




eFiling

A Small Agency's Journey
NSF Initiative
Robin Clay



System Philosophy

- Instead of developing a system focused on allowing filers to submit electronic financial disclosure reports, we decided to develop a system that would serve as an Ethics Program Management Tool. Our vision was to not only allow filers to submit reports electronically, but to ensure that electronic reviewing of reports and management of the ethics program could be accomplished within the same system. We started working on this during the anthrax scares and heightened terror alerts so portability – the ability to do our jobs from anywhere – was foremost in our minds.
- We have been meeting weekly as a team for a few years and improving the system with each new roll-out. Calendar Year 2011 is the first 450 and 278 annual cycle for which we've had a prior report for each annual filer in the system to pre-populate the new reporting requirement. That process has gone very well so far. We have additional enhancements to the system scheduled for a January 2012 release date.


Key Information

1st Release Date:
January 2009

2nd Release Date:
January 2010

3rd Release-Upgrades:
January 2011

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The Users List

In addition, the User's List tracks the type of training each employee is required to take and the date the employee completed the required training.

The Users List is the master list of filers, identifying their names, grades, organizations and which financial disclosure report is required. It is a living document and is updated when OGC receives a weekly report of new hires from Human Resources and a monthly report of new hires, departures, promotions, extensions, and reassignments.

Form Type	Last Name, First Name	Training Date	Training Type	Grade	Checkdate	Division	Comments	Termination Date	Date Action	Form Link	Table Link	Extensions Link	Advice Link	Annual Report
SP 276	Adkins, Mark		Annual	404	N08	N08								
SP 276	Akropos, Terilo		Annual	385	08D	08A			10/12/2010					
002 400	Athanas, Sumanta		Annual	No	374	07G	08T		11/10/2010					
002 400	Adams, Gwendolyn R		Annual	403	00	07F								
002 400	Adams, Joseph E.		Annual	0214	08W	03								
002 400	Ahmed, Sahar	1/8/2011	Annual	0213	07A	03A0								
SP 276	Alvarado, Morris A.	4/23/2011	Annual	385	075	407			1/11/2011					
002 400	Alvar, Edward A.		Annual	374	075	407								
002 400	Allara, Joseph		Annual	404	075	046								
002 400	Albus, Cheryl F.		Annual	No	404	07G	37	On detail to SAC position beginning 1/16/11						
002 400	Alexander, James Drew		Annual	374	075	046			8/1/2009					
002 400	Alexander, James		Annual	0214	07A	07H			8/16/2009					
002 400	Alfon, James	1/8/2011	Annual	404	08D	03E								
002 400				374	00	002	ISA not required		11/22/2010					
002 400				374	00	002	ISA not required		8/8/2010					
002 400				404	046	07L	1001, extended until 8/23/11, assigned to DC of HR/DOJ, on 8/23							
002 400				374	046	03E			8/26/2010					
002 400				404	08D	08B			1/18/2011					
002 400				0213	08W	03								
002 400				0213	08W	409								
002 400				404	00E	00F			1/18/2011					
002 400	Ames, Anna		Annual	0213	08G	03E								
002 400	Ames, Anna	4/27/2011	Annual	0213	08G	03E								
002 400	Ande, Charles		Not Reported	No	404	00	SO3 member		6/20/2011					
002 400	Arnold, Arjo		Annual	No	0214	08W	03	ISA not req-	10/25/2009					



User's List

The comment field allows ethics staff to record essential information about filer or filing status.

User's List allows the Ethics Team to easily determine which filers are required to file annual reports by tracking the EOD, promotion, or detail date in one field along with an "annual" report field on which ethics staff can filter. The User's List also tracks the termination date to ensure the record is deleted after the User's List is archived and a copy used as the starting point for the new CY report period.

Form Type	Last Name, First Name	Training Date	Training Type	Grade	Checkdate	Division	Comments	Termination Date	Date Action	Form Link	Table Link	Extensions Link	Advice Link	Annual Report
SP 276	Adkins, Mark		Annual	404	N08	N08								
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002 400	Adams, Joseph E.		Annual	0214	08W	03								
002 400	Ahmed, Sahar	1/8/2011	Annual	0213	07A	03A0								
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002 400				404	046	07L	1001, extended until 8/23/11, assigned to DC of HR/DOJ, on 8/23							
002 400				374	046	03E			8/26/2010					
002 400				404	08D	08B			1/18/2011					
002 400				0213	08W	03								
002 400				0213	08W	409								
002 400				404	00E	00F			1/18/2011					
002 400	Ames, Anna		Annual	0213	08G	03E								
002 400	Ames, Anna	4/27/2011	Annual	0213	08G	03E								
002 400	Ande, Charles		Not Reported	No	404	00	SO3 member		6/20/2011					
002 400	Arnold, Arjo		Annual	No	0214	08W	03	ISA not req-	10/25/2009					


User's List – Navigation Bars

Navigation links to other libraries discussed later provide access to filer's current/prior reports, status of filer's task, access to filer's extension requests, and access to filer's advice folder

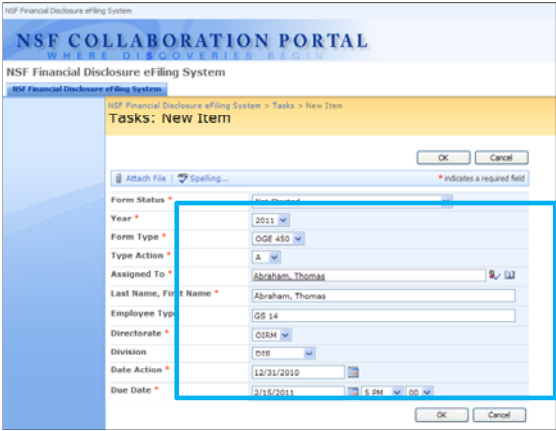
The Task Library

The Task Library is the "starter" to the financial disclosure eFiling process. To access the site and file a financial disclosure report, filers must have a "task" assigned to them from the eFile system. If the filer does not have a task, it is impossible to create a report. This Library is available to the Ethics Team only.


Sending Notification to File



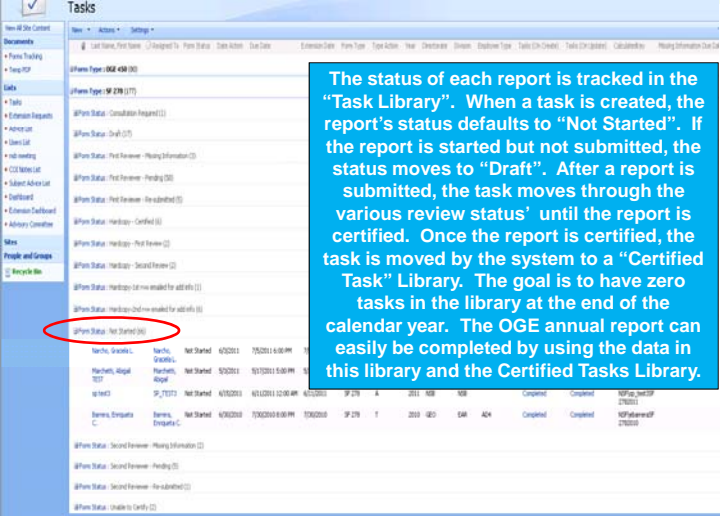
The Ethics Team fills in information about the task and filer including Form Type, Due Date, Name, and Employee Type, then clicks OK to send a task notification email to the filer.




Task Library – Form Status

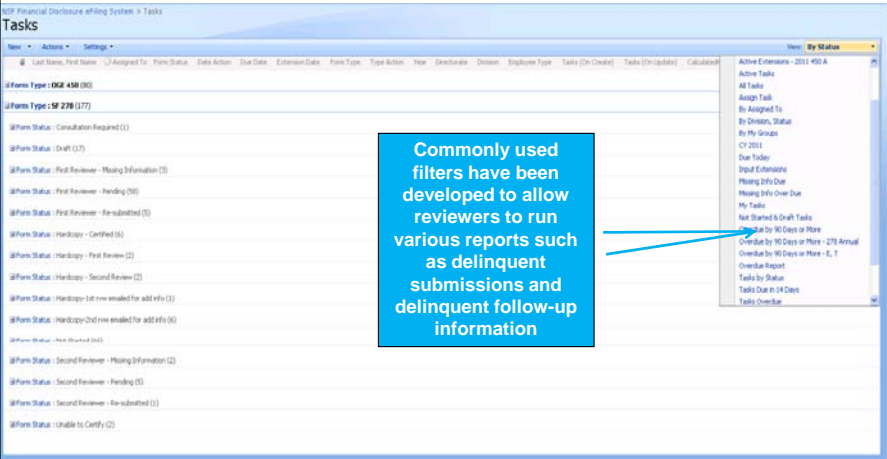


The status of each report is tracked in the "Task Library". When a task is created, the report's status defaults to "Not Started". If the report is started but not submitted, the status moves to "Draft". After a report is submitted, the task moves through the various review status' until the report is certified. Once the report is certified, the task is moved by the system to a "Certified Task" Library. The goal is to have zero tasks in the library at the end of the calendar year. The OGE annual report can easily be completed by using the data in this library and the Certified Tasks Library.






Task Library – Standardized Reports

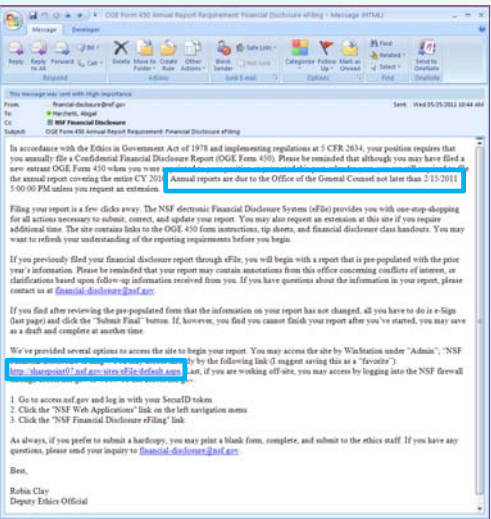


Commonly used filters have been developed to allow reviewers to run various reports such as delinquent submissions and delinquent follow-up information

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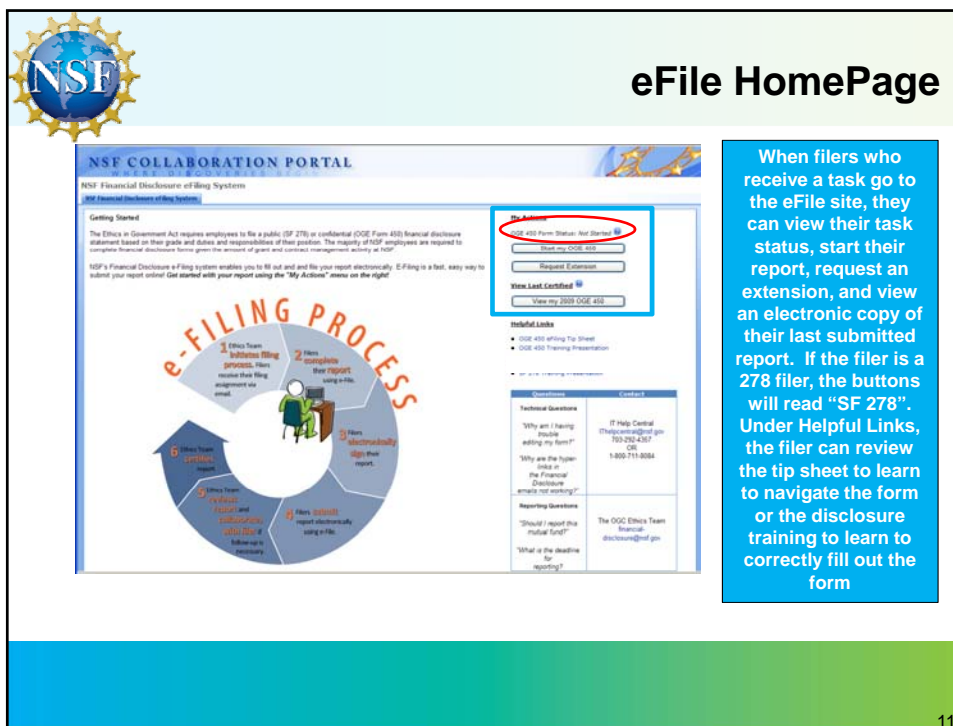


The Notification



After the task is input, the filer receives an email, which includes important information about the filing requirement, the filing Due Date and a link to the eFiling site.

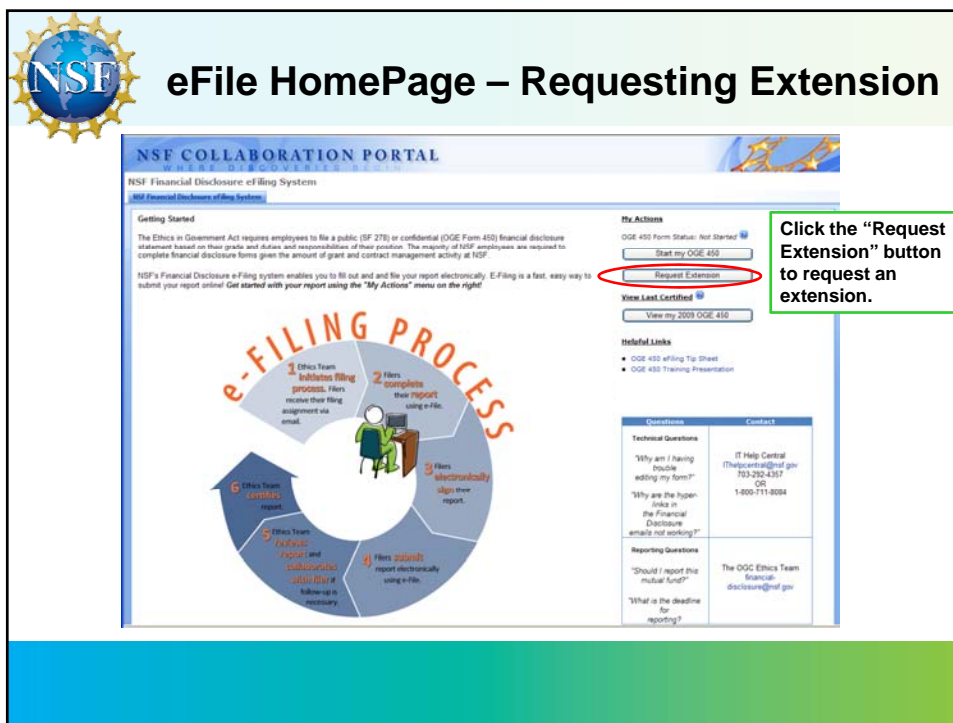
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NSF eFile Home Page

The screenshot shows the NSF Collaboration Portal for the eFiling System. On the right side, under the "My Actions" section, the "Request Extension" button is circled in red. Below this, there are buttons for "Start my OGE 450" and "View my 2009 OGE 450".


When filers who receive a task go to the eFile site, they can view their task status, start their report, request an extension, and view an electronic copy of their last submitted report. If the filer is a 278 filer, the buttons will read "SF 278". Under Helpful Links, the filer can review the tip sheet to learn to navigate the form or the disclosure training to learn to correctly fill out the form



NSF eFile Home Page – Requesting Extension

This screenshot is similar to the first one but highlights the "Request Extension" button in the "My Actions" section with a red circle. A green callout box points to this button with the text: "Click the 'Request Extension' button to request an extension."

Click the "Request Extension" button to request an extension.



Extension Request

NSF Financial Disclosure eFiling System

Extension Requests

1. Complete the following information. Please make sure you select the correct form type for the report you are submitting (DDK 452 or SF 276) and provide a reason for requesting an extension.
 2. Click "OK" to submit your request.

Attach File | Opening...

Last Name, First Name * Clay, Robin
 (e.g. Smith, John)

Form Type * DDK 452 SF

Extension * 30 Days SF

Reason *

Please select the number of days you would like to request

Year * 2011

Current Date 5/26/2011


Due Date

Extension Date

OK

The filer chooses the number of days to be requested and provides the reason for the request

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Ethics Office Notification of Extension Request

From: NSF Financial Disclosure
Sent: Thursday, January 30, 2011 9:24 AM
To: NSF Financial Disclosure
Subject: Extension Approval Request: Financial Disclosure eFiling
Importance: High

Dear Ethics Staff:

I've received an extension request from NSF\rclyay for 30 Days

My records indicate that the original due date is: 2/15/2011 5:00:00 PM
 The current extension date (if applicable) is: 2/15/2011 5:00:00 PM

The reason this employee requires additional time is :
 All of my financial records are in storage and I need to find the time to go through them and complete my report.

To approve this request [please Click Here](#)

Your friend,
 eFile

The note to the ethics staff from eFile provides the due date of the report and the current extension date so that it is easy to determine whether the due date may be extended further (i.e. not over 90 days)

Reviewer clicks on this link to approve or deny the extension

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Extension Approval Screen

Requests, approvals, and denials are filed in Extension Library.

The reviewer approves or denies the request and may add comments that appear in the automatic notification sent from eFile to the filer (generally used when extensions are denied). If the extension is approved, the filer's notification provides the new extended due date.

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Extension Library

The extension library tracks the status of each extension request and provides an accurate count of the number of extensions submitted, number approved, and number denied for the OGE annual report

Name	Action	Extension	Status	Request Extension (Days)	Created By	Modified By	Date
Allen, Sue		90 Days	Pending		NSF/juallen	Allen, Sue	5/23/2011 10:13 AM
Allen, Sue		90 Days	Pending		NSF/juallen	Allen, Sue	5/18/2011 3:07 PM
Hernon, George		45 Days	Pending		NSF/jphson	Huson, Faith E.	5/18/2011 10:32 AM
Seaton, Suzanne		30 Days	Approved	Completed	NSF/jacomo	Huson, Faith E.	5/18/2011 10:28 AM
Cramer, Rachel		90 Days	Approved	Completed	NSF/jphson	Huson, Faith E.	5/18/2011 10:30 AM
Waldorf, Service		30 Days	Approved	Completed	NSF/jandino	Huson, Faith E.	5/18/2011 10:51 AM
Wardlaw, Frederic		30 Days	Approved	Completed	NSF/jhwend	Huson, Faith E.	5/18/2011 10:15 AM

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eFile HomePage – Starting Report

Click the "Start my OGE 450" button to get started.

Drafting Report

The eFile System automatically populates the form with the date the filer submits the report in the space provided.

Basic information including Name, E-mail Address, Title, Agency, Address, and Phone Number is pre-populated from the filer's corporate profile.

Drafting Report

Hyperlinks to each Part so a filer can review the part or input information as they answer questions.

Filers answer a series of Yes/No questions and use the links to navigate through the report. Buttons allow filers to add attachments, view a printable version, save their report, save and close their report, and submit their report to the Ethics Team for review. If the filer answers "No" to a question, that schedule becomes "read only".

Filers may attach year-end statements, supervisory permission to participate in outside activities, etc. Reviewers may also attach documents.

Click "Next" to go to the next page of the report. Use of navigation link saves current progress of report.


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Drafting Report

Links to specific examples and instructions are available from each section of the report

Navigation links and buttons are available on the bottom of all pages. The filer has the option of saving the report prior to completion and returning at a later time.

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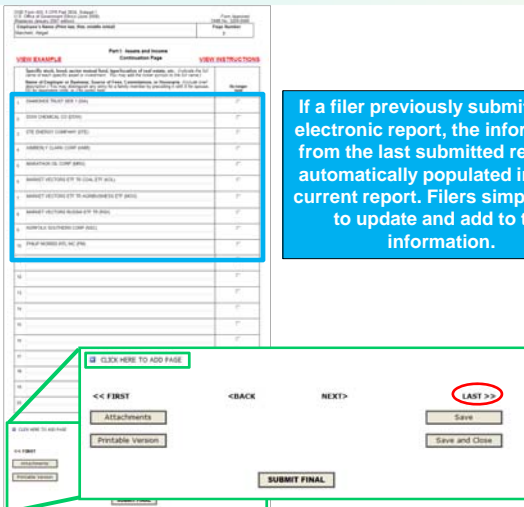


Drafting Report


Filers can use the "Click Here to Add Page Link" to insert more pages with additional lines to report their holdings, if necessary.

If a filer previously submitted an electronic report, the information from the last submitted report is automatically populated into the current report. Filers simply need to update and add to the information.

Click "Last" to jump to the signature page of the report.



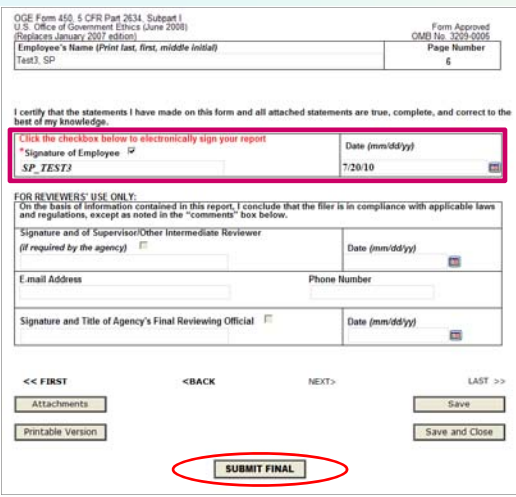
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Signing and Submitting Report

Clicking the signature checkbox adds the filer's e-signature and date to the report

The filer clicks the "Submit Final" button to submit the report to the Ethics Team.





eFile Homepage – After Submission


NSF COLLABORATION PORTAL
WHERE DISCOVERY MEETS

NSF Financial Disclosure eFiling System

Getting Started

The Ethics in Government Act requires employees to file a public (SF 278) or confidential (OGE Form 450) financial disclosure statement based on their grade and duties and responsibilities of their position. The majority of NSF employees are required to complete financial disclosure forms upon the amount of grant and contract management activity at NSF.

NSF's Financial Disclosure eFiling system enables you to fill out and file your report electronically. E-Filing is a fast, easy way to submit your report online! Get started with your report using the "My Actions" menu on the right.



My Actions

OGE 450 Form Status: Submitted **W**

View my Submitted OGE 450

View Last Certified

View my 2009 OGE 450


Useful Links

- OGE 450 eFiling Tip Sheet
- OGE 450 Training Presentation

Questions	Contact
Technical Questions	IT Help Central (mailto:itcentral@nsf.gov)
"Why am I having trouble adding my form?"	703-292-4367 OGE 1-800-711-8854
"Why are the hyperlinks in the Financial Disclosure emails not working?"	
Reporting Questions	The OGC Ethics Team Ethical-disclosure@nsf.gov
"Should I report the mutual fund?"	
"What is the deadline for reporting?"	

After submitting:

- Filer receives a confirmation email
- Task status is updated
- Report is available in read-only mode
- Option to request an extension is removed



Reminders and Delinquency Notices

From: ethsq@nsf.gov
To: CDR, John
Subject: **Delinquent Financial Disclosure Report: Financial Disclosure eFiling**

According to my records, your financial disclosure report is overdue. To request an extension (if applicable) or begin finish your report, please [click here](#). The site may also be accessed via the WinStation under "Admin".

Please remember, when working remotely you must first log into the NSF firewall through accessworkspace.nsf.gov, access.nsf.gov or VPN in order to access the site. To use accessworkspace.nsf.gov:


1. Go to accessworkspace.nsf.gov and log in with your security system.
2. Select "Admin" from the "NSF WinStation Online" on the InsideNSF site (InsideNSF will launch within a web browser after you log in).
3. Click the "NSF Financial Disclosure eFiling" link (last link under "Admin").

Please be reminded that 278 filers (SES or equivalents and above) are subject to a \$200 late filing fee when their reports are filed more than 30 days late. Form instructions as well as instructions on using the eFile system may be accessed at the above link.

If you have any questions, please contact us at financial_disclosure@nsf.gov.

Thanks,
eFile

Filers receive automatic reminders from eFile to submit their financial disclosure reports two weeks prior to their due date and again on the day it is due. Once the report is overdue, the system sends a delinquency notice to the filer every other day until the report is filed.




Reviewing Reports

The Forms Tracking Library is only accessible by the Ethics Team and holds all submitted reports. Reports are organized by Form Type (OGE 450 or SF 278) and status.

Type	Last Name, First Name	Signature Date	SF 278 Signature Date
Form Status: OGE 450 (76)			
Form Status: Consultation Required (16)			
Form Status: First Reviewer - Hearing Information (2)			
Form Status: First Reviewer - Pending (2)	Abraham, Thomas	2011-09-20	2011-09-20
Form Status: First Reviewer - Re-submitted (2)			
Form Status: Handicaps - Certified (2)			
Form Status: Second Reviewer - Hearing Information (2)			
Form Status: Second Reviewer - Pending (2)			
Form Status: Second Reviewer - Re-submitted (2)			
Form Status: Unable to Certify (2)			
Form Type: SF 278 (22)			
Form Status: Certified (2)			
Form Status: Consultation Required (2)			
Form Status: First Reviewer - Hearing Information (2)			
Form Status: First Reviewer - Pending (2)			
Form Status: First Reviewer - Re-submitted (2)			
Form Status: Handicaps - Certified (2)			
Form Status: Second Reviewer - Hearing Information (2)			
Form Status: Second Reviewer - Pending (2)			

Form status' change as the report makes its way through the review process to mirror the task in the Task Library. For example, if the first reviewer requests follow-up information, the report moves to the "Missing Information" status. When the report is corrected and electronically returned by the filer, the report status becomes "Re-submitted". Reviewers also have the option of forwarding reports to each other by changing the status of the report to a new reviewer's "Pending" status, "Consultation Required", etc.

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Reviewing Reports

NSF Personal Disclosure of Any Systems

Forms Tracking


View: All SF 278 Centers

- Documents
- Forms Tracking
- Temp PDF
- Tasks
- Extension Requests
- Adviser List
- Users List
- Job meeting
- COI Notes List
- Subject Adviser List
- ConfBoard
- Extension Dashboard
- Adviser Committee
- Users
- People and Groups
- Recycle Bin

Type	Last Name, First Name	Signature Date	SF 278 Signature Date	Signature Type	Checkcode	Session	Type Action	Certified Date	SF 278 Certification Date	Hearing Information Due Date
Form Type: OGE 450 (76)										
Form Status: Certified (742)										
Form Status: Consultation Required (16)										
Form Status: First Reviewer - Hearing Information (2)										
Form Status: First Reviewer - Pending (2)	Abraham, Thomas	2011-09-20	2011-09-20							
Form Status: First Reviewer - Re-submitted (2)										
Form Status: Handicaps - Certified (2)										
Form Status: Second Reviewer - Hearing Information (2)										
Form Status: Second Reviewer - Pending (2)										
Form Status: Second Reviewer - Re-submitted (2)										
Form Status: Unable to Certify (2)										
Form Type: SF 278 (22)										
Form Status: Certified (2)										
Form Status: Consultation Required (2)										
Form Status: First Reviewer - Hearing Information (2)										
Form Status: First Reviewer - Pending (2)										
Form Status: First Reviewer - Re-submitted (2)										
Form Status: Handicaps - Certified (2)										
Form Status: Second Reviewer - Hearing Information (2)										
Form Status: Second Reviewer - Pending (2)										

To begin reviewing, click the name of a report to open.

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Reviewing Reports – Accessing Prior Report

Home | Part I | Part II-III | Part IV-V | Signature | [Current Filers' Previous Comments](#)

OGE Form 456-5 CFR Part 2634, Subpart I
U.S. Office of Government Ethics (June 2008)
Replaces January 2007 edition


Form Approved
OMB No. 3206-5006

AGENCY USE ONLY:

Date Received by Agency	Date of First Review	Date of Second Review	Page Number
05/20/11			1

The Ethics Team's view of the report contains additional features which are not available to filers. These include shortcuts to each section and a link to open the filer's previous report in a new window to allow a side-by-side comparison. Additionally, reviewers record their review date in the space provided.

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Reviewing Reports

Home | Part I | Part II-III | Part IV-V | Signature | [Current Filers' Previous Comments](#)

OGE Form 456-5 CFR Part 2634, Subpart I
U.S. Office of Government Ethics (June 2008)
Replaces January 2007 edition

Form Approved
OMB No. 3206-5006

CONFIDENTIAL FINANCIAL DISCLOSURE REPORT

Employee's Name (Print Last, First, Middle Initial) | E-mail Address (Lastname@agency.gov)

Agency | Reporting Status | Reporting Period

Agency Use Only: Date Received by Agency, Date of First Review, Date of Second Review, Page Number


Reviewers also have different buttons available at the bottom of the report, including "Reviewer Comments" and "Follow Up Questions". These buttons are highlighted in red when comments or questions are present.

Click the "Reviewer Comments" button to read any previous comments or to add new comments.

Attachments | Printable Version | **Reviewer Comments** | Follow Up Questions

Save and Exit | Save Changes | Cancel

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Reviewing Reports – Reviewer Comments

OGE Form 450, 5 CFR Part 2634, Subpart I
U.S. Office of Government Ethics (June 2008)
(Replaces January 2007 edition)

Form Approved
OMB No. 3209-0006


Employee's Name (Print last, first, middle initial)
Abraham, Thomas

Comments of Reviewing Official
Supervisory permission granted for independent research activities listed.

Add More Reviewer Comments

Reviewer comments are copied over from the filer's previous report and additional comments can be added. These comments are printed with the report.

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Reviewing Reports – Requesting Corrections

OGE Form 450, 5 CFR Part 2634, Subpart I
U.S. Office of Government Ethics (June 2008)
(Replaces January 2007 edition)

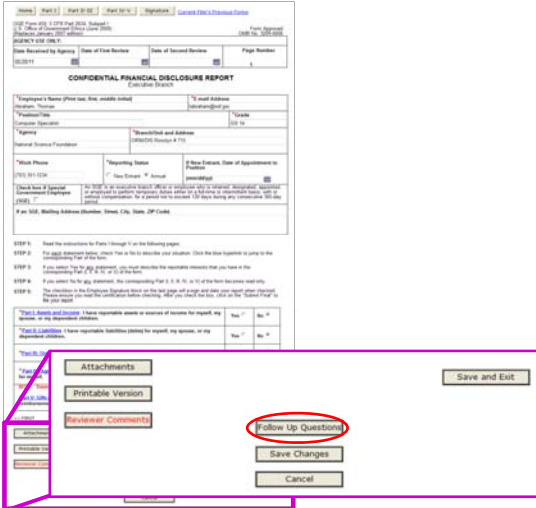
Form Approved
OMB No. 3209-0006

Employee's Name (Print last, first, middle initial)
Abraham, Thomas

Comments of Reviewing Official
Supervisory permission granted for independent research activities listed.


Add More Reviewer Comments

Reviewer comments are copied over from the filer's previous report and additional comments can be added. These comments are printed with the report.



Click the "Follow Up Questions" button to add questions for the filer to answer.

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Reviewing Reports – Requesting Corrections

Reviewers choose their name and the date of their comments and enter questions for the filer within the "Follow Up Questions" area.

* [Part IV: Agreements or Arrangements](#) - I have reportable agreements or arrangements for myself. Yes No

NOTE: [Statement V is for annual filers only. It does not apply to new entrants and SGEs.](#)

[Part V: Gifts and Travel Reimbursements](#) - I have reportable gifts or travel reimbursements for myself, my spouse, or my dependent children. Yes No

Yes <input type="checkbox"/>	No <input type="checkbox"/>
Yes <input type="checkbox"/>	No <input type="checkbox"/>

Follow up Questions for Filer

Reviewing Officials: Clay, Robin Date of Comments: 05/24/11

What are the underlying holdings of your Fidelity account? Please list

Filer Response (Optional)

Reply Date:

[CLICK HERE TO ADD ANOTHER COMMENT](#)

<< FIRST
< BACK
NEXT >
LAST >>

Attachments
Save and Exit


Printable Version
Follow Up Questions

Reviewer Comments
Save Changes

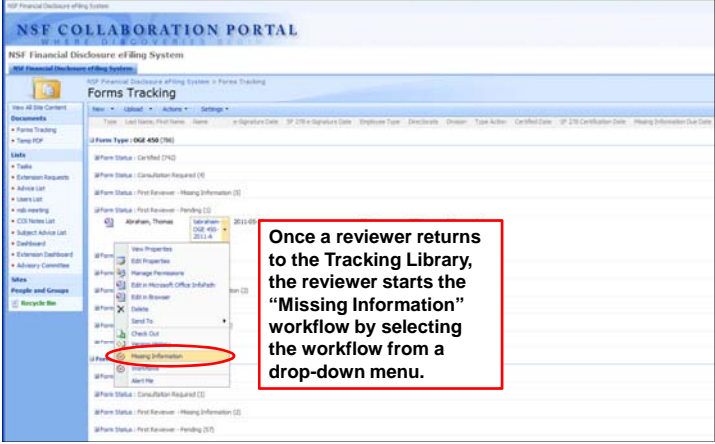
Cancel

The follow-up screen stays open while reviewing each schedule so that the reviewer can move back and forth – adding additional questions with ease. After the review is complete, click the "Save and Exit" button to save the questions and return to the Forms Tracking Library.

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Missing Information Workflow




Once a reviewer returns to the Tracking Library, the reviewer starts the "Missing Information" workflow by selecting the workflow from a drop-down menu.

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Missing Information Workflow

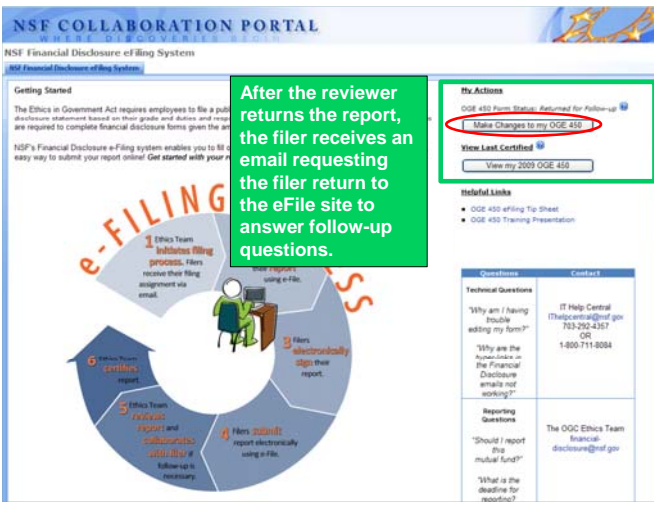


Reviewers can choose to email the filer, set a due date for the filer's response, and then click the "Start" button. If the filer does not re-submit the report with corrections by the due date, the system sends an overdue notice.


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Getting Started



Click the "Make Changes to my OGE 450" button to open the returned report.



Correcting Report

Since the report was returned with questions, the "Follow Up Questions" button is now visible to the filer.

*Part I: Assets and Income: I have reportable assets or sources of income for myself, my spouse, or my dependent children.	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
*Part II: Liabilities: I have reportable liabilities (debts) for myself, my spouse, or my dependent children.	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
*Part III: Outside Positions: I have reportable outside positions for myself.	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
*Part IV: Agreements or Arrangements: I have reportable agreements or arrangements for myself.	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
NOTE: Statement V is for annual filers only. It does not apply to new entrants and SGEs.		
Part V: Gifts and Travel Reimbursements: I have reportable gifts or travel reimbursements for myself, my spouse, or my dependent children.	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>


<< FIRST
< BACK
NEXT >
LAST >>

Attachments
Save

Printable Version
Save and Close

Follow Up Questions
SUBMIT FINAL

Click the "Follow Up Questions" button to see the reviewer's comments.



Correcting Report

Filers can either write a response in the Filer Response area or update the report as requested.

*Part IV: Agreements or Arrangements: I have reportable agreements or arrangements for myself.	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
NOTE: Statement V is for annual filers only. It does not apply to new entrants and SGEs.		
Part V: Gifts and Travel Reimbursements: I have reportable gifts or travel reimbursements for myself, my spouse, or my dependent children.	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>

Follow up Questions for Filer

Reviewing Officials: Clay Rubin Date of Comments: 08/24/11

What are the underlying holdings of your Fidelity account? Please list:

Filer Response (Optional)

Reply Date:

[CLICK HERE TO ADD ANOTHER COMMENT](#)

<< FIRST
< BACK
NEXT >
LAST >>


Attachments
Save

Printable Version
Save and Close

Follow Up Questions
SUBMIT FINAL

Click the "Submit Final" button to send the updated report back to the Ethics Team.

Certifying Report



Home | Part I | Part II-III | Part IV-V | Signature | Current Filer's Previous Forms

OGE Form 400 - 5 CFR Part 2634, Subpart 1
U.S. Office of Government Ethics (June 2008)
Effective January 2007 edition

Form Approved
OMB No. 3208-0008

Employee's Name (Print last, first, middle initial) _____ Page Number 6
Miller, Maureen B.

I certify that the statements I have made on this form and all attached statements are true, complete, and correct to the best of my knowledge.

Click the checkbox below to electronically sign your report

*Signature of Employee Date (mm/dd/yy)
Miller, Maureen B. 1/12/11

FOR REVIEWERS USE ONLY:
On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations, except as noted in the "comments" box below.

Signature and of Supervisor/Other Intermediate Reviewer (if required by the agency) _____ Date (mm/dd/yy) _____

E-mail Address _____ Phone Number _____

Signature and Title of Agency's Final Reviewing Official Date (mm/dd/yy)
Clay, Robin 01/23/11

<< FIRST < BACK NEXT > LAST >>

Attachments Save and Exit

Printable Version Follow Up Questions

Reviewer Comments Save Changes


Migrated Form Cancel

Clicking the signature checkbox adds the certifying official's e-signature and date to the report.

Click Save and Exit to return to Forms Tracking. The status of the report will automatically update to Certified.

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Additional 278 Review Features



Home | Schedule A | Schedule B | Schedule C | Schedule D | Signature | Current Filer's Previous Forms

Executive Branch Personnel PUBLIC FINANCIAL DISCLOSURE REPORT

FOR AGENCY USE ONLY

Date of First Review _____ Date of Second Review _____

Name of Appointment, Candidate, Election or Nomination (Month, Day)	Reporting Status	Reporting Period	Calendar Year Covered by Report	New Entries	Termination	Termination Date (if applicable)
_____	_____	_____	_____	_____	_____	_____

Reporting Individual's Name: Last Name _____ First Name and Middle Initial _____
 Title of Position _____ Department or Agency (if applicable)
 Directly Ethics Officer _____

Address (Number, Street, City, State, and ZIP Code) _____ Telephone No. (area area, number) _____

Home of Congressional Committee Considering Nomination: Do You Intend to Create a Qualified Disabled Trust? (if applicable) Yes No

Agency Use Only: _____

FOR THE FILER ONLY

How to Use This Form
Any individual who is required to file this report and does so more than 30 days after the date the report is required to be filed, or, if an extension is granted, more than 30 days after the last day of the filing extension period shall be subject to a \$200 fine.

Reporting Periods
Incumbents: The reporting period in the preceding calendar year except Part 4 of Schedule C and Part 1 of Schedule D where you must also include the filing year up to the date you file. Part 8 of Schedule D is not applicable.
Termination Filers: The reporting period begins at the end of the period covered by your previous filing and ends at the date of termination. Part 8 of Schedule D is not applicable.
New Entrants and Candidates for President and Vice President:
Schedule A: The reporting period for income (BLOCK-C) is the preceding calendar year and the current calendar year up to the date of filing. Value exists for all of any date you choose that is within 30 days of the date of filing.
Schedule B: Also applicable.
Schedule C, Part 4 (Candidates): The reporting period is the preceding calendar year and the current calendar year up to any date you choose that is within 30 days of the date of filing.
Schedule C, Part 8 (Agreements or Arrangements): Show any agreements or arrangements as of the date of filing.
Schedule D: The reporting period is the preceding two calendar years and the current calendar year up to the date of filing.

<< FIRST < BACK NEXT > LAST >>

Attachments Save and Exit

Printable Version Follow Up Questions


Reviewer Comments Save Changes

Migrated Form Cancel

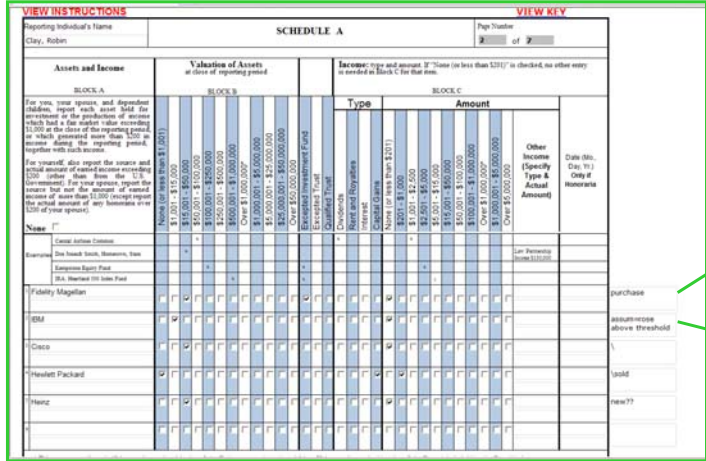
Basic information - Name, Title, Agency, Address, and Phone Number is pre-populated from the filer's corporate profile. The date submitted is populated by the system

Much of the same features found on the OGE 450 are also on the SF 278. Reviewers input their review dates, and the same navigation buttons and functions are available

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Additional 278 Review Features

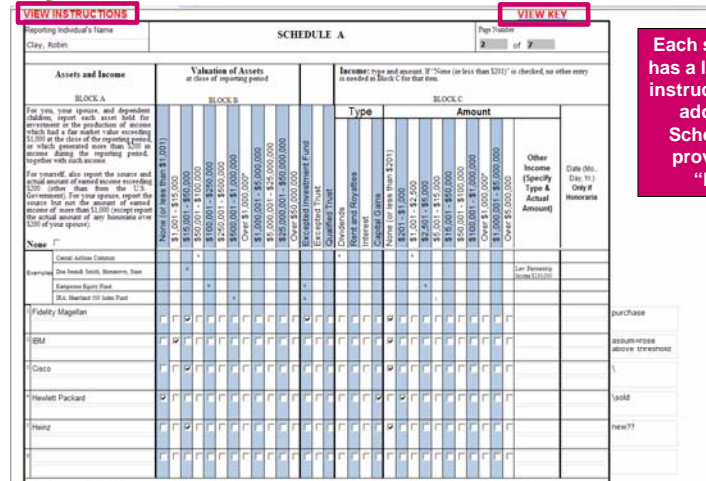


Schedule A has a space to the side of each line item to add review notes such as those used by the reviewer when comparing prior and current reports. These review notes are not printed.

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278 Additional Review Features



Each schedule has a link to the instructions. In addition, Schedule A provides a "key".

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Schedule A Key

Report asset or name of entity here

Provide valuation of assets as of end of report period here

Value of asset when completely sold AND asset produced more than \$201 income; otherwise, no longer reportable

plus equals not reportable

If asset meets criteria of EIF, ET, or OT - the specific types of income produced are not reportable - aggregate amount is reportable

If asset produced any of these types of income, must also be checked

If an asset produced no income, this box must be checked

If an asset does not qualify as or income cannot be categorized as the specific amount or income produced must be reported here


If you report honoraria in block you must report date of engagement in this block

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278 Additional Review Features

Schedule B also has a space to the side of the report for review notes. Again, these review notes are not printed.

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Advice List

Advice List

2008 Year/First Name	NSF Office User	Comments	User ID
2008 Year/First Name	NSF office user	Larson, Carolyn Fellner, Emily Nale, Barbara Norman, Sarah/Sheila	NSF@fife_com
2008 Year/First Name	NSF office user	Coulter, Steve - Consulting Advice (1/2009) Coulter, Steve - Consulting Advice (2/2009) Coulter, Steve - Consulting Advice (3/2009) Coulter, Steve - Consulting Advice (4/2009) Coulter, Steve - Consulting Advice (5/2009) Coulter, Steve - Consulting Advice (6/2009) Coulter, Steve - Consulting Advice (7/2009) Coulter, Steve - Consulting Advice (8/2009) Coulter, Steve - Consulting Advice (9/2009) Coulter, Steve - Consulting Advice (10/2009) Coulter, Steve - Consulting Advice (11/2009) Coulter, Steve - Consulting Advice (12/2009) Coulter, Steve - Consulting Advice (1/2010) Coulter, Steve - Consulting Advice (2/2010) Coulter, Steve - Consulting Advice (3/2010) Coulter, Steve - Consulting Advice (4/2010) Coulter, Steve - Consulting Advice (5/2010) Coulter, Steve - Consulting Advice (6/2010) Coulter, Steve - Consulting Advice (7/2010) Coulter, Steve - Consulting Advice (8/2010) Coulter, Steve - Consulting Advice (9/2010) Coulter, Steve - Consulting Advice (10/2010) Coulter, Steve - 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All filers have an electronic advice folder where day to day ethics advice, 208 and 502 determinations, outside activity supervisory permission, and many other documents are filed. When reviewing financial disclosure reports, reviewers check this folder for relevant documents. In addition, when providing advice to NSF employees, ethics staff check this folder to ensure advice provided is consistent with any prior advice provided by other ethics staff and/or consistent with prior information. By having the advice files in the same system as the electronic financial disclosure submission process, NSF has made electronic review of reports and providing ethics advice to employees more efficient, effective, and portable.

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Conflict of Interest Profile

Conflict of Interest Profile

Last Name, First Name: Important, Scientist

Type Appointment: AD-4 VISEE

Home Institution: Very Important University - As visiting scientist, will be on leave of absence.

Arrival Date: 8/15/2011

Awards from NSF: 022647, 073876 - spike of substitute PI requirement

Awards from Others: NSF, USDA - advised to contact

Other Affiliations/Positions: Board of Governors, Very Important Science Society Adjunct, Not an Important University

Waivers: Possible 208 for BOG, VISEE

The Ethics Team provides pre-employment interviews for certain positions and Directorates prior to an employment decision being made. This is a separate library in the system and can be used in conjunction with the advice file when providing advice to employees or when reviewing an employee's financial disclosure report.

Disqualifications: Home institution - adjunct position

Special Employer/Child enrolled: son enrolled - On The Medical School - disqualification spouse - Very Impgt University employee also.

Other issues: nothing back - discussed cannot write on official duty time Journal articles related to research - discussed disclaimer general commitments to speak about research - agreed to contact and so while at NSF.

Collab/co-author/co-editor/PI/HD: discussed four year collaborator disqual - seven individuals discussed five year co-editor disqual - none discussed lifetime PI/HD advisor/advisee disqual.

Co-editor within 24 months: above.

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