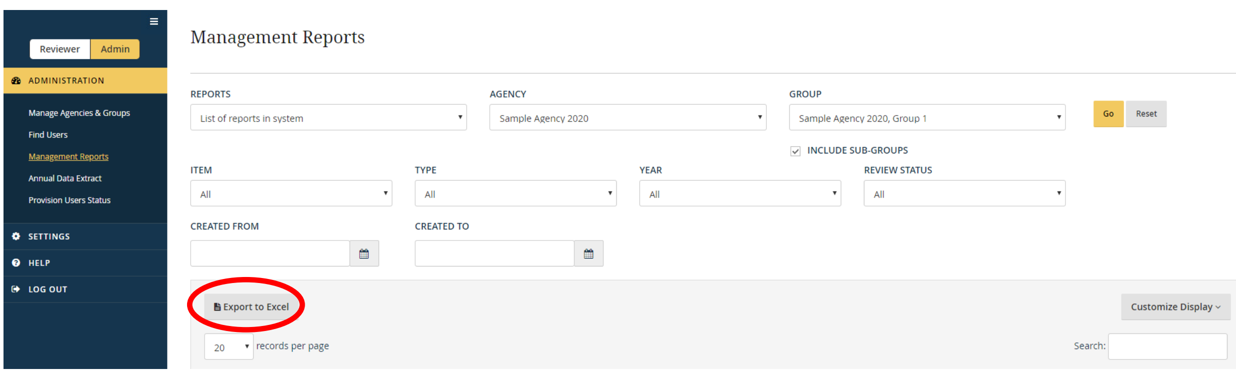


If using the filter conditions at the top of the page returns too many results, you can filter the results further by typing text into the "Search" box. The "Search" box appears in the upper right corner of the results table.



7.8.4 - 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.



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.

<u>Annual Data Extract Specifications</u>

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).
  - Filed: An OGE Form 278e report is recorded as "filed" if:
    - The Filer Status is SGE.

      and

- 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).

    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: 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

  - 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).

      and

        - 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).

          and

        - 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:
  - 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

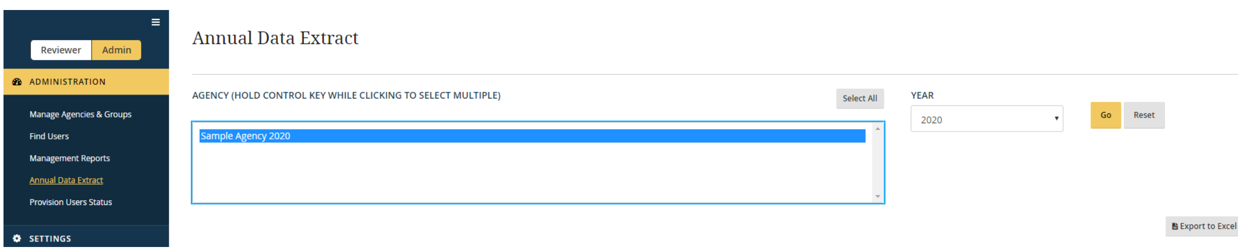
  - The "Late Fee Paid" box was checked on the "General Information" page.
- Number of OGE Form 278-T Reports, filer status unspecified: A covered/required OGE Form 278-T report is counted in this field if:
  - The Filer Status is blank.

    and

  - The "Late Fee Paid" box was checked on the "General Information" page.

Access the Annual Data Extract

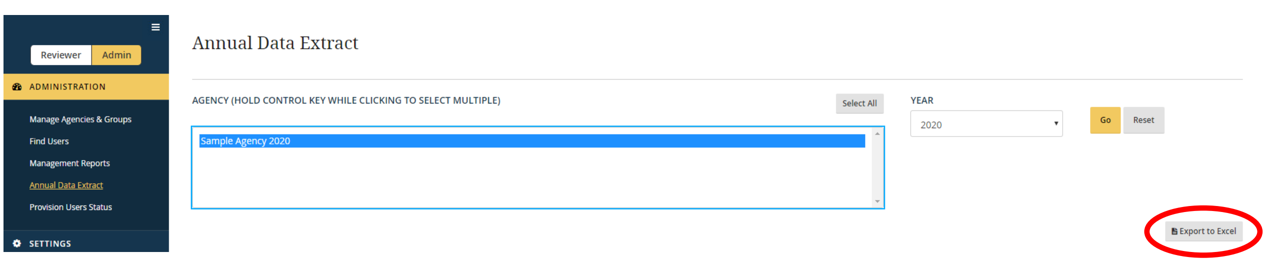
Select "Annual Data Extract" from the list of options in the left-side navigation menu. A single tab will appear.



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.



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 report is associated with the Agency to which the Filer would be nominated ("Target Agency").	Not Started
2	The Filer starts working on the report but has not yet filed the draft report.	Draft, Pre-Review
3	The Filer submits the draft report for review.	Draft, Pending Release
4	The draft report is released by a Special Agency user to Routers at OGE and the Nominee Group for the Target Agency.	Draft, Under Review
5	As needed, the Target Agency Router and OGE Router 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.	Draft, Under Review
6	The OGE Nominee Reviewer forwards the draft report to the OGE Program Manager.	Draft, Under Review
7	The OGE Program Manager preclears the draft report. The draft report remains in draft status until OGE enters a nomination date.	Draft, Pre-Cleared
8	The Filer files the official report after nomination. The report is reviewed by the role(s) specified for PAS/DAEO reports at the Target Agency.	Report, Under Agency Review

#	Lifecycle Step	*Integrity* Status Code
9	The Target Agency ends its review process by certifying the report, which forwards the report to OGE 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.	Report, Under OGE Review
10	OGE ends the review process by certifying the report. 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 section 6.7.9.	Report, OGE Certified
11	After the Filer is confirmed: OGE enters a confirmation date for the report on the "General Information" page. 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. The *Integrity* Helpdesk merges the appointee's Nominee ID with the appointee's new Agency ID (if necessary). The *Integrity* Helpdesk also removes the Filer from the Nominee Group.	Report, OGE Certified
12	The report is retained for the duration specified by the applicable records retention rules.	Report, OGE Certified
13	Once the report has reached the applicable disposition age, OGE deletes the report record, unless otherwise required to retain. *(Optional)* If the report has reached the applicable 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.	N/A – Once deleted, the report no longer exists. Report, OGE Certified
14	*(Optional)* If OGE "purged" the report but kept related materials, OGE must delete the entire report record, including related materials, at a later date once those materials are no longer needed.	N/A – Once deleted, the report no longer exists.

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 section 6.8 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

<u>Nominee Group Roles for Draft Reports</u>

Role	#	Rights to Nominee Group and Reports
Router	1 per Agency (required)	The Router can see and edit a draft Nominee report once the draft is released to the Agency.

Role	#	Rights to Nominee Group and Reports
Router (Alternate)	No limit	Same rights as the Router.
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.

Nominee Group Roles Not Tied to Report Status

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 (Alternate)	No limit	Same rights as the POC.
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.

Agency-Level Roles

Role	#	Rights to Nominee Group and Reports
DAEO	1 per Agency (required)	The DAEO can see and edit Nominee reports in 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 Administrator	1 per Agency	The Agency Administrator can see Nominee 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 Administrator (Alternate)	No limit	Same rights as the Agency Administrator.

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 section 8.5 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 [section 2.3.5](#) for more information about setting a password for a new account.

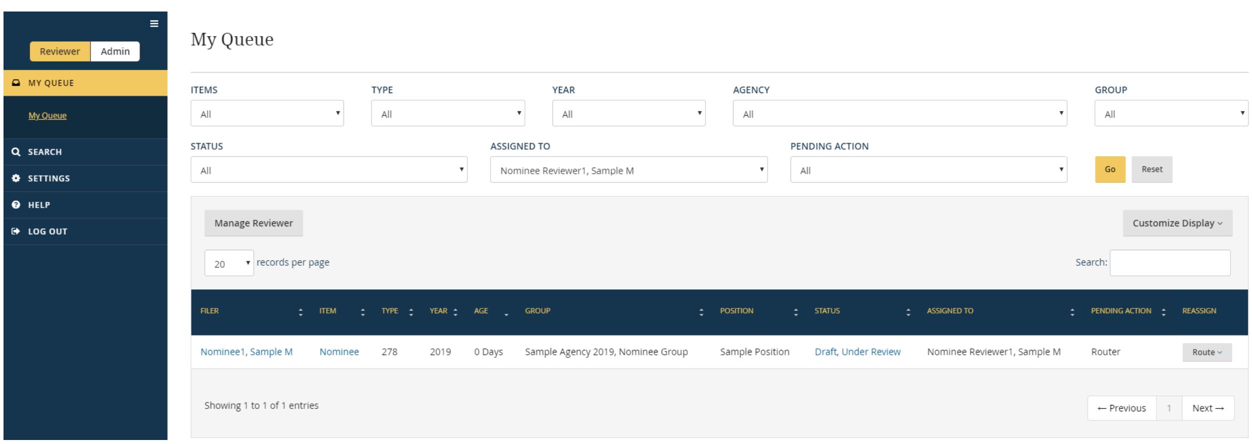
Note: At this point in the review process, cloaked Nominees are not visible to the Target Agency, OGE, or the *Integrity* Helpdesk. A Filer who forgets his or her cloaked account ID needs to contact the Special Agency that added the account.

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.



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 [section 8.6.2](#).

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.

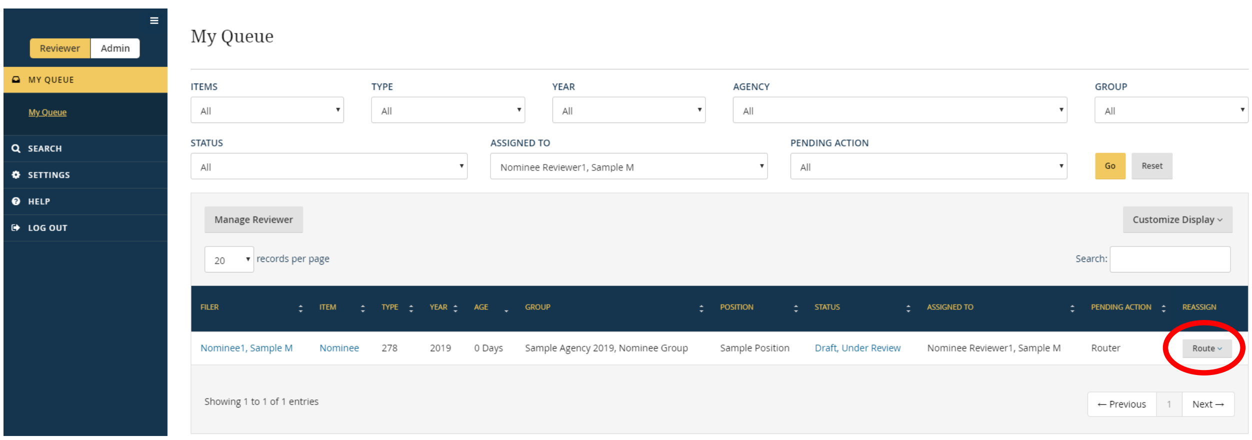
8.3.5 - Route a Draft Report (*Routers only*)

Effects of Routing

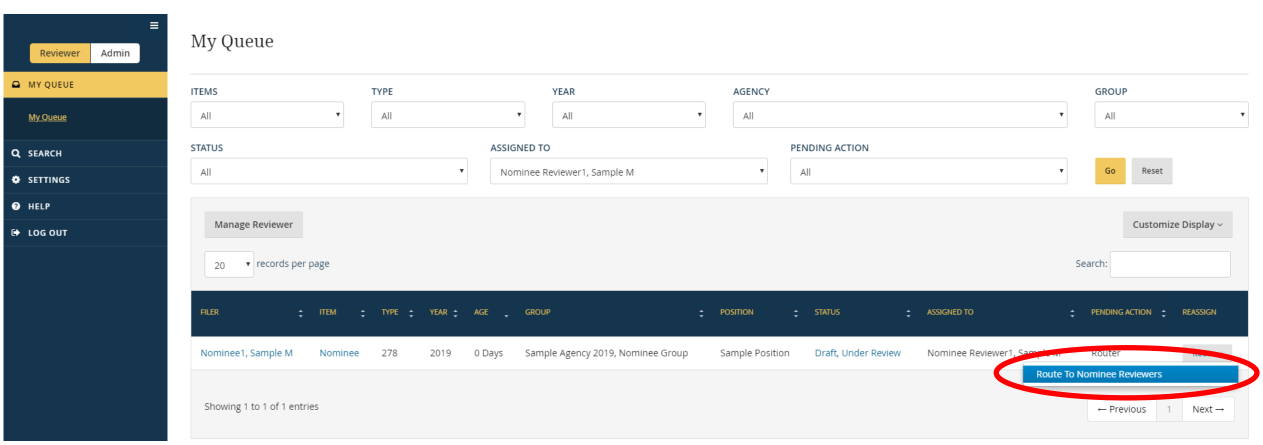
Routers grant Nominee Reviewers access to a draft Nominee report by "routing" the draft. Once routed, any individual who holds the Nominee Reviewer role for the Target Agency can see and edit the draft.

Route Command

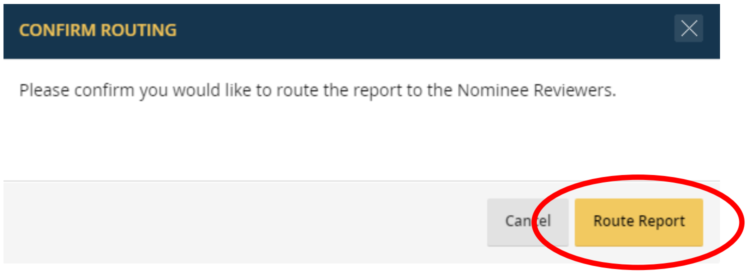
Go to the "My Queue" page and click the "Route" button.



A small action window will appear with a single, "Route to Nominee Reviewers" option. Click that option.



You will be asked to confirm that the draft should be routed. Clicking "Route Report" completes the routing action.



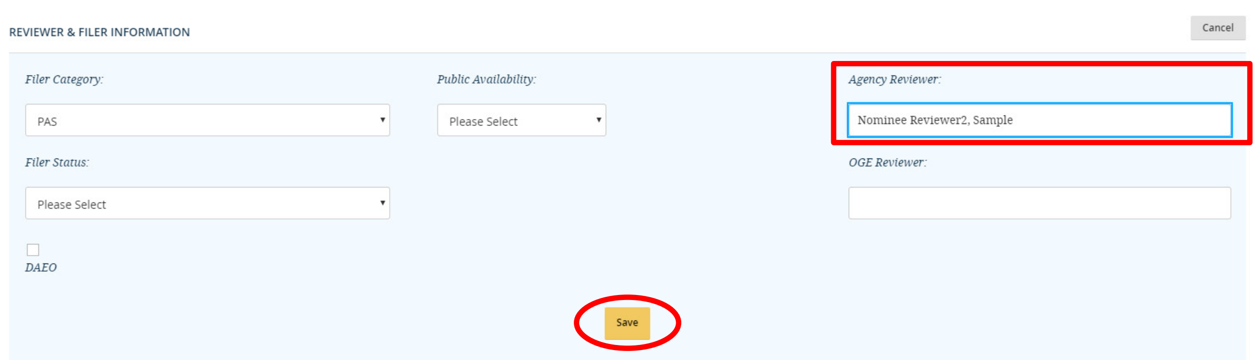
8.3.6 - Assign a Draft Report

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.

Type the name of the Reviewer in the "Agency Reviewer" field and click "Save."

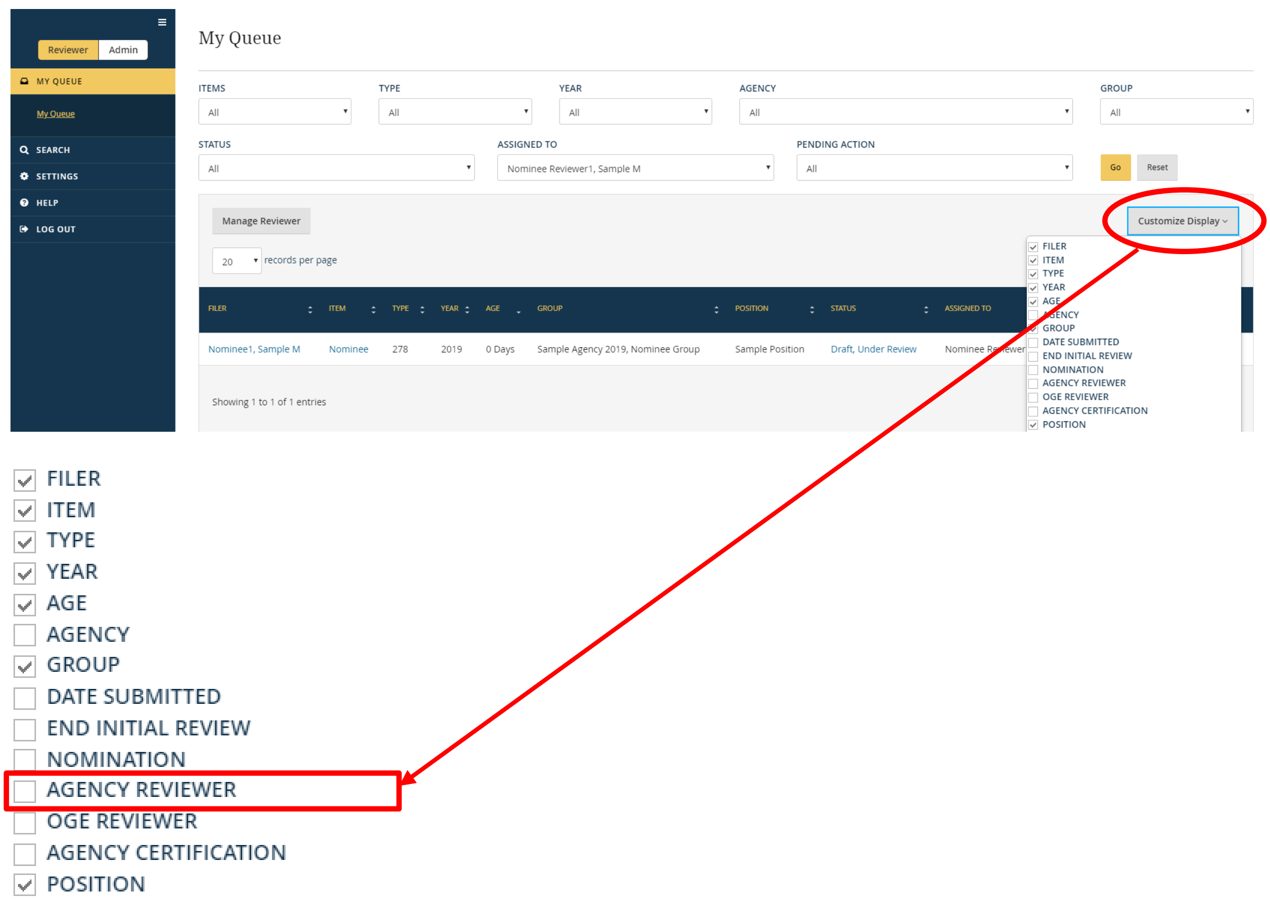


Effect of Assignment

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 section 6.2.6 for more information.

Identify Reviewers on "My Queue"

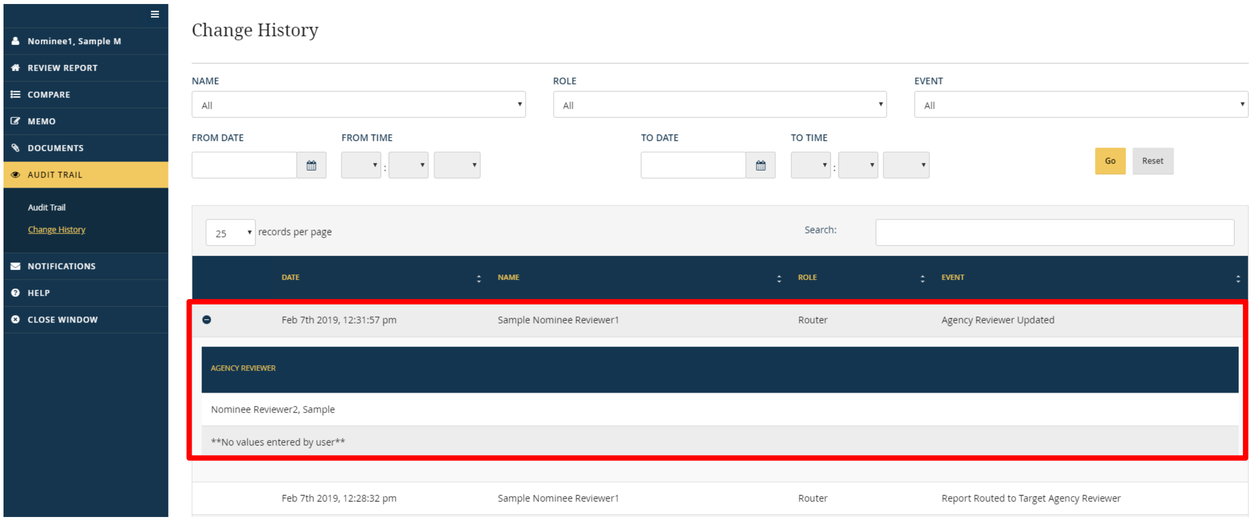
You can identify which Reviewer is assigned to a report from "My Queue" without opening the report. To do so, click the "Customize Display" drop-down button on "My Queue" and select the "Agency Reviewer" option.



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."



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.

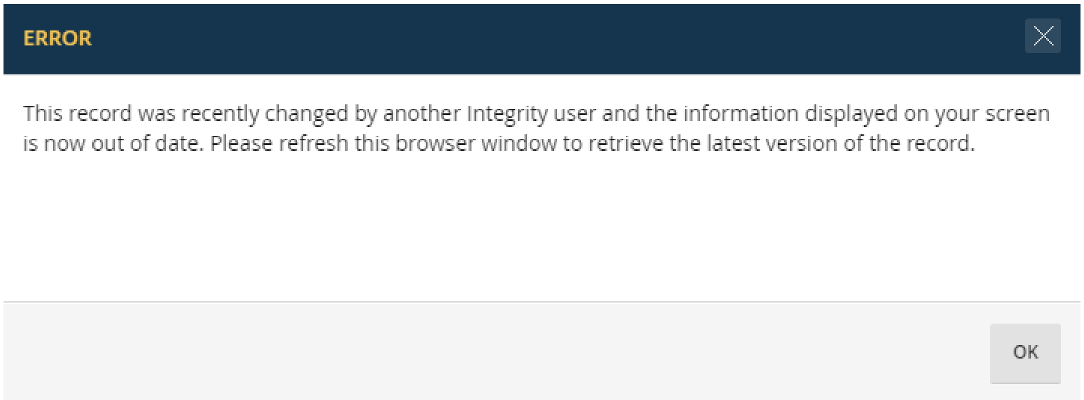
Request that a User Make a Change

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.



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

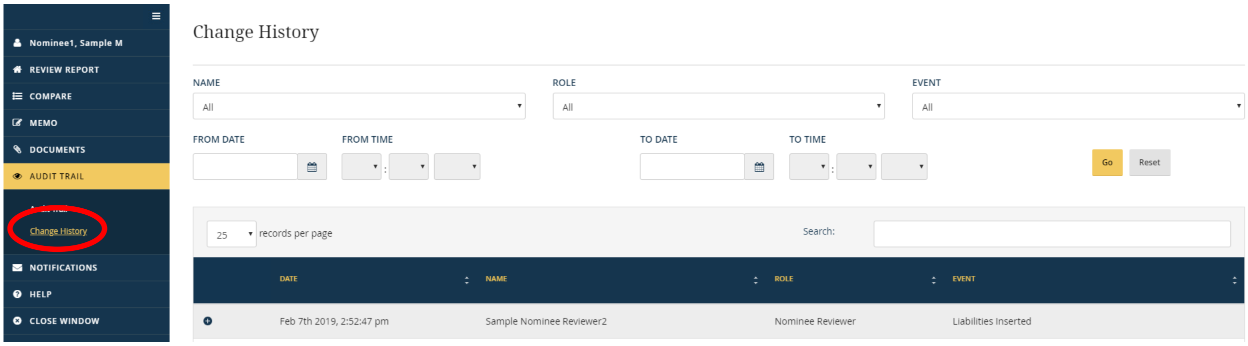
Compare, Memo, and Documents

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 during the draft clearance process. *Integrity* removes the changes to 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.



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.

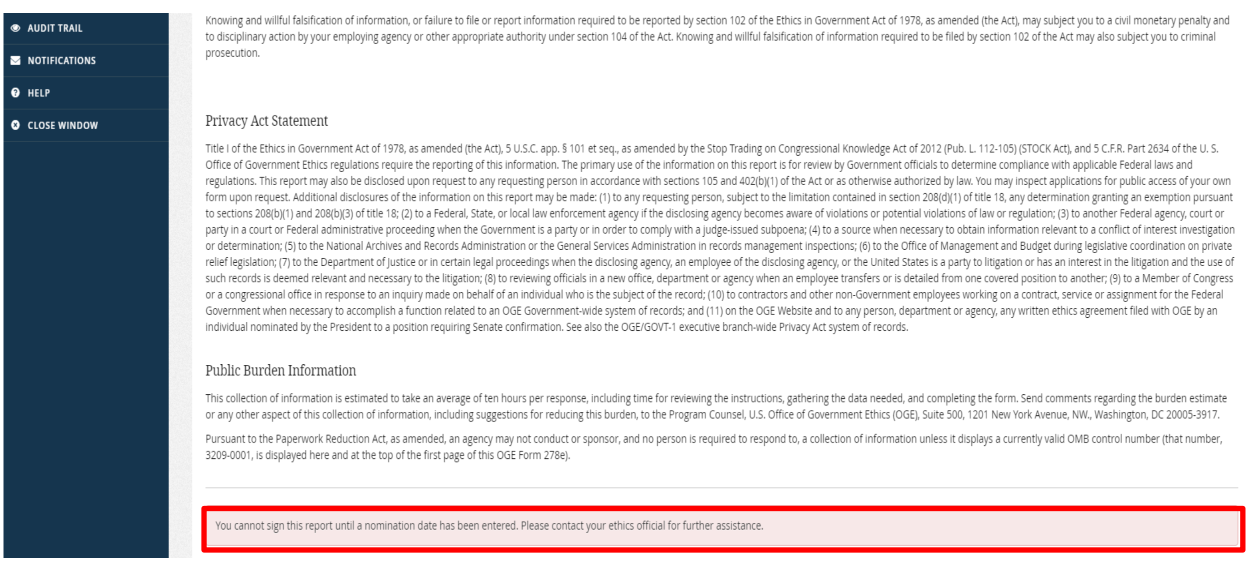
Effects of Preclearance

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

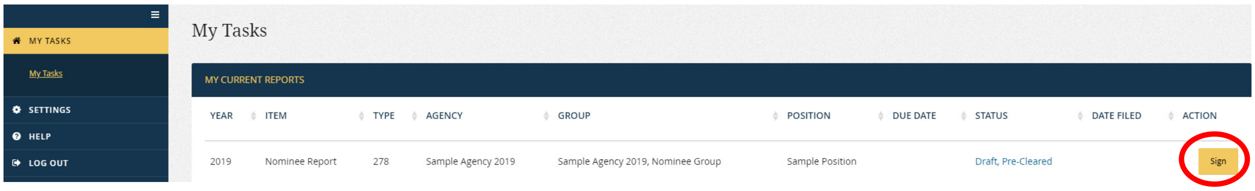
8.4.1 - Preconditions for Filing

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.



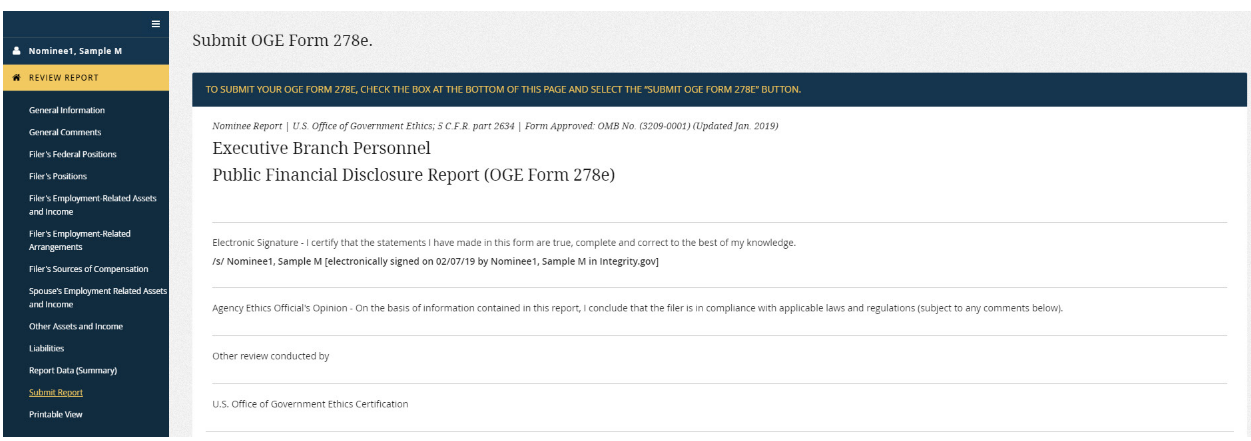
8.4.2 - File an Official Report

To file an official report, the Filer would go to the "My Tasks" page and click the "Sign" button next to the Nominee report.

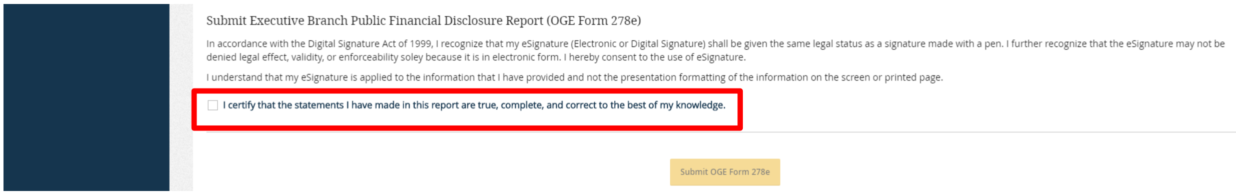


After the report opens in a new window, the Filer would click the "Submit Report" link on the left side of the page.

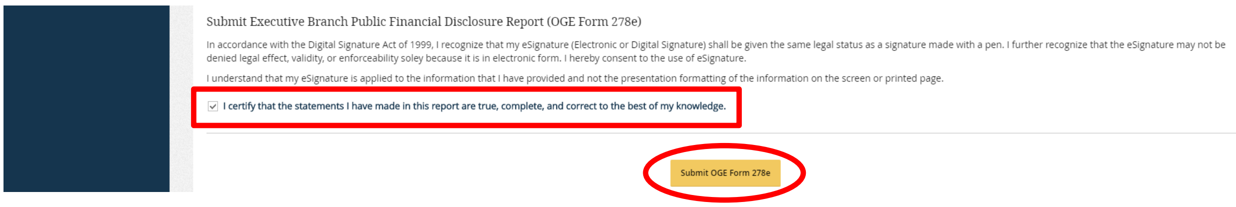
The "Submit OGE Form 278e" page will display.



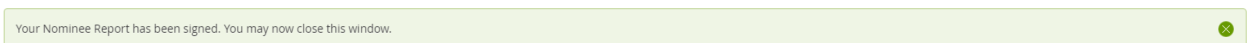
The Filer would scroll to the bottom of the page and check the box next to the certification statement.



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.



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

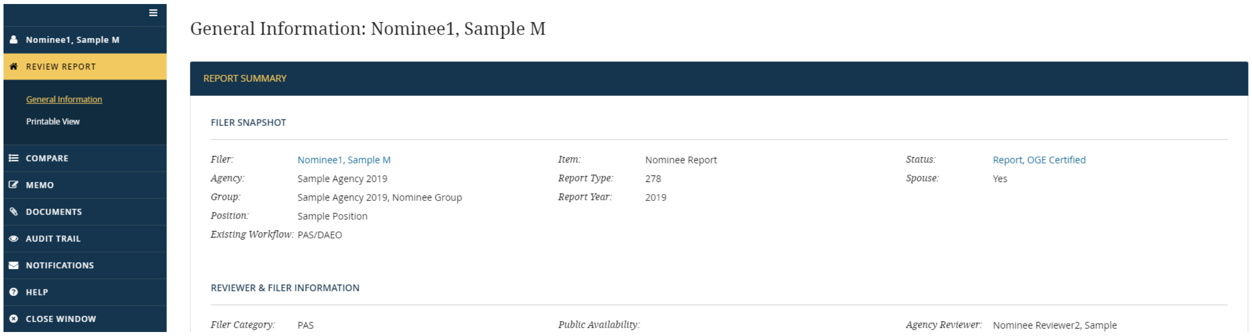
An officially filed Nominee report goes through the same workflow steps at the Target Agency as other PAS/DAEO reports. For example, if the Target Agency has selected the Filer-to-Ethics-Official-to-Certifying-Official workflow for PAS/DAEO reports, the Nominee report will first go to the Primary Ethics 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:

- 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 section 6.7.9 for information on how to process amendments after final certification.



- Comments made during the review process are removed.

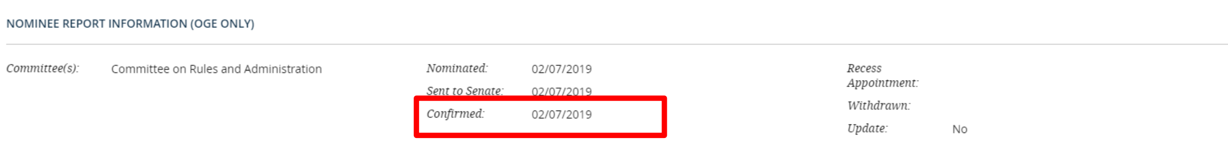
- "Change History" will display only workflow events. Changes to draft report data are no longer available. The "Audit Trail," however, will continue to provide a record of all workflow events and changes to report data that occurred after the Filer officially submitted the report.

- 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.



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 section 7.5.3 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.

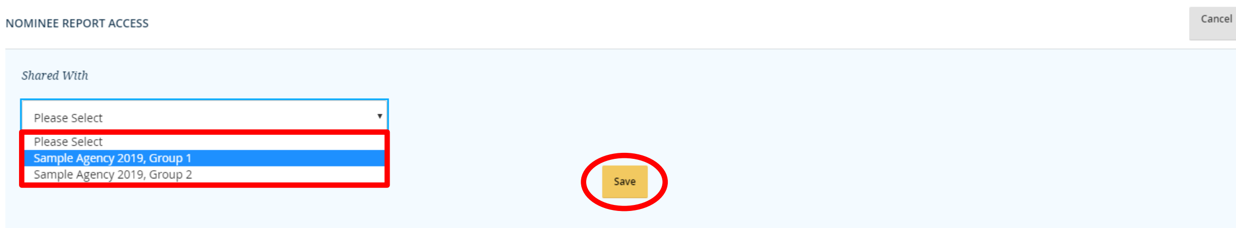
If an account merger was not required, the Target Agency should notify the *Integrity* Helpdesk after adding the Filer to a new Group (Step 3). The *Integrity* Helpdesk will remove the Filer from the Nominee Group. The Target Agency is responsible for making any needed changes to the Filer's other roles 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.

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.



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 section 8.1.2.

8.6 - Locate a Cloaked ID

8.6.1 - Locate a Cloaked ID prior to OGE/Agency Review

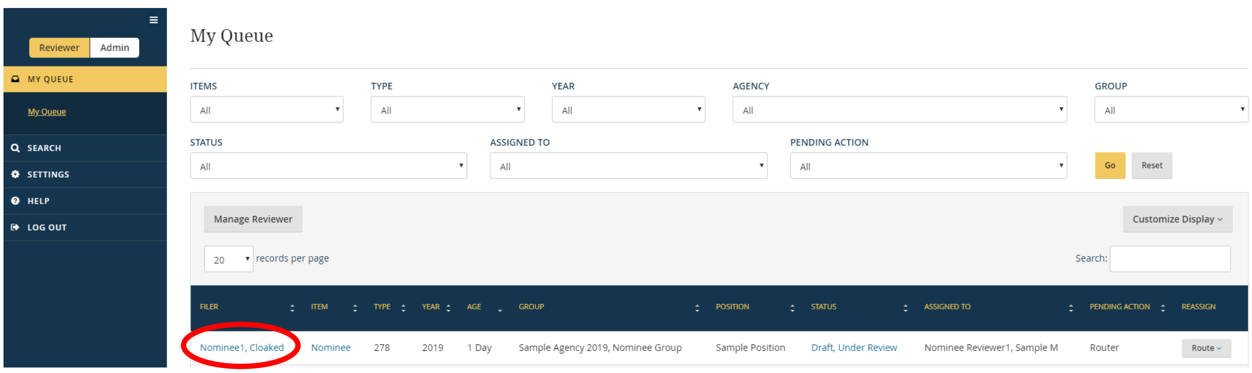
A Nominee is not visible to OGE or the Target Agency until the Nominee draft report has been released for review. Therefore, if a Nominee needs to locate his or her cloaked ID at this stage in the process, the Nominee will need to contact the office that added the Nominee (e.g., the Presidential Personnel Office).

8.6.2 - Locate a Filer's Cloaked ID during the Review Process

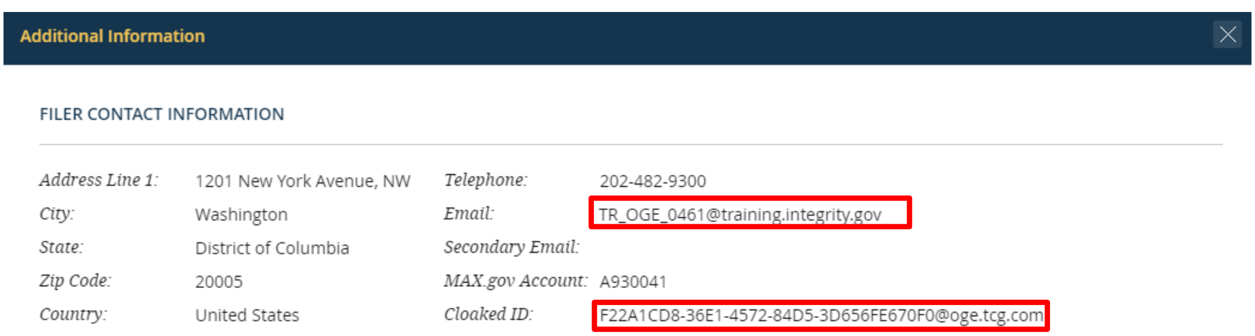
Reviewers with access to a Nominee report can locate a Filer's cloaked ID in two ways during the review process.

Reviewer Interface: My Queue

To locate a Filer's cloaked ID on the "My Queue" page, click the Filer's name.



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.

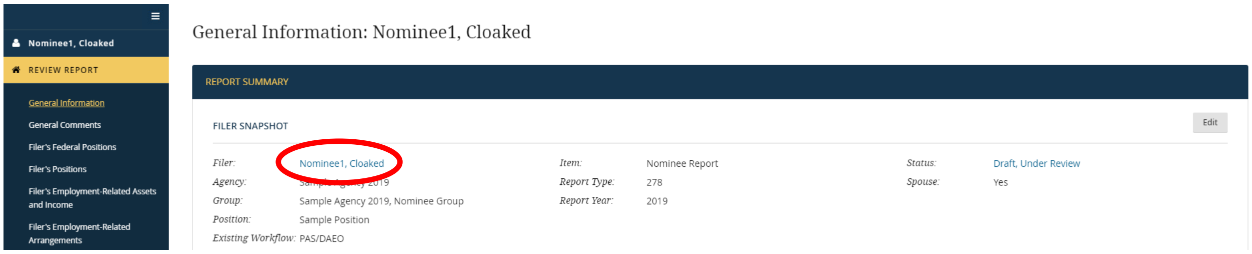

Additional Information

FILER CONTACT INFORMATION

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

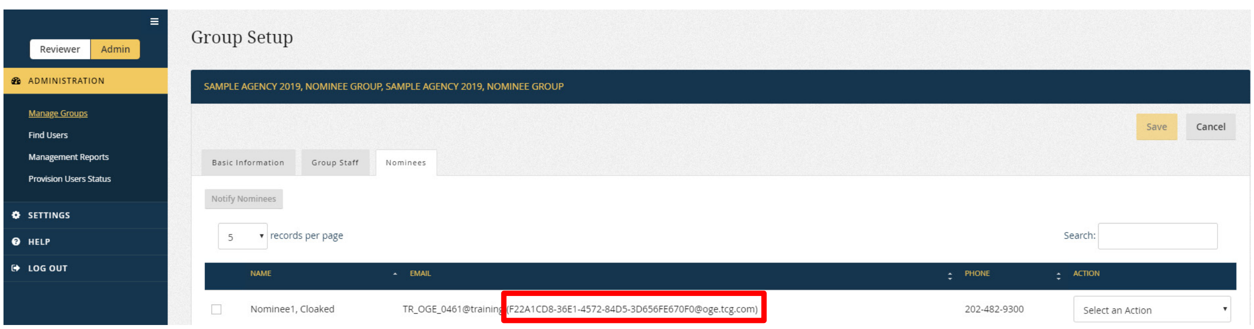
A Filer's cloaked ID is accessible in two ways after the report has been certified. Note, however, that the cloaked ID will be removed once the Filer's cloaked ID has been merged with a regular Agency-created account.

<u>Reviewer Interface: General Information Page</u>

You can locate a Filer's cloaked ID within the Nominee report by clicking the Filer's name on the "General Information" page.

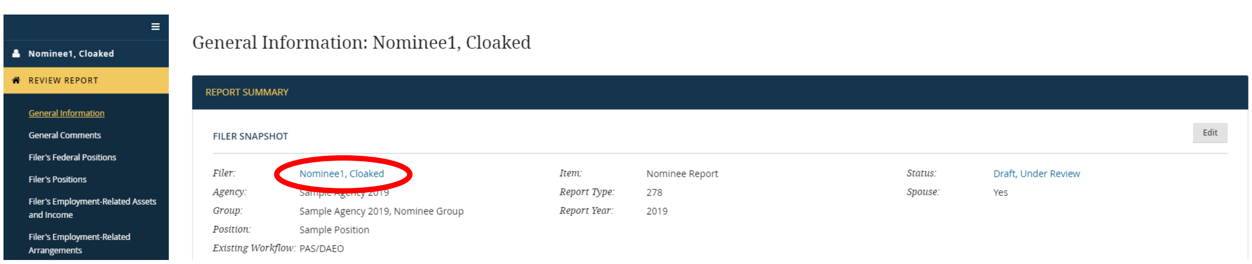
<u>Admin Interface: Nominee Group</u>

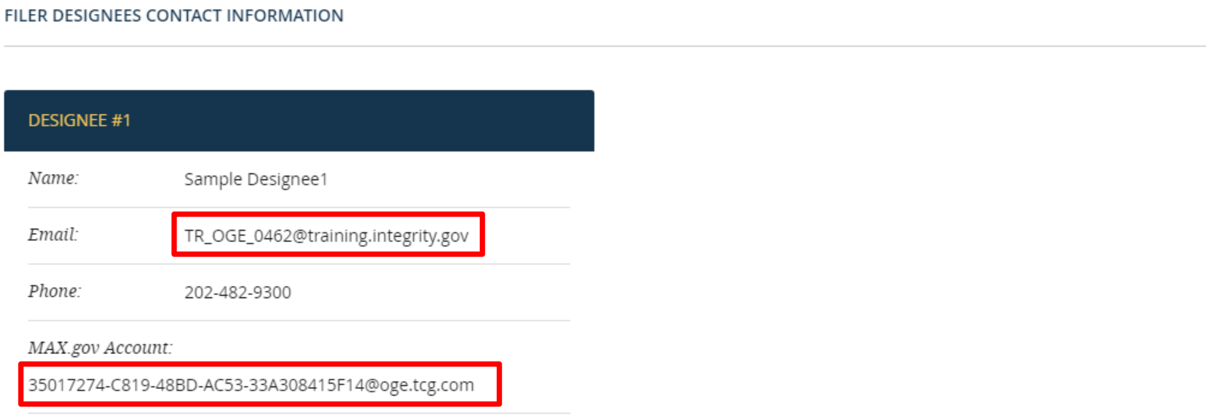
You can also locate a Filer's cloaked ID within the Nominee Group by clicking the "Nominees" tab. The Filer's actual email address will be listed first in the "Email" field, followed by the cloaked ID in parentheses.



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.




FILER DESIGNEES CONTACT INFORMATION

DESIGNEE #1

Name:	Sample Designee1
Email:	TR_OGE_0462@training.integrity.gov
Phone:	202-482-9300

MAX.gov Account:

35017274-C819-48BD-AC53-33A308415F14@oge.tcg.com