Commonwealth of Virginia

Conflict of Interest and Ethics Advisory Council

User Guide for

Conflict of Interest Agency Coordinators

Designation of State Employees who must file a Statement of Economic Interest

* The Governor, Lieutenant Governor, Attorney General, Justices of the Supreme Court, judges and substitute judges and members of the State Corporation Commission, Virginia Workers' Compensation Commission, Commonwealth Transportation Board, the Board of Trustees of the Virginia Retirement System, members of the State Lottery Board and designated state employees complete the Statement of Economic Interests.

* Each executive branch state agency is tasked with determining which job positions are designated to file a Statement of Economic Interests based on guidance from the Governor's office (see Executive Order 33).

* The Joint Rules Committee of the General Assembly designates which employees and officers of the legislative branch shall file a Statement of Economic Interests.

Designation of Citizen State Appointees who must file a Financial Disclosure

* Citizen members of boards and commissions in the executive branch of state government complete the Financial Disclosure form as an appointment requirement and on an annual basis for the time that an individual serves on the board or commission.

Local Employees and Officials

- File on paper in the office of the Clerk of the Governing Body
  - School Board members file with the Clerk of the School Board
- Prior to assuming office or taking employment, each person listed below must file their required statement. Thereafter, they will follow the applicable schedule below.
- The following local government officials (with exception of Highland County) are required to file with their clerk of the governing body (or the clerk of the School Board in the case of members of the School Board) the Statement of Economic Interests semi-annually. If the report's due date falls on a weekend or holiday, the due date is the next business day.
  - Board of Supervisor members
  - School Board members
  - City Council members
  - Town Council members in towns where the population exceeds 3,500
  - Persons holding positions of trust appointed or employed by governing body as designated by ordinance
  - Persons holding positions of trust appointed or employed by school board through policy adopted by the school board

Deadlines and Notification

* A new employee working in a disclosure designated position must submit a Statement of Economic Interests upon beginning employment.

* The Statement of Economic Interests is also filed twice a year by **June 15th** (covering activity from November 1 through April 30) and **December 15th** (covering activity from May 1 through October 31) .

* Newly appointed citizen members to executive branch boards and commissions submit a Financial Disclosure.
  * Contact the Appointments Division in the Secretary of the Commonwealth's Office for this initial filing.

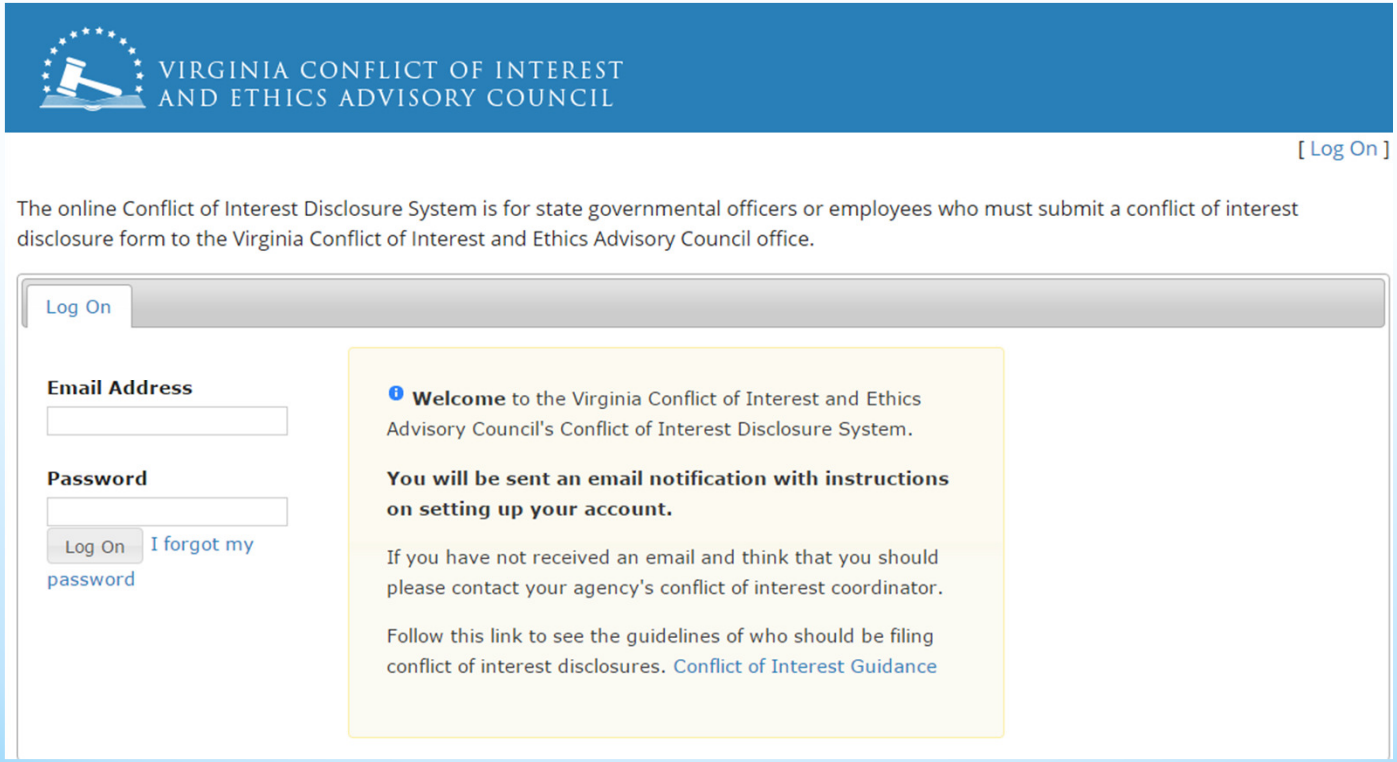
* The submission of a Financial Disclosure form occurs annually. The annual filing must be submitted by December 15th .

* By May 15th and November 15th of each year, the Ethics Council will electronically send the official memorandum advising agency directors and coordinators to proceed with notifying their designated filers of the obligation to disclose their financial interests.

Accessing the COI Disclosure System

- Coordinator access to the agency's filer list in the Conflict of Interest Disclosure System is granted by the Filing Coordinator for the Ethics Council. To request access to a disclosure list, send an email to ethics@dls.virginia.gov with your name, email address and the database(s) that you need access to and copy your current agency coordinator.
- Individual access to the online Conflict of Interest Disclosure System is granted to users via the agency coordinator using the COI account creation and notification system.
- For security purposes, access to the online system is restricted to designated state employees and board and commission appointees. It is not accessible to the general public.

Conflict of Interest Disclosure System Log-In Screen



Coordinator Access- Create Agency Filing Lists and Notify Filers

* Agency coordinators will use the system to create Conflict of Interest accounts for new users and generate the filing records for new and returning users. Coordinators direct the Conflict of Interest System to send all users the notification email containing the hyperlink for the online filing system, and for new users of the system, the registration email.

* After an agency coordinator logs into the Conflict of Interest Disclosure System, they will arrive at the home page which displays **"My Organizations"** (those agencies or boards for which you are the designated agency coordinator) as well as **"My Disclosures"** (those agencies or boards for which you are required to file a disclosure form).

Create Agency Filing Lists and Notify Filers

* To begin, navigate to Step 1 and click on "Manage the disclosure list (Add Individuals)."

Home Page View

My Organizations

Ethics Council Test Agency

2015 - Ethics Council Test Agency - Conflict Of Interest Disclosures

1 total individuals have been entered in the system.

- **Step 1:** Manage the disclosure list (Add Individuals)
- **Step 2: Notify** - 1 Individuals have not been notified to complete their disclosures. | View / Notify
- **Step 3: Remind** - 1 Individuals have not completed their disclosures. | View / Send Reminder
- **Step 4: Mark As Received**(for paper forms) - 1 not submitted or received. | View / Mark Received

* If the date falls on a weekend or holiday, forms are due the **next business day.**

My Disclosures

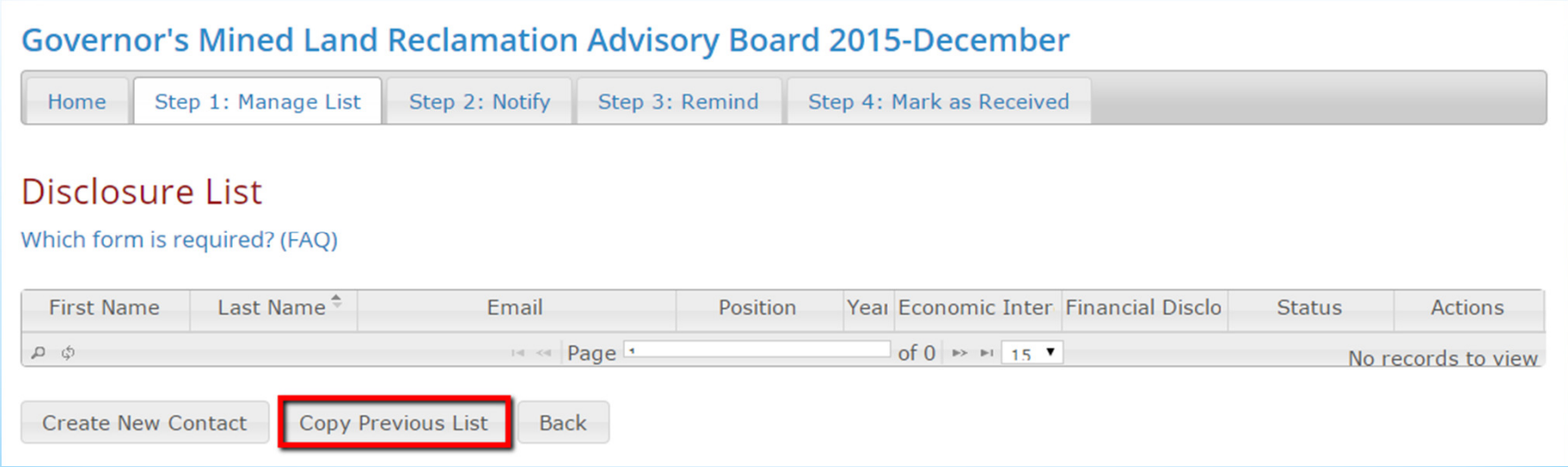
Michelle LeGates

Year	Agency	Forms Required
2015	Ethics Council Test Agency	• Financial Disclosure Statement (Not Submitted) • Statement of Economic Interests (Not Submitted)

Step 1, Part 1 – Manage the Disclosure List

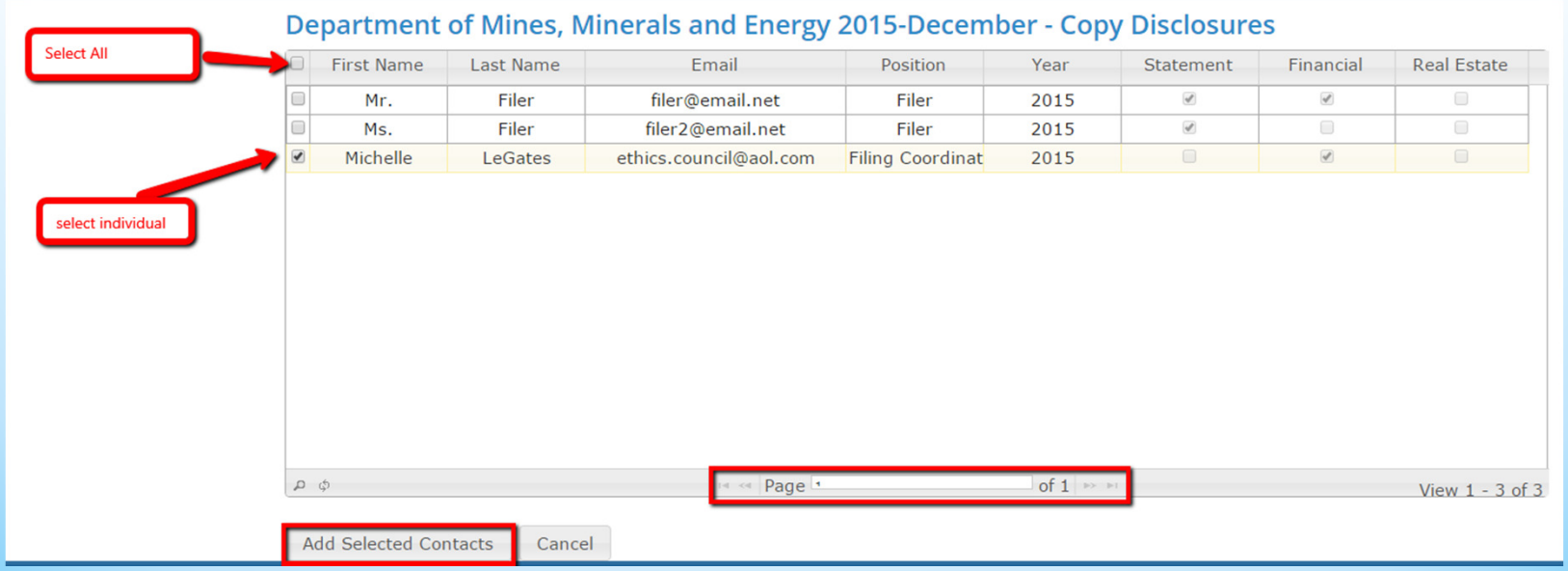
- Within this view, you will have a number of tools available to build and edit your list.
- When you initially log-in to create and manage the filing list for the next filing period, your disclosure list will be blank.
  - If this is your agency's first time using the system, please skip to the section titled, "Step 1, Part 2 – Create a New Contact".
  - If you have entered individual filers for your agency in a previous filing, then you can select the filers from the previous filing list to designate as required filers for the current period.
  - To do so, Click on the "Copy Previous List" button.

Step 1 – Manage List Screen



Step 1, Part 1 – Manage List – Copy from Previous List

* "Copy Previous List" – Allows a coordinator to copy contacts previously entered into the Conflict of Interest System to populate the agency or board list for the current filing period.
* Note the checkboxes on the left, the paging near the bottom, and the "Add Selected Contacts" button.
* To sort the list by any of the headers, click on the header of the sort that you would like to perform. For example, click on "Last Name" to sort alphabetically by last name.
* For convenience, you may select all of the filers per page by clicking on the "select all" box at the top of each page. After doing so, you may unclick those filers who are not required to submit a form for the current filing period. Or, check each box to the left of the desired contacts. After you have selected the designated filers, click "Add Selected Contacts," to import an individual or group of individuals to the current list.
* If there are more than 15 contacts that are eligible to be copied, the Copy Disclosures list will have multiple pages. You may check contacts on multiple pages, and add them all at once by clicking "Add Selected Contacts." This process may take the system several minutes to complete.

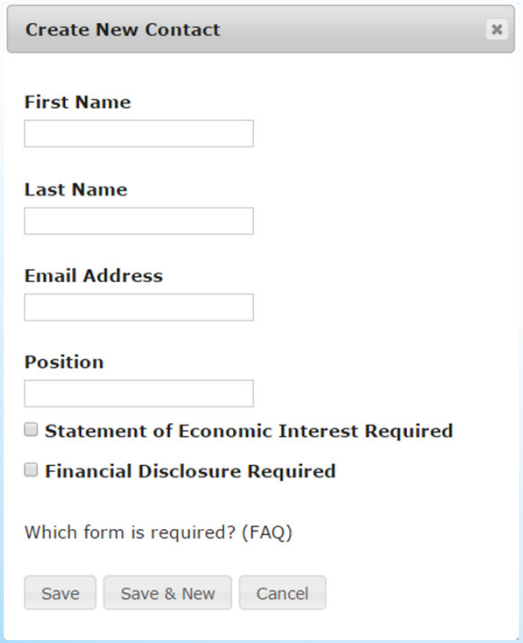


Step 1, Part 2 – Manage List – Create New Contact

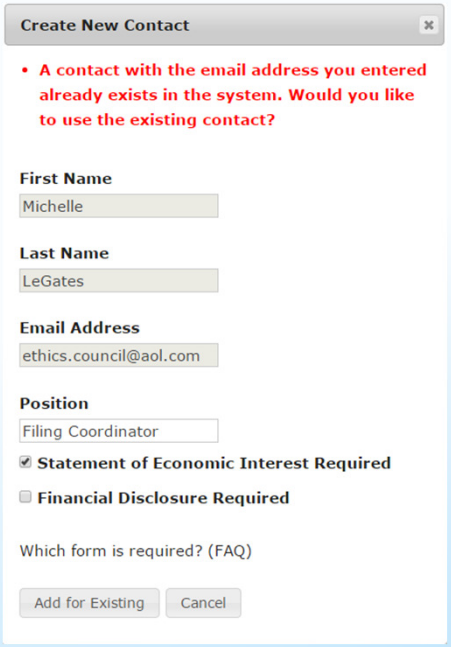
* If an individual is not in your Conflict of Interests disclosure list, this function allows you to create a contact for an individual. If you are creating multiple contacts to add to your list, use the "Save and New" function to create contacts consecutively.
  * The system may indicate that a contact record already exists for an individual. The system will ask if you would like to use the existing contact record. Click "yes" after double-checking that the name and email address you entered is correct.
* A filer must have an email address unique to him or her. Filers cannot share an email address.

When you create a new contact you will be prompted to enter a name, e-mail address and position. You must select which form the individual is required to file- the Statement of Economic Interests or the Financial Disclosure.

Create New Contact Screen

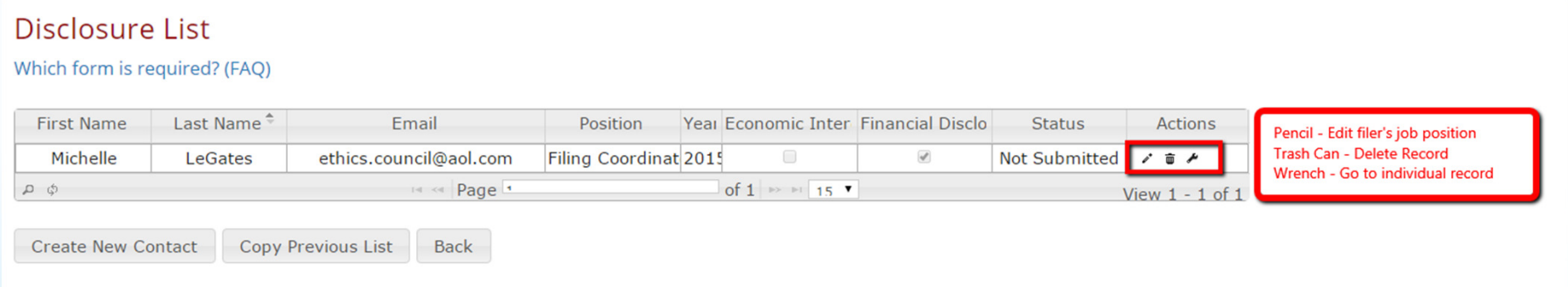


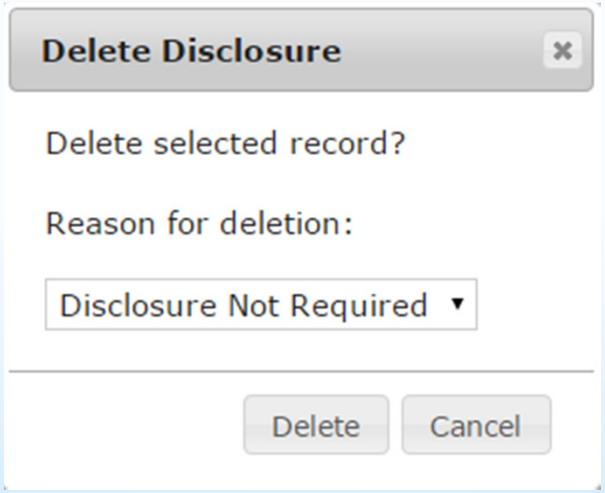
Prompt for Existing Contact



Step 1, Part 3 – Manage List – Delete Unnecessary Record

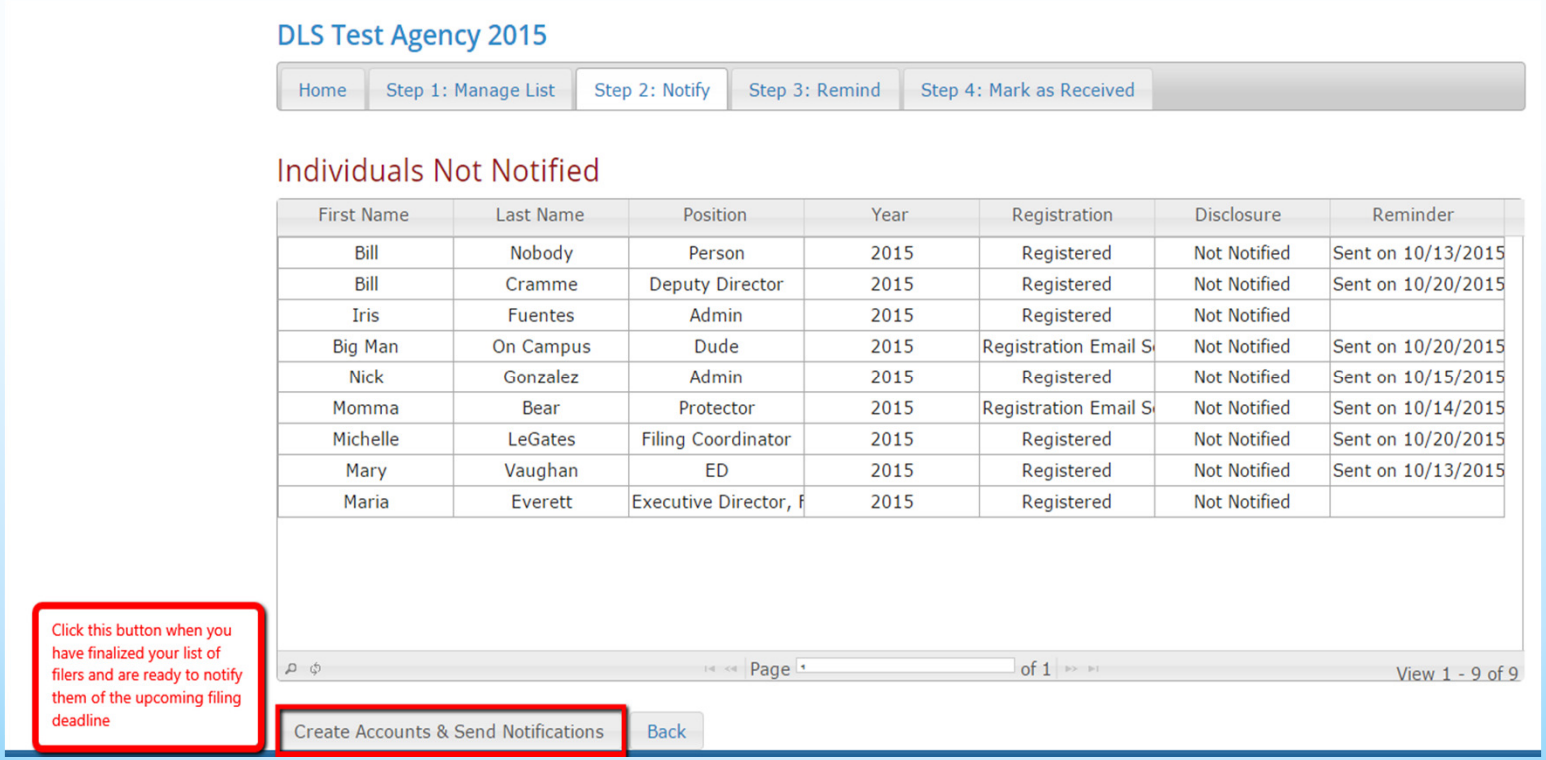
* Click on the trash can icon to delete duplicate or unnecessary filing records. The system will prompt you to select the reason that the filing is not needed in a drop down menu– Deleting Duplicate, Mistyped Information, Disclosure Not Required. Select the reason, click delete and the system will refresh.





Step 2 – Notify

- Use the "Step 2: Notify" function to notify all filers of their obligation to submit their disclosure from.
- Click on the "Create Accounts & Send Notifications" button to direct the Conflict of Interest system to send a series of automatically generated emails to each user to notify them of their obligation to file.
- New users to the system will receive also receive a registration email which will allow them to set up their account. If an account was previously created, but never activated by the intended filer, those individuals will also receive the registration email.
  - The system may take several minutes to process the emails. Please do not close your browser until the "Disclosure" column changes to "Notification Pending".
- **Agency coordinators should not send out notifications to filers from the system until they have received the official memorandum from Council staff.**



First Name	Last Name	Position	Year	Registration	Disclosure	Reminder
Bill	Nobody	Person	2015	Registered	Not Notified	Sent on 10/13/2015
Bill	Cramme	Deputy Director	2015	Registered	Not Notified	Sent on 10/20/2015
Iris	Fuentes	Admin	2015	Registered	Not Notified	
Big Man	On Campus	Dude	2015	Registration Email S	Not Notified	Sent on 10/20/2015
Nick	Gonzalez	Admin	2015	Registered	Not Notified	Sent on 10/15/2015
Momma	Bear	Protector	2015	Registration Email S	Not Notified	Sent on 10/14/2015
Michelle	LeGates	Filing Coordinator	2015	Registered	Not Notified	Sent on 10/20/2015
Mary	Vaughan	ED	2015	Registered	Not Notified	Sent on 10/13/2015
Maria	Everett	Executive Director, F	2015	Registered	Not Notified	

Email Notification to Filers from the Conflict of Interests System

* After the coordinator clicks on the "Create Accounts & Send Notifications" button in Step 2: Notify, the COI system will send the notification email to all filers and the account registration email to unregistered accounts. The notification email includes a hyperlink to access the account log-in screen.

It's time to file your 2015 Conflict of Interest disclosure Inbox x

Ethics Council <no-reply@dls.virginia.gov> 1:26 PM (0 minutes ago)
to me

MEMORANDUM

TO: State employees, judges and substitute judges, and certain appointees

From: Virginia Conflict of Interest and Ethics Advisory Council

Subject: It's time to file your December 15, 2015 Conflict of Interest disclosure

Your position as a state employee, judge, or board or commission member requires you to disclose your financial interests semi-annually. It is now time to file your Statement of Economic Interest for the current filing period. **The filing deadline is December 15, 2015.**

To submit your disclosure statement online please use the link below.

http://coi.dls.virginia.gov/

This filing will cover the time period from May 1, 2015 - October 31, 2015.

If this is the first time you will file your conflict of interest disclosure through the online system, you will receive another email with instructions for registering. If you are a returning user you can log in using this email address. If you do not remember your password, use the "I forgot my password" link on the log-in page.

Thank you for your service to the Commonwealth. If you have any questions, please contact your agency conflict of interest coordinator.

Registration Email to New Filers

* A filer will click on the link in this email and enter the pin to register his or her account. Each filer has a unique registration link and pin.

Registration information for your Conflict of Interest disclosure account Trash x

Ethics Council <no-reply@dls.virginia.gov>
to me

A new account has been created for you in the Conflict of Interest reporting system through the Virginia Conflict of Interest and Ethics Advisory Council. To set up your account -

1. Click on the following link:

   http://coi.dls.virginia.gov/Account/NewUser/5F374F468CB44660ABD3B09B8AC63EB2C6

2. Enter your pin:

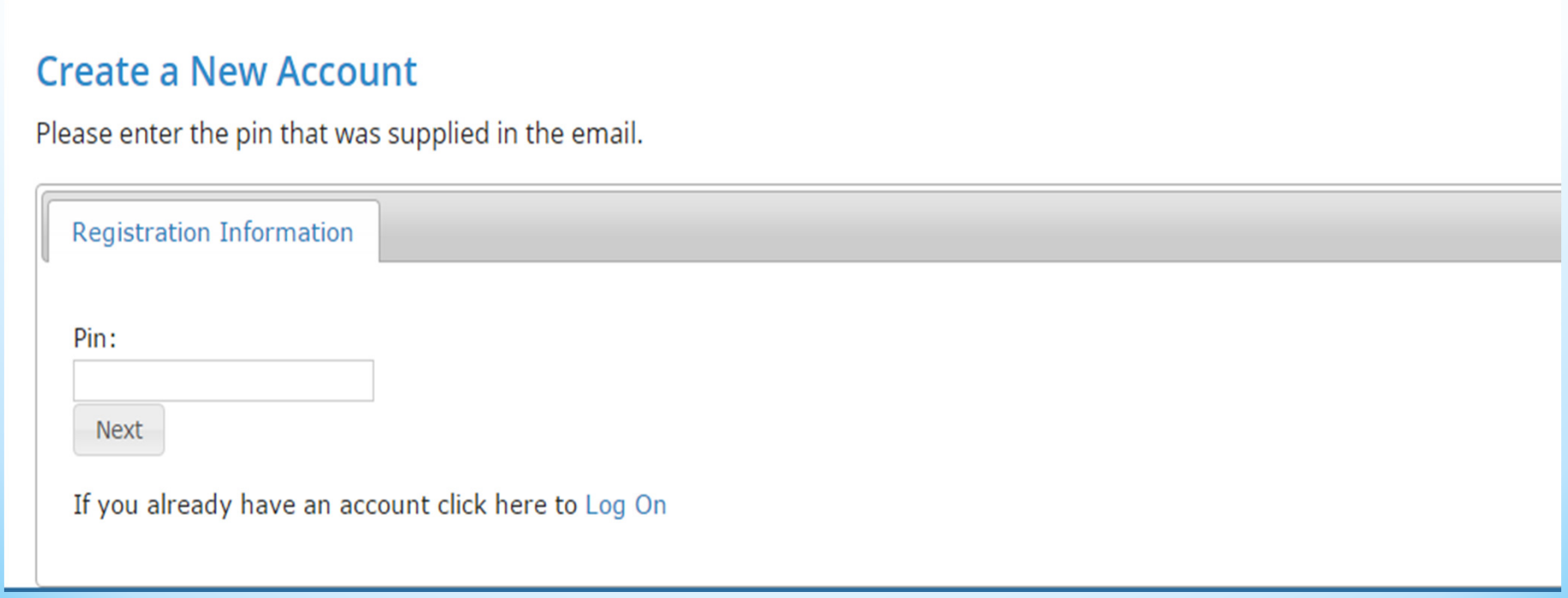
   0000

3. Follow the instructions to complete the registration process.

Thank you for your cooperation. As a reminder, the deadline to file your conflict of interest disclosure is December 15, 2015.

Filer Access to the Conflict of Interest Disclosure System

Create a new account screen: Enter the pin number provided in the registration email



Filer Access to the Conflict of Interest Disclosure System

Create a new account screen: Set-up Account

Create a New Account

Use the form below to create a new account.

Passwords are required to be a minimum of 8 characters in length.

Passwords must contain 3 of the 4 attributes:

a) Special characters,
b) Alphabetical characters,
c) Numerical characters
d) Combination of upper and lower case characters

Account Information

Email address

sherlockholmeslobby@yahoo.com

Password

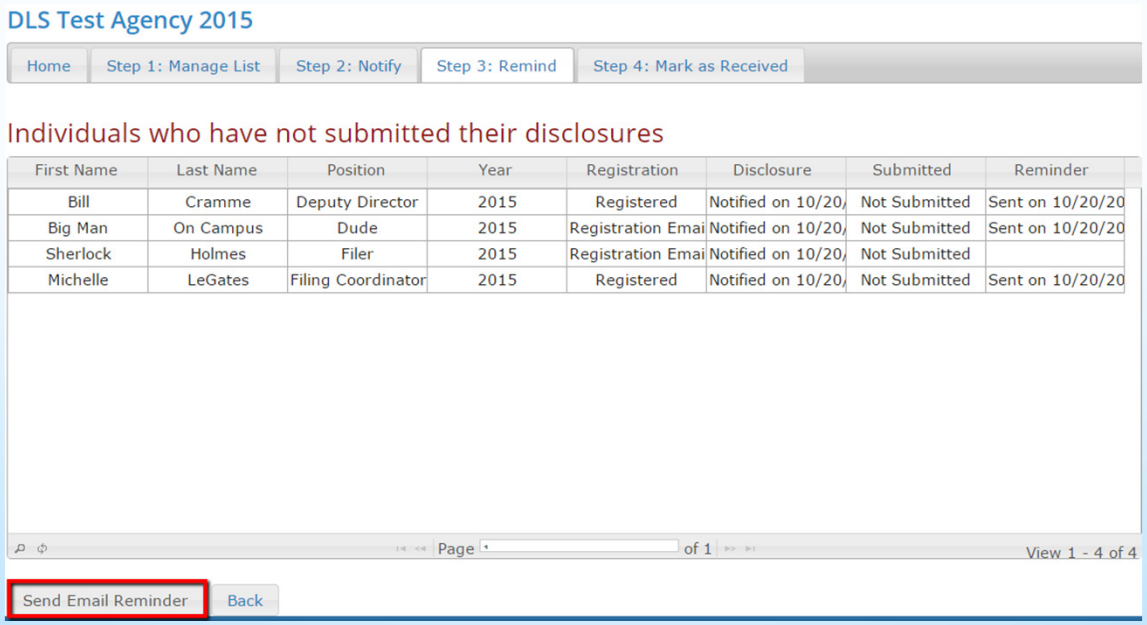
Confirm password

Register

Step 3 - Remind

* As new and returning users access the system to submit their disclosures, coordinators should remain aware of the user's Registration Status, Disclosure Notification Status, and Submission Status, to make sure that filers are able to access the system properly.
* For a new user, while they may have received an e-mail notification from the system, until their Registration Status reads "Registered," he or she has not yet activated the account.
* In the "Step 3: Remind" tab, coordinators will see a list of individuals who have not yet filed and may select the "Send Email Reminder" function to simultaneously send out emails to all filers who have not yet filed their form. From here, you will also be able to monitor when the last reminder was sent.
* **It is recommended that an agency coordinator direct the system to send the reminder email at least twice during the filing period.**

Step 3 – Remind Screen



First Name	Last Name	Position	Year	Registration	Disclosure	Submitted	Reminder
Bill	Cramme	Deputy Director	2015	Registered	Notified on 10/20/	Not Submitted	Sent on 10/20/20
Big Man	On Campus	Dude	2015	Registration Emai	Notified on 10/20/	Not Submitted	Sent on 10/20/20
Sherlock	Holmes	Filer	2015	Registration Emai	Notified on 10/20/	Not Submitted	
Michelle	LeGates	Filing Coordinator	2015	Registered	Notified on 10/20/	Not Submitted	Sent on 10/20/20

Step 3 - Remind

Reminder Email Notification

Your Conflict of Interest disclosure is due Inbox x

Ethics Council <no-reply@dls.virginia.gov> 1:50 PM (0 minutes ago)

to me

This is a reminder that the deadline for filing your conflict of interest disclosure is December 15, 2015. Please consult with your agency coordinator to determine if your agency has a preliminary, internal deadline prior to December 15, 2015. Please click on the link below to complete and submit your disclosure.

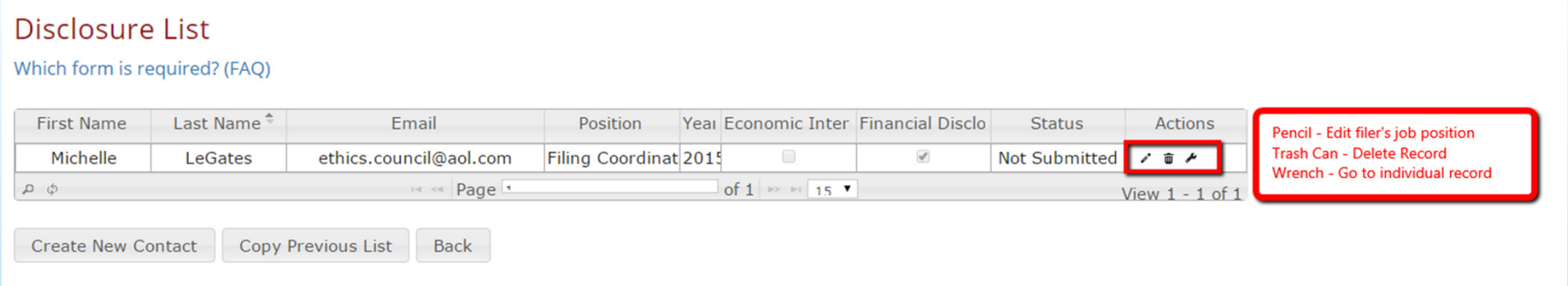
http://coi.dls.virginia.gov/

If this is the first time you have filed your conflict of interest disclosure through the online system you should have received another email with instructions for registering. If you are a returning user you can log in using this email address. If you do not remember your password, use the "I forgot my password" link on the login page.

Thank you for your service to the Commonwealth. If you have any questions, please contact your agency conflict of interest coordinator.

Accessing Individual Contact Records

- Use the Action Tools to edit a contact record, select an individual filer to resend a registration email or send a reminder email.
- Go to Step 1: Manage the disclosure list (Add Individuals). Click on the Action Tools – Edit, Delete and Go To – to manage individual contact records.
- The wrench icon is the "Go To" function that allows you to individually contact a filer who has not yet submitted the disclosure, edit the email address and first and last names of the filer and view a copy of the disclosure once it has been submitted



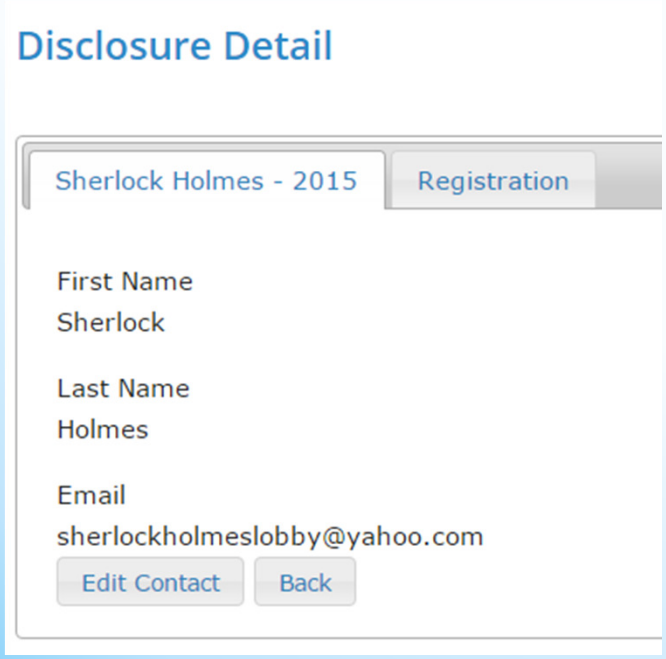
Select an Individual Contact Record

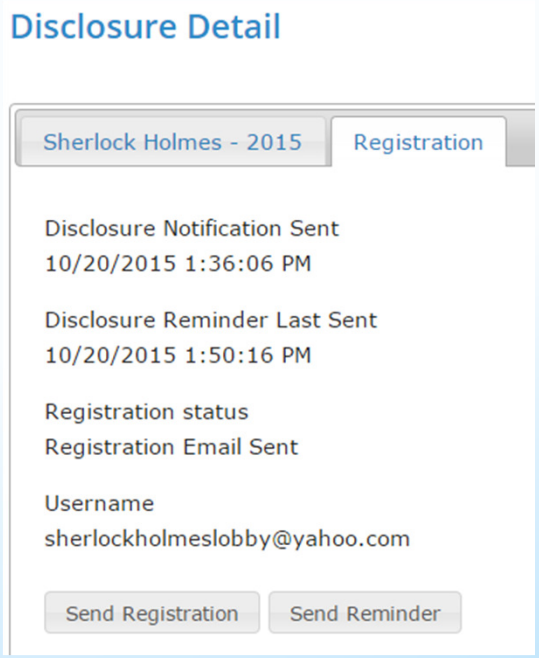
* Click the wrench icon for the user that you would like to contact

Executive Direct	2015	☐	☑	Submitted	
Admin	2015	☑	☑	Submitted	
Admin	2015	☑	☑	Received	
Filer	2015	☑	☑	Not Submitted	
Filing Coordinat	2015	☑	☑	Not Submitted	
Person	2015	☑	☐	Submitted	
Dude	2015	☑	☑	Not Submitted	
Staff Attorney	2015	☑	☐	Submitted	
Director	2015	☑	☐	Submitted	
ED	2015	☑	☐	Received	

Individual Contact Record- Edit and Email

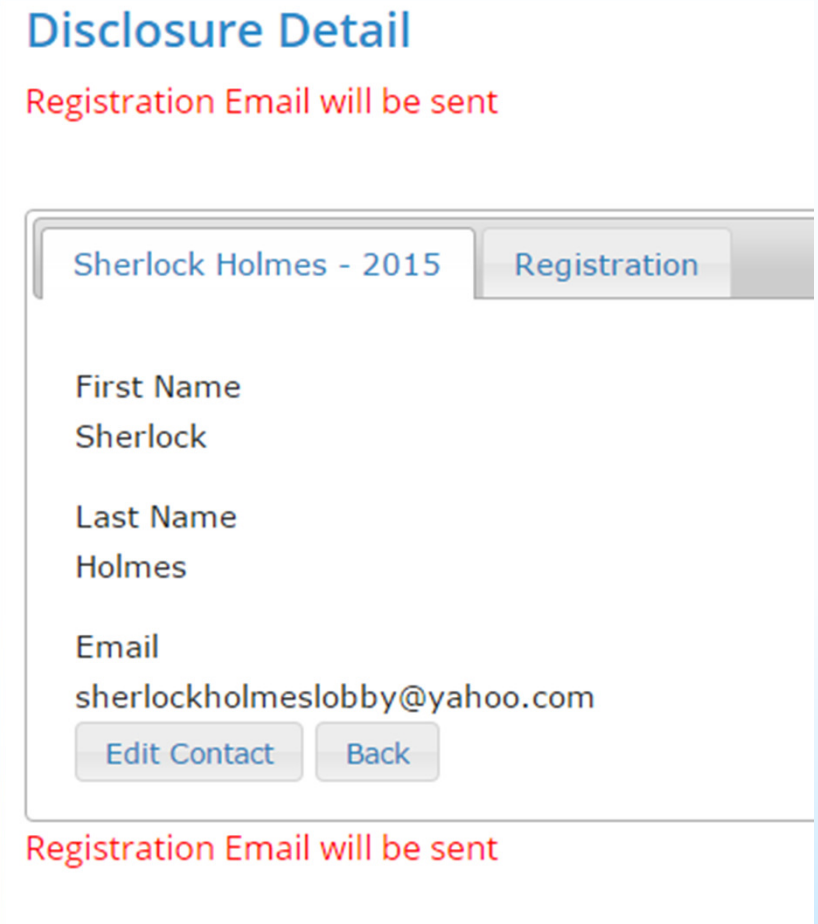
* The “Disclosure Detail” page will appear for the selected contact.
* Click “Edit Contact” to edit the filer’s first and last names.
* Click “Edit Email” to change the email address.
* Click the “Registration” tab to direct the COI system to individually email the filer.
  * If a user needs the registration email resent, click “Send Registration.”
    * If the account is registered, the “Send Registration” button will not appear.
  * If the user has not yet submitted a disclosure, you can send a reminder email by clicking “Send Reminder.”





Email Individual Users

* When an email is sent, the page will refresh with a confirmation message. Click back to return to the disclosure list.



Step 4: Mark as Received for Paper Filers

- In Step 4 a coordinator may acknowledge receipt of a hard copy filing. Check the box in the "Received by Coordinator" column to acknowledge filings submitted as hard copies or those submitted to the coordinator via email. That form should then be sent to the Filing Coordinator for the Ethics Council.
- After a coordinator marks a filing as received, the filer's status on Step 1 will change to "Received."
- The status will change again to "Submitted" when the Filing Coordinator acknowledges receipt of the filing by Council office.
- By clicking "Received by Coordinator," a filer's name will be removed from the list of unsubmitted filers in Step 3.

Home | Step 1: Manage List | Step 2: Notify | Step 3: Remind | Step 4: Mark as Received

Individuals who may be filing on paper

First Name	Last Name	Position	Year	Registration	Disclosure	Submitted	Received By
Mr.	Filer	Filer	2015	Not Registered	Not Notified	Not Submitted	☑
Ms.	Filer	Filer	2015	Not Registered	Not Notified	Not Submitted	☐

Home | Step 1: Manage List | Step 2: Notify | Step 3: Remind | Step 4: Mark as Received

Disclosure List

Which form is required? (FAQ)

First Name	Last Name	Email	Position	Year	Economic Inter	Financial Disclo	Status	Action
Mr.	Filer	filer@email.net	Filer	2015	☑	☑	Received	
Ms.	Filer	filer2@email.net	Filer	2015	☑	☐	Not Submitted	

Step 4: Mark as Received for Paper Filers

* Once a paper filing is received by the Agency Coordinator, the filing must be mailed or hand delivered to the Ethics Council by the due date (December 15 or June 15) at the address below:

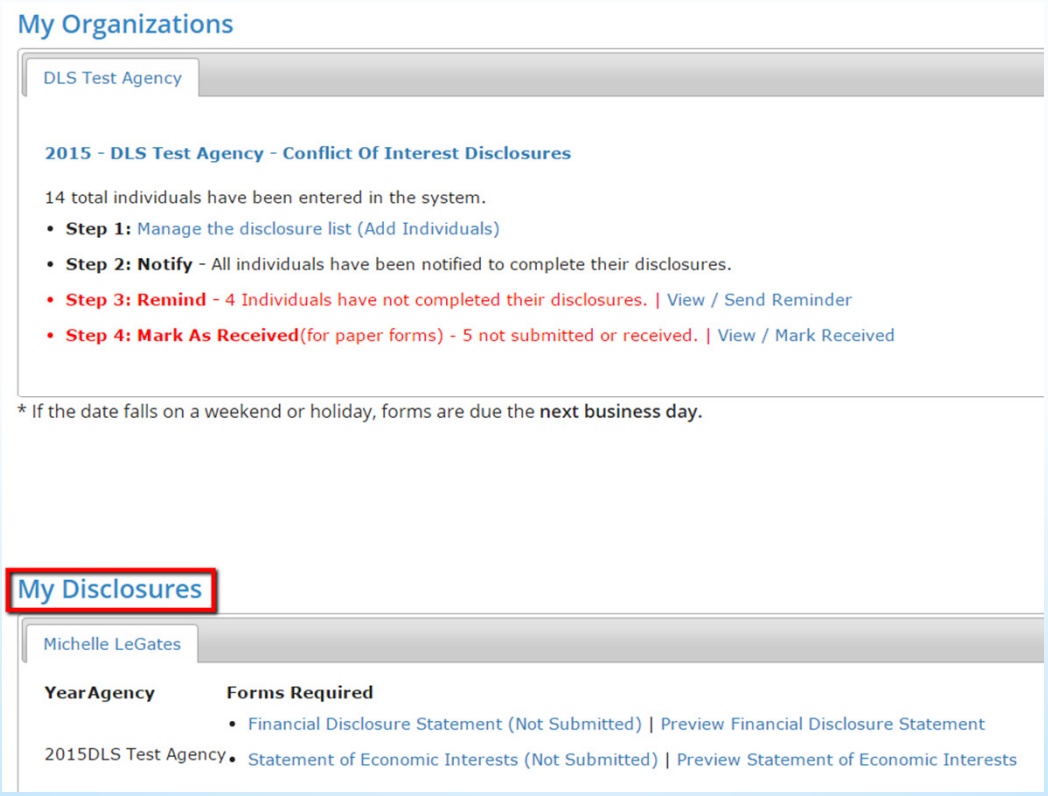
Virginia Conflict of Interest and Ethics Advisory Council

201 N. 9th Street, 2nd Floor

Richmond, VA 23229

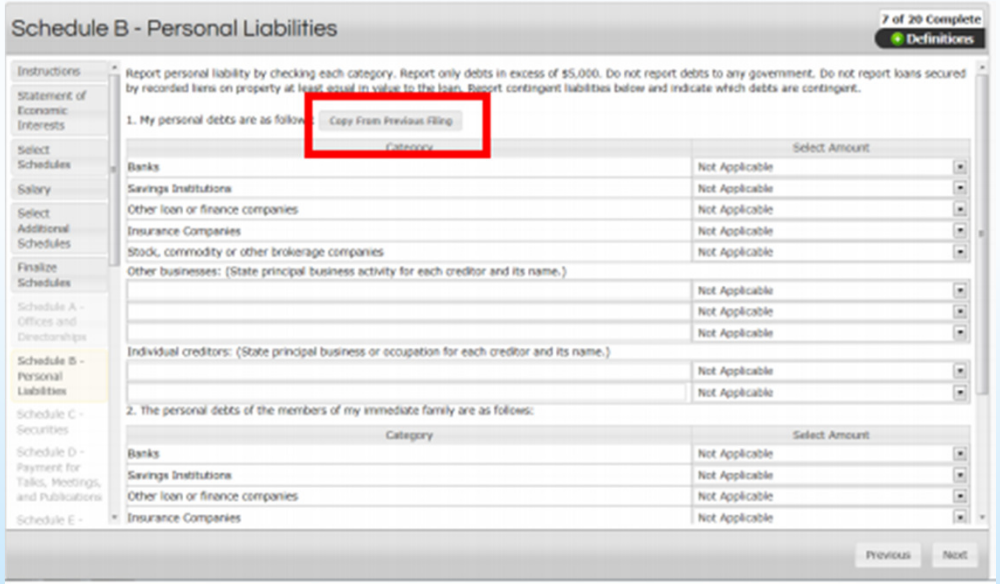
Individual Filing for Agency Coordinators

- If an agency coordinator is required to submit his or her own filing, he or she must create a record of their own in the process of creating and notifying the agency's disclosure list. The relevant form and link to start the filing process is in the "My Disclosures" section of the COI home page.
- The "My Disclosures" section provides the link to the required disclosure form to be completed by the filer and submitted online. Click on the link and the form wizard will guide the filer through the form.
- **It is the responsibility of the filer to ensure that the disclosure filing is accurate and complete to the best of their knowledge.**



Individual Filing for Agency Coordinators - Entering Information

* You are required to answer each of the questions on the Statement of Economic Interests. If you answer yes to a question, the wizard will advance you to the corresponding schedule, and only those schedules, to enter the relevant disclosure information.
* Filers who submitted an electronic filing the previous year will have the ability to copy data from the previous year's filing. The "Copy From Previous Filing" button will append last year's data to your current filing in the relevant schedules or disclosure sections. This feature is available for every disclosure page except for the Business Service Category in the Financial Disclosure Statement. After the "Copy From Previous Filing" feature adds the information into the form, you can delete a row of information that is no longer relevant, edit the information and add rows to enter new disclosure information.
* Information entered in the online form including in the relevant schedules is saved as a filer enters the information as well as when the filer clicks the "Next" button to advance to the next page.



Individual Filing for Agency Coordinators- Previewing the Disclosure Form

* At the end of the disclosure process, users are required to preview a draft of their filing before officially submitting the form online. At this point, a filer may print the filing for their records.
* Click "Preview Form" which opens a formatted version of the filing in another tab in the web browser. Review the form for accuracy and close the tab.

clicking the disclosure.

After you submit your Statement of Economic Interests, you will receive an automatically-generated confirmation email at the email address you used to login. That confirmation email will contain a link to the Conflict of Interest website, where you will be able to view the official version of your submitted Statement of Economic Interests. IT IS SOLELY YOUR RESPONSIBILITY TO ENSURE THAT THE RECORD YOU SUBMITTED IS ACCURATE AND COMPLETE. If the form is inaccurate or unavailable, contact the council staff at ethics@dls.virginia.gov. You may be directed to complete an amendment, which will be filed with your original submission on the Commonwealth's servers.

I, the undersigned, do state that the information furnished on this disclosure and on any and all accompanying statements attached thereto, is to the best of my knowledge and belief, complete and accurate.

Verify Name

Preview Form | Previous | Submit

STATEMENT OF
ECONOMIC INTERESTS

NAME **Sherlock Holmes**		Candidate for Election to this office? ___YES_X_NO
OFFICE OR POSITION HELD OR SOUGHT **Filer**		
AGENCY/BUSINESS NAME **DLS**	PHONE **804-555-5555**	
AGENCY/BUSINESS ADDRESS **123 Main**		
CITY **Richmond**	STATE **VA**	ZIP **23219**
NAMES OF MEMBERS OF IMMEDIATE FAMILY **n/a**		

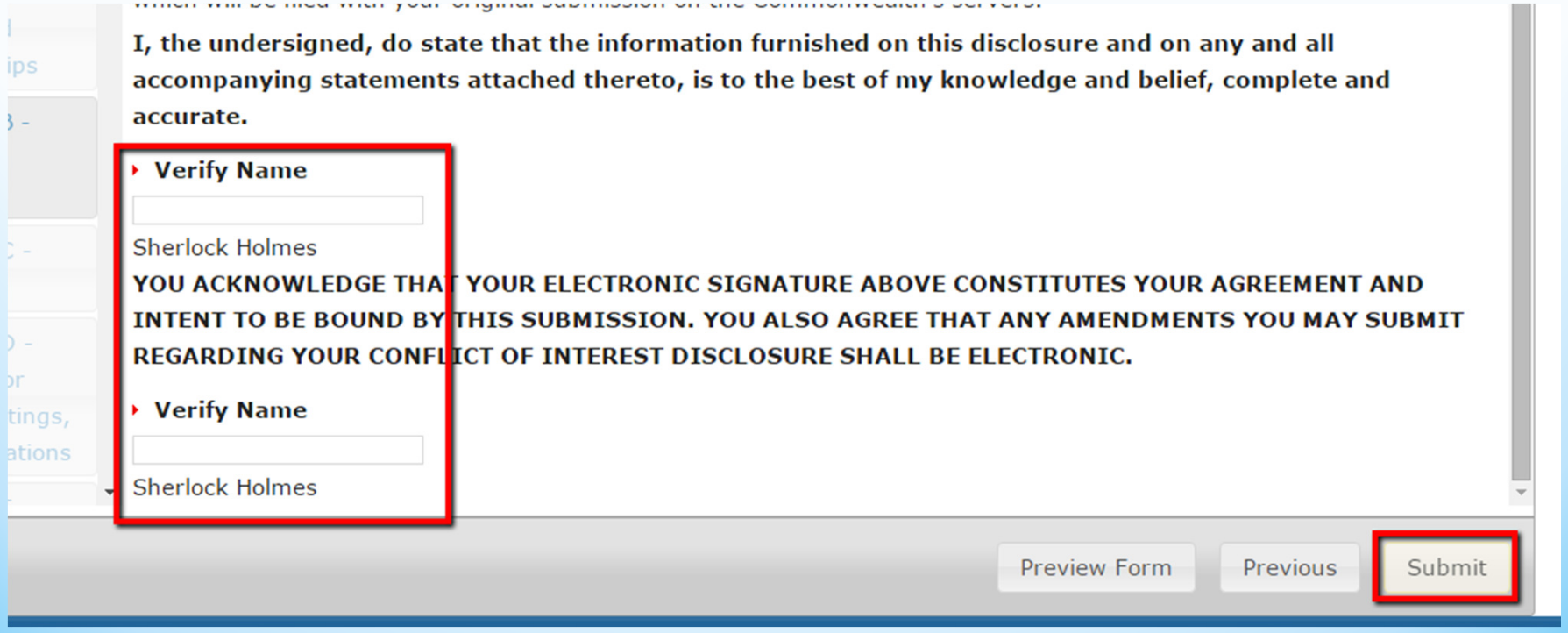
COMPLETE ITEMS 1 THROUGH 10. REFER TO SCHEDULES ONLY IF DIRECTED.

You may attach additional explanatory information.

1. Offices and Directorships.
   Are you or a member of your immediate family a paid officer or paid director of a business? YES **[NO]**
   If yes, complete Schedule A
2. Personal Liabilities.
   Do you or a member of your immediate family owe more than $5,000 to any one creditor including contingent liabilities? (Exclude debts to any government and loans secured by recorded liens on property at least equal in value to the loan.) **[YES]** NO
   If yes, complete Schedule B
3. Securities.
   Do you or a member of your immediate family, directly or indirectly, separately or together, own securities valued in excess of $5,000 invested in one business? Account for mutual funds, limited partnerships and trusts. YES **[NO]**
   If yes, complete Schedule C

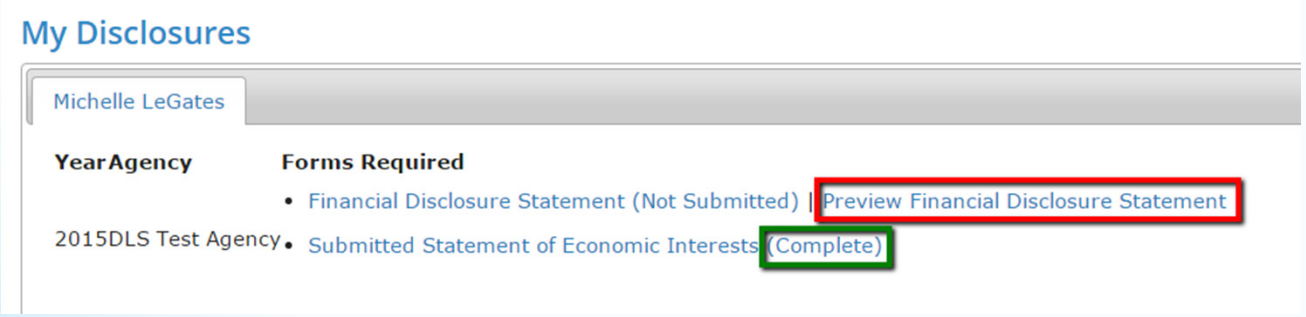
Submitting the Form

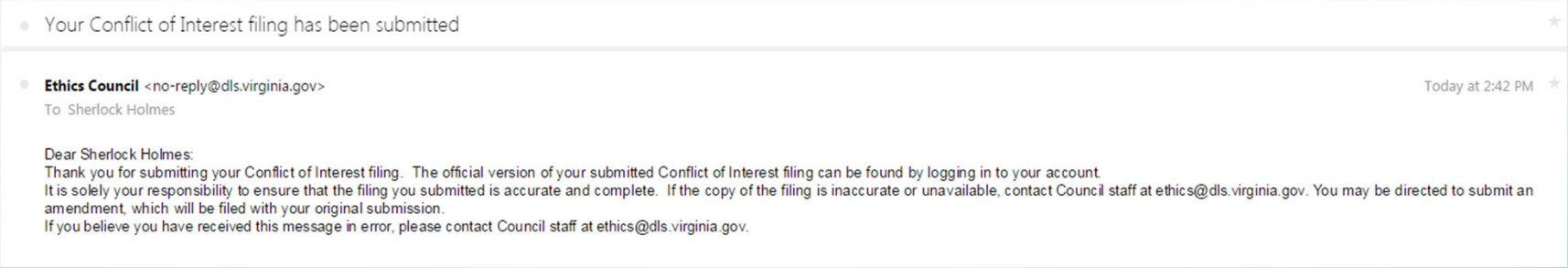
* Type your name twice where indicated in the signature blocks, which constitutes a valid electronic signature and click "Submit." You must type your name exactly as it appears below the signature spaces.
* Once a user's form is submitted, it cannot be changed or resubmitted, though it will be available for a user to view/print at any time throughout the year through their online account. *If a user needs to amend a submitted filing, contact your agency coordinator to request that the record be unlocked for editing and resubmission.*



Email Confirmation of Online Filing Submission

- A confirmation email from the Conflict of Interests system will be sent upon successfully submitting the disclosure.
- If you do not receive a confirmation email, you did not finalize submission of your disclosure. Log back into the COI system. Under the "My Disclosures" section, if the form says Preview Form instead of Submitted, your form was not submitted. Click on the disclosure, advance through the steps and submit.
- Any questions regarding the online filing process or general questions about the requirements of either form may be directed to Council staff.

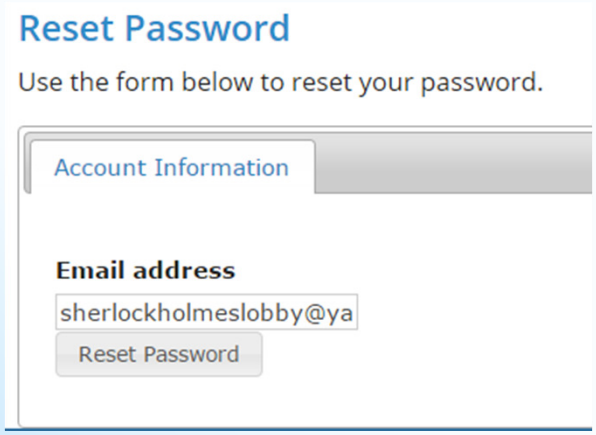




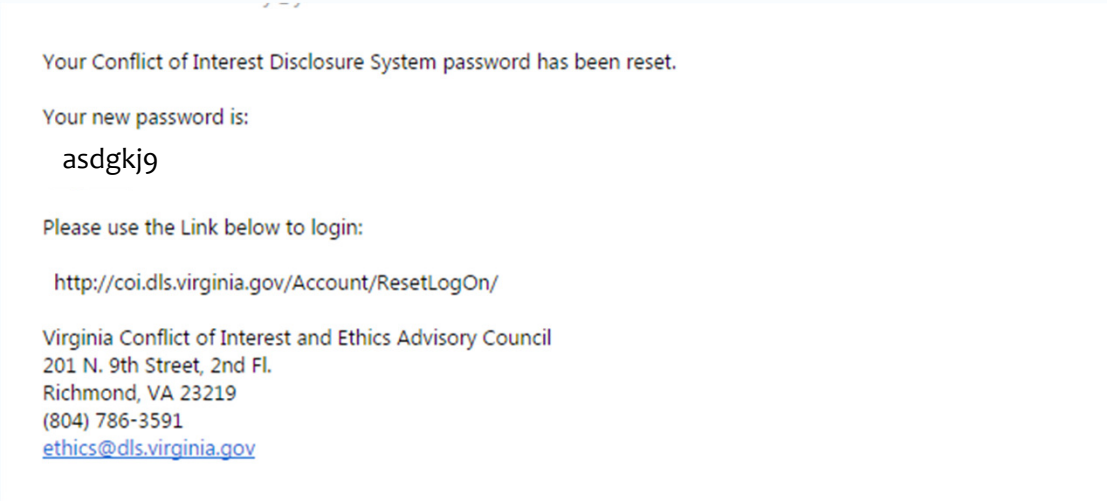
Password Reset

* If you are a returning user, but do not remember your password, click on the "I forgot my password" option from the log-in screen. An email will be sent to your inbox that will allow you to reset your password and access your account.

Reset Password Screen 1



Password Reset Email Notification



Your Conflict of Interest Disclosure System password has been reset.

Your new password is:

asdgkj9

Please use the Link below to login:

http://coi.dls.virginia.gov/Account/ResetLogOn/

Virginia Conflict of Interest and Ethics Advisory Council
201 N. 9th Street, 2nd Fl.
Richmond, VA 23219
(804) 786-3591
ethics@dls.virginia.gov

Password Reset

- The temporary password is the system-generated password provided in the reset password email
- The filer creates a new password that complies with the requirements

Reset Password Screen 2

The online Conflict of Interest Disclosure System is for state governmental officers or employees who must submit a conflict of interest disclosure form to the Virginia Conflict of Interest and Ethics Advisory Council's office.

Log On

Email Address

Temporary password

New password

Confirm new password

Change Password

Welcome to the Virginia Conflict of Interest and Ethics Advisory Council's Conflict of Interest Disclosure System.

Use the temporary password that was emailed to you and choose a new password that meets the following criteria:

Passwords are required to be a minimum of 8 characters in length. Passwords must contain 3 of the 4 attributes:

1. Special characters,
2. Alphabetical characters,
3. Numerical characters,
4. Combination of upper and lower case characters

If you think you have reached this page in error, then please contact your agency's conflict of interest coordinator.

Thank You!

To contact Ethics Council staff:

Call: 804-786-3591

Email: ethics@dls.virginia.gov