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NASA Shared Services Center
Stennis Space Center, MS

39529-6000

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NASA Shared Services Center Process Work Instruction

NSPWI-3000-0016 Revision 11.0

Effective Date: September 29, 2021

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FINANCIAL DISCLOSURE-ANNUAL FILERS, TERMINATION, INITIAL MOVEMENT


- FOR NSSC INTERNAL USE ONLY -

Responsible Office: Human Resources Services Division

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DOCUMENT HISTORY LOG

Status	Document Version	Effective Date	Description of Change
Basic	Basic	12/18/2009	<ul style="list-style-type: none"> Basic Release
Revision	1.0	02/03/2011	<ul style="list-style-type: none"> Updated content to reflect new template Updated content to reflect new numbering system Updated content for new processes
Revision	2.0	04/26/2012	<ul style="list-style-type: none"> Updated content Updated Section 8
Revision	3.0	4/26/2013	<ul style="list-style-type: none"> Updated content Updated Content for new processes Updated Content to include Periodic Transaction Report (PTR) OGE Form 278 T under the STOCK Act
Revision	4.0	4/22/2014	<ul style="list-style-type: none"> Removed Proprietary information and logo Updated content
Revision	5.0	3/24/2015	<ul style="list-style-type: none"> Updated content to reflect new template Updated content to document system changes associated with the Ethics Program Tracking System (EPTS) Release 3.6
Revision	6.0	12/02/2015	<ul style="list-style-type: none"> Updated to reflect new form number from 278 to 278e
Revision	7.0	02/13/2017	<ul style="list-style-type: none"> Updated Effective and Expiration Dates

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Status	Document Version	Effective Date	Description of Change
			<ul style="list-style-type: none"> • Updated Revision Number • Corrected typographical and grammatical errors • Updated C Road to Jerry Hlass Road
Revision	8.0	9/27/2018	<ul style="list-style-type: none"> • Updated format throughout document • Updated effective and expiration dates throughout the document • Updated NSSC to NSSC (SP) and NSSC (CS) throughout the document • Removed Center Classification steps throughout the document • Updated Roles and Responsibilities
Revision	9.0	9/18/2019	<ul style="list-style-type: none"> • Removed OGE Form 450-A throughout document • Removed: Note: When an employee is added to or removed from EPTS and the FD coding does not match the personnel record in the Federal Personnel Payroll System (FPPS), the Center HRO/AO should notify the NSSC (SP) of the discrepancy for updates to the electronic Position Description System

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Status	Document Version	Effective Date	Description of Change
			(ePDS) and the FPPS from 4.1 <ul style="list-style-type: none"> Added Appendix B – NSSC Process Workflow Diagrams
Revision	10.0	9/29/2020	<ul style="list-style-type: none"> Updated expiration and effective dates throughout document
Revision	11.0	9/26/2021	<ul style="list-style-type: none"> Updated expiration and effective dates and revision number throughout the document Removed AO role to validate filer list throughout the document Updated Workflow Process Diagrams and added Alt Text Removed references to WTTS throughout the document

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1.0 Purpose:

- 1.1 Public and confidential financial disclosures (FD) serve to prevent conflicts of interest and to identify potential conflicts, by providing a systematic review of the financial interests of both current and prospective officers and employees. The reports assist agencies in administering ethics programs and providing counseling to employees.
- 1.2 The two types of FD reports are Public (Office of Government Ethics (OGE) 278e – Released to the public and Confidential (OGE 450) - Not released to the public.
 - 1.21 Ethics in Government Act of 1978 subjected senior executives and other high-ranking officials to FD as part of the post-Watergate ethics reforms. The statute was amended by the Ethics in Government Act of 1989, which was part of the post-Operation III Wind ethics reforms, and applied FD requirements to some General Schedule (GS) employees. Both types of FD are regulated by the OGE and are Government-wide requirements. National Aeronautics and Space Administration (NASA) has issued NASA Policy Directives (NPD) 1900.9E - Ethics Program Management to provide guidance on the application of the rules. The federal regulation reference is 5 Code of Federal Regulations (C.F.R.) § 2634.
 - 1.2.2 Public FD Report, OGE 278e: (The following individuals are subject to filing an OGE 278e)
 - a. Candidates for nomination or election to the office of President or Vice President
 - b. Presidential nominees to positions requiring the advice and consent of the Senate, other than those nominated for judicial office, or as a Foreign Service Officer, or for appointment to a rank in the uniformed services at a commissioned officer's pay grade of O-6 or below
 - c. The following newly elected or appointed officials:
 1. The President
 2. The Vice President
 3. Officers and employees (including Special Government Employees) whose positions are classified above GS-15 of the GS, or the rate of basic pay for which is fixed, other than under the GS, at a rate equal to or greater than 120 percent of the minimum rate of basic pay for GS-15 of the GS
 4. Members of the uniformed services in commissioned officer pay grade O-7 or above

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5. Officers or employees in other positions determined by the Director of the OGE to be of equal classification to above GS-15
 6. Administrative Law Judges
 7. Employees in the excepted service in positions of a confidential or policy-making character, unless by regulation the positions have been excluded by the Director of the OGE
 8. The Postmaster General, the Deputy Postmaster General, each Governor of the Board of Governors of the United States (U.S.) Postal Service, and officers or employees of the U.S. Postal Service or Postal Rate Commission in positions for which the rate of basic pay is equal to or greater than 120 percent of the minimum rate of basic pay for GS-15 of the GS
 9. The Director of the OGE and each designated agency ethics official
 10. Civilian employees in the Executive Office of the President (other than special Government employees) who hold commissions of appointment from the President
- d. Incumbent officials holding positions, referred to in Section II.c. of the OGE 278e form, are officials having served 61 days or more in the position during the preceding calendar year.
 - e. Officials who have terminated employment after having served 61 days or more in a calendar year in a position and have not accepted another such position within 30 days thereafter are referred to in Section II.c. of the OGE 278e form.

1.2.3 Confidential FD Report, OGE 450:

- a. Confidential Filers are determined by the filer's official responsibilities.
- b. Deputy Directors, Associate Directors, Division Directors, Contract Officers, Program Managers, and others in similar positions making decisions affecting non-federal entities meet the criteria for filing the Confidential FD Report.
- c. See NASA Procedural Requirements (NPR) 1900.3B – Ethics Program Management, Chapter 4 (Financial Disclosure Reports), for a detailed explanation of positions subject to filing confidential FD reports.

1.2.4 Reports must be filed:

- a. Public FD reports are filed annually by May 15.

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- b. New and terminating public filers must file a new/termination report within 30 calendar days of the action.
- c. Depending on the timing of the termination, a single combined report may be filed to meet the annual and termination requirements.
- d. The period covered by the annual report is normally the previous calendar year.
- e. Confidential FD reports are filed annually by February 15.
- f. New employees in covered positions or employees who move into covered positions must file a new entrant report within 30 calendar days of beginning the new position, unless the previous position was also a covered position.

1.2.5 Periodic Transaction Reporting OGE 278T (STOCK Act):

- a. The Stop Trading on Congressional Knowledge (STOCK) Act of 2012, Pub. L. No. 112-105 (2012) requires certain 278e filers who are required to file an Incumbent Executive Branch Personnel Public Financial Disclosure Report, OGE Form 278e to file any purchase, sale, or exchange of stocks, bonds, commodities futures which exceed \$1,000. The periodic transaction reporting requirement covers only transactions occurring on or after July 3, 2012. The Periodic Transaction Reporting (PTR) requirement does not cover candidates for the offices of President or Vice President or nominees for presidentially appointed, Senate-confirmed positions.
- b. Transactions which meet the aforementioned criteria must be filed within 30 days of being notified of the transaction but no later than 45 days of making the transaction. Filers must complete the PTR, OGE Form 278-T to complete the requirement.

- 1.3 NASA uses the Ethics Program Tracking System (EPTS) to manage the Financial Disclosure (FD) program. Filers login the system to complete and sign their forms located at <https://eptsfiler.nssc.nasa.gov>. The NASA Reviewing Officials and Administrative Officers (AO)/Legal Point of Contact (POC) can review and access filer information located at <https://eptsadmin.nssc.nasa.gov>.

Notes: A filer is either e-Authenticated into EPTS or logs into EPTS using the NASA Access LaunchPad account.

If assistance is needed to obtain the login credentials, contact the NSSC Customer Contact Center (CCC) at 1-877-677-2123.

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- 1.4 The NASA Shared Services Center (NSSC) Human Resources (HR) Services Division provides administrative support to NASA's FD program. The NSSC Service Providers (SP) performs administrative functions assisting NASA's ethics officials in the identification and notification of annual, new entrant, and termination filers. The activities include the review of HR data paperwork to identify new entrant, annual, and termination filers; as well as, the drafting and mailing of hard copy termination letters.

2.0 Authority:

- 2.1 5 Code of Federal Regulations (C.F.R.) § 2634

3.0 Applicable Documents and References:

- 3.1 NPD 1900.9E – Ethics Program Management
- 3.2 NPR 1441.1 – NASA Records Retention Schedule
- 3.3 NPR 1900.3B – Ethics Program Management, Chapter 4 (Financial Disclosure Reports)
- 3.4 5 C.F.R. § 2634
- 3.5 Ethics in Government Act of 1978
- 3.6 Ethics in Government Act of 1989
- 3.7 General Records Schedule 25
- 3.8 Stop Trading on Congressional Knowledge (STOCK) Act of 2012, Pub. L. No. 112-105 (2012)

4.0 Procedure:

- 4.1 Annual – OGE Form 450:
- 4.1.1 The Office of General Counsel (OGC) at Headquarters (HQ) provides NSSC (SP) and NSSC (CS) guidance, updated requirements, and changes to the ethics program.
- 4.1.2 The NSSC (SP) and NSSC (CS) completes the quarterly review of the OGE Web site located at <http://oge.gov> to identify changes impacting the NSSC ethics program support.

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4.1.3 The NSSC (SP) completes the following steps:

- a. Sends the approved call letter to the OGC with respect to the OGE Form 450 Filers Identification by accessing <https://eptsadmin.nssc.nasa.gov/index.cfm?event=welcome>:
 1. Clicks on the **Letters** tab
 2. Selects **OGE-450 Administrative Officer Notification Letter** under *Production Letters*

4.1.4 The NSSC (SP) updates and sends a copy of the annual filing notification letter to the OGC for review and approval.

4.1.5 The OGC completes the following steps:

- a. Reviews and approves the call letters
- b. Maintains substantive legal information for filers on the Web site generated by OGC
- c. Updates NSSC (SP) and NSSC (CS) on changes to filing information

4.1.6 The NSSC (SP) completes the following steps:

- a. Ensures the call letter is properly formatted and loaded into EPTS at <https://eptsadmin.nssc.nasa.gov> by accessing the **Letters** tab:
 1. Selects the **appropriate letter**
 2. Views letter, checks out to edit, updates per the approved letter, saves the drafts, and checks in and updates version to all Centers
- b. Sends a notice through EPTS to filers on or about January 15 (annually) by accessing <https://eptsadmin.nssc.nasa.gov>:
 1. Clicks on the **Letters** tab
 2. Selects **OGE-450 Annual Filer Notification Letter** under *Production Letters*
 3. Views and sends letter batch to each Center
- c. Sends reminder notices through EPTS to employees of the filing deadline as needed by accessing <https://eptsadmin.nssc.nasa.gov>:
 1. Clicks on the **Letters** tab

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2. Selects **OGE-450 Annual Filer Reminder Letter** under *Production Letters*

3. Views and sends letter batch to each Center

d. Resolves issues with the employees contacting the NSSC for technical assistance with the EPTS

e. Notifies the Legal Office of noncompliance after three e-mails sent to the filer (initial notice and two reminder e-mails)

4.1.7 The Employee completes the following steps:

a. Completes the OGE Form 450 on or about 30 days after the initial notice

b. Finalizes and signs the form electronically which automatically routes to the reviewer(s)

Note: Questions about completion of the form are directed to the OGC as needed. Employees transferring to NASA from another public filing position are exempt from the filing requirement for the current year.

4.1.8 The OGC grants an extension requested by the employee if the request is in advance of the filing deadline.

Note: The OGE Form 450 can be mailed to the NSSC on a case-by-case basis; only occurs when electronic filing is not available, communication between the filer and NSSC (SP) has occurred, and/or approval has been granted by the Center Legal Office. Forms filed manually can be mailed to:

NASA Shared Services Center (NSSC)

HR-Financial Disclosures

Bldg 1111 Jerry Hlass Road

Stennis Space Center, MS 39529-6000

The NSSC (SP) provides Help Desk and technical support to filers.

4.1.9 The NSSC (SP) accepts completed forms on behalf of NASA. The forms are automatically time stamped within EPTS and routed to the proper center for final review.

Note: If a NASA Center requires a supervisory review for an OGE Form 450, the step is automated in EPTS to occur after the employee electronically signs the form.

4.1.10 The Center Legal Office completes the following steps:

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- a. Reviews submissions to determine if conflicts exist, and what resolution is needed
- b. Prepares and submits a Cautionary Letter to the employee via EPTS if potential conflicts exist

Forms must be filed with the original signature or approved electronic signature and stored for six years, according to the NASA Records Retention Schedule (NPR 1441.1).

4.2 Annual – OGE 278e Form:

- 4.2.1 The Office of General Counsel (OGC) at Headquarters (HQ) provides NSSC (SP) and NSSC (CS) guidance, updated requirements, and changes as effected.
- 4.2.2 The NSSC (SP) and NSSC (CS) reviews the OGE Web site (<http://oge.gov>) quarterly, to identify changes imparting the NASA process.
- 4.2.3 The NSSC (SP) sends a copy of the letter to the Agency OGC for review and approval.
- 4.2.4 The OGC completes the following steps:
 - a. Reviews and approves the call letter before release to employee
 - b. Maintains substantive legal information for filers on the Web site generated by OGC
- 4.2.5 The NSSC (SP) completes the following steps:
 - a. Sends the letter, once approved, through EPTS to filers, no later than April 15 annually by accessing <https://eptsadmin.nssc.nasa.gov>:
 - 1. Clicks on the **Letters** tab
 - 2. Selects **OGE-278e Annual Filer Notification Letter** under *Production Letters*
 - 3. Views and sends letter batch to each Center
 - b. Sends reminder notices through EPTS to the employees of the filing deadline as needed by accessing <https://eptsadmin.nssc.nasa.gov>:
 - 1. Clicks on the **Letters** tab
 - 2. Selects **OGE-278e Annual Filer Reminder Letter** under *Production Letters*

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3. Views and sends letter batch to each Center

- c. Resolves issues with the employees contacting the NSSC CCC for technical assistance with the EPTS

Employee faces a \$200.00 fine if OGE 278e is not filed by Close of Business (COB) June 15 annually, unless an extension is granted from the OGC.

4.2.6 The Employee completes the following steps:

- a. Follows instructions in the notification to access the electronic form
- b. Finalizes and signs the form electronically which automatically routes to the reviewer(s)

Notes: Employees transferring to NASA from another public filing position are exempt from the filing requirement for the current year.

Questions about completion of the form are directed to the Center OGC for resolution.

The OGE Form 278e can be mailed to the NSSC on a case-by-case basis; only occurs when electronic filing is not available, communication between the filer and NSSC (SP) has occurred, and/or approval has been granted by the Center Legal Office. Forms filed manually can be mailed to:

*NASA Shared Services Center (NSSC)
HR-Financial Disclosures
C Road, Bldg 1111
Stennis Space Center, MS 39529-6000*

The NSSC (SP) provides Help Desk and technical support to filers.

4.2.7 The NSSC (SP) accepts completed forms on behalf of NASA. The forms are automatically time stamped within EPTS and routed to the proper Center for final review.

4.2.8 The Center Legal Office completes the following steps:

- a. Reviews submissions to determine if conflicts exist, and what resolution is needed
- b. Prepares and submits a Cautionary Letter to the employee via EPTS if potential conflicts exist

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Note: Only the Agency General Counsel reviews the Center Director, Deputy Center Director, and the Chief Counsel submissions. Intermediate review is done at the Center. EPTS automatically routes the form to HQ for final review.

4.3 Initial Movement of Employee to Position Requiring Reporting (OGE Form 450):

4.3.1 The NSSC (SP) completes the following steps:

- a. Adds new filers to EPTS by selecting the **name** in the OGE-450 New Entrant Report and then adding the primary **Active Filer role**
- b. Notifies filers to file:
 1. Clicks on **View Forms** and **Admin** in the *Forms List* for the new form
 2. Selects **appropriate letter**
 3. Sends e-mail via EPTS
- c. Sends weekly reminders to the newly identified filers through EPTS by accessing <https://eptsadmin.nssc.nasa.gov>:
 1. Clicks on the **Letters** tab
 2. Selects **OGE-450 New Filer Reminder Letter** under *Production Letters*
 3. *Views and sends letter batch to each Center*
 4. Notifies the Center Legal Office of noncompliance after sending initial notification and two reminder emails

4.3.2 The OGC completes the following steps:

- a. Approves the notification

4.3.3 The Employee completes and signs the OGE Form 450 electronically in EPTS, which is routed automatically.

Notes: The OGE Form 450 can be mailed to the NSSC on a case-by-case basis; only occurs when electronic filing is not available, communication between the filer and NSSC (SP) has occurred, and/or approval has been granted by the Center Legal Office. Form filed manually can be mailed to:

*NASA Shared Services Center (NSSC)
 HR-Financial Disclosures
 Bldg 1111 Jerry Hlass Road
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The NSSC (SP) provides Help Desk and technical support to filers.

- 4.3.4 The NSSC (SP) accepts completed forms on behalf of NASA. The forms are automatically routed to the proper Center.

Note: If a NASA Center requires a supervisory review for an OGE Form 450, that step is automated in EPTS.

- 4.3.5 The NSSC (SP) completes the following steps

- a. Accepts manual forms received in Document Imaging (DI)
- b. Uploads forms into EPTS by accessing the **Manage EPTS User** tab located at <https://eptsadmin.nssc.nasa.gov>:
 1. Searches for the filer
 2. Selects the **User Information** screen
 3. Selects **View Forms**
 4. Selects **Admin** for the applicable form
 5. Clicks **Upload PDF**
 6. Selects **Browse** to locate the form link
 7. Clicks **Upload PDF**
 8. Confirms form routed correctly to the appropriate status
 9. Sends e-mail notification to the reviewer if applicable

- 4.3.6 The Center Legal Office completes the following steps:

- a. Reviews submissions to determine if conflicts exist, and what resolution is needed
- b. Prepares and submits a Cautionary Letter to the employee if potential conflicts exist

- 4.4 Initial Movement of Employee to Position Reporting (OGE 278e):

- 4.4.1 The NSSC (SP) completes the following steps:

- a. Reviews the OGE-278e New Entrant Report located at <https://eptsadmin.nssc.nasa.gov> and adds new filers to EPTS by selecting the name then adding the primary **Active Filer role**
- b. Notifies the new filers:

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1. Clicks on **View Forms**, then **Admin** in the *Forms List* for the new form
 2. Selects **appropriate letter**
 3. Sends e-mail
 - c. Sends weekly reminders to the newly identified filers through EPTS by accessing <https://eptsadmin.nssc.nasa.gov>:
 1. Clicks on the **Letters** tab
 2. Selects **OGE-278e** New Filer Reminder Letter under Production Letters
 3. Views and sends letter batch to each Center
 - d. Notifies the Center Legal Office of noncompliance after the initial notification and two reminders are sent
- Note: Employees are subject to a \$200.00 fine if the OGE 278e is not filed within 30 days of the due date or within 30 days of the latest extension date granted by the Center Legal Office.*

4.4.2 The OGC completes the following steps:

- a. Grants an extension for OGE 278e filers upon request by the employee
- b. Approves the notification

4.4.3 The Employee completes and signs the OGE 278e electronically in EPTS, which is automatically routed.

Note: Employees transferring to NASA from another public filing position and have already completed a FD are exempt from the requirement for the current year. A copy of the form must be received by the NSSC (SP) to upload into EPTS.

4.4.4 The NSSC (SP) completes the following steps:

- a. Accepts manual forms
- b. Uploads forms into EPTS by accessing the **Manage EPTS User** tab located at <https://eptsadmin.nssc.nasa.gov>:
 1. Searches for the filer
 2. Selects the **User Information** screen

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3. Selects **View Forms**
4. Selects **Admin** for the applicable form
5. Clicks **Upload PDF**
6. Select **Browse** to locate the form link
7. Clicks **Upload PDF**
8. Confirms form routed correctly to the appropriate status
9. Sends e-mail notification to the reviewer if applicable

4.4.5 The Center Legal Offices completes the following steps:

- a. Resolves legal issues with employees
- b. Determines if conflict resolution is necessary
- c. Prepares and submits a Cautionary Letter, if a potential conflict exists
- d. Sends the letter to the employee via EPTS

Notes: Forms and letters are archived in EPTS.

Positions (including Center Director, Deputy Center Director, Chief Counsel) requiring intermediate review are forwarded to the Center Legal Office for review prior to the Agency General Counsel for review

4.5 Termination of Employee from Covered Position:

4.5.1 The NSSC (SP) Team completes the following steps:

- a. Identifies and notifies the terminating employee about the requirements to file an OGE 278e by adding an OGE 278e Termination Report to the filer's Form list
- b. Sends an OGE 278e Termination Notification by selecting the **letter** to e-mail and then sends e-mail or if the separation has occurred, a letter signed by NSSC (CS) is mailed to the last known address.
- c. The approved notification provides a Web link to the employee to access the OGE 278e or instructions for electronically filing in the EPTS (<https://eptsfiler.nssc.nasa.gov>), if the Access Launchpad credentials are still valid and not terminated and information about the filing deadline and potential for a fine should the employee not file a report or not file a timely report

Notes: Employees have 30 days from the date of separation to file an OGE 278e.

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Employees face a \$200.00 fine if the OGE 278e is not filed within 30 days from the due date or within 30 days of the latest extension date granted by the Center OGC.

Employees moving to another public filer position are exempt from the filing requirement.

Employees with questions are referred to the Center OGC.

4.5.2 The Employee completes the following steps:

- a. Accesses the OGE 278e from either the OGE Web site at (<http://oge.gov>) or electronically in the EPTS Web site at (<https://eptsfiler.nssc.nasa.gov>)
- b. Completes and signs the form for submission or mails the hard copy form to the NSSC (SP) for upload if after separation.

4.5.3 The NSSC (SP) completes the following steps:

- a. Follows up with the employee about the submission deadline if the OGE 278e has not been submitted within 30 days of the employee's termination/resignation by sending two reminders
- b. Notifies the Agency OGC if the completed report is not received from the employee after the initial notification and two reminders via e-mail

4.5.4 The NSSC (SP) accepts the form on behalf of NASA. The form is automatically routed to the proper Center Legal Office for review by EPTS.

4.5.5 The Center Legal Office completes the following steps:

- a. Reviews submissions to determine if conflicts exist and what resolution is needed
- b. Prepares and submits a Cautionary Letter to the employee via EPTS or by mail if potential conflicts exist

Notes: Positions (including Center Director, Deputy Center Director, and Chief Counsel) requiring intermediate reviews are forwarded to the Center Legal Office for review prior to the Agency OGC for review.

Forms and letters are archived in EPTS.

Forms must be filed with the original signature or approved electronic signature and stored for six years, according to the General Records Schedule (GRS) 25.

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4.6 Periodic Transaction Reporting (PTR) OGE Form 278T (STOCK Act):

4.6.1 The NSSC (SP) notifies Filers of the OGE Form 278e of the PTR requirement when sending the OGE 278e New Entrant and Annual notifications and via a monthly reminder notice from EPTS.

4.6.2 The Employee completes the following steps:

- a. Accesses the OGE 278T from either the OGE Web site located at (<http://oge.gov>) or electronically in the EPTS Web site located at (<https://eptsfiler.nssc.nasa.gov>)
- b. Completes and signs the form

4.6.3 The NSSC (SP) accepts the form on behalf of NASA. The form is automatically routed to the proper Center reviewer by EPTS.

4.6.4 The Center Legal Office completes the following steps:

- a. Reviews submissions to determine if conflicts exist and what resolution is needed
- b. Prepares and submits a Cautionary Letter to the employee via EPTS if potential conflicts exist

Notes: Positions (including Center Director, Deputy Center Director, and Chief Counsel) requiring intermediate reviews are forwarded to the Center Legal Office for review prior to the Agency OGC for review.

Forms and letters are archived in EPTS.

Forms must be filed with the original signature or approved electronic signature and stored for six years, according to the GRS 25.

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5.0 Objective:

- 5.1 To define the process and provide an electronic filing solution to assist the Agency in administering ethics program for FDs, which serve to prevent conflicts of interest and to identify potential conflicts by providing a systematic review of the financial interests of both current and prospective officers and employees.

6.0 Roles and Responsibilities:

- 6.1 The OGC is responsible for the following:

- a. Providing guidance, updated requirements, and changes to the ethics program
- b. Reviewing and approving the call letters
- c. Maintaining substantive legal information for filers on the OGC Web site

- 6.2 The Center Legal Offices are responsible for the following:

- a. Granting extensions as requested by employees
- b. Reviewing submissions to determine conflicts and resolutions
- c. Preparing and submitting a Cautionary Letter
- d. Certifying the forms

- 6.3 The NSSC (SP) is responsible for the following:

- a. Completing quarterly review of the OGE Web site located at <http://oge.gov> to identify changes impacting the NSSC ethics program support
- b. Sending the approved call letter to the Center AOs
- c. Updating and sending a copy of the annual filing notification letter to the OGC for review and approval
- d. Formatting the letters in EPTS
- e. Identifying filers
- f. Removing filers from EPTS that no longer have a filing requirement
- g. Sending the notification and reminder letters to filers
- h. Providing Help Desk and technical support
- i. Notifying the Center Legal Offices of non-compliance
- j. Accepting completed forms on behalf of NASA
- k. Uploading hard copy forms to EPTS

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I. Preparing and Mailing OGE 278e Termination hard copy letter and reminders

6.4 The NSSC (CS) is responsible for the following:

- a. Completing quarterly review of the OGE Web site located at <http://oge.gov> to identify changes impacting the NSSC ethics program support
- b. Signing OGE 278e Termination hard copy letter and reminders

6.5 The employee is responsible for the following:

- a. Completes forms timely

7.0 Records:

7.1 The process covered in this document involves the creation and receipt of NASA official records as defined in NPR 1441.1. The records are included on the NSSC Human Resources Master Records Index (MRI).

8.0 Cancellation/Supersession of Previous Documents:

8.1 NSSWI-1280-0013 – Financial Disclosure-Annual Filers, Termination, Initial Movement – Revision 10.0

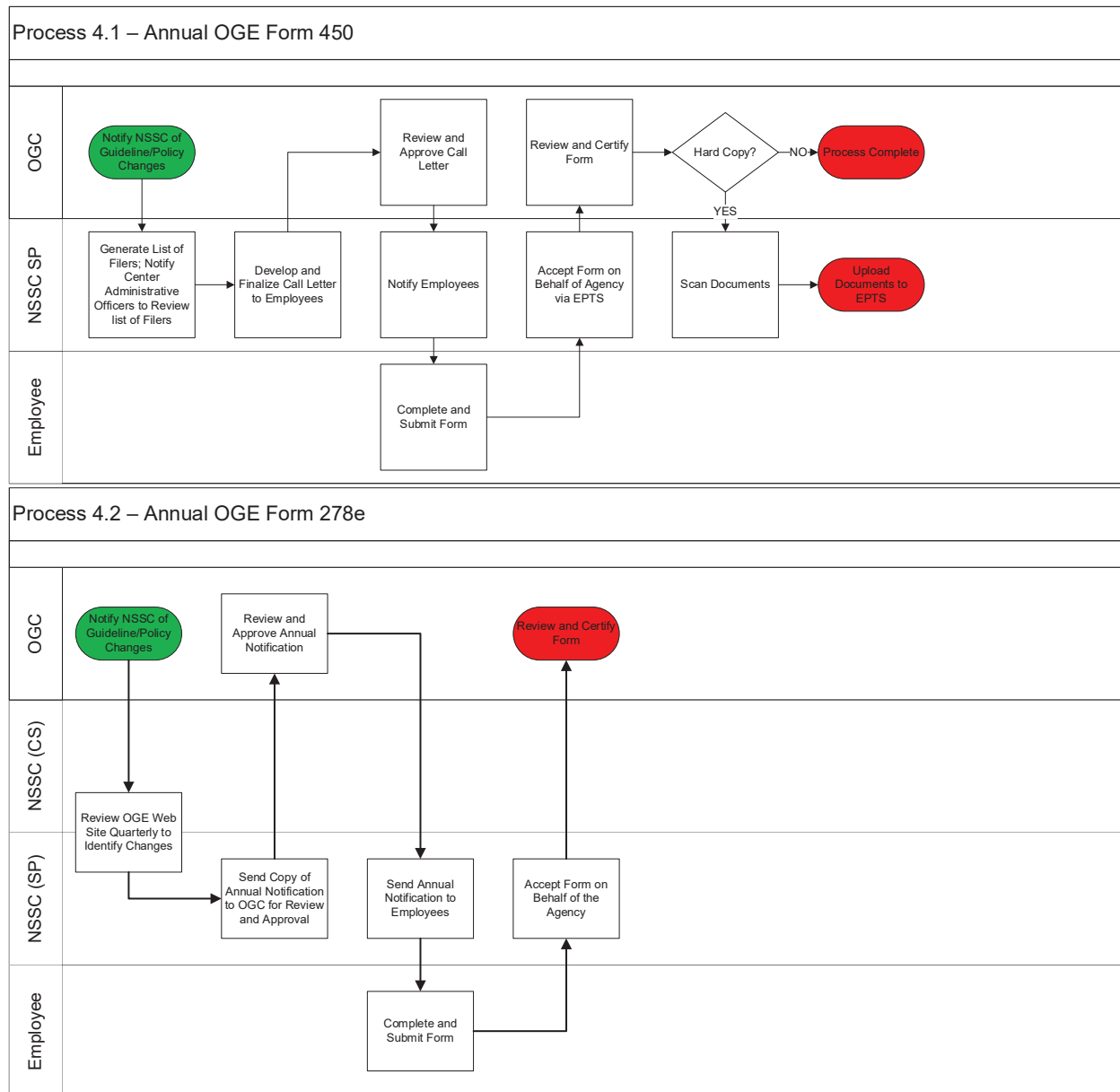
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APPENDIX A – ACRONYMS

AO	Administrative Officer
CFR	Code of Federal Regulations
COB	Close of Business
EPDS	Electronic Position Description System
EPTS	Ethics Program Tracking System
FD	Financial Disclosure
FPPS	Federal Personnel Payroll System
GRS	General Records Schedule
GS	General Schedule
HQ	Headquarters
HR	Human Resources
HRO	Human Resources Office
MRI	Master Records Index
NASA	National Aeronautics and Space Administration
NPD	NASA Policy Directives
NPR	NASA Procedural Requirements
NSSC	NASA Shared Services Center
OGC	Office of General Counsel
OGE	Office of Government Ethics
PAP	Personnel Action Processing
PD	Position Description
POC	Point of Contact
PTR	Periodic Transaction Report (OGE Form 278T)
SF	Standard Form
SP	Service Provider
STOCK Act	Stop Trading on Congressional Knowledge Act of 2012
U.S.	United States

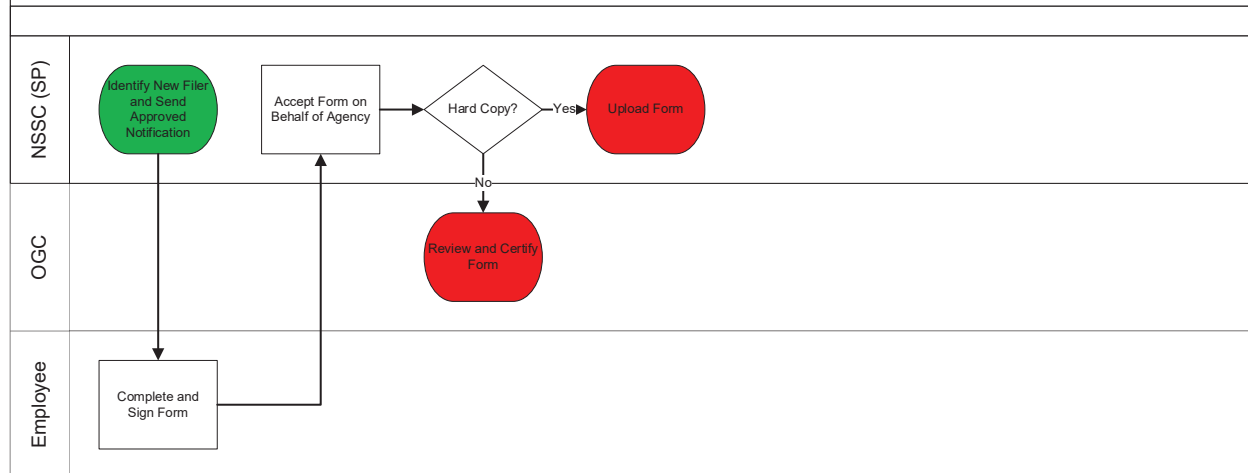
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APPENDIX B – NSSC Process Workflow Diagrams

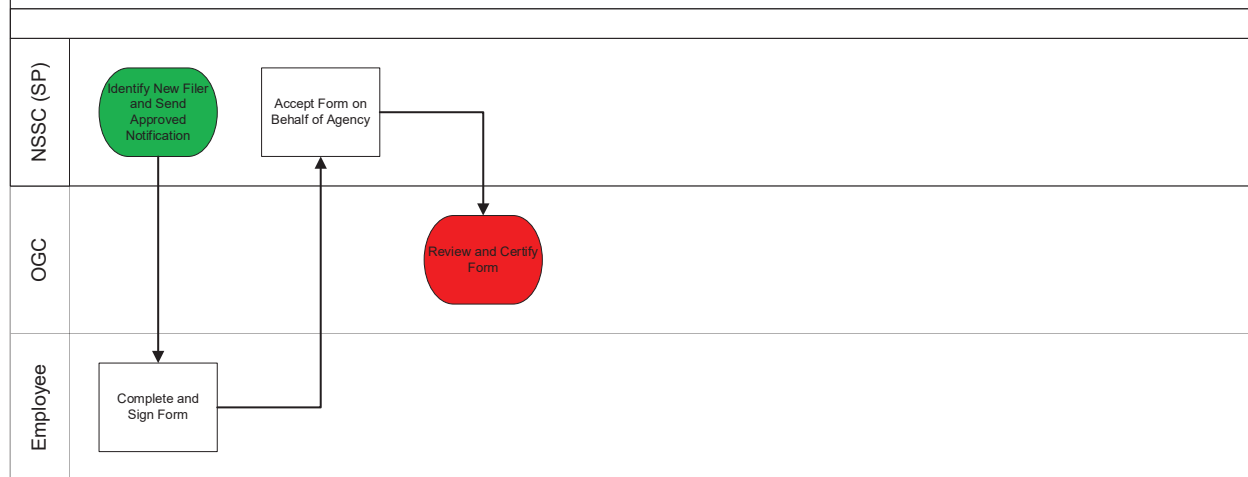


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Process 4.3 – Initial Movement of Employee to Position Requiring Reporting (OGE Form 450)

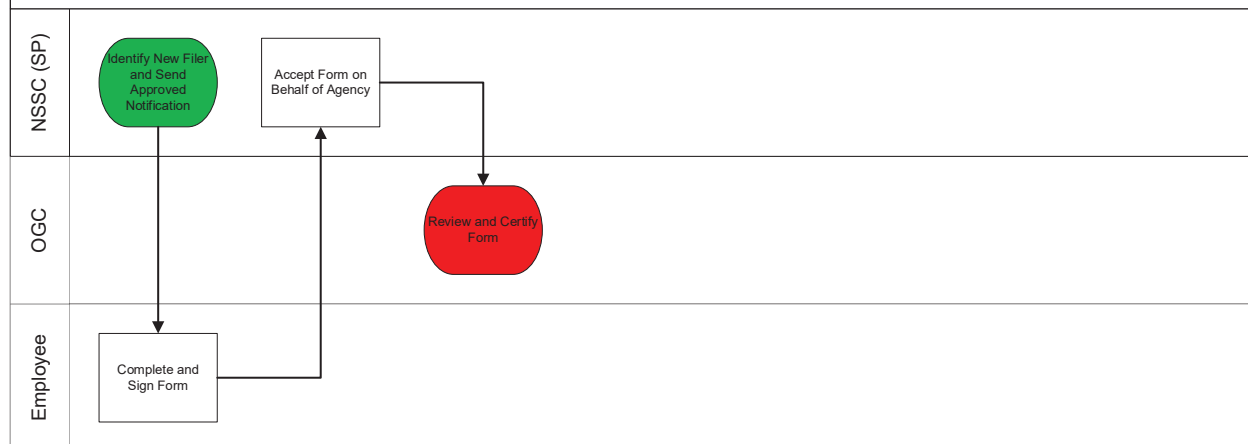


Process 4.4 – Initial Movement of Employee to Position Requiring Reporting (OGE Form 278e)



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Process 4.5 – Termination of Employee from Covered Position (OGE Form 278e)



Process 4.6 – Periodic Transaction Reporting (PTR) OGE Form 278T (STOCK Act)

