FDS SYSTEM USER GUIDE: NAVIGATING THE FDS ONLINE FILING SYSTEM

January 2020

ETHICS OFFICER

Table of Contents

Access to the JCOPE FDS Online Filing System

All users **must** have a New York State Directory Services (NY.gov) account to access the FDS online filing system (FDS System). If an agency-issued Directory Services Account is not available, users will need to create a personal account.

Ethics Officers must e-mail JCOPE their Directory Services account username to ethel@jcope.ny.gov in order to gain access to the FDS System **PRIOR** to logging in for the first time. Ethics Officers will receive an e-mail response when their Directory Services Account is linked to the FDS System.

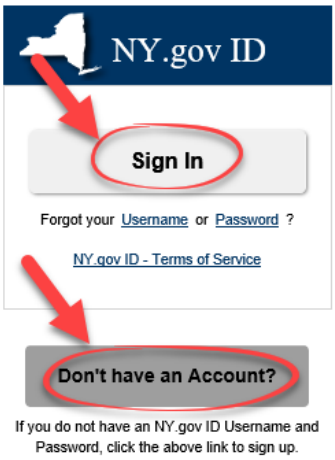
How to obtain a Directory Services (NY.gov) account: Many State agencies automatically create Directory Services Accounts for new employees. If your agency does not, employees will need to create a personal Directory Services Account.

- State Employee filers: If they do not have a Directory Services account, contact your human resources administrator to inquire about availability. If your agency does not issue Directory Services Accounts, direct these employees to create a personal account.
- SUNY filers: use the SUNY ID that starts with "SUNY" – this grants access to their Directory Services Account.
- CUNY filers: create a personal Directory Services account
- Authorities, Boards, & Commissions: If an agency-issued Directory Services Account is not available, please direct these filers to create a personal Directory Services account

Please Note:
SUNY Employees must use the SUNY Portal to gain access to the FDS System.

First Steps

1. Go to https://my.ny.gov/
2. Click **"Sign-In"** or use "Forgot your Username or Password?" to look up account information
3. Enter your **"Username"** and **"Password"** in the appropriate fields
4. Click **"Sign-In" -or-** For users who do not have an agency-issued account, click **"Don't have an Account?"** to create one.

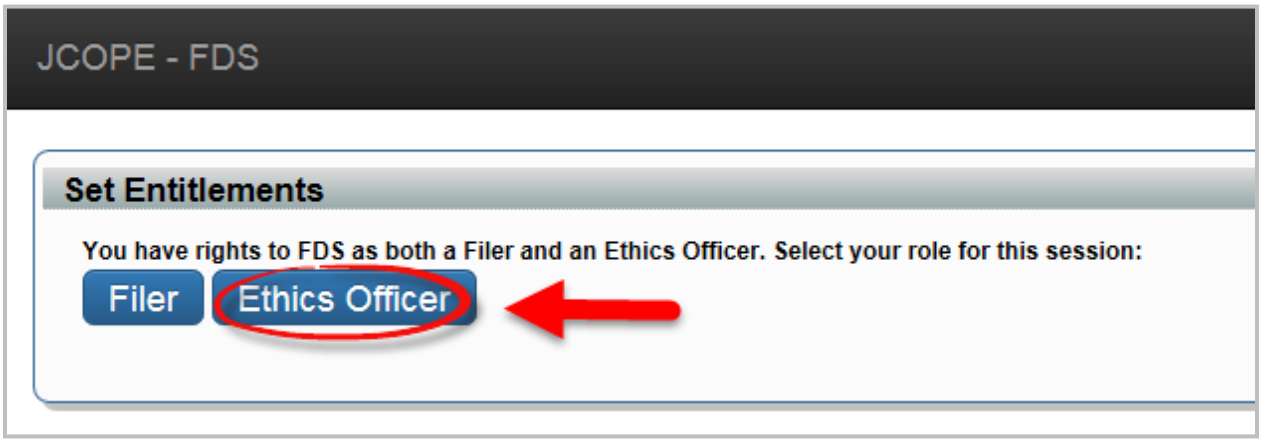


5. Select **"JCOPE Financial Disclosure System FDS"**

Ethics Officers who are also FDS Filers

Ethics Officers who are also required to file Financial Disclosure Statements (FDS Filers) are prompted to select a role when logging into the FDS System.

- ➔ To file or make changes to your personal FDS Filings, select **"Filer"**
- ➔ To manage your agency FDS filers, select **"Ethics Officer"**



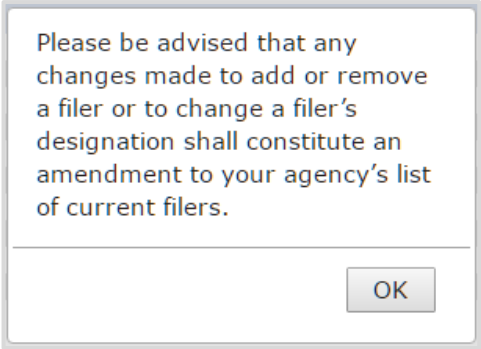
Ethics Officers and filers can access the FDS System two ways:

1. Go to https://my.ny.gov/ and log in to your NYS Directory Services Account (this is where you can also lookup a forgotten username or password.) - Or -
2. The JCOPE website at www.jcope.ny.gov under the **"Financial Disclosure"** menu.

Ethics Officer Dashboard

Welcome Message:

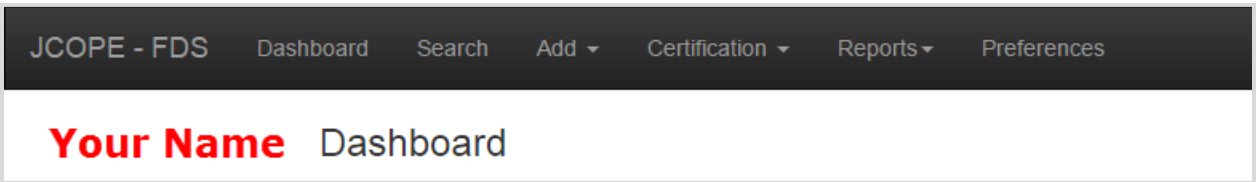
Every time an Ethics Officer or Agency Contact logs into the FDS System, it will generate the following pop-up message. You must click "OK" to gain access to the Ethics Officer Dashboard.



What is a dashboard?

A dashboard is a visual display that organizes and tracks the most commonly used information in a format that fits entirely on a single computer screen.

The Ethics Officer Dashboard has two areas of navigation; **main** and **sub navigation**. **Main navigation** is distinguished by the dark gray bar, ***see below***.

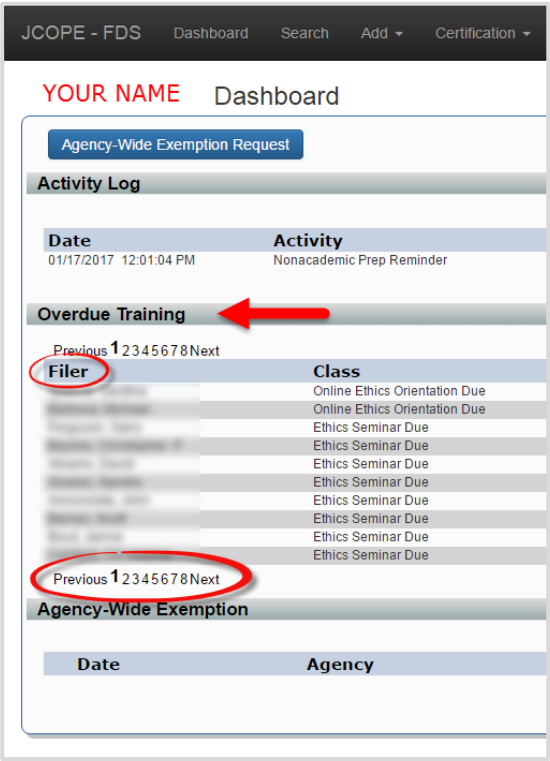


Sub navigation Menu

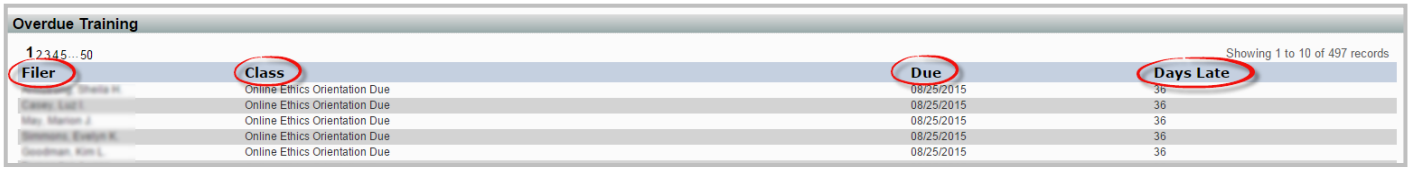
The Ethics Officer Dashboard is built to easily organize and track the following categories of data within each of the following sub navigation menus:

- Open Activity
- Upcoming Filing
- Activity Log
- Overdue Training
- Agency-Wide Pending Exemption Requests

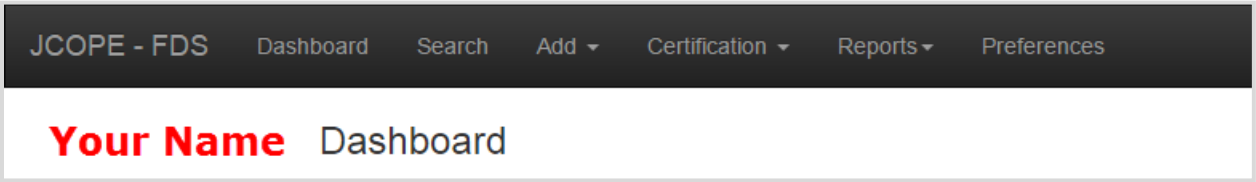
To view the data within each of these sub navigation menus, click the corresponding light grey column bar to expand the data. Click the grey column bar again to collapse and hide the data. To view results that span more than one page, click the page numbers.



PRO TIP: Column headings can be filtered to display information alphabetically or in ascending or descending order. Click any column heading to filter results. ***See below***.



Main Navigation Menu



The "**Main Navigation Menu**" gives access to all of the primary functions of the FDS System.

- The **"JCOPE – FDS"** and the **"Dashboard"** menu options both direct you to the main dashboard page (the initial page you view every time you log into the FDS System).

- The **"Search"** button allows you to search for FDS Filers within your agency/entity.

- The **"Add"** drop-down menu allows you to add a new FDS Filer to your agency or add a new Agency Contact that grants agency staff administrative rights to your agency's FDS records.

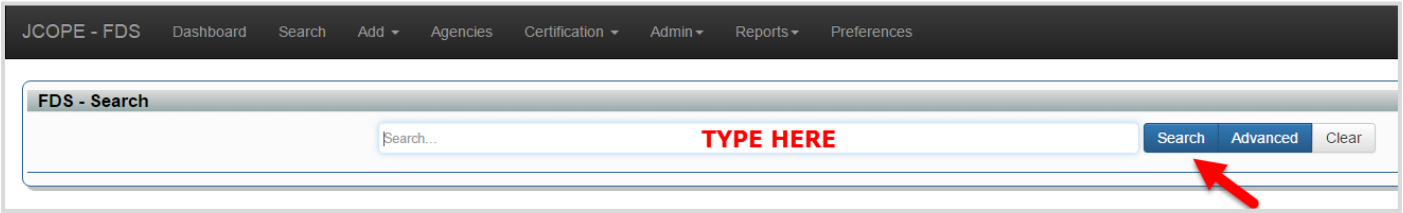
- The **"Certification"** drop-down menu allows you to notify JCOPE of any new FDS Filers in your agency, view and enter training information, and assign who in your agency will receive training-related notices.

- **"Reports"** provides an array of reports including an agency report of all active filers (FDS Filers who have not left state service and are not on leave) within a specific agency.

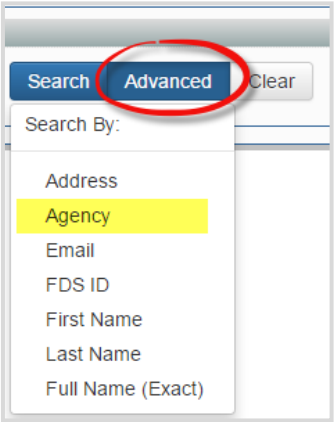
- **"Preferences"** menu – allows you to select your default color scheme.

PRO TIP: Form fields and menu items that contain a symbol of an upside-down triangle indicate a ▼ drop-down menu. Clicking on the symbol will expand or collapse the drop-down menu.

Search: Finding FDS Filers

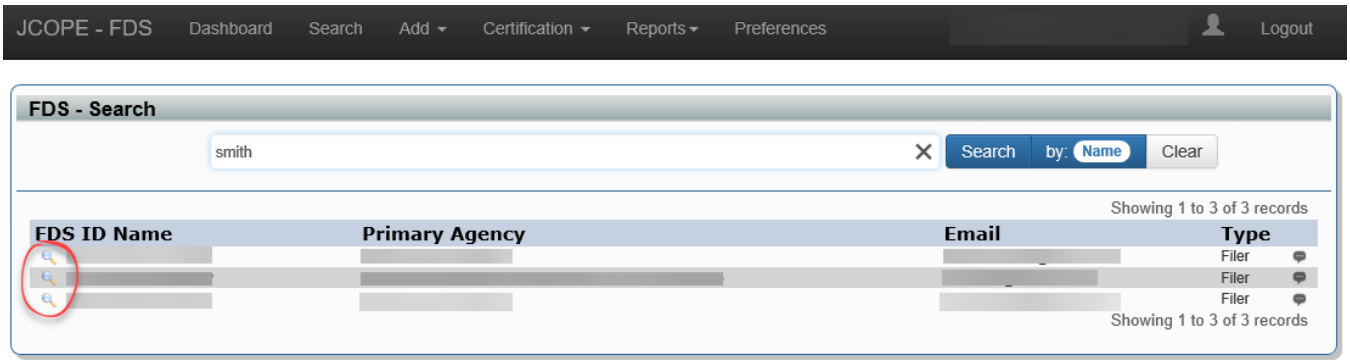


1. To search for an FDS Filer, click the **"Search"** button from the main navigation menu.
   - ➔ You can search for an FDS Filer by typing the Filer's last name; or
   - ➔ Click the **"Advanced"** button to search by: Address, Agency, Email, FDS ID, First Name, Last Name, or Full Name (Exact).



2. Click the **"Search"** button to find the filer.

3. To select and view the information of any FDS Filer, click the magnifying glass icon under the **"FDS ID"** column. You will be taken directly to the filer's profile.



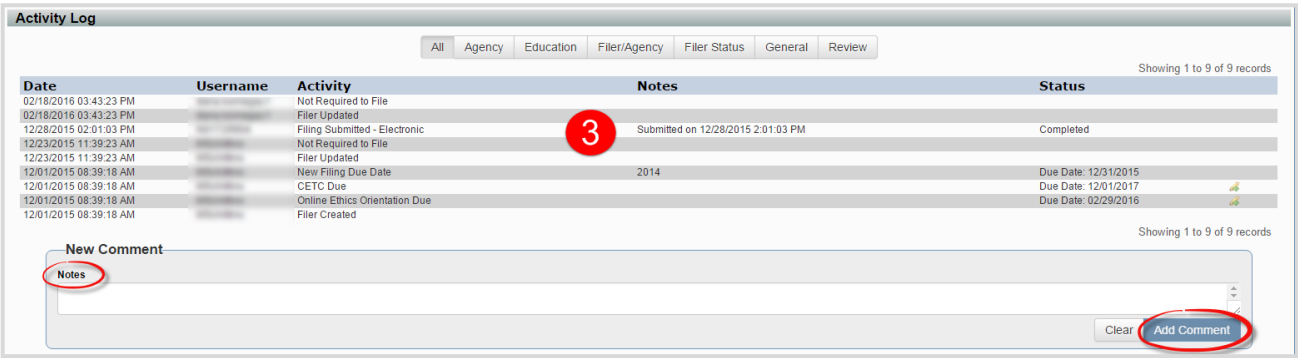
FDS Filer Dashboard

The profile of a filer is displayed on a dashboard which is broken down into four distinct sub navigation menus. To expand or collapse any of the sub navigation menus, click the appropriate light gray column bar.

1. **Filer and Agency** – At the top of the filer profile, the Filer and Agency sections display the FDS Filer contact information and information regarding a filer's primary and any applicable secondary agencies.

2. **Personal Info History** – displays recent changes to the filer's profile page including changes to contact information and employment.

3. **Activity Log** – a list of tasks or system activities that are associated with the FDS filer.



The Activity Log can easily be filtered by selecting and unselecting any of the sub categories. To filter results, click any of the sub category buttons shown below.

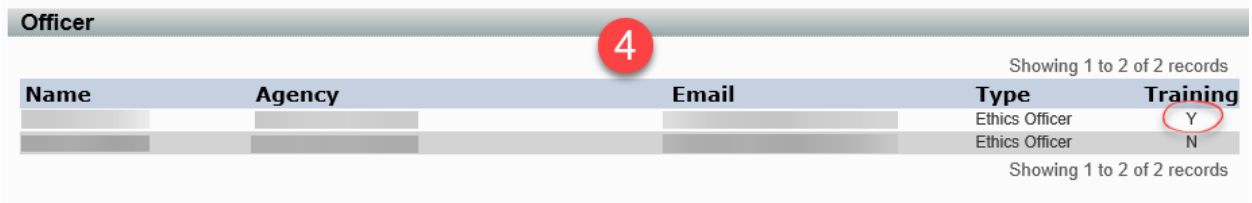
Adding Comments in the Activity Log:

As an Ethics Officer or Agency Contact, you may also write comments that will appear on the Activity Log. To add a new comment, type in the **"New Comment"** field and click **"Add"** when finished.

Please do not use the comments section as a means to notify JCOPE of filer changes. Comments are for additional information only. Please make all filer updates in the appropriate section of the filer's profile.

If there is an issue with a filer's account, DO NOT enter a comment, instead contact the JCOPE FDS help desk for assistance.

4. **Officer** – displays the contact information of the FDS filer's agency Ethics Officers. The "Training" indicator column is set to "Y" for any Ethics Officer or Agency Contact who has the Training Indicator on. This helps distinguish between FDS Officers (Ethics Officers and Agency Contacts) who primarily work with FDS filer data (generally personnel updates) versus those FDS Officers who primarily manage training compliance for filers. FDS Officers with the Training Indicator on will receive routine training notices from the FDS System. Ethics Officers and Agency Contacts can change the Training Indicator setting in the Certification menu.



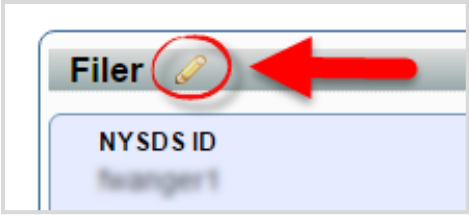
Updating an existing FDS Filer

1. Find the profile of the FDS Filer by using the **"Search"** function located on the main navigation menu.

2. To go to the profile of the filer you wish to update, click the magnifying glass icon under the **"FDS ID"** column next to the name of the FDS Filer.

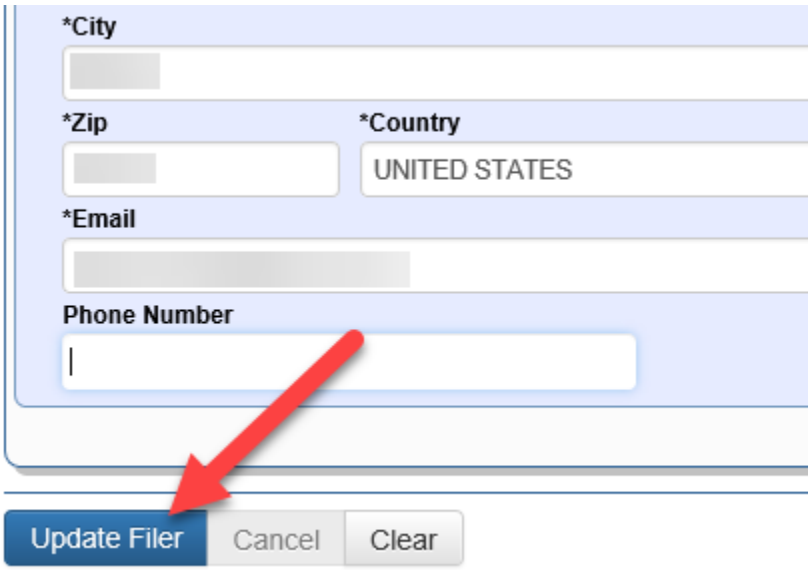
➔ Steps to edit existing filer information for the "Filer" column

1. To edit and update an FDS Filer's profile, click the pencil icon in the gray **"Filer"** column located at the top left-hand corner of the screen.



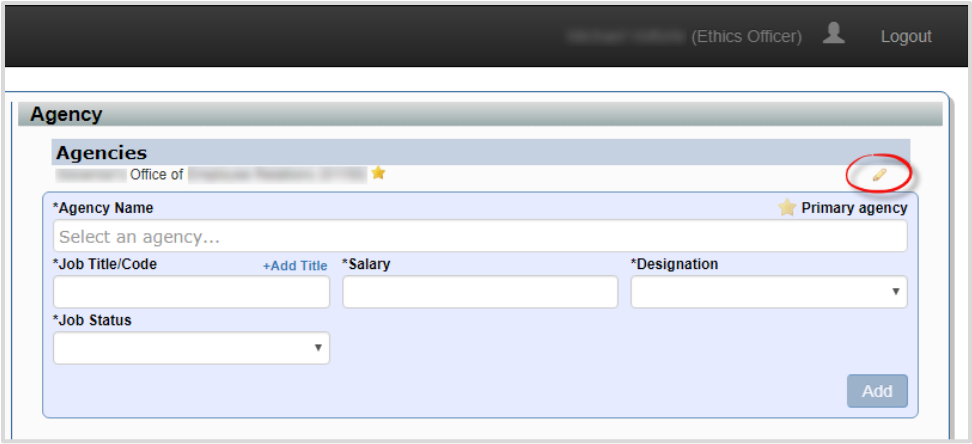
2. Update the Filer's contact information in the appropriate fields under the **"Filer"** column heading. Note: fields with an * (asterisk) are required fields.

3. Click "**Update Filer**" in the lower-left of the filer column to keep changes.



➔ Steps to edit existing Agency information for the "Agency" column

1. Click the pencil icon next to the name of the agency you want to edit information for.



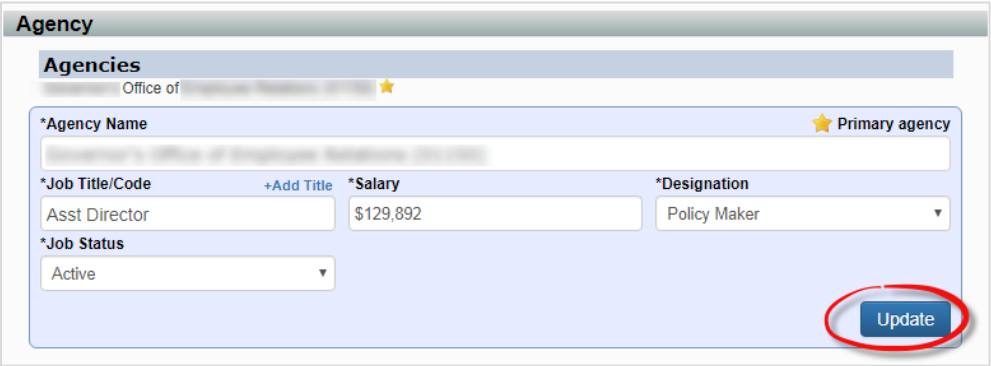
2. Existing information regarding the filer will automatically populate. You may edit Agency, Job Title, Salary, Designation, or Job Status.

Note: Information contained in the Job Title, Salary, Designation, and Job Status fields may affect the filer's status as an active filer. Please verify the accuracy of this information before making changes.

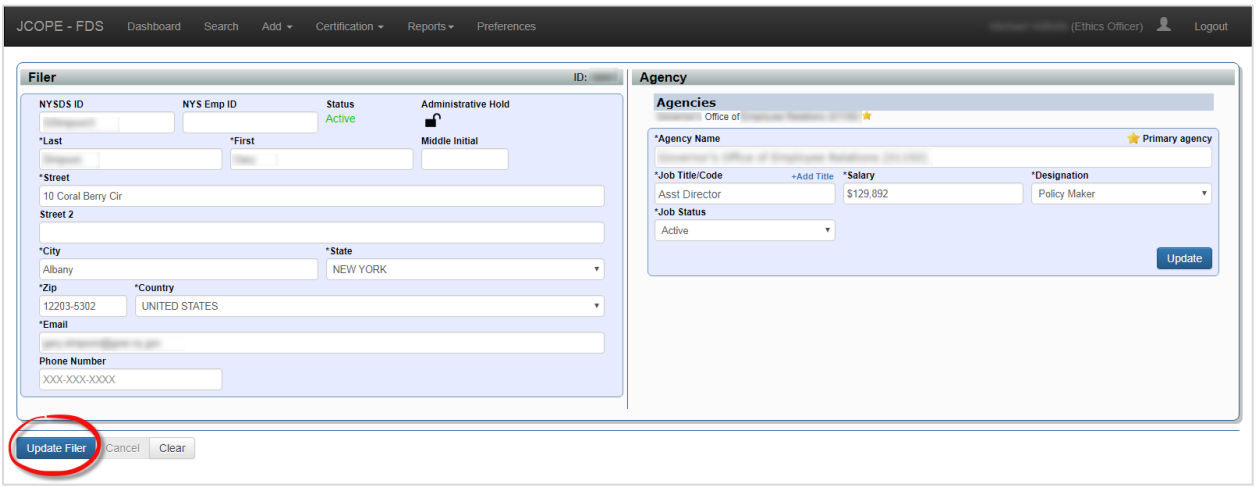
Job Status changes include retirement, leaving employment at your agency, and leaves of absence. These changes will also require you to **enter an effective date** of the Job Status change.

- **After a filer returns from leave, the Job Status must be updated again.** This will allow the system to automatically adjust ethics training due dates and resume filer notifications.

3. Once you have completed your edits, click "**Update**" to save your changes to the **Agency** section of the filer profile.



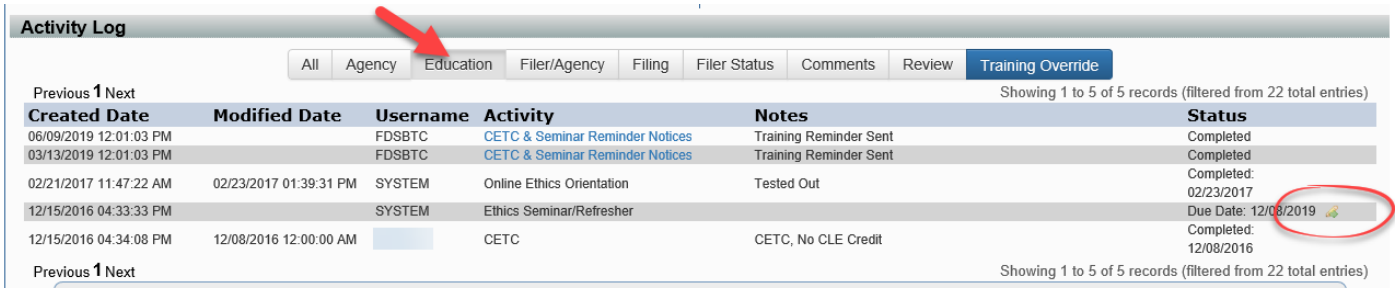
4. Click **"Update Filer"** to save all changes made to the filer's profile.



Steps to enter training completion dates from a filer's dashboard

Training completion dates are entered in the "Activity Log" section of the filer's dashboard. This is the preferred method for entering training completion dates when you only have an occasional training update. Any errors found in a filer's training history are also best corrected directly from a filer's dashboard.

1. Click the **"Education"** button located within the **"Activity Log"** to filter the results to just show training information.



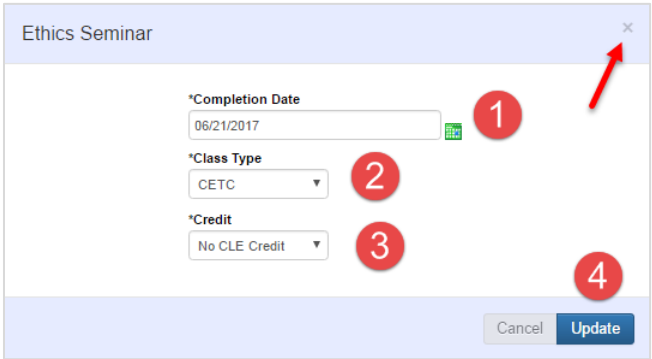
2. A **"pencil/green arrow"** icon located under the **"Status"** column will appear for any class with an open due date. Click this icon to enter a completion date. A pop-up window will allow you to enter information for the course selected.

3. Click the **"calendar"** icon to select the training completion date, or manually type the date using mm/dd/yyyy format**. (See 1 below)**

4. Select class type using the drop-down menu. For recording completion dates of filers who have completed the Ethics Seminar/Refresher training, indicate which course (CETC or Ethics Seminar) the filer completed to satisfy their on-going refresher training requirement. **(See 2 below)**

5. Indicate whether filer has received CLE credit, by using the **"*Credit"** drop down box. **(See 3 below)**

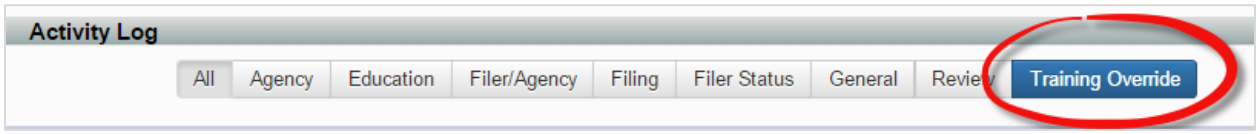
6. Click **"Update"** to save changes. **(See 4 below)** To cancel changes, click the **"X"** located at the top right corner of the pop-up screen.



Correcting training information using the "Training Override" tool

The "Training Override" tool allows Ethics Officers and Agency Contacts to **correct errors in training activities**. You can modify due dates and completion dates, add or delete class activities, manually mark the OEO class as "tested out," and modify the CLE credit status of a completed class. You may also send an e-mail with updated training information directly to the filer.

The training override feature can be found on the filer's dashboard in the Activity Log section, by clicking the dark blue "Training Override" button.



Modifying due dates, completion dates and CLE Credit

The override tool allows you to modify due dates and completion dates or delete a class entirely.

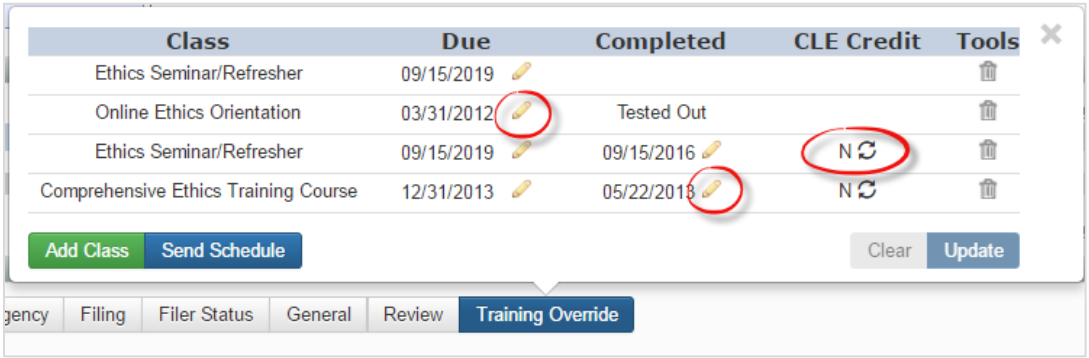
1. To modify dates, click the **"pencil"** icon next to the date you wish to change.

2. Enter dates according to the date format XX/XX/XXXX or by using the calendar feature.

3. To update CLE credit, click the N symbol. N indicates no CLE credit was given, Y indicates CLE credit was issued. CLE credits are only available to state-employed attorneys. JCOPE offers CLE credits to attorney filers who attend training at JCOPE. Filers may receive CLE credit from their respective agency if their agency is an accredited CLE provider and has been granted permission by the CLE board to issue credit for a JCOPE course. CLE credit may only be issued **once per filer, per class** for attending either the CETC or Ethics Seminar.

4. Click **"Update"** to save changes.

5. To delete a class, click the "**trash can**" icon found in the "Tools" column.

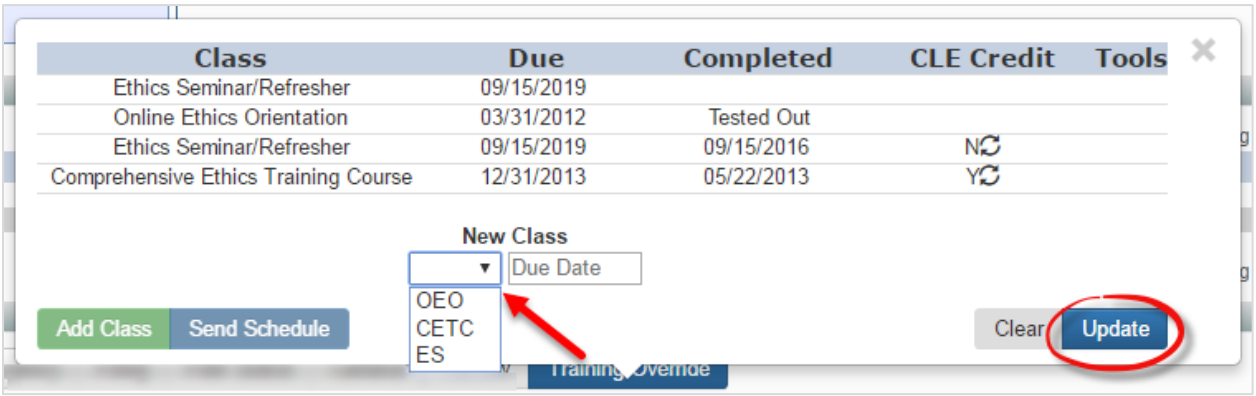


Adding missing class activities

If a filer is missing a class activity (Online Ethics Orientation, Comprehensive Ethics Training Course, or Ethics Seminar), you may manually add these classes using the override tool. There should never be more than one OEO and CETC class on a filer's profile.

1. Click the **"Add Class"** button.

2. Select the class you wish to add using **"New Class"** drop down menu.



3. Select OEO, CETC, or ES. You will need to manually calculate the due date of each class entered.

   - The OEO is due 90 days from the date the filer was added to the FDS System.
   - The CETC is due two years from the date the filer was added to the system.
   - The ES is due three years from the date a filer last completed the CETC or ES.

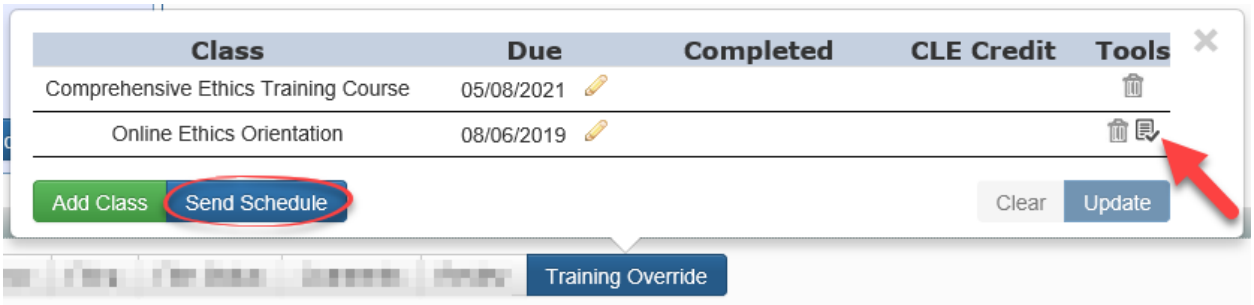
     - The Ethics Seminar/Refresher is an ongoing refresher training requirement. Once a filer has completed an initial ES/R, a subsequent ES/R with a new due date will appear. The ES/R is due every three years from the last time a filer has completed an ES/R.

4. Once the new class is created, enter the training completion date (if applicable) using the **"pencil"** icon in the Activity Log section of the filer's dashboard. **Completion dates can not be entered in the Training Override box.**

“Testing Out” filers for the Online Ethics Orientation

“Tested Out” indicates that a filer is no longer required to take the OEO because they have already completed the CETC. The system automatically “tests out” the OEO when a CETC completion date is entered. This function is generally only used to correct training records that require manual adjustments.

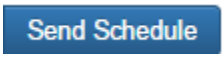
1. To “Test Out” a filer from the OEO, click the **“clipboard”** icon under the "Tools" column. 



Sending a updated “training schedule” courtesy e-mail

Any time a training completion date is entered for any class, an automated courtesy e-mail is sent to the filer confirming their completion status and informing them of their next training due date.

If you made an error in data entry and correct it using the training override tool, a new e-mail notice is **NOT** automatically sent. The “Send Schedule” function in the Training Override allows you to manually notify the filer of changes made to their training records.

1. To send an updated training schedule, click **"Send Schedule"** 

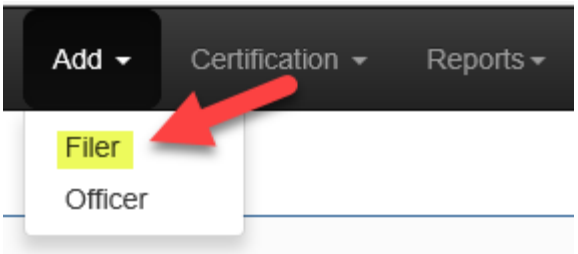
> **Please note:** You may need to refresh your browser page to view any changes made using the training override tool.

Add Menu

Adding a New FDS Filer

Before adding a "NEW" filer, please search existing filers in your agency to see if the filer already has a profile in the system. If they are already in the system as "Inactive," follow instructions for updating an existing filer.

Ethics Officers should notify their employees of their new FDS Filing status PRIOR to entering their information into the FDS System. As soon as a new filer profile is created, the FDS System automatically generates courtesy e-mails to inform filers of their mandatory training requirements.



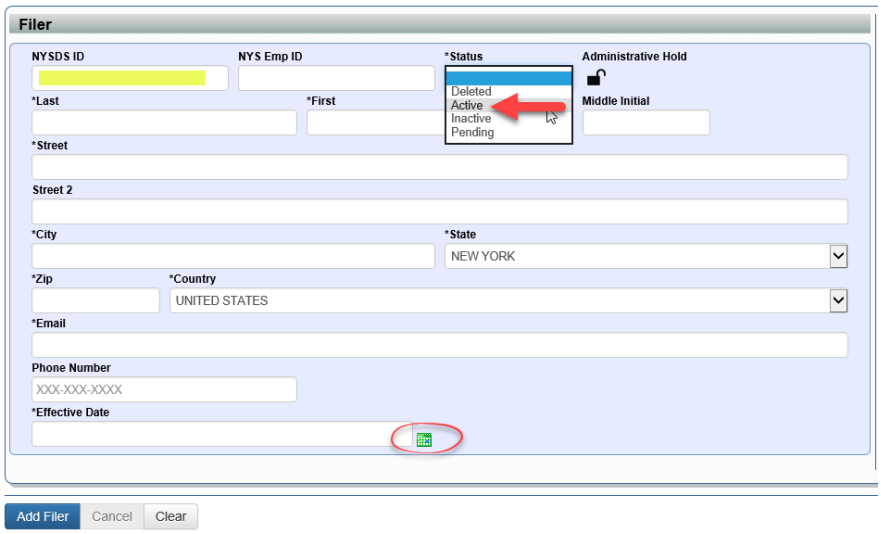
The **Add Filer** function is split into two main column headings, "Filer" and "Agency."

Note: when entering information, fields marked with an * (asterisk) are required fields.

TO BEGIN: From the **"Add"** Main Menu select **"Filer"**

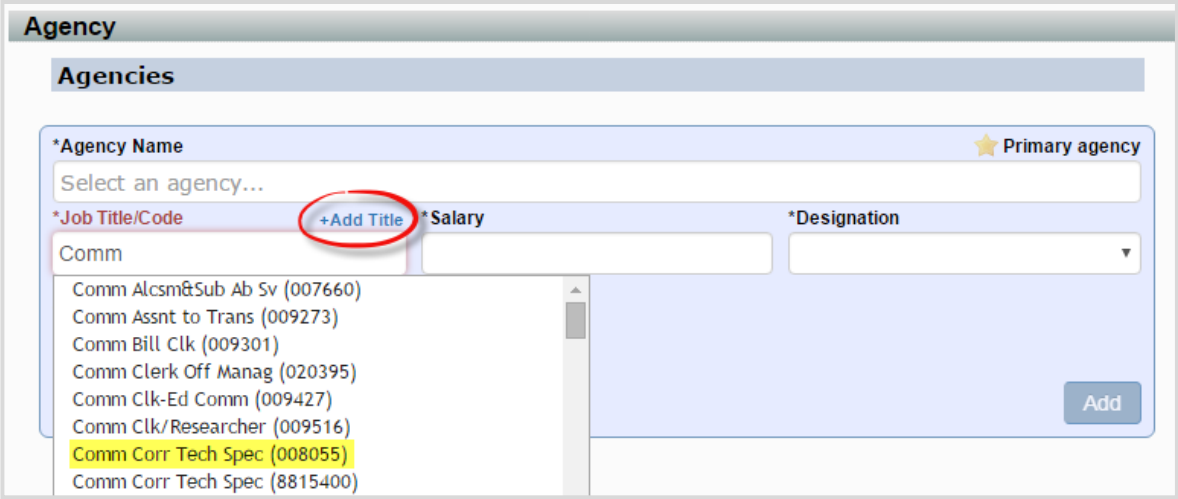
➔ **Steps for the "Filer" Column**

1. Enter all applicable information for the new filer in the appropriate fields.
2. The **"NYSDS ID"** is the person's NYS Directory Services Account username. **This field is required to grant filer access to FDS System.**
3. In the **"Status"** drop-down menu, select **"Active"**
4. Select the Effective Date by clicking the green calendar icon.



➔ **Steps for the "Agency" column**

5. Enter a **Job Title/Code** by entering the first few letters of the job title name or title code, if known. A drop-down menu of job title names will appear. Be alert for abbreviations of known titles. Scroll through the title list and select a title from the drop-down menu or enter the title code number if



known.

6. If the Job Title name is **<u>not found</u>** in the drop-down menu, please consult with the FDS Help Desk prior to adding a new title. If instructed to do so, click the "**+Add Title**" link and enter the "**Job Title**" name and click "**Submit.**"

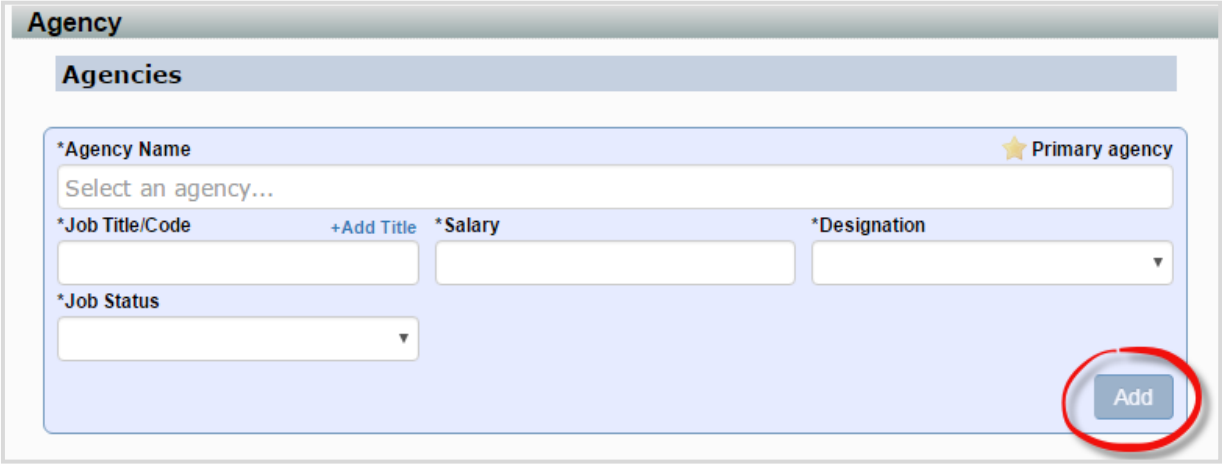
7. Enter the **"Salary"** of the FDS filer.

8. Select the **"Designation"** drop-down menu to indicate if an FDS filer is a Policymaker, Threshold Over, an Academic Filer, etc.

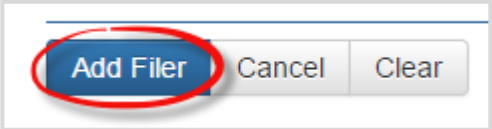
9. Select the **"Job Status"** drop-down menu to indicate if an FDS Filer is active, on leave, or has left State service.

10. Click the "**Add**" button located on the lower right hand corner of the agency column to save agency information to the filer's profile.

Repeat steps 5 – 10 to assign an FDS Filer to more than one agency.



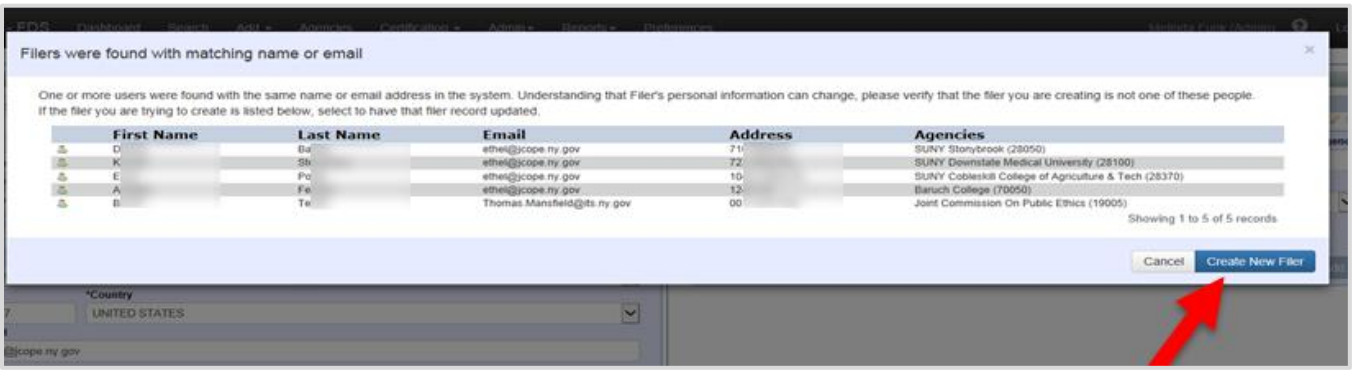
11. Click **"Add Filer"** located on the **lower left hand corner** of the screen to complete the record.



Possible Exisiting Filer – Once you have completed the steps to add a new filer, the system may alert you that the filer already exists in the FDS System. The system will generate a list of possible matches to avoid the creation of duplicate profiles.

- If the filer already exists in the system, click on the icon to the left of the filer's first name to select a match. Clicking on the icon will merge your new information with an already existing account.

- If after reviewing the list, there is no match, click "**Create New Filer.**" If uncertain, do NOT create new filer. Consult with FDS Unit to verify information before creating or merging accounts.



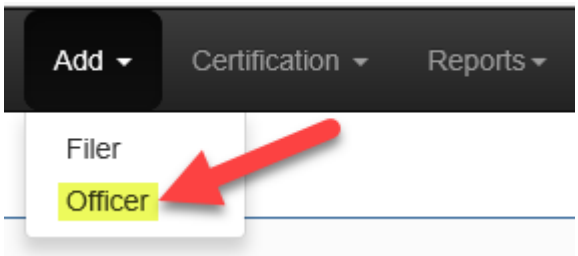
Adding an Agency Contact "Officer"

As an Ethics Officer, you can designate an **"Agency Contact"** for your agency. Ethics Officers and Agency Contacts are considered "FDS Officers" in the system.

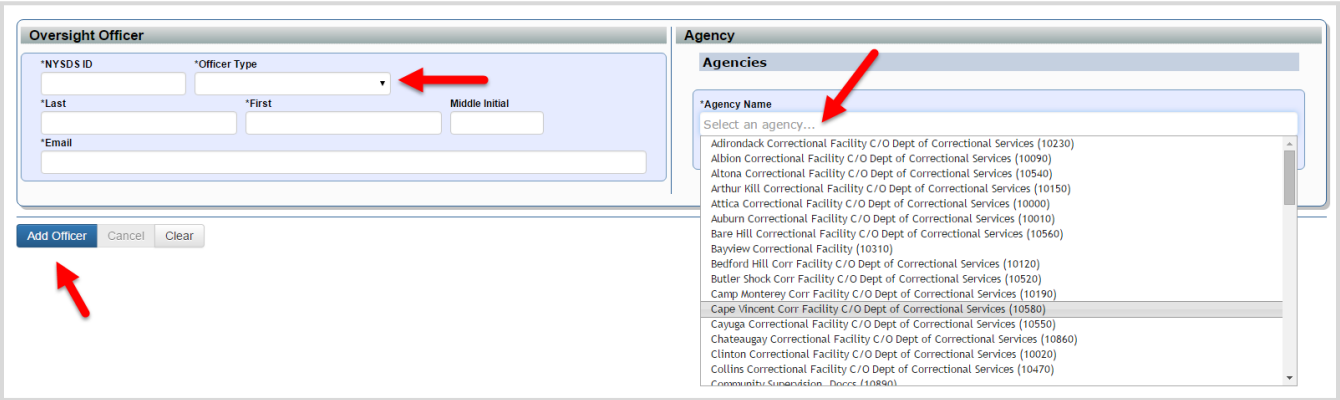
- An Agency Contact can add new filers, edit filer information, as well as enter and update FDS Filer ethics training information.
- Only Ethics Officers have the ability to create new Agency Contacts in the FDS System; Agency Contacts cannot create new Agency Contacts. Only the JCOPE FDS Help Desk can create new Ethics Officer roles.
- If you are an Ethics Officer of more than one agency, you may designate an Agency Contact to a subsidiary agency. Agency Contacts can only view information of the agency(ies) to which they are assigned. If you are an Ethics Officer of multiple agencies, you can view and update information for each agency to which you are assigned. You may also assign an Agency Contact to multiple subsidiary agencies.

Steps to designate an Agency Contact

1. From the **"Add"** Main Menu select **"Officer"**
2. Enter the contact information in the appropriate fields
3. In the **"Officer Type"** drop down menu, select **"Agency Contact"**

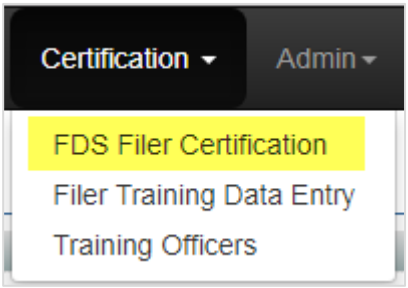


4. Assign the Agency Contact to an Agency by clicking the **"Select an Agency"** search field. A drop down menu of agencies will appear. Continue to select all agencies you wish to assign to the Agency Contact.
5. Click **"Add Officer"**



Certification Menu

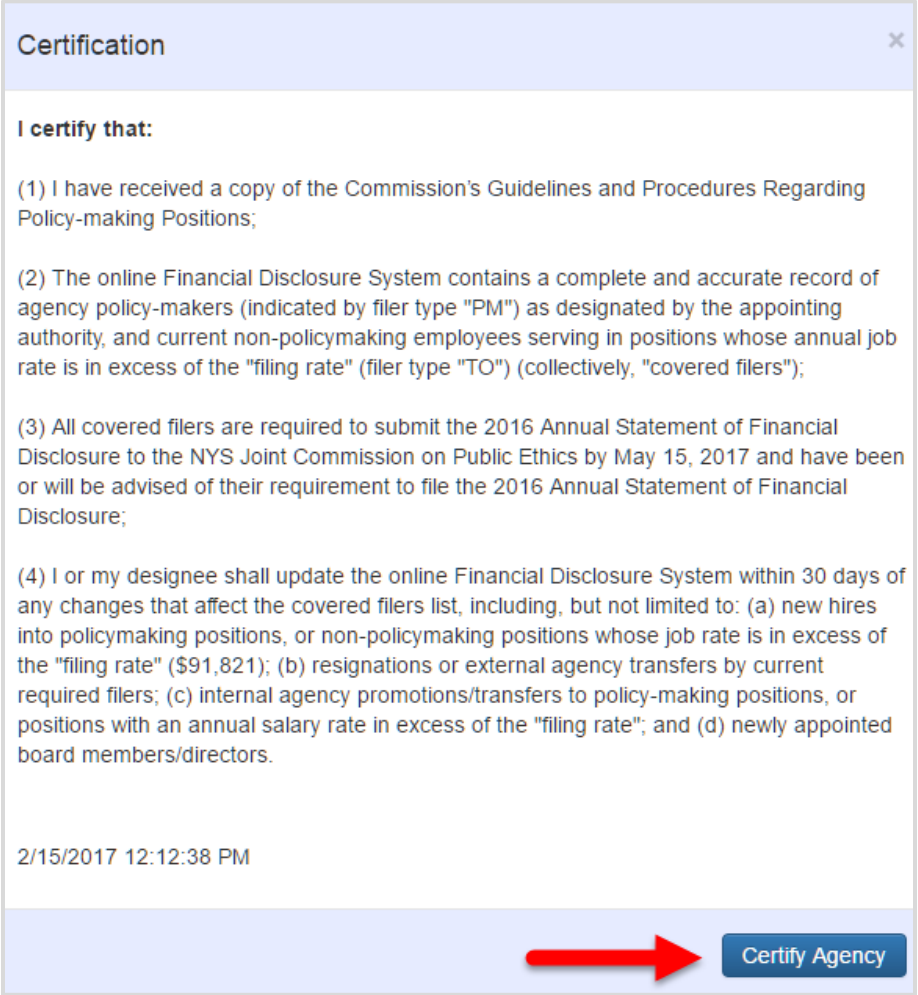
FDS Filer Certification



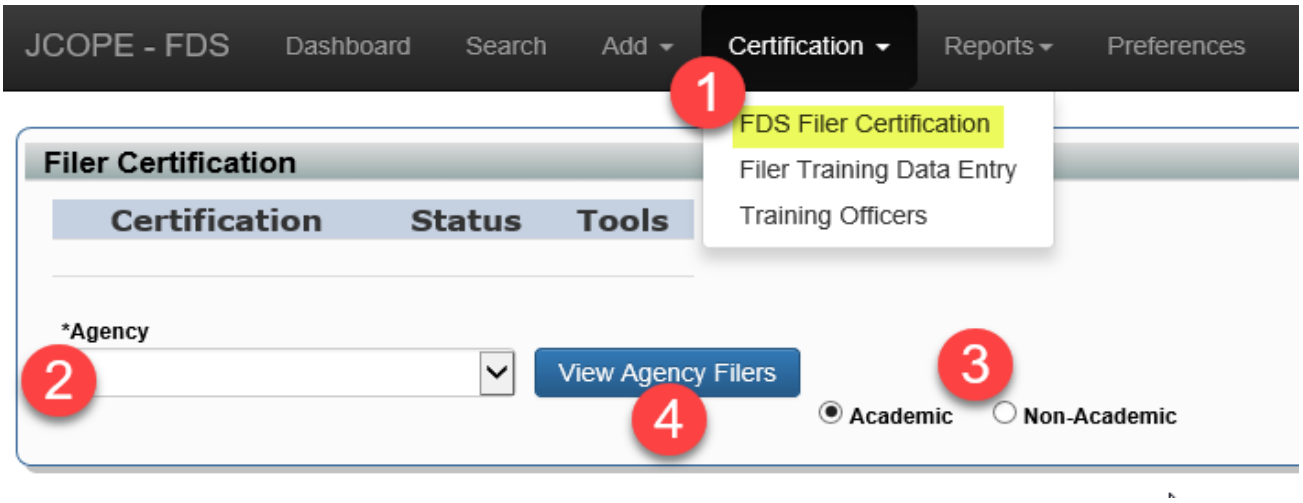
Every agency must submit to JCOPE an annual "FDS Filer List," which lists all current agency personnel who are required to file an FDS (i.e., all personnel who are either Policymakers or Threshold Over Filers).

What am I certifying to?

As an Ethics Officer, part of your responsibilities includes adding new FDS Filers to your agency filer list. The Filer Certification is a list of all current FDS Filers in your agency. You are certifying that this list is accurate and complete. ***See statement below.***



Steps to Certify all Agency FDS Filers



1. Select the **"FDS Filer Certification"** from the "Certification" drop down menu

2. Select **"Agency"** from drop down menu. If you have more than one Agency, you will need to select each agency from the drop down menu and certify to each.

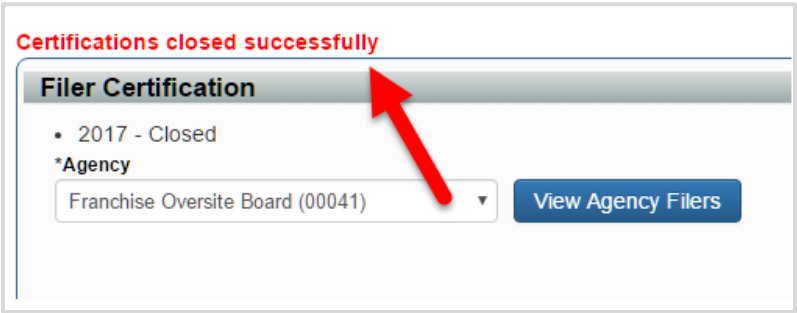
3. Select **"Academic"** or **"Non-Academic"**

4. Click **"View Agency Filers"**

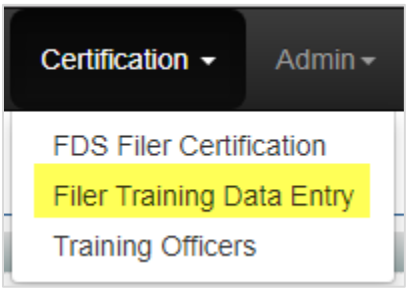
5. Verify all required FDS Filers are listed. If an FDS Filer is missing, you will need to add a new FDS Filer by using the **"Add → Filer"** function under the main navigation menu.

6. Click **"Certify Agency"**

7. When a filer certification is successfully completed, the following prompt will display:



Filer Training Data Entry



FDS Filers are required to complete three mandatory ethics trainings. Ethics Officers are responsible for entering training completion information for every FDS Filer within their agency.

The **"Filer Training Data Entry"** section contains several screens of information regarding the training status of FDS Filers within your agency. As well as providing you with agency-level training statistics, it also allows you to enter training completion dates for individuals and groups of filers.

To enter training completion dates for several filers at once, use the Filer Training Data Entry screen.

Helpful tips before you begin:

- When entering training dates, the section for the Comprehensive Ethics Training Course is used to record training dates for **first-time completion** of the CETC only. **Do not attempt to replace existing first-time CETC completion dates with later refresher training dates.**

- The Ethics Seminar/Refresher Training section is used to record training completion dates for those who completed refresher training. All continuing refresher training dates are recorded here, regardless of which class a filer took to complete the refresher training requirement. An FDS Filer can either retake the CETC or take the JCOPE Ethics Seminar to fulfill ongoing refresher training requirements.

- Because of the above, if you are entering dates for a session of the CETC, sort the list of filers you wish to update by:
    a. Filers who completed the CETC for the first time, and
    b. Filers who completed the CETC as refresher training

- The Filer Training Data Entry screen allows you to enter training completion dates for multiple filers who have:
    a. Completed the same class (First-time CETC or Seminar/Refresher);
    b. Completed training on the same date; **and**
    c. Have the same CLE status. (i.e., all filers have either received CLE credit or CLE credit does not apply.) State-employed attorneys may receive CLE credit for taking the CETC or JCOPE Ethics Seminar by attending a class at JCOPE or from a State agency that is also an accredited CLE provider.

- Data columns in the Filer Training Data Entry screen can be sorted by ascending or descending order by clicking the column name. The system defaults to listing filers in FDS ID order. Click "Name" column to sort list alphabetically by filer name.

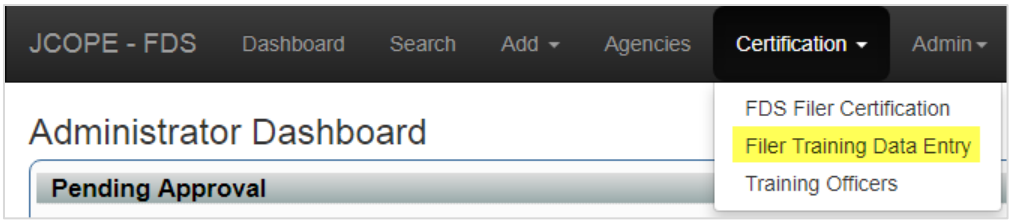
- Training dates that have already been entered can be edited from the Filer Training Data Entry screen by selecting the "Edit" drop-down menu. Use this feature only to correct errors; do not use the "edit" feature to replace a prior training date with a newer training date. You can also correct a filer's training information from their profile.

- From the Filer Data Entry screen, the "all" view gives you the option to view a filer's profile and dashboard information. To view a filer's profile page, click the filer name. (Selecting a filer name will redirect you out of the Filer Data Entry Screen.)

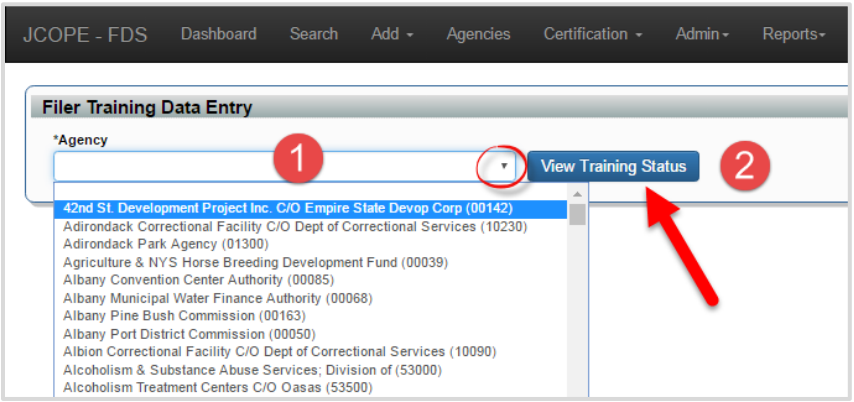
Updating training completion dates for groups of filers

See: **"Helpful Tips before you begin"** on previous page

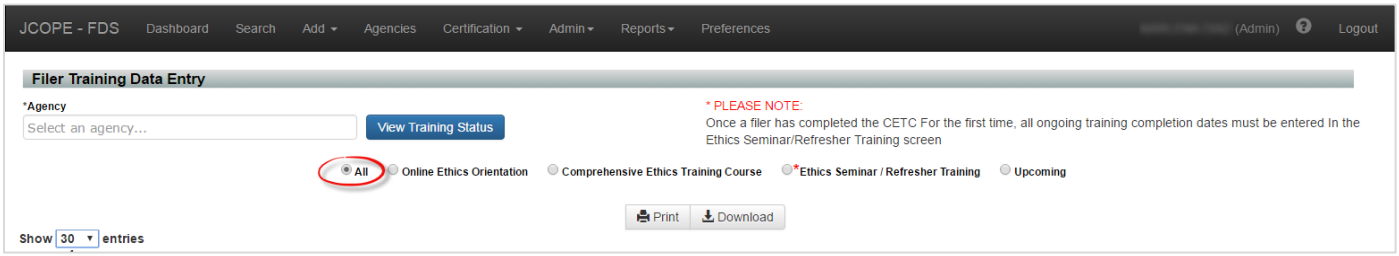
1. From the Ethics Officer dashboard, click the **"Certification"** drop-down menu and select **"Filer Training Data Entry."**



2. Select the agency you wish to enter training data for using the drop-down box (some Ethics Officers may only have one agency to select). Once you have selected your agency, click **"View Training Status."**



3. The filer training data entry screen defaults to the **"All"** view; you cannot edit training data from this selection, however you can view a filer's profile page by clicking on the filer name.

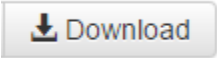


4. To enter training data for the Online Ethics Orientation, Comprehensive Ethics Training Course (first-time completion only), or Ethics Seminar/Refresher Training, select the appropriate radio button.

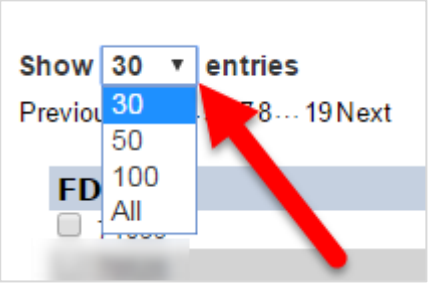
Create report of filers who have training upcoming or past due

To view filers who have training requirements that are either upcoming or overdue, select the **"Upcoming"** radio button. Click the "Due Date" column header to sort filer list by due date. Past due training due dates are shown in red.

- To print what is currently on your screen, click the **"Print"** button. 

- To export agency training data to an Excel document, click the **"Download"** button. For agencies with multiple pages of filers, the export function exports ALL agency data, not just the data visible on an individual screen. 

- For agencies with multiple pages of filers, you can select the number of filers you would like to simultaneously view on the screen by clicking on the **"Show Entries"** drop down menu.



Entering training completion dates for the Comprehensive Ethics Training Course

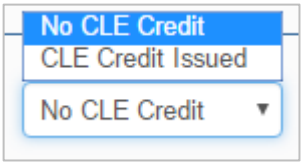
1. Select **"Comprehensive Ethics Training Course"** radio button.

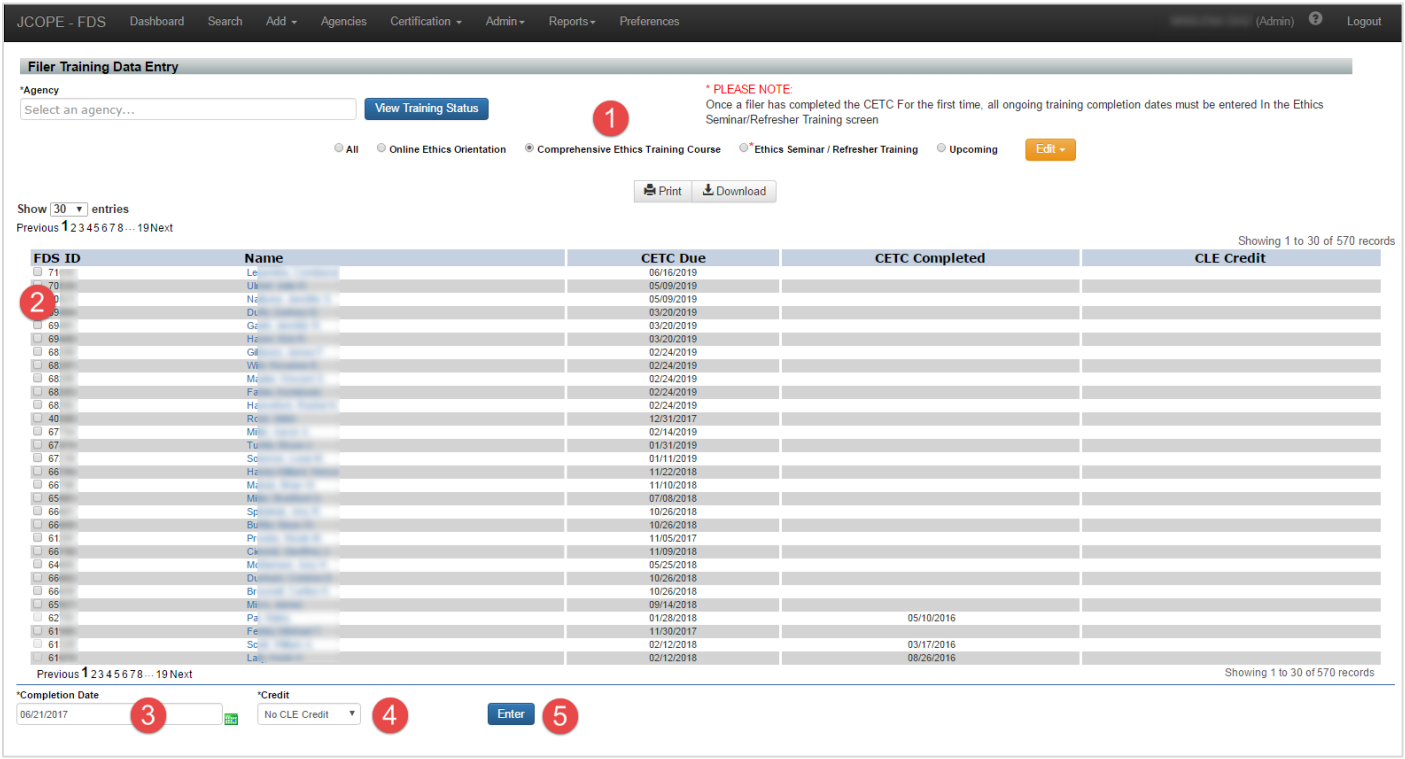
2. To select multiple filers who have received training on the same date, select the names using the check box near their names. **Please note:** ***the system will not allow you to select names of filers who already have a first-time CETC training completion date entered. This screen records the first-time CETC completion for new filers.***

3. Enter the training completion date by clicking on the calendar icon and selecting a date (located at the bottom of the screen). You can also manually type training dates by using an mm/dd/yyyy format.

4. Select whether the filer received CLE credit via the **"*Credit"** drop down menu located at the bottom of the screen.

5. Click **"Enter"** to submit your training data.





Entering training completion dates for the Ethics Seminar/Refresher training

1. Select **"Ethics Seminar/Refresher Training"** radio button.

2. To select multiple filers who have received training on the same date, select the names using the check box near their names.

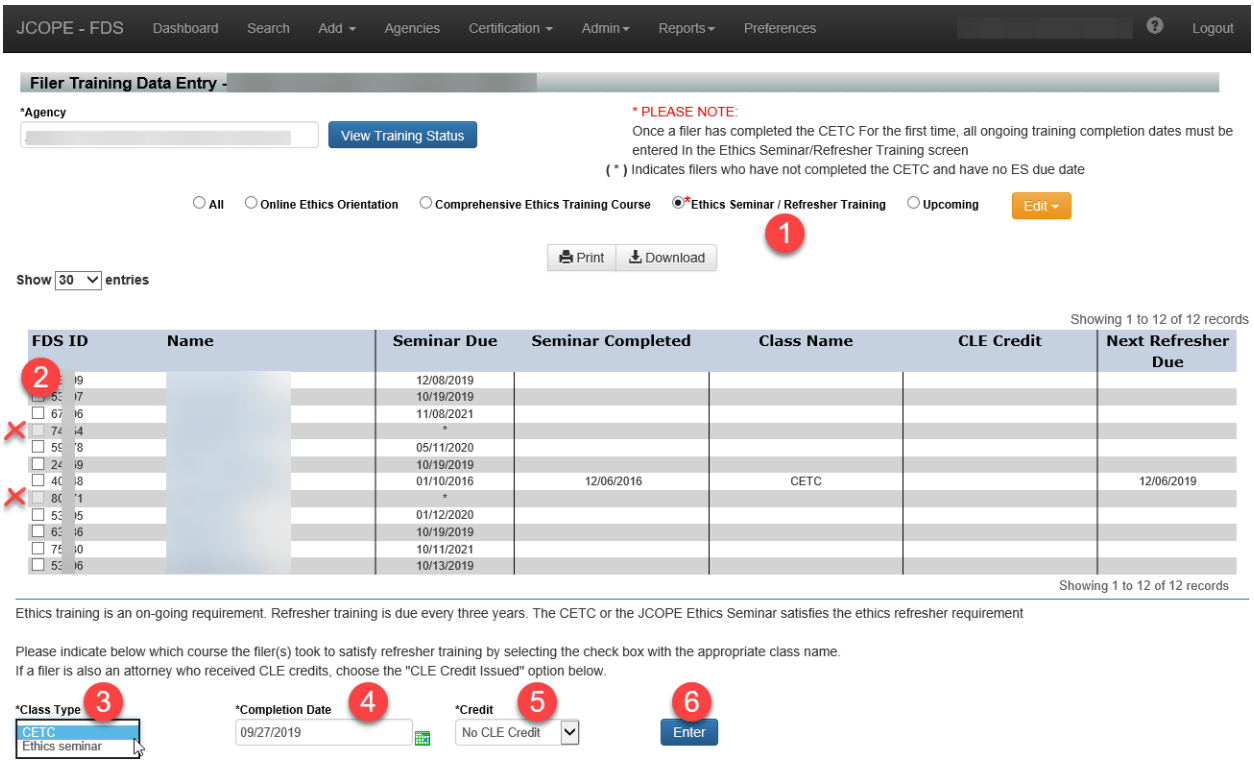
   ✕ **Please note:** ***the system will not allow you to select names of filers who have not yet completed the CETC for the first time. This screen records the refresher training for filers.***

3. Indicate which class the filer completed to satisfy the refresher training requirement (located at the bottom of the screen). The filer may either retake the CETC or complete the Ethics Seminar.

4. Enter the training completion date by clicking on the calendar icon and selecting a date. You can also manually type training dates by using an mm/dd/yyyy format.

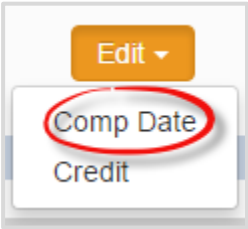
5. Select whether the filer received CLE credit via the **"*Credit"** drop down menu located at the bottom of the screen.

6. Click **"Enter"** to submit your training data.



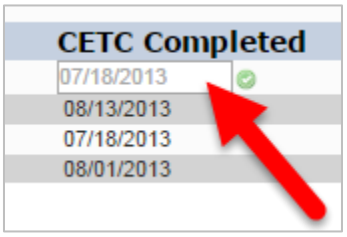
Modifying training information from the Filer Data Entry Screen

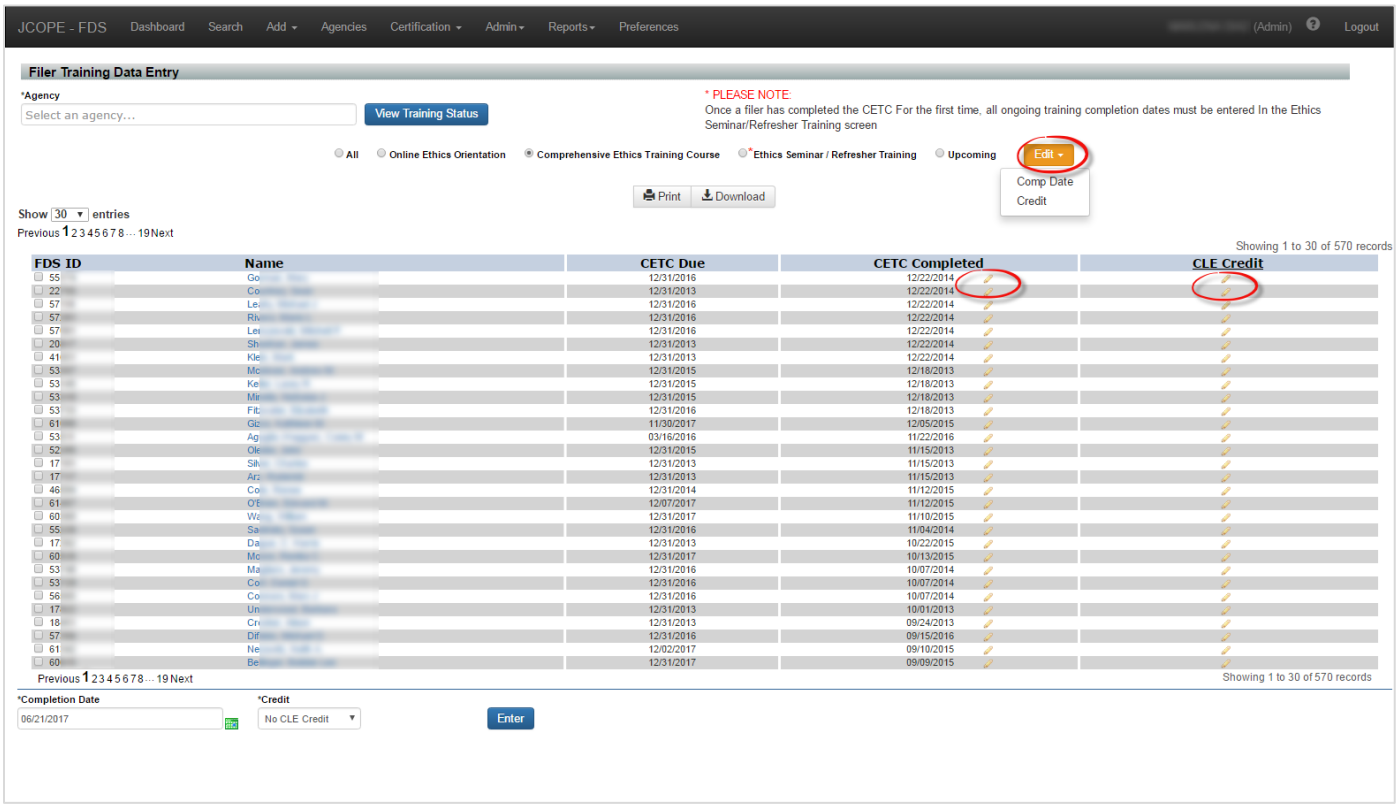
1. Select the radio button of the class you wish to edit.
2. Click the **"Edit"** button.
3. Select "**Comp Date**" to edit the completion date.
4. Select **"Credit"** to edit CLE credit.



5. Click the **"Pencil"** icon next to the training completion date you want to edit.

6. Once the pencil icon has been selected, type in the revised completion date using mm/dd/yyyy format, then click the **"green check mark"** icon to submit.





Training Officers

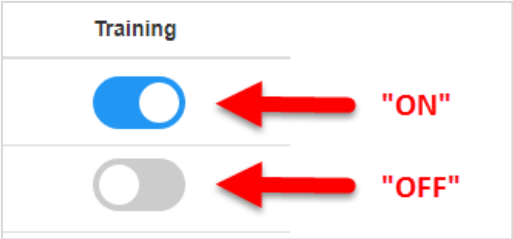
The “Training Indicator” is designed to identify who within your agency manages the day-to-day administration of the mandatory ethics training requirements. The “Training Indicator” will help JCOPE determine who within your agency should receive automatic training notifications, and who to contact with training-related questions. Each agency is required to have at least one person with the training indicator turned on.

To change the Training Indicator:

1. From the **"Certification"** menu, select **"Training Officers"**

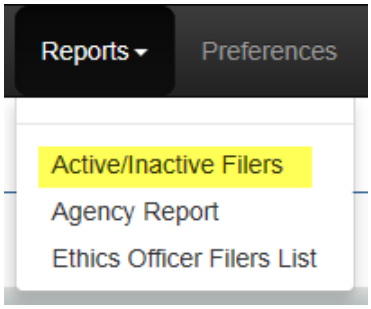
2. Select your agency from the **drop-down** list and click **“Select”** to view the Ethics Officers and Agency Contacts assigned to that agency.

3. Click the indicator “ON” next to the name of the Ethics Officer or Agency Contact you want to select.



Reports

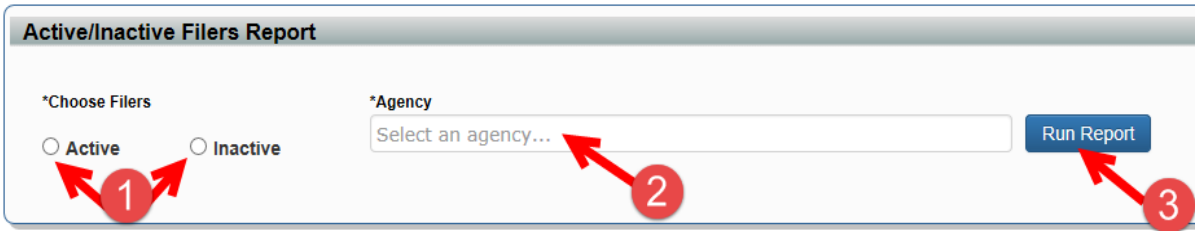
Active/Inactive Filers Report



1. Under the main navigation menu click the **"Reports"** drop down menu and select **"Active/Inactive Filers."**

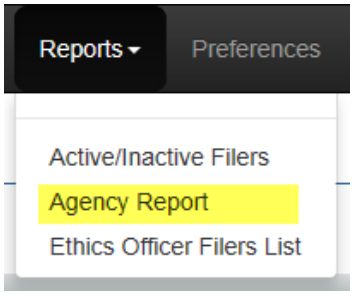
2. View a list of either all inactive filers or all active filers by selecting the appropriate radio button.

3. Select the agency to search in, and click **"Run Report"**



4. The report can be sorted by any of the column headings. Click the **"Print"** icon to print the report for your records or "**Download**" to export data to a spreadsheet.

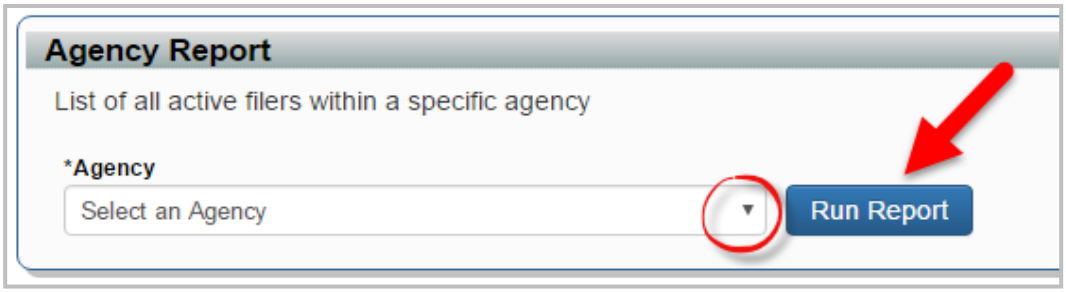
Agency Report



1. Under the main navigation menu click the **"Reports"** drop down menu and select **"Agency Report."**

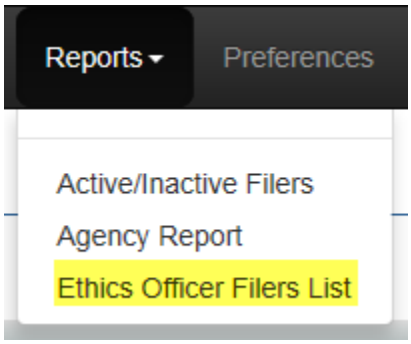
2. View a list of all active filers within a specific agency by clicking the drop-down menu arrow to select an agency.

3. Click **"Run Report"**



4. The report can be sorted by any of the column headings. Click the **"Print"** icon to print the report for your records or "**Download"** to export data to a spreadsheet.

Ethics Officer Filers List

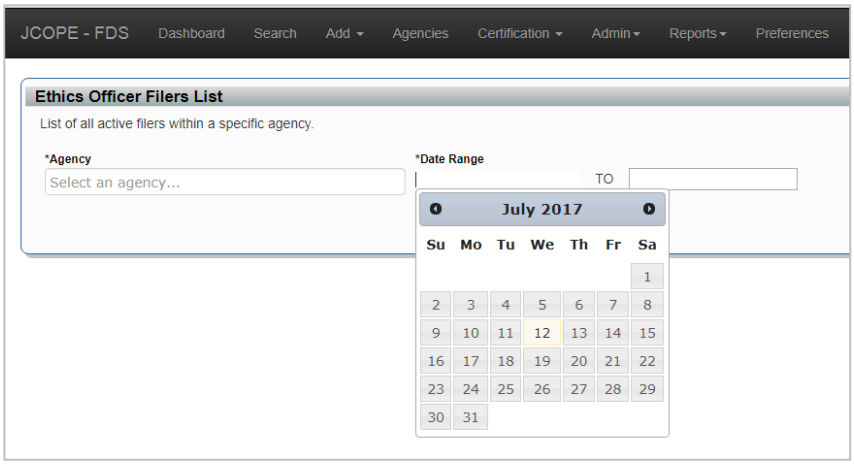


The Ethics Officer Filers List reports the same information as the "Agency Report" except it allows you to run a date range to view active filers within your agency during a specific time period.

1. Under the main navigation menu click the **"Reports"** drop-down menu and select **"Ethics Officer Filers List."**

2. Select your **"Agency"** using the drop-down menu

3. Select the **"Date Range"**



4. Click **"Run Report"**

5. The report can be sorted by any of the column headings. Click the **"Print"** icon to print the report for your records.

Need help?

Contact the JCOPE FDS Help Desk at 1-800-87-ETHICS (800-873-8442) and **press "3"** to speak to an FDS filing specialist or via e-mail to **ethel@jcope.ny.gov**.

For questions related to ethics training, e-mail **education@jcope.ny.gov**.

For additional resources and instructional materials for the FDS System, visit the **Ethics Officer Info Center** under the Education menu on the JCOPE website:

https://jcope.ny.gov/ethics-officer-info-center

Select "FDS Instructional Materials" to see FAQs, Overviews, Reference Guides, and more.