

DIRECTIONS AND TIPS FOR USING INTEGRITY

Accessing Integrity:

The website address for Integrity is www.integrity.gov. When you get to the website, click on the yellow box labeled “Login to Integrity.” Integrity is connected to the OMB MAX Central Authentication Service. Employees who have previously used OMB MAX should use their Commercial Identity Verification (CIV) or Personal Identity Verification (PIV) login option. DOE public filers must login to Integrity through a 2-factor authentication method. The Assistant General Counsel for Ethics and Personnel Law (GC-21) provides detailed instructions to public filers who have not yet registered for the 2-factor authentication method.

If you used Integrity last year, you have an OMB Max account. If you are not already a user of OMB MAX, your user ID is your official DOE email address. If you have forgotten your password or have not previously set up an OMB Max account, at the login prompt for password, click on "Forgot, set, or change your password" and follow the on-screen instructions. After creating or resetting your password, close your browser window, open a new browser window, and return to www.integrity.gov.

Integrity can be accessed from your work computer as well as from most home computers. Integrity is compatible with both Macs and PCs. If you are having difficulty using or accessing the Integrity system, please try to use a different browser before calling our office.

The first time you use Integrity you will see a contact information screen to review/complete, and a checkbox at the bottom left to check indicating that you agree to the user agreement and rules of behavior.

Using Integrity:

ANNUAL REPORTS

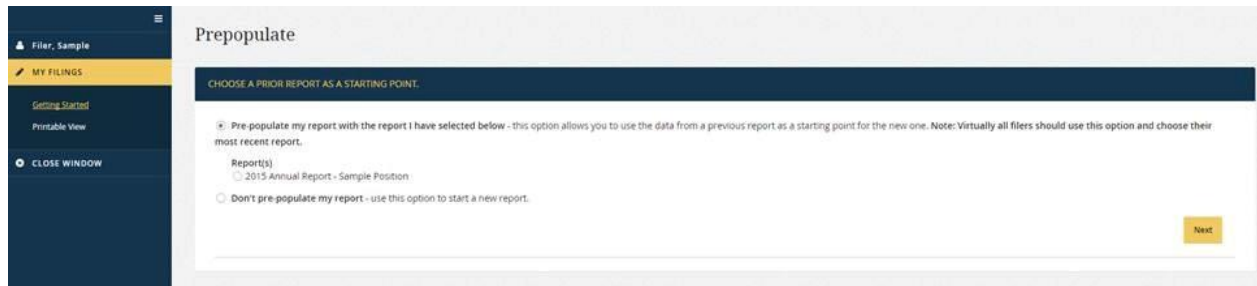
Population: For almost all DOE annual report filers, you should prepopulate your report based on your most recent certified report. If you do not see a report from the previous year immediately call this office at the contact information below.

ONLY WORK ON THE CURRENT YEAR REPORT by clicking Start. You will be asked whether you want to “pre-populate” your new report from a past report. Select the option that pre-populates from the previous year’s report. The pre-population tool copies the entries from the selected report (the previous year’s) into your new report (the current year).

Integrity now allows a filer to reset a started report by clicking the “**Reset Filing**” action button on the report’s Getting Started page. This should help if you forget to prepopulate your data from

an earlier report, or if you accidentally prepopulate it twice. This reset option is only available until you submit your report.

The pre-population screen will look similar to this:



When you see this screen, select the previous year's Annual or New Entrant Report, click "Next" only once, and pause while Integrity loads your data. **Clicking more than once may cause Integrity to repeat the copying of your data resulting in duplication of what you reported.** If that happens, you will need to delete the duplicates as explained below.

The ability to prepopulate reports is one of the key time-saving and error-reducing capabilities in *Integrity*. To those ends, OGE is strongly recommending that agencies remind and assist filers in using the prepopulate function when preparing their annual 278s.

Prepopulating a report fills a new annual report with the same information from the prior report and – more importantly – lays out a first-time annual filer's often complex investment vehicles and holdings in the same format that was certified on your most recent report. This feature reduces the likelihood of reporting errors.

Prepopulating a report is an option filers must actively select when preparing their annual 278s. Unfortunately, filers sometimes inadvertently skip this critical step, forcing agencies to delete and reassign the annual report to recover the prepopulation option, adding delays and frustration to the filing process.

Filer prepopulation instructions are below and can also be found here:

<https://community.max.gov/download/attachments/774439146/Filer-prepopulate.docx?version=1&modificationDate=1491916661040&api=v2>

Instructions:

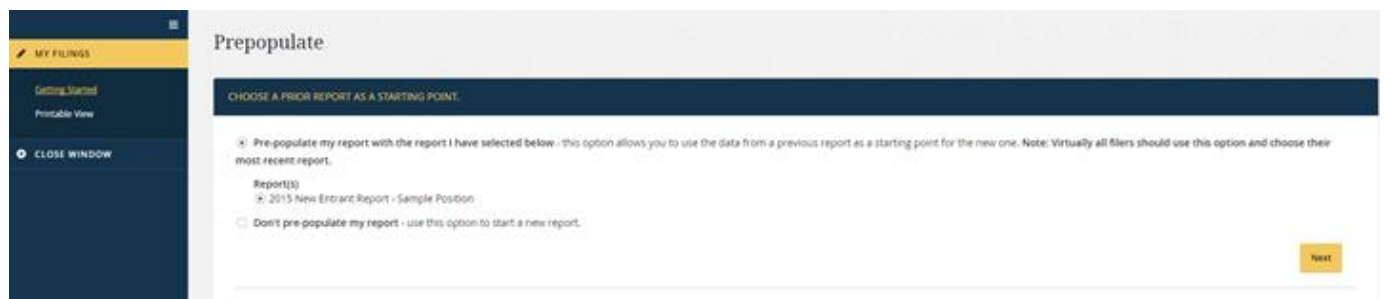
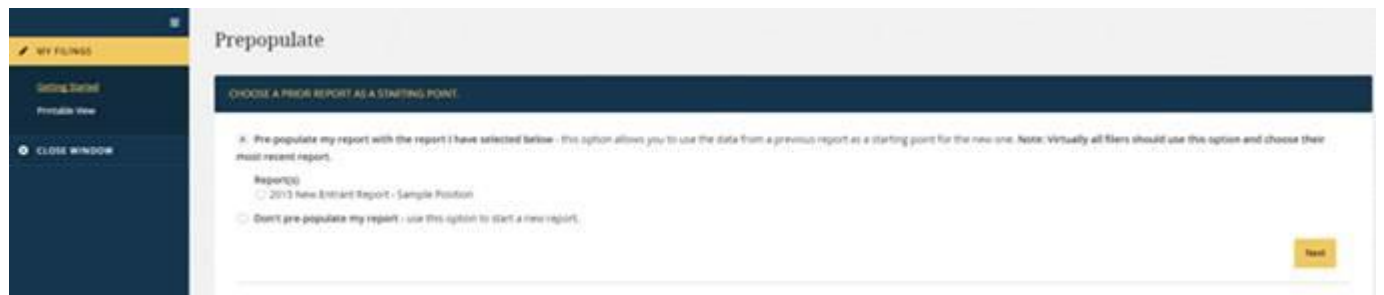
A returning filer who has previously filed a report in *Integrity* may use the earlier report to "pre-populate" a new filing. Prepopulate will copy the data from the prior report into the new one.

1. Log into *Integrity* and find the report that you need to file in the "My Current Reports" section of the "My Tasks" page:



2. Select the “**Start**” button at the far right side of the page.

3. On the next page, you will see a list of prior reports that you can use to pre-populate your new report. In most cases, you should select the most recent report (e.g., your last Annual report).



4. Select the “**Next**” button at the far right side of the page.

5. This message displays while *Integrity* pre-populates the report:



6. Once the pre-population process is complete, you will arrive at the “Getting Started” page. Complete the rest of your report as normal, changing the pre-populated information or adding new entries as needed.

Note: You will need to select **Next** and navigate through each "part" of the report before submitting. The left side menu will expand as you move through the report.

A filer may edit while moving through each part or wait until the **Report Data (Summary)** link appears. Click that to view the entire report. That view includes “Edit” action buttons to jump to a particular part to make changes.

Reference: *Integrity* User Guide, § 4.2.3. User Guide available after logging into OMB Max here <https://ogeintegrity.app.box.com/s/h9hbhq2ubkylntl2pkroz0m5znnqw0on>

Note: If a filer previously registered a designee to complete the form, the filer may need to register/re-invite the designee again. The designee will likely have to reset the password.

If this is your first year using Integrity, you will have to complete the "Getting Started" page, which is the equivalent of the cover page. This includes completing your job title and other basic information about your position. **You must answer the spouse question and make a selection from the "filer category" dropdown menu.** The answers to these two questions impact what information you are asked to provide and the pre-population function. On the Filer Category dropdown menu you are given the following choices:

- Career SES
- Non-Career SES
- PAS
- DAEO PAS
- DAEO Non-PAS
- Schedule C
- Uniformed Services
- Other

The only options that DOE employees should be using are: Career SES, non-career SES, PAS, Schedule C and Other. If you are a career SES, non-career SES or Schedule C, select the appropriate option.

Presidential Appointees who are Senate Confirmed need to select PAS (PAS employees have to disclose some information that other employees are not required to report). If you are an excepted service (EJ, EK, EN, ARPA-E, EWQ), IPA, SL, ST, or a detailee select "Other." *Answering these two questions will help ensure that pre-population will work properly when you have to file next year.*

REMEMBER: This is a public report. Do not enter data that is more specific than what is being asked for (i.e., spouse or dependent child names).

TRANSACTIONS: You do **NOT** need to report any transactions that you have already reported on a **Periodic Transaction Report (278-T)** that has been filed in Integrity. All filers have been using Integrity to file their periodic transaction reports. These electronic reports are not automatically imported into Integrity. On the Transactions page, you will have the opportunity to

import this data. Select from a list of completed 278-T reports on this page by selecting a report from the drop down menu following “ADD TRANSACTIONS FROM A PREVIOUS 278-T REPORT.” You must do this individually for each 278-T filed using Integrity.

Part 7: Transactions

In this section, you will report transactions involving your assets and those of your dependent child, if applicable.

Specifically, report any purchase, sale, or exchange of real property or securities in excess of \$1,000 that was made by you or your dependent child during the reporting period.

Do not report transactions that concern the following:

- (1) A personal residence, unless the personal residence was rented out at any point during the reporting period;
- (2) Cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds;
- (3) Treasury bills, bonds, notes, and United States savings bonds;
- (4) Holdings within a federal Thrift Savings Plan account; and
- (5) Holdings of an excepted investment fund (e.g., report your purchase of a mutual fund but do not report the mutual fund's purchases of stock).

In addition, you do not need to report transactions that occurred when you were not an employee of the United States federal government or transactions that occurred during the reporting period.

ADD TRANSACTIONS FROM A PREVIOUS 278-T REPORT



- Pick a Report -

OTHER HELPFUL TIPS FOR USING INTEGRITY

ENTERING DATA:

- **If you have nothing to report for a certain question, please check the box at the bottom left of the white portion of the screen to state that you have nothing to report in that area.**
- Each page for entering report data has the same basic layout. On the left is a dark blue column that has highlighted what section of the report you are working on. The remainder of the screen is a white section which shows the information that has already been entered.
 - To add a new asset select the yellow “Add New Item” box on the screen. If you do not see this box, please check to make sure you are not in an outdated version of Internet Explorer. If you are, please try in a different browser (Chrome, Firefox, Safari) before calling our office for help.
 - To edit an existing asset, click on the name of an asset. A grey column will open on the Right. This grey area is where you add or edit information. **REMEMBER TO CLICK THE “SAVE” BUTTON ON THE BOTTOM LEFT OF THIS COLUMN;** you may need to scroll down the screen to see this button.
- There are separate sections for (1) your employment related assets, (2) your spouse’s employment related assets, and (3) other assets and income. When you are looking for your pre-populated data, check all three sections. Employment-related assets (such as retirement

plans from a previous employer for either you or your spouse) may be reported under the “other assets and income” section or the individual employment related assets section. Please do not enter these assets in both sections. There is no need to move an employment-related asset that appears in the other assets and income section.

- Integrity allows you to group your assets by accounts, such as an IRA, defined contribution plan, or variable life insurance policies. If you wish to use this function, click “Add New Item;” type the name of the account in the “Item Description” box (i.e. XYZ 401(k) Account); and scroll to the bottom and save. You do not need to add any additional information to create the parent asset. Remember that reports are publicly available, so do not name your parent accounts with the names of family members or other personal information such as account numbers.
 - As you enter the underlying assets in that account, report the name of the asset in the “Item Description;” in the box titled “If this is a sub-asset, enter name of parent asset” enter the name of the account already saved in the previous step; and complete the remaining information required. After you save the “sub-asset” you will notice that Integrity will group the asset under the name of the parent account provided and number the assets accordingly (e.g., 1.1, 1.2., 1.3, etc.).
- For cash accounts, please do not list the name of the bank. The Office of Government Ethics has guidance that provides that you should list the banks by generic identifiers and indicate that they are cash accounts. For example, US bank account #1 (cash), US bank account #2 (cash). This is also the practice for reporting money market accounts and credit unions. Please edit any accounts previously reported to conform to this guidance.

Deleting Data

- If your report shows duplicate entries of a single asset or if you wish to delete a previously reported asset, click on the name of an asset. A grey column will open on the Right. Click the "Delete" button on the bottom of this column.

Completing Your Report

- Your report does not need to be completed at one sitting, but be sure to totally close your browser when you finish each session.
- Please double check all of the information on your report prior to submitting it.
- The left-side, vertical navigation pane includes a link to a Printable View of your data. Click it to display your report. Select the “Export to PDF” option on the top of the screen to save or print a PDF version of your report.
- When you have completed your report, submit the report by clicking on “Submit Report” near the bottom of the column in the blue portion of the screen. Then follow the directions on the next screen that appears.

Integrity Operation

- Integrity has an option that enables you to give someone else (e.g., an accountant, financial planner, or spouse) access to your Integrity account so that individual can assist you with preparation of your report.
- As a security measure, Integrity will log you off the website after 30 minutes of inactivity. If this happens, simply log back in to Integrity using your OMB Max account information.
- If your screen freezes or becomes unresponsive while using Integrity, completely close your browser, wait a few seconds, and then reopen your browser to start a new session. Remember to double check your browser and use a different browser if you were using an outdated version.
- Ignore any prompts to add your Position Description to your Integrity file. Because Integrity is an Executive Branch-wide system, it has some functions that DOE is not using. This is one of them.

ANNUAL REPORT FILING INFORMATION AND PENALTIES

The Public Financial Disclosure Report is due MAY 15th of each calendar year (or the next business day if May 15th falls on a Saturday or Sunday).

Requests for an extension of time must be submitted no later than the last business day prior to May 15th each calendar year.

Failure to file on time may subject you to a \$200 late filing fee. In addition, knowing and willful falsification of information or failure to file or report information required to be reported can result in a civil penalty of more than \$70,000 or a criminal penalty of up to one year in prison.

TRANSACTION REPORTS

All Transaction Reports must be filed using Integrity. A Transaction Report must be filed if you, your spouse or your dependent children have purchased, sold, or exchanged stocks, bonds, options or futures (if the amount of the transaction is greater than \$1,000). These reports must be filed: (A) within 45 days of the transaction, or (B) within 30 days of the date you learn of the transaction, whichever occurs earlier. There is a \$200 late filing fee on these reports as well.

To start a 278-T, login to Integrity and then scroll down to the “My Tools” area and click on “278-T.” A report tool will display with brief instructions in a new window where you can enter your information and submit your report.

If you have questions after reading these directions, please call 202-586-1522 or email standardsconduct@hq.doe.gov for assistance. Please contact us as soon as possible upon encountering difficulty. Do not wait until just before the report is due.