



**NEW YORK STATE
JOINT COMMISSION ON PUBLIC ETHICS**



**ESSENTIAL
FUNCTIONS OF THE
JCOPE ONLINE FDS
FILING SYSTEM**

JANUARY 16, 2020 ETHICS FORUM

Topic Overview

Managing FDS Filers

- Overview: Financial Disclosure
- Key Tasks for Ethics Officers
- Frequently Asked Questions about FDS

Managing Ethics Training

- Overview: Ethics Training
- Key Tasks for Ethics Officers
- Frequently Asked Questions about Ethics Training

FDS System Orientation

- Menus
- Functions
- Troubleshooting

OVERVIEW: FINANCIAL DISCLOSURE

Public Officers Law § 73-a

What is a Financial Disclosure Statement (FDS)?

The FDS is a publicly available record containing financial and professional information about the FDS filer and his or her spouse.

The purpose of the FDS is to:

- Provide transparency
- Prevent conflicts of interest between certain State employees' professional duties and their private financial interests and affiliations



Who is required to file?

Officers, members, directors and employees of any State agency (i.e., department, division, board, commission, bureau, public benefit corporation, public authority, SUNY/CUNY) and legislative employees who are:

- Designated by their agency as a **Policymaker**
or
- **Threshold filers** (those who have an annual salary in excess of the CSEA SG-24 job rate);



Did you know?

If the filer meets one of these requirements in the **CURRENT** year, they must file for the **PRECEDING** year, even if they did not meet the criteria for filing in that previous year.

What are the Salary Threshold Filing Rates?

FDS Year	Filing Due Date	CSEA SG-24 Job Rate/ Filing Threshold
2016	May 15, 2017 (non-academic) November 15, 2017 (academic)	\$95,534 (eff. 4/1/17)
2017	May 15, 2018 (non-academic) November 15, 2018 (academic)	\$97,448 (eff. 4/1/18)
2018	May 15, 2019 (non-academic) November 15, 2019 (academic)	\$99,394 (eff. 4/1/19)
2019	May 15, 2020 (non-academic) November 16, 2020 (academic)	\$101,379 (eff. 4/1/20)

Are Part-Time Employees Required to File?

Maybe. Consider the following:

- **Filers hired on a permanent part-time basis**
 - Not designated as a policymaker
 - No potential to exceed the annual rate

NO – they are not required to file

- **Filers who elect to work reduced hours**
 - Full-time equivalent would exceed threshold

YES – they are required to file

FDS Filing Deadlines

May 15 – Non-Academic Filers

Statewide elected officials, State officers, political party chairs, policymakers, as well as State employees with an annual salary rate in excess of the CSEA SG-24 job rate (**\$101,379** for FDS 2019 calendar year).

November 15 – Academic Filers

Academic faculty employees at SUNY and CUNY with an annual salary rate in excess of the CSEA SG-24 job rate (**\$101,379** for FDS 2019 calendar year).

Determining Filing Deadlines for **New Filers**

Non-Academic Filers:

If added between January 1 - April 15 = **May 15**

If added between April 16 - December 31 = 30 days from when they are added to FDS system

Academic Filers:

If added between January 1 - October 15 = **Nov 15**

If added between October 16 - December 31 = 30 days from when they are added to FDS system

Requesting an Extension of Time

- A filer can make a request to receive an extension of time to file an FDS on the basis of “justifiable cause” or “undue hardship.”
- The deadline to file for an extension is:
 - May 15 for non-academic filers
 - November 15 for SUNY/CUNY faculty
 - Within 30 days for new filers
- Filers may request an extension:
 - Using the FDS system; or
 - Completing and submitting the “Application for Extension” available on JCOPE’s website.

More information is available in 19 NYCRR Part 936

Requesting an Exemption from Filing

The deadline to request an exemption is:

- May 15 for non-academic filers
- November 15 for SUNY/CUNY faculty
- Within 30 days for new filers

Threshold filers may request an exemption:

- Using the FDS system
- Completing and submitting the “Individual Exemption Application” available on JCOPE’s website
- An Ethics Officer (or union) may file for an exemption on behalf of a class of filers who serve in the same job title or classification

Did you know?

Only **threshold filers**

may request an exemption from filing an FDS form.

Granted Exemptions

If JCOPE grants an exemption, the individual is not required to file an FDS as long as he or she serves in that title or job classification, unless:

- ❖ The filer is appointed or promoted to a new title or job classification for which filing is required
- ❖ Duties of the title or job classification change to include duties that would preclude an exemption*
- ❖ The individual is designated as a policymaker, or
- ❖ The Commission determines that the exemption is no longer appropriate under the law or regulations

* *The Ethics Officer must update the Commission in a timely manner regarding changes in job duties.*

FDS:
KEY TASKS
FOR ETHICS OFFICERS

Actions Required-Ethics Officers

1. **Review & Certification:**

Submit a non-academic filer certification on or before February 28 of every year using the FDS system.

Academic certification due September 30

2. **Update Information:**

Submit amended certifications using the FDS system

3. **Notifications:**

Notify filers of legal obligation to file an FDS and complete mandatory ethics training

Important Dates for Ethics Officers

Review:

Ethics Officers & Agency Contacts will receive an e-mail to review **ALL ACTIVE FILERS** in the FDS system.

Update any information that was missed during previous year.

Non-Academic Filers:
First week of January

Academic Filers:
Last week of August

Important Dates for Ethics Officers

Certification:

Submit a **filer certification** annually using the FDS system.

This certifies that all filer information reported to JCOPE is accurate.

Non-Academic Filers:
By February 28

Academic Filers:
By September 30

New Filers:
Within 30 days

Important Dates for Ethics Officers

Notifications:

Agencies should notify their active filers that they will be reported to JCOPE as persons who are required to file an FDS.

The agency should explain both the filing and training requirements prior to adding them to FDS system.

Non-Academic Filers:
By March

Academic Filers:
By October

New Filers:
Within 30 days

Important Dates for Ethics Officers

JCOPE Notifications:

On or around April/October 15, JCOPE e-mails filers a “notice to file”. When onboarded, JCOPE e-mails filer notice to file within 30 days.

Notices sent from no-reply mail server:
jcope@public.govdelivery.com

Non-Academic Filers:
By April 15

Academic Filers:
By October 15

New Filers:
Within 30 days

Important Dates for Ethics Officers

Deadlines:

- File the annual FDS
- Apply for an exemption from filing (threshold filers only)
- Apply for an extension of time to file

Non-Academic Filers:
By May 15

Academic Filers:
By November 15

New Filers:
Within 30 days

Update Requirement

Did you know?

- Public Officers Law § 73-a(c)(ii) requires Ethics Officers to update the FDS system on any changes to filer information within 30 days.

Best Practices:

- Establish clear communications with HR
- Establish procedures for timely updates

Filer Notifications

Best Practices:

- When notifying required filers of filing & training requirements, do not send a blanket e-mail to all staff – send only to those required to file.
- Agency must be first point of contact to notify filers; otherwise they think JCOPE e-mails are spam or not relevant to them.

Special Filer Notifications

- For filers who are members of **Boards or Commissions**:
 - Notify them of filing requirements
 - If they filed FDS with Appointments, they may provide JCOPE a copy
- For **NYC Conflict of Interest Board (COIB)**:
 - They may provide JCOPE with a copy of their COIB filing, along with the required supplement forms

FREQUENTLY
ASKED
QUESTIONS
ABOUT FDS

What credentials do I use to add a new filer?

- **State Employees:** use NY.GOV Directory Services credential established by agency
- **SUNY Employees:** use SUNY ID that starts with “SUNY”
- **CUNY Employees:** new filers must create a personal NY.GOV account.
 - Ethics Officer, Agency Contact, or Commission can enter in account to link access
- **Authorities, Commissions, & Boards:** If the entity does not have a NY.GOV delegate to create NY.GOV account for the filer, the filer must create a personal NY.GOV account

What do the designations mean?

- **Policy Maker:** determined by agency; not eligible for filing exemptions
- **Threshold Over:** filer has salary that exceeds the filing rate (CSEA SG-24) as of April 1 of current year
- **Ethics Denied:** JCOPE has determined that title is not eligible for exemption
- **Agency Objections:** agency has objected to individual receiving exemption

(Continued on next page)

What do the designations mean? (cont'd)

- **Former Threshold Over:** former filer's annual salary now falls below the filing threshold
- **Former Policy Maker:** former filer is no longer designated as a policymaker and annual salary is below the filing threshold
- **Academic Filer:** SUNY/CUNY professor
- **Former Academic Filer:** SUNY/CUNY professor whose salary now falls below filing threshold

We have people in titles with a designation of “Ethics Denied.” If we have a new employee with one of these titles, is the Ethics Denied designation to be added for that person, or should the Threshold Over designation be entered?

Does the Ethics Denied designation apply to any other titles?

The “Ethics Denied” designation would be applied to the filer, as long as the filer did not meet the policymaking criteria.

There are additional titles that have been denied by the Commission.

How should we handle filers who were above the old filing threshold but now are below the new threshold?

With respect to **any non-policymaker whose annual salary in 2020 is \$101,379 or below** in the FDS system, please change the designation of that individual from “Threshold Over” to “Former Threshold Over” in the individual’s profile.

Once you change the designation, the person’s status should change from “Active” to “Inactive.”

Please cease any FDS onboarding or compliance efforts with respect to any non-policymaker whose current salary is **\$101,379 or below**.

How do we delete records of employees who have retired or otherwise permanently left our agency?

Ethics Officers are not able to delete any information from the FDS system. The system preserves the records for 7 years. Instead, you should modify the filer information to make them “Inactive.”

On the filer’s dashboard, click the pencil next to “Filer” to edit filer information. Then click the pencil next to your agency on the right, which activates the “Job Status” drop-down box in the agency section of the profile.

Select “Left Service/Retired,” enter an effective date, then click the “Update” button to save changes. Then click “Update Filer” on the bottom left of the screen. This will remove them from your list of active FDS employees.

How do I indicate if one of my filers goes on leave?

If a filer is on a leave, please update the FDS system at the time the leave commences. This prevents the filer on leave from enforcement actions for late filing.

This will also suspend training activities, and adjust due dates once the system reflects that the filer has returned from leave.

- Update “Job Status” field to select type of leave
- Enter effective date of leave
- Update filer again when leave ends

**Important:
Remember to change filer status
when they return from leave!**

How does a collective bargaining unit make a request for exemption on behalf of their members? How does this process work?

An individual, or a State agency or employee organization on behalf of a group of individuals who share the same job title or employment classification, may submit an exemption request.

Note: Policymakers are not eligible for exemptions.

A request for an exemption from filing must be made in writing or via the FDS system, and received by the Commission on or before the applicable filing deadline.

How are title exemptions determined?

The Commission may grant an exemption where, in its discretion, the public interest does not require disclosure, and the individual's job duties do not involve negotiating, authorizing, or approving:

- contracts, leases, franchises, or similar matters;
- the purchase, sale or rental of real property, goods, or services;
- the obtaining of grants of money or loans; or
- the adoption or repeal of rules or regulations having the force and effect of law.

How are agencies notified about exemption request determinations?

JCOPE reviews and processes exemption requests.

When a determination is made, it is noted in the filer's profile, and the FDS system automatically generates and sends the filer an e-mail notifying him or her whether the exemption has been granted or denied.

The FDS system copies the Ethics Officer on that e-mail determination.

How is notification made when an employee's status goes from Exempt to Not Exempt? Who is notified?

Each account reflects a filer's exemption status. When the account is updated, the agency will immediately see that the filer is no longer exempt, and they will appear on active filer lists.

It is the agency's responsibility to notify the filer that, due to a change in title or policymaking designation, the individual is now required to file.

The Commission will also send the filer an e-mail notice that he or she is now required to file an FDS.

What happens if an agency's filers don't file on time?

If a filer fails to file the FDS, or files an incomplete FDS, JCOPE will send that person a confidential notice providing 15 days to complete and submit the filing.

If the filer fails to respond, JCOPE will send the filer and the appointing authority (with copy to the Ethics Officer) a Notice of Delinquency that advises the filer of potential fees and penalties, including agency disciplinary action.

- Notices of Delinquency are publicly available on the JCOPE website

Continued failure to file may subject the filer to a civil penalty up to \$40,000 after a hearing or criminal prosecution.

On the FDS form, how should filers be advised to document their assets?

The Guide to Filing the Annual Statement provides detailed information concerning each question on the FDS form. Most of the questions address asset disclosure of some kind. Examples:

- **Question #11/Retirement, Trust, Estates:** report interests in retirement plans (other than State or city retirement plans) and deferred compensation plans
- **Question #13/Income:** report income from outside employment, spouse's employment, net gains, rental income, bank interest, etc.
- **Question #16/Investments:** report any securities and investments individually, including stocks, bonds, CDs, mutual funds, etc.
- **Question #17/Real Estate:** report any property, **other than primary or secondary residence** (unless there is a co-owner who is not a relative), that is held by filer, spouse, corporation of which filer or spouse own or control more than 50% of the stock, or a partnership if name appears on the deed.

OVERVIEW: ETHICS TRAINING

Executive Law § 94

Mandatory Ethics Training for FDS Filers

Any State officer or employee required to file an annual FDS is required by law to complete ongoing ethics training.

If they become exempt from the filing requirement, then they also become exempt from the training requirement.

Executive Law § 94(10)



Ethics Training Requirements

- **Online Ethics Orientation (OEO):** Filers must complete the OEO within three months after a filer profile is created in the FDS system.
- **Comprehensive Ethics Training Course (CETC):** Filers must complete the CETC within two years from the date they became required to file.
 - If a filer takes the CETC first, entering a CETC completion date automatically “tests out” the filer from the OEO requirement.
- **Ethics Seminar/Refresher:** After completing the CETC the first time, filers must complete refresher training every three years (either CETC or Seminar).

Training Tracking and Compliance

JCOPE is mandated to compile annual training statistics for each agency, and report those findings to the Governor and the Legislature.

Ethics Officers assist in this mandate by entering training completion dates in the FDS system on a regular basis.

While there is no longer a need to submit a separate Annual Training Compliance Report, please ensure that training updates for all active agency filers are completed in a timely manner.

ETHICS TRAINING:
KEY TASKS
FOR ETHICS OFFICERS

Actions Required - Ethics Officers

- Notify your agency's FDS filers of their legal obligation to complete JCOPE's mandatory ethics trainings
- Deliver the required courses to your FDS filers at regular intervals or as needed –updated training materials available online in “Ethics Officer Info Center”
- Monitor the training compliance status of FDS filers in your agency, and proactively notify them of ethics training deadlines
- Regularly update training completion dates in the FDS system.

FREQUENTLY
ASKED
QUESTIONS
ABOUT ETHICS TRAINING

*Upon completion of training, how do I determine what course should be selected as completed?
CETC or Ethics Seminar?*

In the FDS system:

CETC = First-time completion of the CETC class

This first-time completion date is recorded in the system separately from all future ethics training completion dates.

Ethics Seminar/Refresher = all future CETC/ES classes

When you enter a completion date for the Seminar/Refresher, a drop-down box will ask you to indicate which actual class the filer completed to satisfy the refresher training requirement. Filers can retake the CETC or take the Ethics Seminar class.

What does “Tested Out” mean for the Online Ethics Orientation?

If a filer completes the CETC before the OEO, entering a completion date for the CETC will automatically “test out” the OEO requirement.

This simply means the filer has met the OEO requirement by taking the CETC first.

FDS System Date:

On 2/23/17, all incomplete OEO classes were automatically marked "Tested Out" if there was a CETC completion date entered on the filer's dashboard.

Why do some of my filers not appear on the “Filer Training Data Entry” screens?

1. Your filer is listed as “inactive” or “exempt”
2. Your agency is not their primary agency
3. An error on the filer’s profile is causing them to not appear on your training lists*

The FTDE training screens only list active filers who are under the primary authority of your agency. Filers who are affiliated with more than one agency are listed on both agency’s “Active Filer” lists, but only the primary agency is tasked with recording training information.

**Contact the JCOPE Education/Training team to assist in troubleshooting and resolution.*

Can filers request a training extension?

Yes. The Training Extension Request feature is a button found on a filer's dashboard. This gives a filer an easy way to request a 60-day extension of a training due date.

Extensions are granted based on "justifiable cause" or "undue hardship." JCOPE evaluates and approves requests on a case-by-case basis.

An e-mail with a determination will be sent to both the filer and the Ethics Officers on record in the FDS system.

An extension can only be given twice for the same course, for a total extension granted of 120 days.

What happens to a filer's training history if they were "on leave," "inactive," or "exempt" and return?

It depends on how long the filer was on leave, inactive, or exempt (OL/I/E):

- If the filer was OL/I/E for **less than one year**, the due date for their next training class is extended by the amount of time OL/I/E.
- If the filer was OL/I/E for **more than one year**, the training schedule resets as though the filer were new. Any previously completed classes are archived, and new OEO & CETC classes are added to the profile with new due dates based on when the filer was reactivated.

Why do some filers have incorrect training due dates?

There is an identified system glitch that affects the training due dates for filers whose profiles have been reactivated. This error may lead to incorrect due dates.

Generally, most due date errors can be fixed by using the Training Override function on the filer's dashboard.

Please contact JCOPE Education for assistance with correcting training date errors.

FDS SYSTEM ORIENTATION

JCOPE - FDS

[Dashboard](#)

[Search](#)

[Add](#) ▼

[Certification](#) ▼

[Reports](#) ▼

[Preferences](#)

Your Name [Dashboard](#)

Known FDS System Issues

- ERR123 message
 - When updating the system, the agency did not properly update the account, or there is a system issue
 - Try your update again and if it persists, reach out to the FDS unit for assistance.
- Compatibility:
 - Optimized for Internet Explorer v.10 or higher and Firefox

Ethics Officer Dashboard

- Starting point for FDS activities
- Click “OK” to attest that all changes to information is a legal amendment to annual filer list certification.

JCOPE - FDS Dashboard Search Add ▾ Certification ▾ Reports ▾ Preferences (Ethics Officer)  Logout

Dashboard

Agency-Wide Exemption Request

Activity Log Showing 1 to 1 of 1 records

Date	Activity	Notes	Status
01/17/2017 12:00:57 PM	Nonacademic Prep Reminder	Notice of Filer Prep Sent	Completed

Overdue Training 0 records

Filer	Class	Due	Days Late
-------	-------	-----	-----------

Agency-Wide Exemption 0 records

Date	Agency	Status
------	--------	--------

Please be advised that any changes made to add or remove a filer or to change a filer's designation shall constitute an amendment to your agency's list of current filers.



Search Menu

- Search for an individual filer within your agency
- Use to quickly navigate to filer's dashboard
- Use this function before adding a new filer to be sure the filer doesn't already exist as an inactive filer in your agency

JCOPE - FDS Dashboard **Search** Add ▾ Certification ▾ Reports ▾ Preferences

FDS - Search

Search...

Search **Advanced** Clear

Search By:

Filers:

Agency

FDS ID

Email

Address

First Name

Last Name

Full Name (Exact)

Agencies List

Filer's Profile

- Click pencil icon next to “Filer” to enter and update filer information
 - You can update all the personal information – user ID, name, address, etc.

JCOPE - FDS Dashboard Search Add ▾ Agencies Certification ▾ Admin ▾ Reports ▾ Preferences Admin (Admin) ? Logout

Filer  ID: 72249

NYS DS ID testing	NYS Emp ID	Status Active
Last Test	First Record	Middle Initial
Street 6 Esp		
City Albany2	State NEW YORK	
Zip 12345	Country UNITED STATES	
Phone Number		
Email test@test.com	Filer Exemption Status Not Exempt	

Agency

Agencies
test (88888) ★
Joint Commission On Public Ethics (19005)

Agency Name test (88888) ★ <i>Primary Agency</i>		
Job Title Prof For Eoc 12	Salary \$123,456	Designation Threshold and Over
Job Status Active		

Filer's Profile

- Click the pencil icon on the agency name line to enter and update other filer information
 - You can update agency information, salary, designation, job status

JCOPE - FDS Dashboard Search Add ▾ Agencies Certification ▾ Admin ▾ Reports ▾ Preferences Melinda Funk (Admin) ? Logout

Filer   ID: 53900

NYSIDS ID JVolve1JVolve@	NYS Emp ID JVolve1JV	Status Active	Administrative Hold 
*Last Jcope Te	*First Test 2	Middle Initial 	
*Street 1/2/3 Someplace Dr. Apt 1			
Street 2 			
*City Unknownville	*State NEW YORK		
*Zip 12342	*Country UNITED STATES		
*Email ethe2l@jcope.ny.gov			
Phone Number XXX-XXX-XXXX			

Agency  

Agencies
Joint Commission On Public Ethics (19005) ★

***Agency Name** ★ Primary agency
Select an agency...

*Job Title/Code +Add Title	*Salary	*Designation
*Job Status		

Add

Update Filer **Cancel** **Clear**

Filer's Profile

- To complete and save changes, click “Update” button bottom right of the box
- Then click “Update Filer” bottom left of the screen

JCOPE - FDS Dashboard Search Add Agencies Certification Admin Reports Preferences Melinda Funk (Admin) ? Logout

Filer ID: 53900

NYS DS ID JVolve1JVolve@	NYS Emp ID JVolve1JV	Status Active	Administrative Hold
*Last Jcope Te	*First Test 2	Middle Initial	
*Street 1/2/3 Someplace Dr. Apt 1			
Street 2			
*City Unknowmville	*State NEW YORK		
*Zip 12342	*Country UNITED STATES		
*Email ethe2l@jcope.ny.gov			
Phone Number XXX-XXX-XXXX			

Update Filer Cancel Clear

Agency

Agencies
Joint Commission On Public Ethics (19005) ★

***Agency Name** ★ Primary agency
Joint Commission On Public Ethics (19005)

***Job Title/Code** +Add Title ***Salary** \$888,888 ***Designation** Policy Maker

***Job Status** Active

Update

Filer's Profile

- Personal Info History is a list of all changes made to a filer's profile information
- Gives date the information was modified, and what changed

Personal Info History		Showing 1 to 1 of 1 records
Modified	Changed Items	
04/04/2018 09:13:30 AM	Address 1 :	Showing 1 to 1 of 1 records

Filer's Profile

- Activity Log is a list of all activities associated with the filer's profile
- Can be filtered by activity type
- The Status column is where you can complete classes by entering training completion dates
- Comments can be added to the activity log, but these comments are not transmitted to FDS unit.

Activity Log

Activity Log Filters

All Agency Education Filer/Agency Filer Status General Review Training Override

Showing 1 to 5 of 5 records

Created Date	Modified Date	Username	Activity	Notes	Status
07/30/2018 12:00:05 PM		FDSBTC	CETC & Seminar Reminder Notices		Completed
04/04/2018 09:13:30 AM		mfunk	Filer Updated		
02/21/2017 09:36:34 AM	02/23/2017 01:43:07 PM	SYSTEM	Online Ethics Orientation	Tested Out	Completed: 02/23/2017
01/28/2016 12:00:00 AM		mfunk	Ethics Seminar/Refresher		Due Date: 01/28/2019
02/11/2016 03:40:42 PM	01/28/2016 12:00:00 AM		CETC		Completed: 01/28/2016

Showing 1 to 5 of 5 records

New Comment

Comment Correspondence

Clear Add

Training Override Tool

- Only used to **correct errors** – not for entering new completion dates. Do **NOT** override prior completion dates with new ones.
- Use pencil icon to edit dates
- Click “Update” to accept changes
- Use “Send Schedule” to send notice to filer of updates to training information

Personal Info History

Modified	Changed Items
02/02/2017 01:38:44 PM	Address 1: [redacted]
03/08/2016 11:11:20 AM	Agency: [redacted]
01/14/2016 01:49:08 PM	NYSDS ID: [redacted]

Activity Log

Previous 1 Next

Date	Username	Activity	Notes	Status
04/14/2017 11:17:33 AM	CASHworth1	Ethics Seminar		Due Date: 09/15/2019
02/21/2017 11:44:30 AM	SYSTEM	Online Ethics Orientation	Tested Out	Completed: 02/23/2017
04/14/2017 11:17:33 AM	CASHworth1	Ethics Seminar	CETC, No CLE Credit	Completed: 09/15/2016
04/14/2017 11:17:11 AM	CASHworth1	CETC	CETC, No CLE Credit	Completed: 05/22/2013

Showing 1 to 4 of 4 records (filtered from 23 total entries)

Showing 1 to 4 of 4 records (filtered from 23 total entries)

Filer's Dashboard

- Filers have “Help” button to e-mail EOs, FDS Unit, and Education Unit
- Filers can see training history and request training extensions
- Filing due dates and contact info for EOs also provided

JCOPE - FDS Dashboard Preferences Record Test (Filer) Logout

Record Test's Dashboard

File FDS 2016 

Open Activity

Previous 12 Next Showing 1 to 10 of 17 records

Date	Activity	Notes	Status
01/05/2018 04:51:22 PM	Filer Updated		
01/05/2018 04:51:03 PM	Filer Updated		
01/05/2018 04:50:49 PM	Filer Updated		
01/05/2018 04:49:55 PM	Filer Updated		
01/05/2018 03:59:55 PM	Filer Updated		
12/20/2017 01:55:47 PM	Admin Override - Filing Due Date	Previous Due Date: 9/13/2017	Due Date: 12/20/2017
12/20/2017 01:55:47 PM	FDS filing	2016	Due Date: 12/20/2017
12/05/2017 11:33:37 AM	FDS Draft Saved	Missing: 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, 17, 18, 19, 20	
11/30/2017 03:40:36 PM	Filer Updated		
11/30/2017 03:39:18 PM	Filer Updated		

Previous 12 Next Showing 1 to 10 of 17 records

Training

All **Upcoming** Complete Showing 1 to 2 of 2 records

Class	Due	Completed	Info
Online Ethics Orientation	01/01/1900	not complete	
Comprehensive Ethics Training Course	01/01/1900	not complete	

Showing 1 to 2 of 2 records

[Training Extension Request](#)

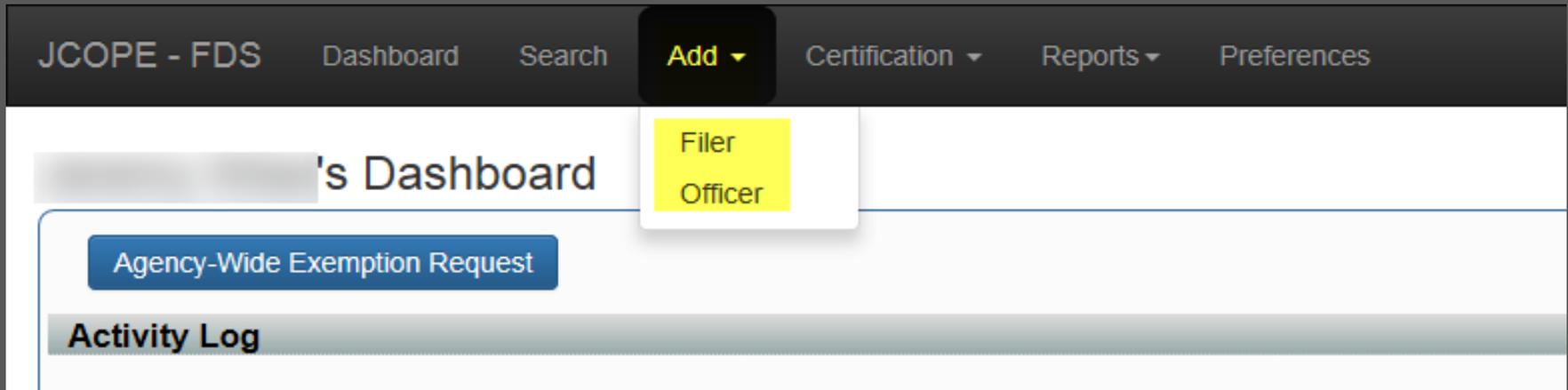
Filing

All FDS Extension Exemption Paper **Filing Due Date: 05/16/2018** **Officer**

Showing 1 to 2 of 2 records

Add Menu

- Add new FDS filers to agency filer list
- Add new Agency Contacts to manage FDS tasks



Adding Filer / Duplicate Records

- When adding a filer, if the system has a possible match, the pop-up below will appear
 - If it is a match, click the icon to the left of the filer's name
 - If it is not a match, click “Create New Filer”

The screenshot shows a web application interface for adding a filer. A pop-up window is displayed over the form, warning of a match. The pop-up contains a table with one record and two buttons: 'Cancel' and 'Create New Filer'. A red arrow points to the 'Create New Filer' button.

Filers were found with match name, email, or ny.gov ID

one or more users were found with the same name, email or ny.gov ID in the system. Understanding that Filer's personal information can change, please verify that the filer you are creating is not one of these people. If the filer you are trying to create is listed below, select to have that filer record updated.

First Name	Last Name	NYSDSID	Email	Address	Agencies
Test 2	Jcope Te	JVolpe1JVolpe@	ethe2@jcope.ny.gov	1/2/3 Someplace Dr. Apt 1	Joint Commission On Public Ethics (19005)

Showing 1 to 1 of 1 records

Buttons: Cancel, Create New Filer

Background form fields (partially visible):
*City: Albany, *State: NEW YORK
*Zip: 12342, *Country: UNITED STATES
*Email: ethel1@test.test
Phone Number: 518-555-4422
*Effective Date: 01/01/2017

Ethics Officer or Agency Contact?

- Both roles have full view/edit permissions
- Multiple EOs and ACs are allowed per agency
- JCOPE creates new EOs in system
- EOs can create new ACs (but ACs can't create other ACs)
- EOs and ACs have to be deleted by JCOPE FDS unit

Certification Menu/FDS Filer Certification

- View and certify Agency Filer list
 - You must select “Academic” or “Non-Academic” button

JCOPE - FDS Dashboard Search Add Certification Reports Preferences (Ethics Officer) Logout

Filer Certification

Certification 2016 Non Academic **Status** Closed **Tools**

FDS Filer Certification
Filer Training Data Entry
Training Officers

*Agency [View Agency Filers](#) Academic Non-Academic

Showing 1 to 11 of 11 records

NYSIDS ID	Name	Email	Designation	Job Title	Salary	Address	Primary Agency	Exemption
			Policy Maker	Member				Not Exempt
			Policy Maker	Exec Director				Not Exempt
			Policy Maker	Gen Counsel				Not Exempt
			Policy Maker	Corp Secy/Chf Admin				Not Exempt
			Policy Maker	Deputy Director				Not Exempt
			Policy Maker	Member				Not Exempt
			Policy Maker	Member				Not Exempt
			Policy Maker	Member				Not Exempt
			Policy Maker	Treasurer				Not Exempt
			Policy Maker	Director				Not Exempt

Showing 1 to 11 of 11 records

[Certify Agency](#)

Certification Menu/Filer Training Data Entry (FTDE)

- Multiple training management screens
- Allows for batch data entry
- Data downloads for reporting

JCOPE - FDS Dashboard Search Add **Certification** Reports Preferences (Ethics Officer) Logout

Filer Training Data Entry

*Agency
Select an agency...

FDS Filer Certification
Filer Training Data Entry
 Training Officers
 View Training Status

*** PLEASE NOTE:**
 Once a filer has completed the CETC For the first time, all ongoing training completion dates must be entered in the Ethics Seminar/Refresher Training screen

(*) Indicates filers who have not completed the CETC and have no ES due date

All Online Ethics Orientation Comprehensive Ethics Training Course *Ethics Seminar / Refresher Training Upcoming

Show 30 entries

Showing 1 to 11 of 11 records

FDS ID	Name	OEO Due	OEO Completed	CETC Due	CETC Completed	Seminar Due	Seminar Completed
<input type="checkbox"/>		12/27/2016	Tested Out	09/28/2018	12/07/2016	12/07/2019	12/07/2016
<input type="checkbox"/>		03/31/2012	Tested Out	12/31/2013	02/13/2017	03/10/2017	02/13/2017
<input type="checkbox"/>		03/31/2013	Tested Out	12/31/2014	02/13/2017	02/03/2018	02/13/2017
<input type="checkbox"/>		03/31/2014	Tested Out	12/31/2015	02/13/2017	09/11/2017	08/15/2017
<input type="checkbox"/>		03/31/2012	Tested Out	12/31/2013	03/01/2017	03/10/2017	03/01/2017
<input type="checkbox"/>		03/31/2012	Tested Out	12/31/2013	03/01/2017	03/10/2017	03/01/2017
<input type="checkbox"/>		03/31/2012	Tested Out	12/31/2013	03/01/2017	03/10/2017	03/01/2017
<input type="checkbox"/>		03/31/2012	Tested Out	12/31/2013	03/01/2017	03/10/2017	03/01/2017
<input type="checkbox"/>		04/01/2015	Tested Out	12/31/2016	03/01/2017	03/10/2017	03/01/2017
<input type="checkbox"/>		03/31/2014	Tested Out	12/31/2015	12/07/2016	11/14/2016	12/07/2016
<input type="checkbox"/>		03/31/2012	Tested Out	12/31/2013	12/07/2016	06/20/2016	12/07/2016

Showing 1 to 11 of 11 records

FTDE: OEO View

- May be used to enter OEO completion dates
- Select filer, enter date at bottom, click “Enter” button

JCOPE - FDS Dashboard Search Add Certification Reports Preferences (Ethics Officer) Logout

Filer Training Data Entry

*Agency [View Training Status](#)

*** PLEASE NOTE:**
Once a filer has completed the CETC For the first time, all ongoing training completion dates must be entered In the Ethics Seminar/Refresher Training screen
(*) Indicates filers who have not completed the CETC and have no ES due date

All Online Ethics Orientation Comprehensive Ethics Training Course *Ethics Seminar / Refresher Training Upcoming [Edit](#)

[Print](#) [Download](#)

Show entries

FDS ID	Name	OEO Due	OEO Completed
<input type="checkbox"/>		12/27/2016	Tested Out
<input type="checkbox"/>		03/31/2012	Tested Out
<input type="checkbox"/>		03/31/2013	Tested Out
<input checked="" type="checkbox"/>		03/31/2014	Tested Out
<input type="checkbox"/>		03/31/2012	Tested Out
<input type="checkbox"/>		03/31/2012	Tested Out
<input type="checkbox"/>		03/31/2012	Tested Out
<input type="checkbox"/>		03/31/2012	Tested Out
<input type="checkbox"/>		04/01/2015	Tested Out
<input type="checkbox"/>		03/31/2014	Tested Out
<input type="checkbox"/>		03/31/2012	Tested Out

Showing 1 to 11 of 11 records

Completion Date [Enter](#)

FTDE: CETC View

- For recording the date a new filer completed the CETC for the **FIRST TIME** only!
- Enter date, indicate CLE credit, click “Enter”
- “Edit” button can be used to edit incorrect dates

JCOPE - FDS Dashboard Search Add ▾ Certification ▾ Reports ▾ Preferences (Ethics Officer) Logout

Filer Training Data Entry

*Agency: [View Training Status](#)

*** PLEASE NOTE:**
Once a filer has completed the CETC For the first time, all ongoing training completion dates must be entered In the Ethics Seminar/Refresher Training screen

(*) Indicates filers who have not completed the CETC and have no ES due date

All Online Ethics Orientation Comprehensive Ethics Training Course *Ethics Seminar / Refresher Training Upcoming [Edit ▾](#)

[Print](#) [Download](#)

Show entries

FDS ID	Name	CETC Due	CETC Completed	CLE Credit
<input type="checkbox"/>		09/28/2018	12/07/2016	
<input type="checkbox"/>		12/31/2013	02/13/2017	
<input type="checkbox"/>		12/31/2014	02/13/2017	
<input checked="" type="checkbox"/>		12/31/2015	02/13/2017	
<input type="checkbox"/>		12/31/2013	03/01/2017	
<input type="checkbox"/>		12/31/2013	03/01/2017	
<input type="checkbox"/>		12/31/2013	03/01/2017	
<input type="checkbox"/>		12/31/2013	03/01/2017	
<input type="checkbox"/>		12/31/2016	03/01/2017	
<input type="checkbox"/>		12/31/2015	12/07/2016	
<input type="checkbox"/>		12/31/2013	12/07/2016	

Showing 1 to 11 of 11 records

Showing 1 to 11 of 11 records

*Completion Date:

*Credit:

Enter ←

FTDE: Ethics Seminar/Refresher View

- Records all refresher training, both CETC & ES
- “Class Type” indicates which class completed

Filer Training Data Entry

*Agency

Select an agency...

View Training Status

* PLEASE NOTE:

Once a filer has completed the CETC For the first time, all ongoing training completion dates must be entered In the Ethics Seminar/Refresher Training screen

(*) Indicates filers who have not completed the CETC and have no ES due date

All Online Ethics Orientation Comprehensive Ethics Training Course *Ethics Seminar / Refresher Training Upcoming



Print Download

Show 30 entries

FDS ID	Name	Seminar Due	Seminar Completed	Class Name	CLE Credit	Next Refresher Due
<input type="checkbox"/>		12/07/2019	12/07/2016	Ethics seminar		12/07/2019
<input type="checkbox"/>		03/10/2017	02/13/2017	Ethics seminar		02/13/2020
<input type="checkbox"/>		02/03/2018	02/13/2017	Ethics seminar		02/13/2020
<input type="checkbox"/>		09/11/2017	08/15/2017	Ethics seminar		08/15/2020
<input type="checkbox"/>		03/10/2017	03/01/2017	CETC		03/01/2020
<input type="checkbox"/>		03/10/2017	03/01/2017	CETC		03/01/2020
<input type="checkbox"/>		03/10/2017	03/01/2017	CETC		03/01/2020
<input type="checkbox"/>		03/10/2017	03/01/2017	CETC		03/01/2020
<input type="checkbox"/>		03/10/2017	03/01/2017	CETC		03/01/2020
<input type="checkbox"/>		11/14/2016	12/07/2016	CETC		12/07/2019
<input type="checkbox"/>		06/20/2016	12/07/2016	CETC		12/07/2019

Showing 1 to 11 of 11 records

Showing 1 to 11 of 11 records

Ethics training is an on-going requirement. Refresher training is due every three years. The CETC or the JCOPE Ethics Seminar satisfies the ethics refresher requirement

Please indicate below which course the filer(s) took to satisfy refresher training by selecting the check box with the appropriate class name.
If a filer is also an attorney who received CLE credits, choose the "CLE Credit Issued" option below.

*Class Type: CETC
*Completion Date: 09/22/2017
*Credit: No CLE Credit

Enter

FTDE: Upcoming View

- Allows you to monitor past due & upcoming training due dates
- Click “Due Date” column to sort - Overdue dates in red
- Download data to create an email distribution list for your filers

JCOPE - FDS Dashboard Search Add ▾ Certification ▾ Reports ▾ Preferences (Ethics Officer) Logout

Filer Training Data Entry -

*Agency [View Training Status](#)

*** PLEASE NOTE:**
Once a filer has completed the CETC For the first time, all ongoing training completion dates must be entered In the Ethics Seminar/Refresher Training screen
(*) Indicates filers who have not completed the CETC and have no ES due date

All Online Ethics Orientation Comprehensive Ethics Training Course *Ethics Seminar / Refresher Training Upcoming

Show entries

Name	Email	Class Type	Due Date
	.ny.gov	Ethics Seminar / Refresher Training	01/28/2019
	.ny.gov	Ethics Seminar / Refresher Training	01/28/2019
	.ny.gov	Ethics Seminar / Refresher Training	01/05/2020

Showing 1 to 3 of 3 records

Showing 1 to 3 of 3 records

[Print](#) [Download](#)

Certification Menu/Training Officers

- Indicates who is actually managing the admin details of training
- FDS officer with Training Indicator gets training notices
- Must have at least one FDS officer with indicator on

The screenshot shows the JCOPE - FDS interface. The top navigation bar includes 'Dashboard', 'Search', 'Add', 'Agencies', 'Certification', 'Admin', 'Reports', and 'Preferences'. The 'Certification' menu is open, showing options: 'FDS Filer Certification', 'Filer Training Data Entry', and 'Training Officers'. A red arrow labeled '1' points to the 'Certification' menu. Below the menu, the 'Training Officer Settings' section is visible. It features a dropdown menu for '*Agency' with the text 'Select an agency...' and a 'Select' button. A red arrow labeled '2' points to the 'Select' button. Below this is a paragraph of text explaining the Training Indicator function. At the bottom, there is a table with columns for 'Officer', 'Email', and 'Training'. The 'Training' column contains two toggle switches, one of which is turned on. A red box highlights the 'Training' column, and a red arrow labeled '3' points to the bottom of this box.

JCOPE - FDS Dashboard Search Add Agencies Certification Admin Reports Preferences

Training Officer Settings

*Agency
Select an agency...

This Training Indicator function will allow you to determine which Ethics Officers and/or Agency Contacts should be automatically notified of certain training activities in the FDS System. By default, the training indicator is turned on for any AC or EO who has entered training completion dates into the system. "On - Yes" means that person will receive determination notices for filers who request training extensions, as well as delinquency notices for filers who miss training deadlines. General information notices related to ethics training will also be sent to those who have the training indicator on. There must be at least one EO or AC designated to receive these notices.

Officer	Email	Training
	@: .ny.gov	<input checked="" type="checkbox"/>
	@: .ny.gov	<input type="checkbox"/>

Reports Menu: Active/Inactive Filers

- Lists all active (non-exempt) or inactive filers
- Report is able to be downloaded and printed

JCOPE - FDS Dashboard Search Add ▾ Certification ▾ **Reports ▾** Preferences

(Ethics Officer) Logout

Active/Inactive Filers Report

List of all Active, non-exempt filers within a specific agency.

*Choose Filers *Agency

Active Inactive

[Run Report](#) [Print](#) [Download](#)

Showing 1 to 3 of 3 records

FDS ID	NYSIDS ID	Name	Email	Designation	Salary	Job Title	Primary Agency	Job Status
			.ny.gov	Executive Officer		Director (2815802)		Active
			.ny.gov	Policy Maker		Policy Analyst 4 (1771400)		Active
			.ny.gov	Policy Maker		Policy Analyst 4 (1771400)		Active

Showing 1 to 3 of 3 records

Reports Menu: Agency Report

- Lists all active filers in agency
- Provides additional information about active filers
- Report is able to be downloaded and printed

JCOPE - FDS Dashboard Search Add ▾ Certification ▾ **Reports ▾** Preferences (Ethics Officer) Logout

Agency Report

List of all active filers within a specific agency.

*Agency

[Run Report](#) [Print](#) [Download](#)

- Active/Inactive Filers
- Agency Report**
- Ethics Officer Filers List

FDS ID	NYS DS ID	NYS Emp ID	Name	Email	Designation	Job Title	Salary	Address	Primary Agency	Exemption
	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> .ny.gov	Executive Officer	Director (2815802)	<input type="text"/>	<input type="text"/>	<input type="text"/>	Not Exempt
	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> .ny.gov	Policy Maker	Policy Analyst 4 (1771400)	<input type="text"/>	<input type="text"/>	<input type="text"/>	Not Exempt
	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> .ny.gov	Policy Maker	Policy Analyst 4 (1771400)	<input type="text"/>	<input type="text"/>	<input type="text"/>	Not Exempt

Showing 1 to 3 of 3 records

Showing 1 to 3 of 3 records

Reports Menu: Ethics Officer Filers List

- Lists all active filers within a specific date range

JCOPE - FDS Dashboard Search Add Certification Reports Preferences (Ethics Officer) Logout

Ethics Officer Filers List

List of all active filers within a specific agency.

*Agency:

*Date Range: 01/01/2018 TO 12/31/2018

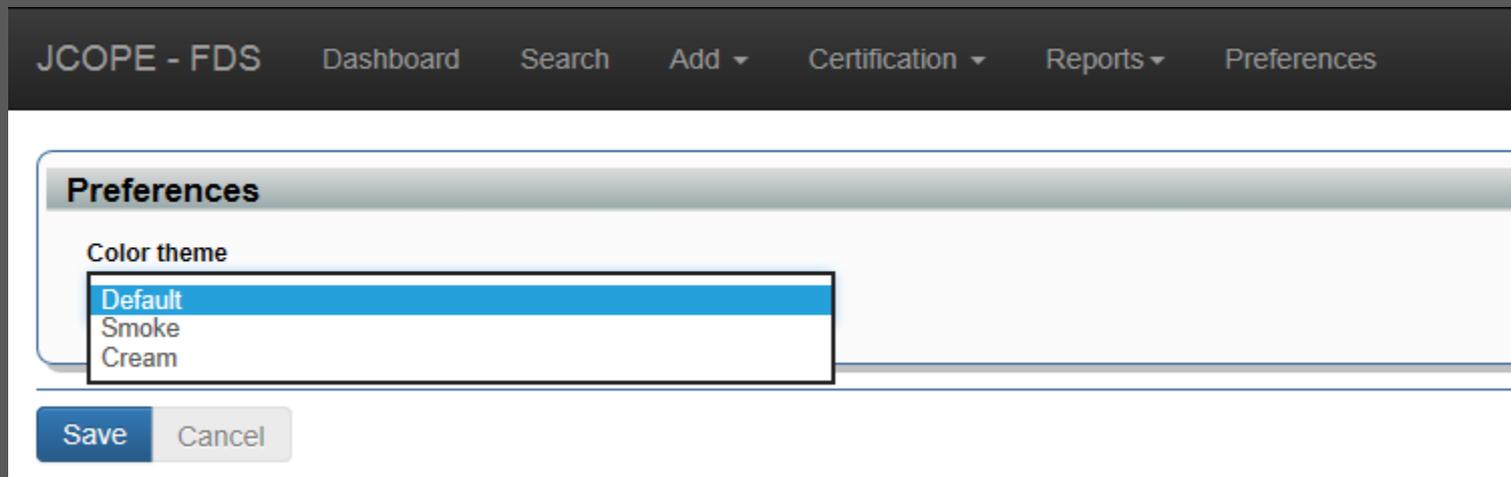
Run Report Print Download

FDS ID	NYSIDS ID	Date	Name	Email	Designation	Job Title	Salary	Address	Primary Agency	Exemption
		4/4/2018 9:13:30 AM		.ny.gov	Policy Maker	Policy Analyst 4 (1771400)				Not Exempt

Showing 1 to 1 of 1 records

Preferences Menu

- Allows you to change the color scheme
- May be used for future system enhancements



The screenshot shows a web application interface with a dark navigation bar at the top containing the text "JCOPE - FDS" and several menu items: "Dashboard", "Search", "Add", "Certification", "Reports", and "Preferences". Below the navigation bar, a "Preferences" dialog box is open. The dialog has a title bar labeled "Preferences" and a section titled "Color theme". A dropdown menu is open, showing three options: "Default" (highlighted in blue), "Smoke", and "Cream". At the bottom of the dialog, there are two buttons: "Save" (in blue) and "Cancel" (in grey).

JCOPE CONTACT INFORMATION

**FOR ALL INQUIRIES, CALL:
1-800-87-ETHICS or (518) 408-3976**

**FOR FDS QUESTIONS, E-MAIL US AT:
ethel@jcope.ny.gov**

**FOR TRAINING QUESTIONS, E-MAIL US AT:
education@jcope.ny.gov**