Commonwealth of Pennsylvania

Financial Disclosure

User Guide for HR Office Reviewers

[Submit a Financial Disclosure/Statement of Financial Interest for Public Employees or Public Officials | Commonwealth of Pennsylvania]

[PA Financial Disclosure Filing Website]

Updated January 2025

Table of Contents

This guide is intended to provide assistance to HR offices navigating through the financial disclosure filing website and review. Screenshots within this document may differ slightly from the website, as changes are constantly being made to improve functionality and ease of use.

Filing Requirements and Notifications

The Pennsylvania Public Official and Employee Ethics Act (Ethics Act) and the Governor's Code of Conduct each require certain Commonwealth employees to annually disclose personal financial information. Generally, employees required to file financial statements must complete both forms - Ethics Statement of Financial Interests (SFI) and Code of Conduct. Employees under the Governor's jurisdiction are required to file using the filing website, www.fd.state.pa.us, which generates the appropriate forms and automatically forwards them for review. Additionally, employees of the Pennsylvania Liquor Control Board will satisfy the financial disclosure requirements promulgated through the Pennsylvania Liquor Control Board Code of Conduct.

Filing Requirements

Employees are required to file financial statements based on the tasks and responsibilities of their job or position. When the requirement to file is on the job, all employees in that same job classification are required to file statements. When the indicator is on the position, only the employee in the designated position is required to file statements. The financial information to be disclosed is for the preceding calendar year. For more information about the tasks that identify an employee's requirement to file, please review OM Alert 2008-2.

Employees are required to submit statements of financial interest 1) each year if they currently hold a designated job or position or 2) if they held a designated job or position during the previous year. Additionally, employees who transfer from one position requiring financial disclosure to another position with financial disclosure requirements during the current filing year, will be placed back in a pending status. The employee will need to resubmit their form, updating it to include the most recent job information.

Employees identified as being required to file financial statements are added to the application in two ways.

- Mass load: Takes place at the beginning of the calendar year and encompasses all employees who held a job or position designated as required to file at the end of the preceding calendar year and those who separated from a job or position required to file during the preceding calendar year.
- Mid-year: Occurs throughout the year when employees become required to file.

Mass Load

Employees that are loaded to the application during the mass load are required to file their financial statements by **May 1** of the current year for the previous calendar year. Current employees will receive an email notifying them of their requirement to file and they will be asked to file by **March 31** for routing and review purposes.

Employees loaded to the application during the mass process could receive up to five notifications informing them of their requirement to file:

- **Yearly Email Notification - January**
  - Beginning mid-January, emails are sent in batches over a 1-week period to current employees.

- **Yearly Letter Notification – February**
  - The HR Service Center will mail letters to former employees and current employees without email, informing them of their requirement to file.
- **Reminder Email Notifications – March and April**
  - Reminder emails are sent March 14, March 28, and April 11 to employees in a pending or returned status.
- **Delinquent Email Notification – May**
  - Emails are sent the evening of May 10 to employees in a pending or returned status.
- **Non-Compliance Letter Notification – June**
  - Early June letters from the Deputy Secretary for Human Resource Management in the Office of Administration will be sent to all current and former non-compliant employees.

Mid-Year

Employees are added to the application and receive notification of their filing requirement throughout the year for the following reasons:

- Hired or transferred into a job or position that is required to file financial statements.
- The SAP indicator is added to an employee's job or position.

Employees that are loaded to the application throughout the year are required to file their financial statements <u>within 30 days of entering their job/position or having the indicator added to their job/position.</u> New employees are required to file statements for the previous year, **even if they were not employed by the Commonwealth during that year.**

Employees loaded to the filing website during the mid-year process could receive up to two email notices informing them of their requirement to file:

- **New Position Email:** Emails are sent to employees who have had a change in their job or position that now requires that they file financial statements.
- **30-Day Reminder, New Position Email:** Emails are sent after the 30-day deadline has passed to each employee who has not yet submitted their forms by the 30-day deadline. The extended deadline to file is within 10 days of the reminder email.

Additional Notes

- OA will remind agency coordinators in October to review positions prior to the mass load in January to ensure proper coding.
- Agencies must submit an E-PAR to the HR Service Center to have the filing requirement task added or removed from a <u>position</u>.
- The requirement to file on a <u>job</u> has been reviewed and determined by OA and it cannot be changed by the HR Service Center.
- Once employees are loaded into the FD application they cannot be removed.

Important: The appropriate forms are loaded to the application automatically for each employee. Employees do not have the ability to add or remove forms.

- ❖ Current employees who are in a job or position required to file financial statements at the end of the year will be mass loaded to the application in January and are generally required to file both forms.
- ❖ Employees who are newly hired or transfer into a position required to file financial statements after the mass load, but by <u>May 1</u> of each year, are generally required to file both forms.

- ❖ Employees who are newly hired or transfer into a position required to file financial statements AFTER May 1 of each year are generally required to file ONLY the Code of Conduct form.
- ❖ Former employees are generally only required to file the Ethics form the year after they separate.
- ❖ Employees of independent agencies are generally only required to file the Ethics form regardless of their date of hire/transfer.

Logging into the Filing Website

Current Employees

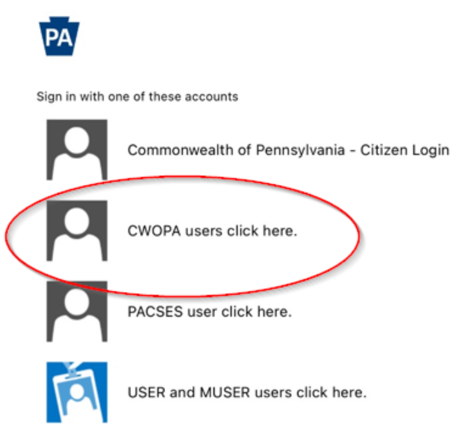
Current employees with CWOPA (Commonwealth of Pennsylvania) accounts and computer access are required to use the online filing website.

- Access the filing website by accessing Employee Self-Service (ESS) – https://www.myWorkplace.pa.gov
- Scroll down to the "Personal" section
- Select the "Financial Disclosure" tile

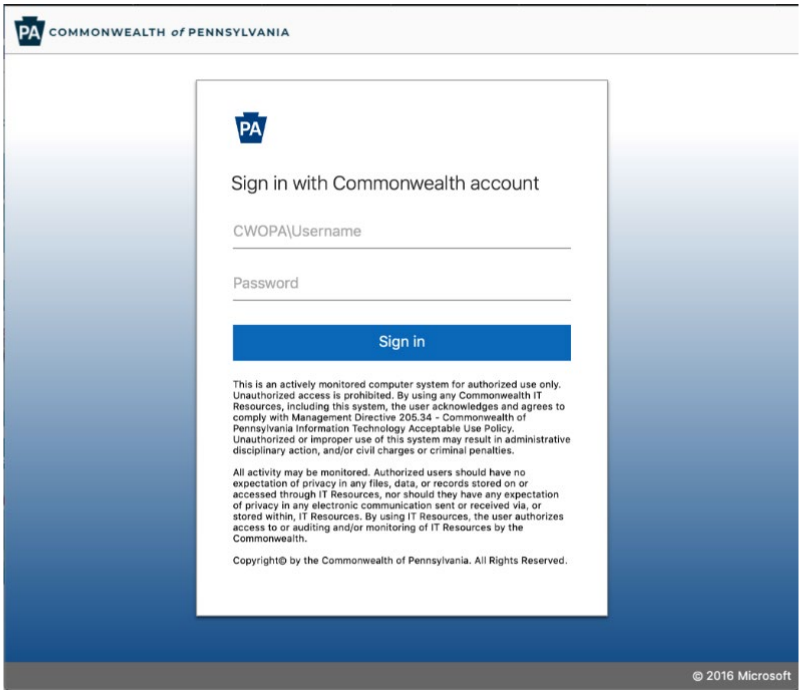
If they cannot access ESS, they may visit the filing website directly at https://www.fd.state.pa.us.

If using a computer connected to the Commonwealth network, they should be automatically logged in. Occasionally, if redirected to a login page, click "CWOPA users click here".

If employees are accessing ESS or the filing website on a computer that is not connected to the Commonwealth network, they will be redirected to a separate login page. On this page, click the "CWOPA users click here" link.

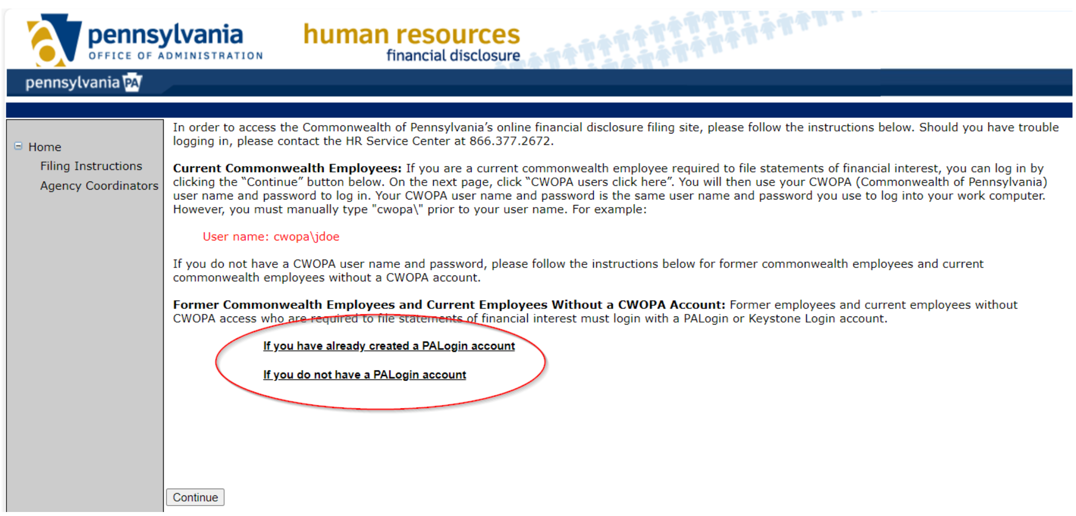


They will then login using their CWOPA username and password. This is the same username and password they use to log into their work computer. They must type "cwopa\" prior to their username, i.e. cwopa\jdoe.



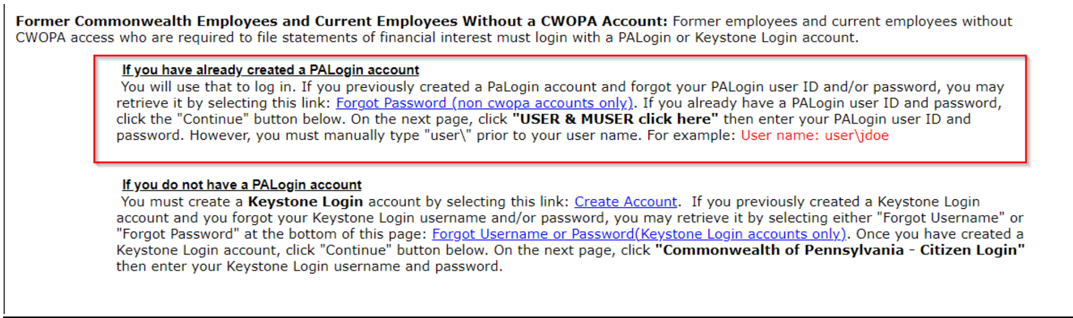
Former Employees or Current Employees without CWOPA Accounts

Former employees and current employees without a CWOPA account who are required to file statements need to use a PALogin account or Keystone Login account. They should access the filing website via https://www.fd.state.pa.us/FD/Instructions.aspx.



If they have an existing PALogin account:

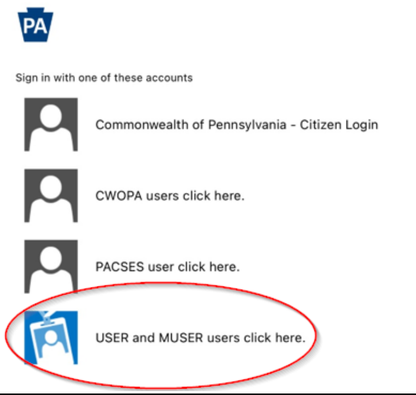
They will use that to log in. If they previously created a PALogin account and forgot their PALogin user ID and/or password, they may retrieve it by selecting the "Forgot Password (non cwopa accounts only)" link under "If you have already created a PALogin account" link. If they already have a PALogin user ID and password, go to https://www.fd.state.pa.us/FD/Instructions.aspx and click "Continue" at the bottom of the page. On the next page, click "**USER & MUSER click here**".



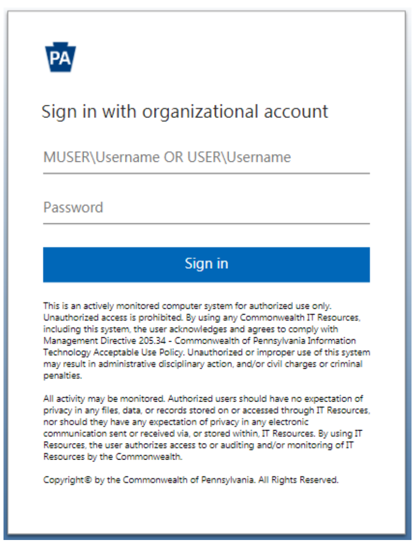
Former Commonwealth Employees and Current Employees Without a CWOPA Account: Former employees and current employees without CWOPA access who are required to file statements of financial interest must login with a PALogin or Keystone Login account.

If you have already created a PALogin account
You will use that to log in. If you previously created a PaLogin account and forgot your PALogin user ID and/or password, you may retrieve it by selecting this link: Forgot Password (non cwopa accounts only). If you already have a PALogin user ID and password, click the "Continue" button below. On the next page, click **"USER & MUSER click here"** then enter your PALogin user ID and password. However, you must manually type "user\" prior to your user name. For example: User name: user\jdoe

If you do not have a PALogin account
You must create a **Keystone Login** account by selecting this link: Create Account. If you previously created a Keystone Login account and you forgot your Keystone Login username and/or password, you may retrieve it by selecting either "Forgot Username" or "Forgot Password" at the bottom of this page: Forgot Username or Password(Keystone Login accounts only). Once you have created a Keystone Login account, click "Continue" button below. On the next page, click **"Commonwealth of Pennsylvania - Citizen Login"** then enter your Keystone Login username and password.



They will then enter their PALogin user ID and password. They must type "user\" prior to their PALogin user ID, i.e. user\jdoe.



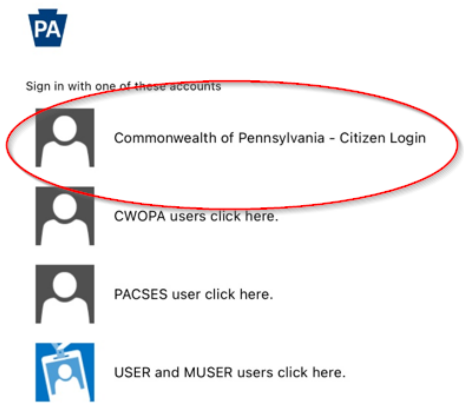
If they do not already have a PALogin account:

They must create a **Keystone Login** account by selecting the Create Account link under “If you do not have a PALogin account” link. If they previously created a Keystone Login account and they forgot their Keystone Login username and/or password, they may retrieve it by selecting "Forgot Username or Password (Keystone Login account only)", which will redirect them to the Keystone Login page, where they can either select “Forgot Username?” or “Forgot Password” at the bottom of the page. Once a Keystone Login account is created, go to https://www.fd.state.pa.us/FD/Instructions.aspx and click "Continue" at the bottom of the page. On the next page, click "**Commonwealth of Pennsylvania - Citizen Login**".

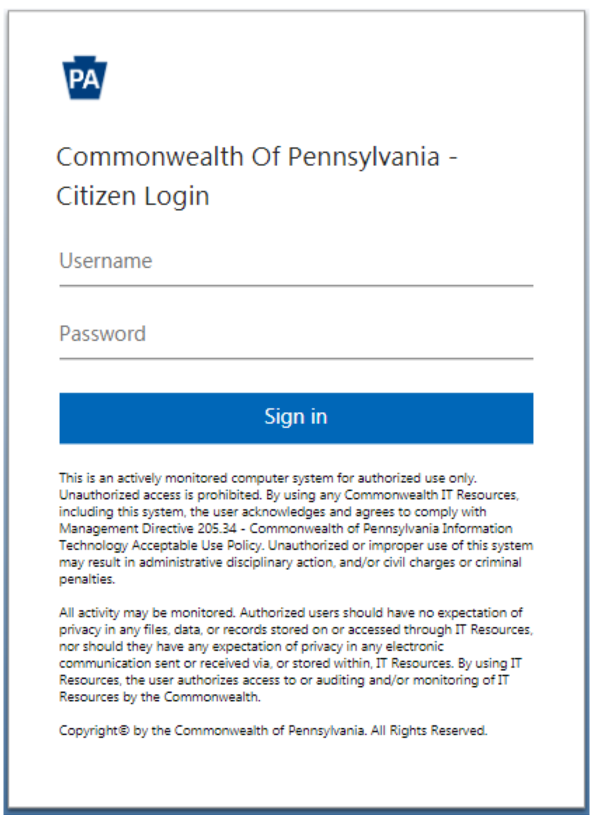
Former Commonwealth Employees and Current Employees Without a CWOPA Account: Former employees and current employees without CWOPA access who are required to file statements of financial interest must login with a PALogin or Keystone Login account.

If you have already created a PALogin account
You will use that to log in. If you previously created a PaLogin account and forgot your PALogin user ID and/or password, you may retrieve it by selecting this link: Forgot Password (non cwopa accounts only). If you already have a PALogin user ID and password, click the "Continue" button below. On the next page, click **"USER & MUSER click here"** then enter your PALogin user ID and password. However, you must manually type "user\" prior to your user name. For example: User name: user\jdoe

If you do not have a PALogin account
You must create a **Keystone Login** account by selecting this link: Create Account. If you previously created a Keystone Login account and you forgot your Keystone Login username and/or password, you may retrieve it by selecting either "Forgot Username" or "Forgot Password" at the bottom of this page: Forgot Username or Password(Keystone Login accounts only). Once you have created a Keystone Login account, click "Continue" button below. On the next page, click **"Commonwealth of Pennsylvania - Citizen Login"** then enter your Keystone Login username and password.



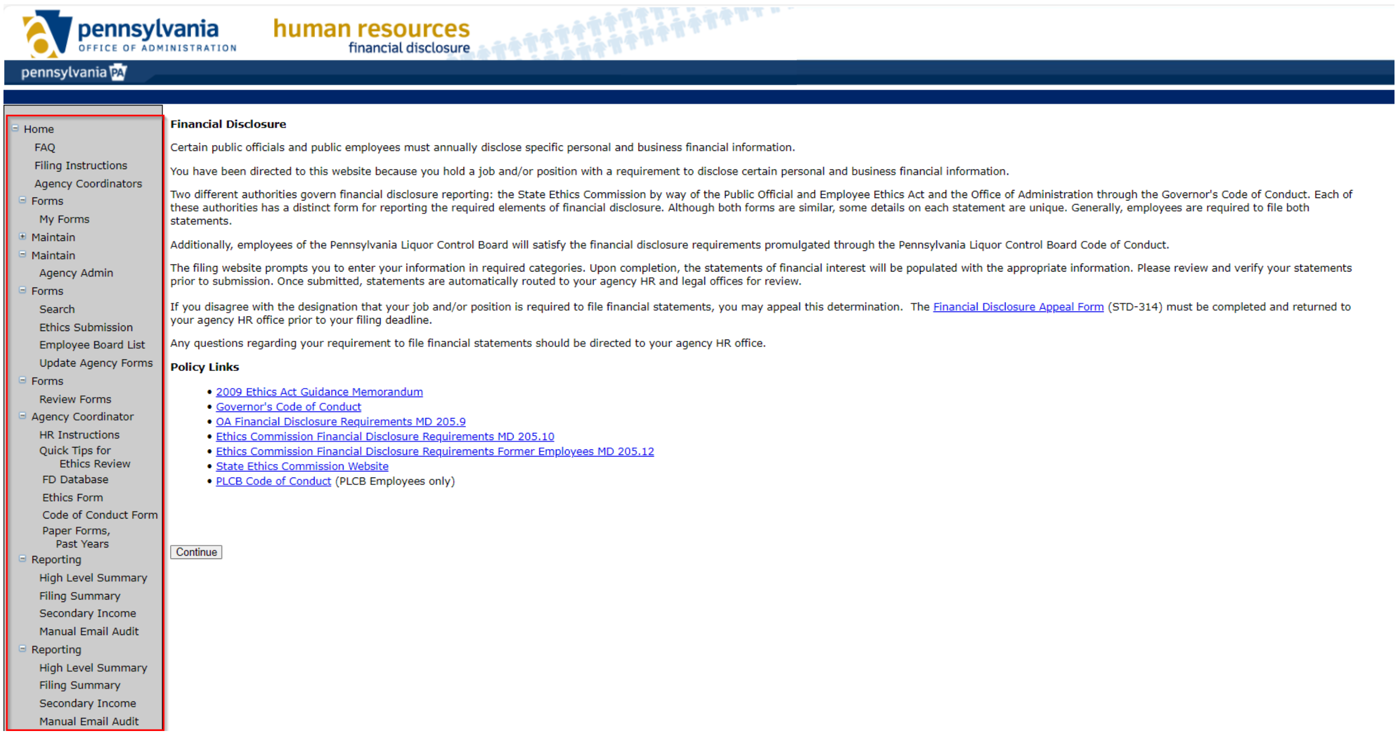
They will then enter their Keystone Login username and password.



Navigating the Filing Website

Home Page

Links to related Executive Orders and Management Directives are located on the home page. Menu items on the left are available based on your filing and/or administrator designation. Filers will have options like “Home” and “Forms” while administrators will have “Forms” and “Agency Coordinator” to maintain agency administration, review forms and reporting activities.

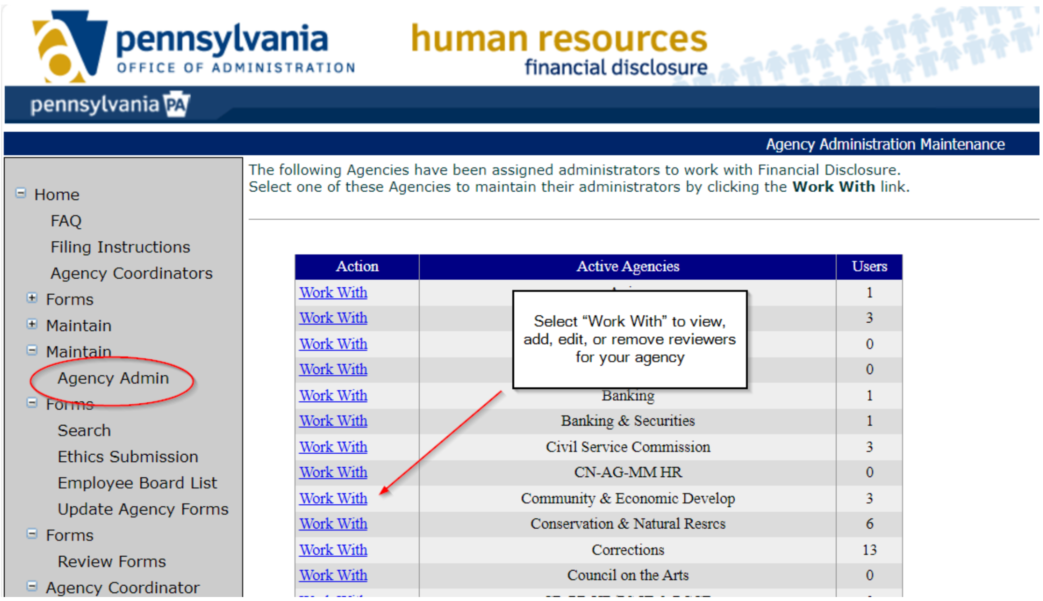


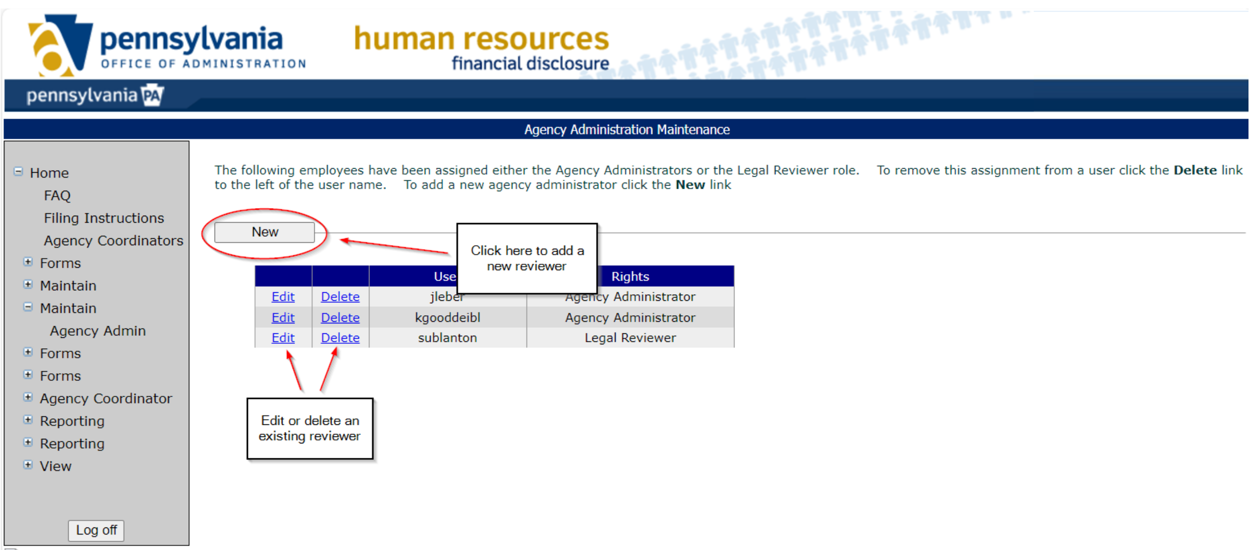
Menu options for Agency Administrators:

- **Home:** Links users to the Welcome page for links to Management Directives and Executive Orders.
- **FAQ:** Links users to the Frequently Asked Questions page.
- **Filing Instructions:** Links users to the online filing instructions for employees to complete and submit their SFI’s electronically.
- **Agency Coordinators:** Links users to the current FD coordinator listing for employees to locate their FD coordinator. Employees are instructed in the “Filing Instructions” to contact their coordinator with questions.
- **My Forms:** Links users to their online Financial Interest Statements where they can complete, correct, edit, submit and/or print their statements. <u>Users not required to file financial statements will not have the “My Forms” menu option available.</u>
- **Agency Admin:** Administrative function where agency administrators and legal reviewers may be viewed, edited, added, or removed.
- **Review Forms:** Allows authorized users to review, return, and process statements submitted by employees.
- **Agency Coordinator:** Various informational documents available to assist agency coordinators such as this User Guide, Quick Tips for Reviews, the FD Database, Ethics and Code Forms, and Paper Forms, Past Years.
- **Reporting:** Various reports available to assist agency coordinators with the filing process.

Maintain – Agency Admin

Within this section, a user has the option to edit, delete, or add authorized user's financial disclosure processing roles. Select the "Work With" link for the appropriate "Active Agencies" you are responsible for updating.





Edit or Delete Reviewers

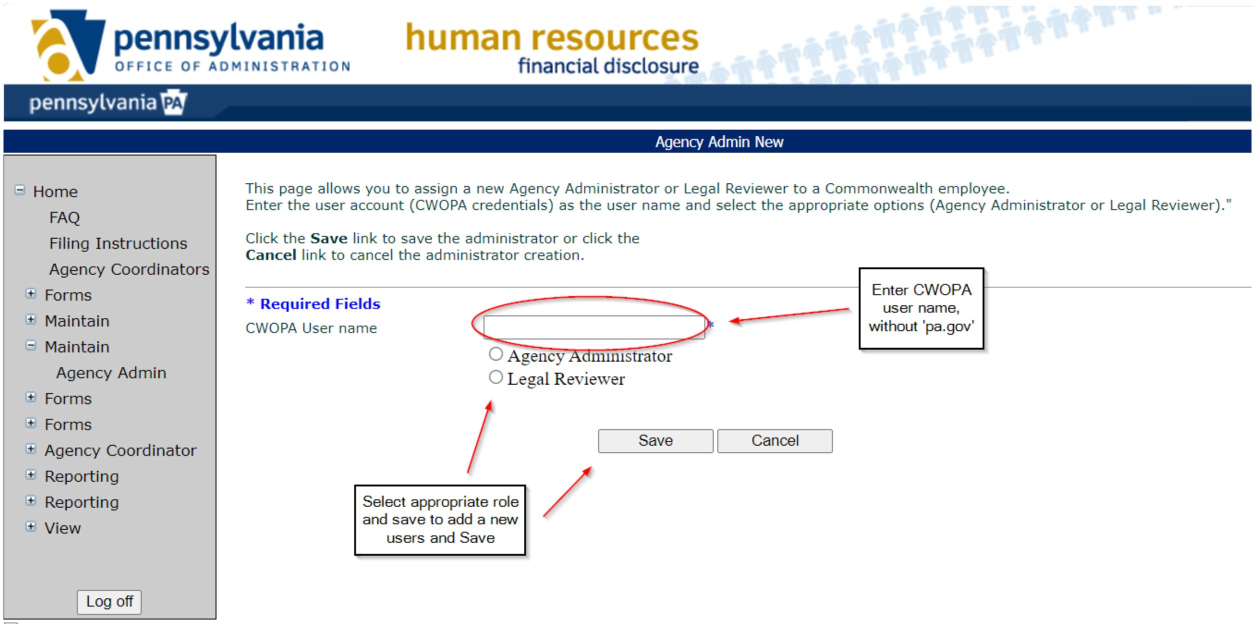
Deleting an existing user immediately removes rights in processing financial disclosure forms. To **delete** an existing user:

1) Select the Delete link next to the existing user you wish to remove
2) Confirm the delete action in the pop up box

Editing an existing user immediately changes rights in processing financial disclosure forms. The edit feature only allows the change of roles, not username. To **edit** an existing user:

1) Select the Edit link next to the existing user you wish to change
2) Select the appropriate role for the individual
3) Save

Add a New Reviewer



Agency Administrators: The Agency Administrator role grants an individual the authority to add, edit or delete any other Agency Administrator or Legal Reviewer. Additionally, they are the first group to review and process Ethics and Code of Conduct submissions.

Legal Reviewers: The Legal Reviewer Role grants access to review and process Ethics and Code of Conduct submissions already reviewed by the Agency Administrator.

Adding a new user immediately gives an individual Administrative or Reviewer rights in processing financial disclosure forms. To **add** a new user:

1) In the CWOPA User name field, enter the individual's CWOPA username
2) Select the appropriate role for the individual
3) Save

Important: Users are identified by their CWOPA username, **not** including 'pa.gov'. Also, multiple reviewers will receive the same forms simultaneously in their queue. Once the form is processed by one reviewer, it will no longer be in the queue for the remaining reviewers.

Forms – Review Forms

Review Forms Awaiting Action

Selecting the Review Forms link allows a reviewer to view submitted forms awaiting action or to search for specific individual employees who are required to file statements.

<u>Filing Period</u> defaults to current filing year. Previous years can be selected from the drop down box.

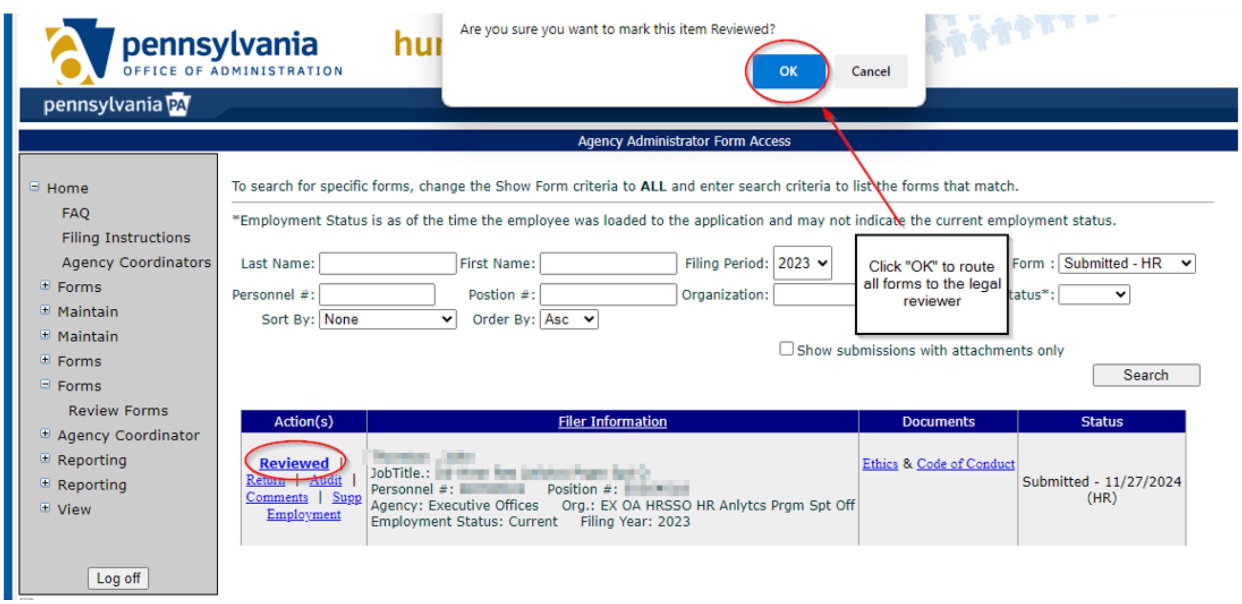
<u>Show Form</u> defaults to **Submitted – HR**. Shows forms that are awaiting review. Other categories of forms can be viewed by selecting from the drop down box.

Reviewers can review Ethics and Code of Conduct submissions by clicking on appropriate links in the Documents column.

After reviewing each document, the Agency Administrator or Reviewer can route forms by selecting the **Reviewed** or **Return** links. A **Comments** link is available for reviewer's comments that will remain with the forms for other reviewers to see but are not visible to the employee. Select the **Audit** link to view actions previously taken on the statements, including when email messages were sent to the employee.

Reviewed: After reviewing submitted forms, if deemed acceptable, select the "**Reviewed**" link. If two forms are submitted, both must be reviewed for accuracy as the reviewed feature does not allow acceptance of one form without acceptance of the other.

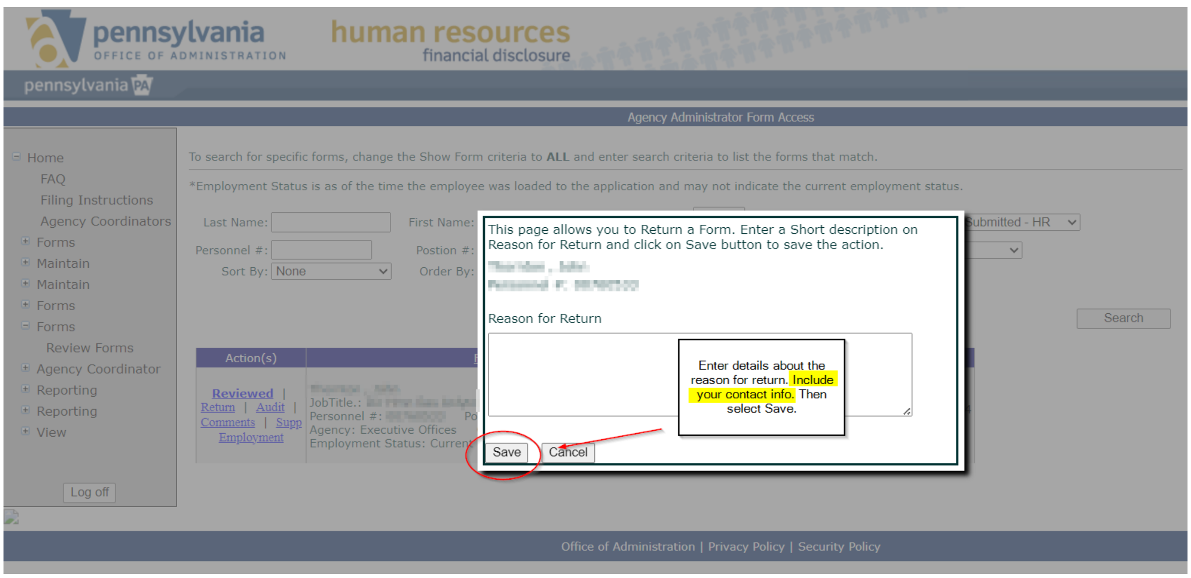
Once marked reviewed, the forms are routed automatically to the legal reviewer box for the agency.



Return: After reviewing submitted forms, if deemed incorrect, insufficient or additional information is needed, select the "**Return**" link. If two forms are submitted, they should both be reviewed in their entirety and be returned only once for all items in question.

If one or both submitted forms are not acceptable, the user must select the return option and return the forms to the employee for correction or proper completion.

Once the Return option is selected, the reviewer should enter a detailed description explaining the reason for return. Returned forms are sent to employees via OA, Financial Disclosure. **It is important to include your contact name and email/phone number so filers can follow-up with questions or request clarification on correcting their forms.** The comments will be retained within the Audit for information and documentation purposes.

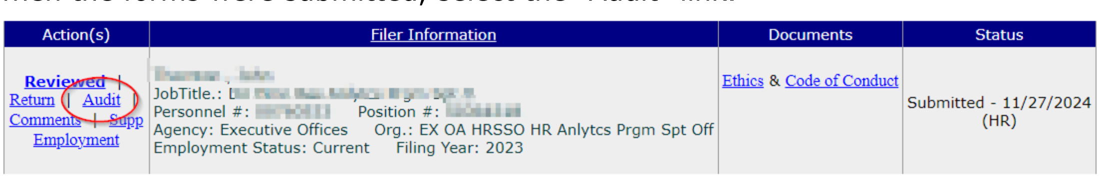


The information entered here is routed back to the employee by way of an email message alerting them that their forms have been returned and instructing them to log back into the application and make the necessary changes or corrections to their forms. The return information is also viewable when the employee accesses "My Forms" within the application. **Returned uploaded forms DO NOT automatically send an email notification to the employee.**

You should periodically review your agency's returned forms and continue to encourage employees to correct and resubmit them.

Audit and Audit Types

Audit: To view previous actions taken, including when emails were sent to an employee and when the forms were submitted, select the "Audit" link.



The Audit shows the action taken (audit type), date and time and the user who initiated the action.

Audit Type	Date	User
Form(s) Initiated - Mid Year	2/7/2011 9:30:03 PM	System
Email Mid-Year Notification Sent	2/7/2011 9:33:00 PM	System
Email 30-Day Reminder Sent	3/8/2011 9:30:00 PM	System
Form(s) Submitted	3/13/2011 5:02:00 PM	breyes
HR Rejection - Please list the address for Executive Offices in the direct or indirect sources of income section and removeyour commonwealth employment from the Office, Directorship or Employment in any Business section and resubmit your forms. If you have any questions call me at 783-5446. Paula Halbritter	5/2/2011 2:52:49 AM	phalbritte
Rejection - Email Notification Sent	5/2/2011 2:52:49 AM	phalbritte
Form(s) Submitted	5/4/2011 12:48:00 PM	breyes
HR Approval	5/4/2011 1:32:47 PM	phalbritte
Legal Approval	5/4/2011 4:30:15 PM	kherbster

Audit Types:

Form(s) Initiated: The forms were loaded to the application. This can either be the mass load at the beginning of the year, or mid-year for new hires/transfers into a job or position required to file statements.

Email Notification Sent: The first email notice sent to the employee.

Email 5-Day Reminder Sent: Reminder sent 5 days prior to the May 1 deadline. Generated for employees loaded with the mass load at the beginning of the year only.

Email 10-Day Reminder Sent: Reminder sent 10 days after the May 1 deadline. Generated for employees loaded with the mass load at the beginning of the year only.

Email 30-Day Reminder Sent: Employees who are hired or transfer into a job or position required to file mid-year are given 30 days to submit their statements, regardless of the May 1 filing deadline.

Forms Submitted: When the forms were submitted and the UserID of the person who submitted the forms.

HR or Legal Return: Brief reason for the return of forms to the employee.

Return - Email Notification Sent: The email notifying the employee that their forms were returned.

HR Approval: The HR reviewer approved the forms.

Legal Approval: The Legal reviewer approved the forms.

Comments

Use the comments link to enter comments that pertain to the review of the forms. These comments remain with the forms and can be seen by other reviewers but are not visible to the employee.

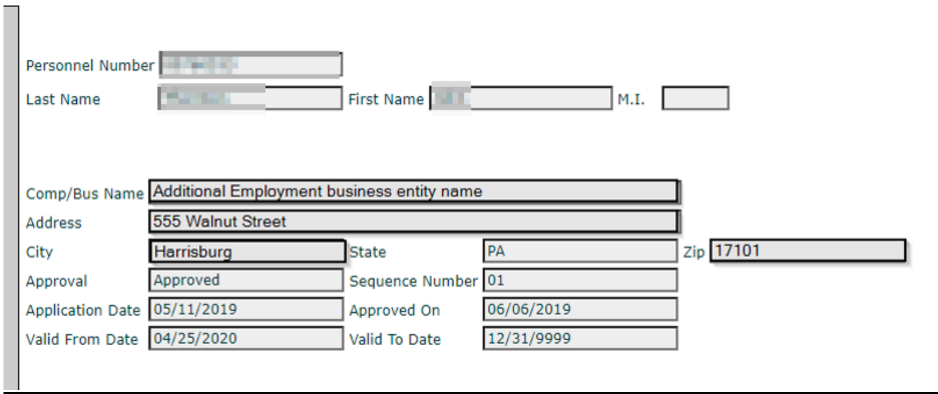
Action(s)	Filer Information	Documents	Status
Reviewed | Return | Audit | Comments | Supp Employment	[illegible] JobTitle.: [illegible] Personnel #: [illegible] Position #: [illegible] Agency: Executive Offices Org.: EX OA HRSSO HR Anlytcs Prgm Spt Off Employment Status: Current Filing Year: 2023	Ethics & Code of Conduct	Submitted - 11/27/2024 (HR)

Supplementary Employment

If the “Supp Employment” link is active for a filer, click on the link to view the employee’s supplementary employment information.

Action(s)	Filer Information	Documents	Status
Reviewed | Return | Audit | Comments | Supp Employment	[redacted] JobTitle.: [redacted] Personnel #: [redacted] Position #: [redacted] Agency: Executive Offices Org.: EX OA HRSSO HR Anlytcs Prgm Spt Off Employment Status: Current Filing Year: 2023	Ethics & Code of Conduct	Submitted - 11/27/2024 (HR)

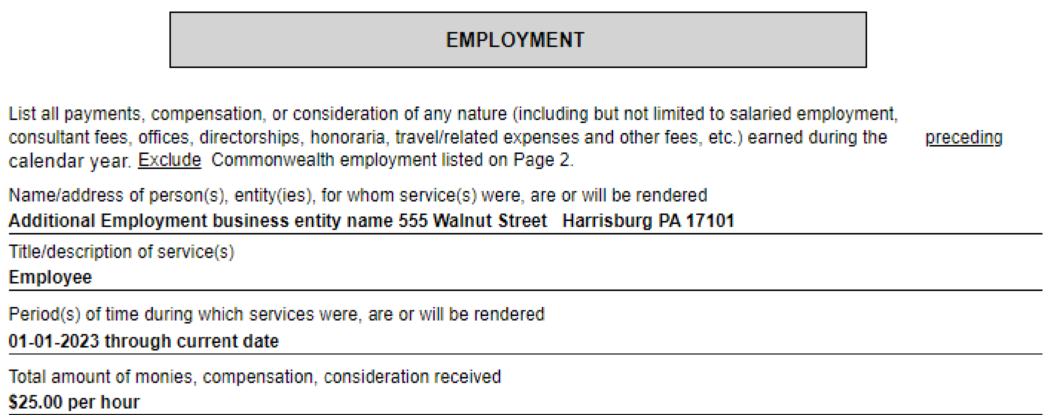
A new window will open with the employee’s supplementary employment as it appears in SAP. Verify the information was completed in the “Employment” section of the Code of Conduct and Block 13 of the Ethics SFI forms.



Personnel Number [redacted]
Last Name [redacted] First Name [redacted] M.I.

Comp/Bus Name Additional Employment business entity name
Address 555 Walnut Street
City Harrisburg State PA Zip 17101
Approval Approved Sequence Number 01
Application Date 05/11/2019 Approved On 06/06/2019
Valid From Date 04/25/2020 Valid To Date 12/31/9999

Code of Conduct form: Employment section:



EMPLOYMENT

List all payments, compensation, or consideration of any nature (including but not limited to salaried employment, consultant fees, offices, directorships, honoraria, travel/related expenses and other fees, etc.) earned during the preceding calendar year. Exclude Commonwealth employment listed on Page 2.

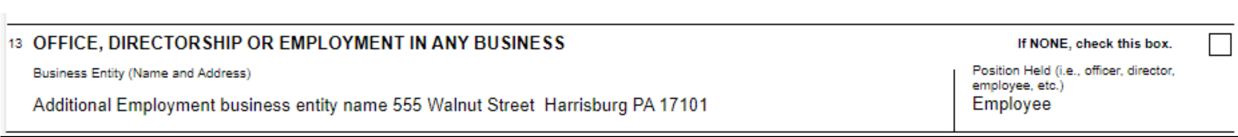
Name/address of person(s), entity(ies), for whom service(s) were, are or will be rendered
Additional Employment business entity name 555 Walnut Street Harrisburg PA 17101

Title/description of service(s)
Employee

Period(s) of time during which services were, are or will be rendered
01-01-2023 through current date

Total amount of monies, compensation, consideration received
$25.00 per hour

Ethics SFI form - Block 13 Office, Directorship or Employment in Any Business:



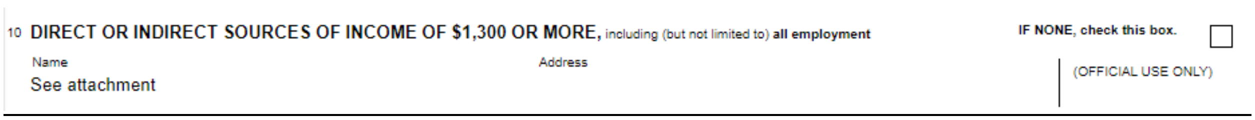
13 OFFICE, DIRECTORSHIP OR EMPLOYMENT IN ANY BUSINESS — If NONE, check this box.

Business Entity (Name and Address)
Additional Employment business entity name 555 Walnut Street Harrisburg PA 17101

Position Held (i.e., officer, director, employee, etc.)
Employee

If the supplementary employment is $1,300 or more, also verify the information was completed in Block 10 of the Ethics SFI.

Ethics SFI form – Block 10 Direct or Indirect Sources of Income of $1,300 or more:



10 DIRECT OR INDIRECT SOURCES OF INCOME OF $1,300 OR MORE, including (but not limited to) all employment

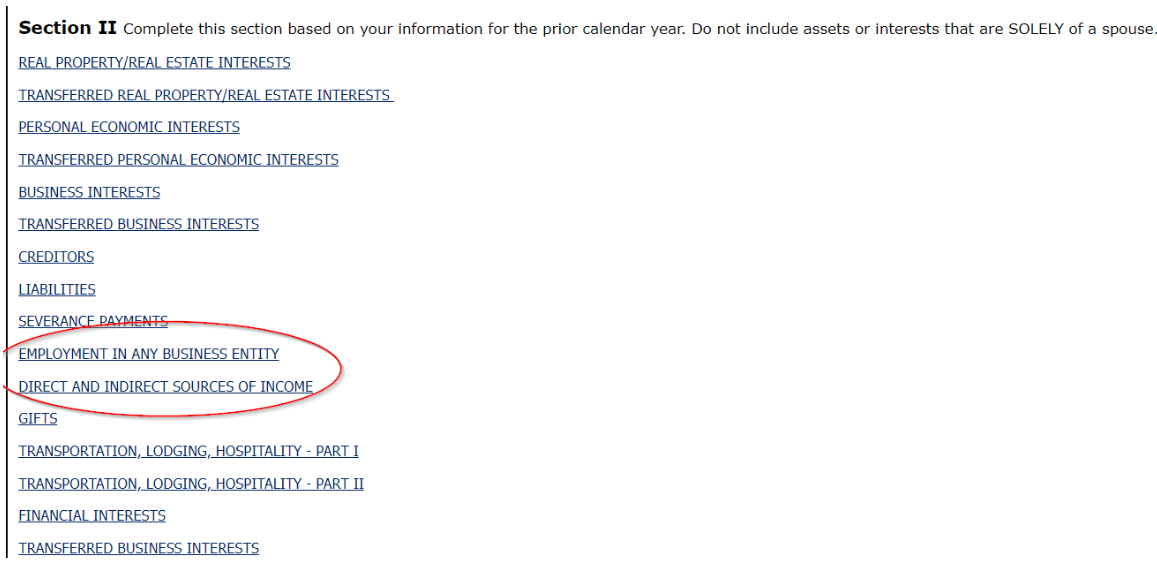
IF NONE, check this box.

Name | Address | (OFFICIAL USE ONLY)

See attachment

If the employee has supplementary employment on file and it is not listed in both "Employment" section of the Code of Conduct and Block 13 of the Ethics SFI and/or Block 10 of the Ethics SFI, if applicable, return the filing to the employee and request they amend their form to include supplementary employment.

Important: Employees should be completing the **EMPLOYMENT IN ANY BUSINESS ENTITY** to populate the "Employment" section of the Code of Conduct and Block 13 of the Ethics SFI and **DIRECT AND INDIRECT SOURCES OF INCOME** to populate Block 10 of the Ethics SFI, if applicable.

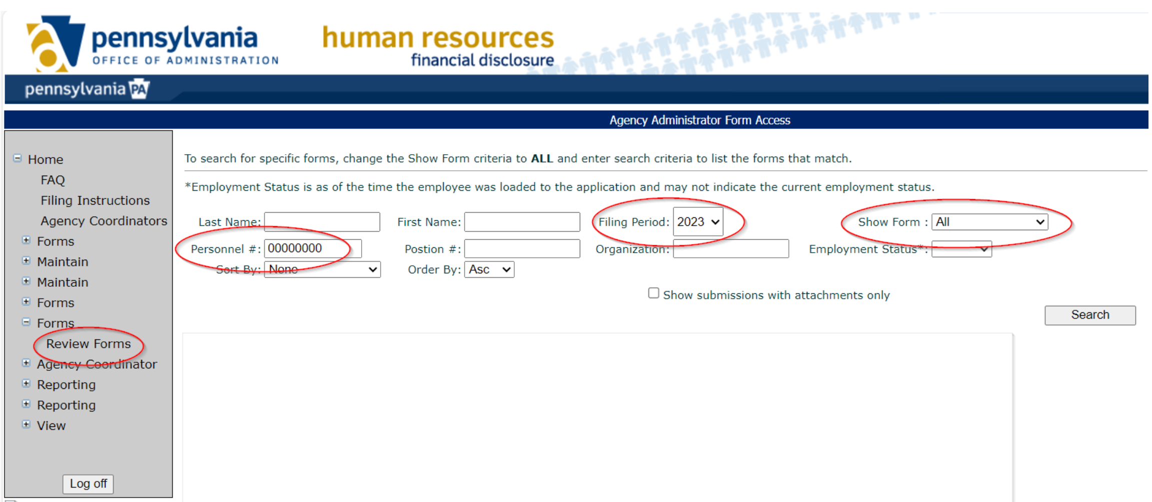


Section II Complete this section based on your information for the prior calendar year. Do not include assets or interests that are SOLELY of a spouse.

REAL PROPERTY/REAL ESTATE INTERESTS
TRANSFERRED REAL PROPERTY/REAL ESTATE INTERESTS
PERSONAL ECONOMIC INTERESTS
TRANSFERRED PERSONAL ECONOMIC INTERESTS
BUSINESS INTERESTS
TRANSFERRED BUSINESS INTERESTS
CREDITORS
LIABILITIES
SEVERANCE PAYMENTS
EMPLOYMENT IN ANY BUSINESS ENTITY
DIRECT AND INDIRECT SOURCES OF INCOME
GIFTS
TRANSPORTATION, LODGING, HOSPITALITY - PART I
TRANSPORTATION, LODGING, HOSPITALITY - PART II
FINANCIAL INTERESTS
TRANSFERRED BUSINESS INTERESTS

Search for Individual Employees

To search for forms for a specific employee, change the Show Form box to "All" and enter another search criteria, such as Personnel # or Last Name. Then select the Search button.



When searching for specific employees:

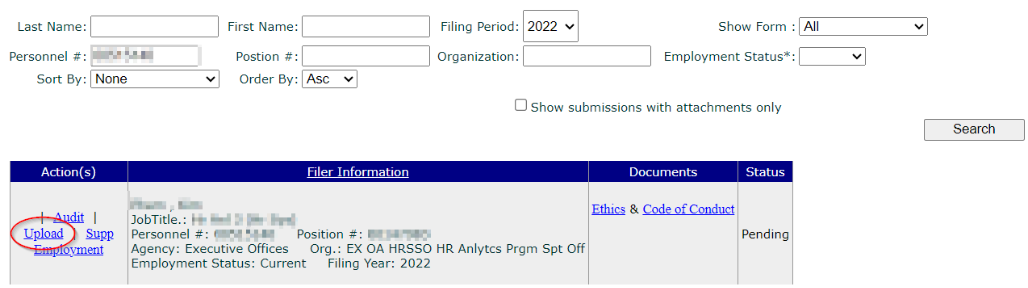
- ❖ Enter either the Last Name and/or the Personnel #.
  NOTE: The Personnel # is an 8-digit field. When searching, you must enter the preceding zeros.
- ❖ Be sure the appropriate Filing Period is selected. This field will default to the current filing year.
- ❖ Change the Show Form drop down to "All."
- ❖ Select the Search button to display results.

Uploading Paper Forms

Employees with Commonwealth computer access are required to use the online filing website to electronically submit their statements. However, if you receive paper forms from an employee who does not have Commonwealth computer access or from a former employee, you must upload the form(s) to the application in .pdf format.

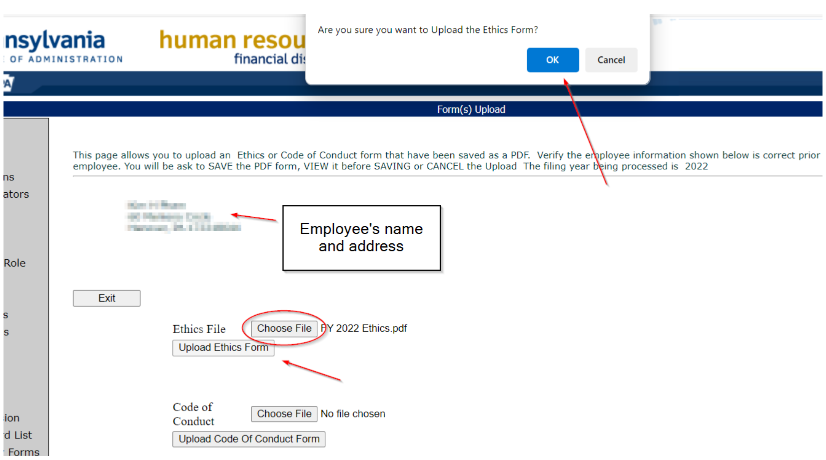
When scanning paper forms, **you must scan each form separately**. The Ethics form must be uploaded to the Ethics link and the Code form must be uploaded to the Code of Conduct link within the application.

To upload forms, use the individual search function and search for the employee for whom you wish to upload forms.



Select the Upload link on the appropriate record, as shown above. If the Upload link is not available, review the Status of the record. Forms may have already been submitted or uploaded for the employee. If that is the case, you must determine if the paper forms you have are copies of the already submitted forms, or if they are revised statements. If it is not evident by reviewing the form, you may need to contact the employee to make that determination.

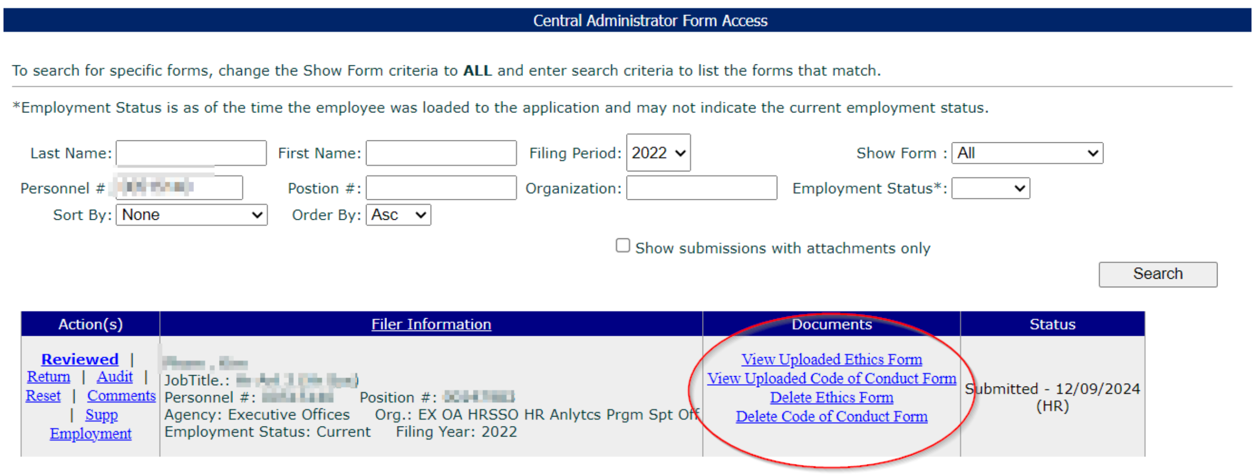
On the Forms Upload screen, you can browse for the .pdf file you already saved to your computer, and then select the upload button directly under the appropriate form being uploaded. Confirm that you want to upload the form by clicking on the OK button.



You will receive the confirmation message below when your forms are successfully uploaded.

You must continue the same process for the Code of Conduct form, if required.

To confirm the upload, re-enter the individual search criteria for the employee and view the uploaded forms by selecting each link. You can also change the Show Form drop down to Submitted – HR and the forms will be in your HR Review box for review.



Returned <u>uploaded</u> forms DO NOT automatically send an email notification to the employee.

The Audit will indicate who uploaded the form(s). If you do not have the original form to return to the employee, contact the person who uploaded the form(s). Or you can send the employee a blank paper form along with a copy of the form that is in the application and ask them to make the necessary corrections.

When the corrected forms are received you must re-upload them.

To ensure timely notification to the employee you should periodically review your returned forms. If <u>uploaded forms</u> were returned by either an HR Reviewer or a Legal Reviewer, return the original paper copy to the employee with an explanation of what is needed and your contact information for questions. Be sure to include an address to which the employee should return the completed/corrected form.

Note:

- Uploaded forms will overlay the previous form.
- If an employee is asked to correct a paper copy but more errors are made on the updated copy, if all sections are completed accurately, the Ethics Commission considers that to be a good filing for their form. When this happens, include an explanation by adding a page to the beginning of the form when you scan it to be uploaded or add it in the comments section when reviewing the form.

Uploading One Form, When Both Forms Are Required

If an employee is required to submit both the Ethics and the Code forms and only one form is uploaded, the uploaded form will not be processed through the review process until BOTH required forms are uploaded. The employee's status will remain as "Pending."

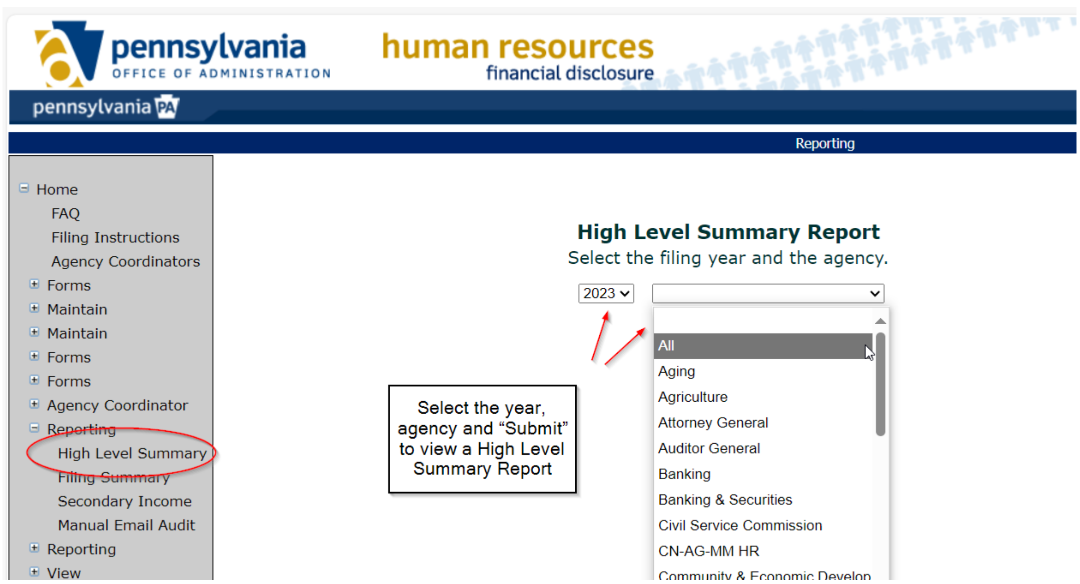
When both forms are required, employees will need to either complete both online or both paper copy of the forms, to be uploaded.

Reporting Overview

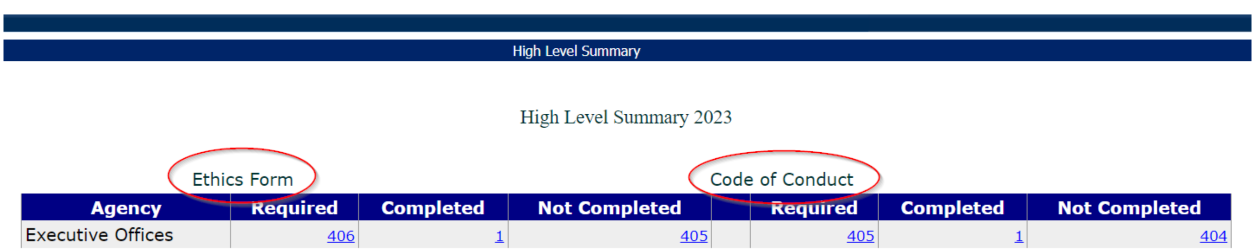
High Level Summary Report

The High Level Summary Report provides general information regarding completed and incomplete Code of Conduct and Ethics forms within an agency.

Select the "High Level Summary Report" link from the left-hand menu option. Select the year and agency you wish to view, then click the "Submit" button.



The summary screen indicates total numbers of required, complete and not complete forms. By selecting any of the links, you may review specific employee details for each category. The report provides the required filers for the Ethics Form and the Code of Conduct form separately.



High Level Summary

High Level Summary 2023

	Ethics Form			Code of Conduct		
Agency	Required	Completed	Not Completed	Required	Completed	Not Completed
Executive Offices	406	1	405	405	1	404

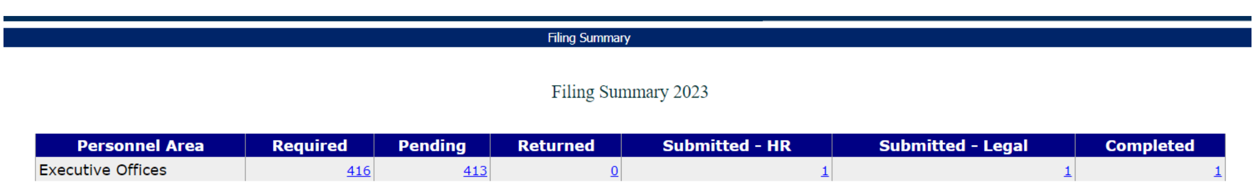
To change the sort order for the report, click on a column header. Select the "Export to Excel" button at the bottom of each page to view all pages as an excel spreadsheet.

Filing Summary Report

The Filing Summary Report provides a good overview of the status for all employees required to file financial statements for your agency.

Select the "Filing Summary" link from the left-hand menu options. Select the year and agency you wish to view, then the "Submit" button.

The summary screen indicates the total number of forms by filing status for your agency. By selecting the links associated with a status, you can review the individual forms for employees within that status. The Filing Summary Report provides a good overview of where your agency stands for completing the filing process.



Returned forms can easily be reviewed from this report. The "Required" link gives you the total number of employees (former and current) required to file statements, unlike the High Level Summary Report where employees are displayed separately for the Ethics Form and the Code of Conduct Form.

Secondary Income Report

The Secondary Income Report provides specific information regarding employees who have filed information about secondary income sources.

Select the "Secondary Income Report "link from the left-hand menu options. Select the year and agency you wish to view, then click the "Submit" button.

Manual Email Audit Report

The Manual Email Audit Report provides notice when current employees who are required to file financial statements have not received an automated email message notifying them of their requirement to file.

<u>Important Note to Agency Coordinators:</u> The HR Service Center is responsible for notifying all current, former and no- email employees of their requirement to file financial statements. Therefore, agency coordinators are not required to monitor this report as was the case prior to 2013. However, instructions for the report are provided below for informational purposes.

Employees that are newly hired into a job or a position required to financial statements do not always have their email address set up by the Agency Security Administrator (ASA) when the application attempts to notify them of their requirement to file. Additionally, some field employees never have an email account established, as their job duties do not require it.

- If a valid email address is not available at the time the employee is loaded to the FD application, the employee will appear on the Manual Email Audit Report.

Once an employee is on the report, the filing website will check nightly, for a period of 30 days, for the conditions below. Only if <u>all</u> of these conditions are met will the nightly process send the automated notification email:

1. A valid email address is found.
2. No email notification of any kind (30 day reminder, rejection email, etc) has already been sent.
3. The employees form status is Pending (not yet submitted).

Once a person is on the Manual Notification Report they will only drop off the report if the application sends an automated email or if the employee submits statements.

Note: The mass load in January sends emails out in batches by agency due to the large number of emails that are sent at this time. During this process, for agencies that have not yet received their emails, all employees who are required to file will show on the Manual Email Audit Report. Persons viewing this report should disregard the report during this time until all scheduled emails are sent by the application.

To begin viewing your Manual Email Audit Report, select the appropriate link from the left-hand menu options. Select the filing year and agency from the drop-down list, then the Submit button.

Employees who did not receive an automated email notification message will appear on the agency report. Agency coordinators will only see the employees within agencies for which they are responsible and who have not been sent an automated email. Select column headings to sort the report.

Appeals

Employees have the right to appeal the determination that their job or position meets the policy requirements for financial disclosure filing. The appeal must be completed and submitted to their agency HR office prior to the filing deadline.

Financial Disclosure Appeal Form

Agency HR offices are to review the appeal form and come to a determination. Once a decision is made, the agency HR Office is responsible for notifying the employee of the decision. E-PARs should be submitted for approved appeals to ensure the position task is updated and the employee is marked complete in the filing system.

Additional Assistance

Employees are directed to contact their agency FD coordinator who is familiar with both the policies governing the requirement to file and the specific types of information that may need completed. As an agency FD coordinator, you may contact OA, Kim Pham at kpham@pa.gov if you additional assistance is needed.

The HR Service Center is the primary contact for any technical questions about using the financial disclosure filing website. Employees can contact the HR Service Center at:

HR Service Center*
Monday-Friday
7:30AM-5:00PM EST

Call: 866.377.2672
PA Relay: 711
Interpreter services available

** Employees of the Office of the Attorney General, Gaming Control Board, Public Utility Commission and other agencies **not** under the Governor's jurisdiction should contact their local HR office for assistance. Liquor Control Board employees may contact the HR Service Center.*