

## Enhance your New Entrant/Termination Filing Compliance

**Objective:** HR and Ethics Offices can fully comply with New Entrant/Termination filing deadlines

OGE Program Reviews commonly show agencies struggle to comply with new entrant or termination filing deadlines. To address this, the *FDonline* team designed the following, simple process using existing *FDonline* capabilities to proactively manage your new entrant and termination processes to improve on-time filing metrics and compliance:

### New Entrant Process

1. Establish a sub organization within your domain titled "New Entrants"
2. Give the HR employee responsible for notifying your office of New Entrant filers an administrator account with limited rights in the "New Entrants" organization
3. Instruct the HR Admin to enter New Entrants in *FDonline*, which automatically sends an invitation to the New Entrant (this takes less time than an email and can have a pre-set template)

### Termination Process

1. Establish a sub organization within your domain titled "Terminated Filers"
2. Give applicable HR employees administrator accounts with rights to review lists of filers, transfer filers between organizations, and send emails to filers
3. When HR learns that filers are terminating, HR Admins can transfer the filer from their current organization to the "Terminated Filer" organization and send an email to the filer (with a copy to a designated member of the ethics office) advising the filer to contact the ethics office for further guidance
4. The ethics office can proactively manage the termination process by regularly reviewing filers in the "Terminated Filers" sub organization

If you need any assistance, please contact:

John Martin at [johnmartin@primeforcesolutions.com](mailto:johnmartin@primeforcesolutions.com) or Tom Riley at [tom.riley@hrworx.com](mailto:tom.riley@hrworx.com)

### Benefits:

- ✓ Make compliance easier and demonstrate a compliance procedure during OGE program reviews
- ✓ Regularly review all New Entrants and Terminated filers in one place
- ✓ Ensure New Entrants and Terminated filers file on time
- ✓ Reach out to New Entrants or Terminated filers to provide tailored ethics advice
- ✓ Proactively engage HR to regularly account for all New Entrants and Terminated filers
- ✓ Easily transfer New Entrants within the organization

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*FDonline* is a government-wide, SaaS-based Financial Disclosure automation system securely hosted and provided to other federal entities through NTIS' e-Gov initiatives.

For more information contact: Patricia Gresham, 703-605-6213, [PGresham@NTIS.gov](mailto:PGresham@NTIS.gov)