

NIH ETHICS INFORMATION MANAGEMENT SYSTEM (EMIS)

Award Review Module (Awards with Cash Prize)

The NIH Ethics Management Information System (EMIS) is maintained by the NIH Ethics Office (NEO) to track employee ethics actions and non-employee based actions, which include ethics review of awards with a cash prize. The Award Review Module in EMIS is used to track the review progress of awards with cash or equivalent prize. The administrative module is named **Award Review**, and is located on the left side of the screen after logon to EMIS. Users with the IC Admin role may access the module, as well as those with the NEO User Role. All data are viewable to all NIH EMIS users.

IC ethics officials may add, edit, view, and report on all data in this module. The IC officials will add data into an award review record in the IC data entry fields (ending with the 'Sent to NEO' field), and attach the award review package. The file shall be named using the name of the award donor and the award, truncated as needed, the year, and "Inc" to designate the incoming file. Insert a hyphen between words. Do not use blank spaces. For example, the file for the Lasker Medical Research Award of 2015 would be named: Lasker-Medical-Research-2015-Inc.pdf. See additional details in the NIH SOP entitled "IC SOP: Preparation and Submission of Request for ACD Clearance of an Award with Cash Prize," available on the NIH Ethics Program web site, on the procedures page:

<http://ethics.od.nih.gov/procedures.htm>.

NEO users will add the remaining data to the record, and an electronic copy of the final award review package, named as above but replace "Inc" with "App" or "Disp" to indicate the final decision. Additional details are in the NEO SOP entitled "NEO SOP: Processing Requests for ACD Clearance of an Award with Cash Prize," available on the NEO SharePoint site, in the Ethics Actions SOPs folder.

1. Use your **NIH logon** and password to logon to EMIS at <https://emis.od.nih.gov/> to open your "Home" page. Note that the day and date are visible, and your first name.

The left side of the screen contains the administrative functions; the right side contains a list of new employees for your IC. Note that an IC official will see only their own IC employees.



Figure 1: EMIS Home page view.

2. **Choose Award Review** to open the module (circled above).

On the Award Review module home page are two sections, a search option and a list of current awards in pending status. Note the information available on the list of pending awards. Pending means no *Full ACD Action* has been added.

Search for Award Review

ID Number

Award Sponsor

Award Name

Receipt Date Between And

Awards Pending Review

Please select a record to Edit, or click 'Add New' to create a new record

[Add New](#)

[Show All](#)

1	2				
ID	Receipt Date	Award Sponsor	Award Name	IC	NFO-Specialist
Edit 98	06/01/2015	Oxford University	Most Prestigious Research Award	OD	ScullyD

Figure 2: Award Review Search and Pending Award List

Search for an Award Record

To locate an award for review, search using any field listed. Enter data into one or more search fields, as follows:

- *ID Number* refers to the internal database number for an award record. Note the ID number 98 in the pending award listed at the bottom of the figure above. The ID Number is assigned by EMIS when a new record is created. It is not editable by users.
- *Award Sponsor* is the organization presenting the award. Use as few letters as necessary to identify the desired award, including a word or words from the middle of the name. Full names are not required.
- *Award Name* is the name of the award. Use as few letters as necessary to identify the desired award, including a word or words from the middle of the name.
- *Receipt Date Between* permits searching for all awards received during the specified time frame. The default end date is the current date. That date may be edited. For example, you may want to search for all awards received in the prior year, so you would insert 1/1/2014 and 1/1/2015.

After inserting search criteria in at least one field, choose **Search** to see the list of awards which match your criteria. The example shows one search criterion of ID number 98, and the award with ID number 98 is then visible.

Note the information now available: ID, sponsor and award name, plus the decision and date of the full ACD and number of attachments.

Search for Award Review

ID Number

Award Sponsor

Award Name

Receipt Date Between And

Your search results - All (1 Award Reviews)

Please select a record to Edit, or click 'Add New' to create a new record

[Add New](#)

ID	Award Sponsor	Award Name	Full ACD	ACD Date	Attach
Edit 98	Oxford University	Most Prestigious Research Award		12/2015	0

Figure 3: Award Search with Results

Edit a Record

Search for the record to edit. With the desired award listed, choose **Edit** at the left end of the row to open the record. The ID number for the record is visible at the top of the screen, beneath the screen title. Edit the data, or add new data.

Scroll to the bottom of the record, and choose **Update** to save the new data and update the record, and return to the Award Review home page.

See the table in the next section, Add a New Record, for descriptions of the fields and options available in the drop-down lists.

Add a New Record

To add a new record, choose **Add New** and a blank data entry screen will open. Data fields and appropriate content described in the following table. Pictures of the data entry screens are shown after the IC and NEO sections. **Fields required upon creation of the record are noted with an asterisk (*)**.

After data are entered, choose the **Save** button at the bottom of the screen.

	Field Name	Description	Options/Definitions
1	*Receipt Date	Enter the date that the IC ethics office received the award information or request.	Use m/d/yy or mm/dd/yy format for date. To avoid typing the slash, type mmddyyyy.
2	*Initiator Name/ DDRMS Number	Enter last name, first name of the employee recipient. For awards forwarded by the NIH Executive Secretariat, enter the DDRMS identification number.	For employee, last name, first name. If it is not a DDRMS request and there is no employee, enter No Employee.
3	*Initiator IC/ DDRMS	IC of the recipient employee, or DDRMS.	Use the drop down list of all ICs. DDRMS is at the bottom of the list.
4	*Sponsor	Full name of the organization providing the award.	May use standard abbreviations, e.g., Assn for Association.

	Field Name	Description	Options/Definitions
5	Location	City, State, or City. Foreign Country	Use standard state abbreviations.
6	Sponsor Type	Description of the sponsor. Use the drop down list to choose the type of sponsor.	Educational Institution Foundation, private, US Foundation, non-private, US Foundation, private, foreign Foundation, non-private, foreign Government, US, any level Government, foreign Health Care Institution Industry Non-profit organization Professional association Other
7	*Award Name	Full name of the award.	Omit initial word "The."
8	Gift, Cash	Value of cash gift, US dollars	
9	Gifts, Non-travel	Value of other gifts, other than travel, non-cash.	Examples: journal subscription, sculpture
10	Gifts, Travel	Value of travel being given to the employee which is counted in the total value of the gift to the employee.	Omit value of sponsored travel, which is a gift to the agency, not to the employee.
11	Subject to IRS?	Yes or No. Indicate yes <u>if</u> the sponsor is a private foundation and the award meets the requirements of the IRS rule. This applies to the award itself, not to whether any particular employee is subject to the IRS rule.	See information on the web site; contact NEO specialist for assistance as needed.
12	IC Spec Review	Date of the IC Specialist's review.	mm/dd/yy or mmddyyyy
13	IC DEC Review	Date of the IC DEC's review.	mm/dd/yy or mmddyyyy
14	IC DEC Recomd	Select from the drop down list.	Recommend Do Not Recommend None (if no further action will be taken)
15	Send to NEO	Date package forwarded to NEO.	mm/dd/yy or mmddyyyy

Add Award Review

* = required field

* Receipt Date <input type="text"/>		
* Initiator Name/ DDRMS# <input type="text"/>	* Initiator IC/ DDRMS <input type="text" value="-SELECT ONE-"/>	
* Sponsor <input type="text"/>		
Location <input type="text"/>		
Sponsor Type <input type="text" value="-SELECT ONE-"/>		
* Award Name <input type="text"/>		
Gift, Cash <input type="text" value="\$0.00"/>	Gifts, Non-Travel <input type="text" value="\$0.00"/>	
Gifts, Travel <input type="text" value="\$0.00"/>	Subject to IRS? <input type="text" value="No"/>	
IC Spec Review <input type="text"/>	IC DEC Review <input type="text"/>	
IC DEC Recomd <input type="text" value="-SELECT ONE-"/>	Sent To NEO <input type="text"/>	

Notes

Choose Your File To Upload

File Description

Figure 4a and 4b: Data Entry Fields – modifiable by all IC Admins and NEO Users; viewable by all EMIS users

NEO Data Entry Fields

<i>The following fields will be completed by the NEO officials, except for Notes and attaching files.</i>			
16	NEO Receipt	Date packaged received in NEO.	mm/dd/yy or mmddyyyy
17	Forward Email	Date NEO Action Coordinator forwards the incoming email and attachment to the NEO Ethics Specialist for the submitting IC.	mm/dd/yy or mmddyyyy
18	Name NEO Spec	Select from the drop down list.	EMIS users designated as "NEO Specialists" will be included on this drop down list.
19	NEO Spec Review	Date the NEO Ethics Specialist completes his or her review.	mm/dd/yy or mmddyyyy
20	NEO Spec Recomd	Select from the drop down list.	Recommend Do Not Recommend None (if no further action will be taken)
21	NEO Supv Review	Date the NEO Supervisory Specialist reviews the package.	mm/dd/yy or mmddyyyy
22	NEO Supv Concur	Select from the drop down list.	Concur Do not concur None (if no further action will be taken)
23	To NEO Director	Date sent to the NEO Director.	mm/dd/yy or mmddyyyy
24	NEO Dir Review	Date package reviewed by the NEO Director	mm/dd/yy or mmddyyyy
25	NEO Dir Concur	Select from the drop down list.	Concur Do not concur None (if no further action will be taken)
26	OGC Review?	The following 4 fields are visible only for a Yes response.	Indicate whether the package meets the requirement for OGC review.
27	OGC Reason	Select from the drop down list.	First-time award US Federal Government Foreign Government Foreign Non-Government Lecture award Private foundation Research support Other concern
28	To OGC	Date package sent to OGC.	mm/dd/yy or mmddyyyy
29	From OGC	Date response received from OGC.	mm/dd/yy or mmddyyyy
30	OGC Concur	Select from the drop down list.	Concur Do not concur None (if no further action will be taken)
31	To NIH DEC	Date sent to the NIH DEC.	mm/dd/yy or mmddyyyy
32	NIH DEC Sig	Date signed by the NIH DEC	mm/dd/yy or mmddyyyy
33	NIH DEC Action	Select from the drop down list	Approve Do not approve Withdraw None (if no further action will be taken)

34	To ACD Sub	Date sent to the ACD Subcommittee member.	mm/dd/yy or mmddyyyy
35	From ACD Sub	Date response received from the ACD Subcommittee member.	mm/dd/yy or mmddyyyy
36	ACD Sub Recomd	Recommendation of the Subcommittee. Select from the drop down list.	Recommend Do not recommend None (if no further action will be taken)
37	Notify IC Sub	Date IC notified of Subcommittee recommendation.	mm/dd/yy or mmddyyyy
38	Full ACD Meet	Month and year of the meeting of the full ACD	mm/yyyy
39	Full ACD Action*	Select from the drop down list for the full ACD decision. Empty field 39 defines the record as "Pending."	Approve Disapprove Withdraw None (if no further action will be taken)
40	Notify IC Full	Date IC notified of the decision of the full ACD.	mm/dd/yy or mmddyyyy
41	Add Web	Date approved award added to the NIH Ethics Program web site.	mm/dd/yy or mmddyyyy
42	Add NEES	Date approved award added to the NIH Enterprise Ethics System (NEES)	mm/dd/yy or mmddyyyy
43	Notes	Text box, add other relevant information.	Be succinct. Avoid lengthy sentences, phrases are OK.
44	Upload Files	Browse and upload files per the SOP.	

NEO Receipt <input type="text"/>	Forward Email <input type="text"/>
Name NEO Spec <input type="text" value="-SELECT ONE-"/>	NEO Spec Review <input type="text"/>
NEO Spec Recomd <input type="text" value="-SELECT ONE-"/>	NEO Supv Review <input type="text"/>
NEO Supv Concur <input type="text" value="-SELECT ONE-"/>	To NEO Director <input type="text"/>
NEO Dir Review <input type="text"/>	NEO Dir Concur <input type="text" value="-SELECT ONE-"/>
OGC Review? <input type="text" value="Yes"/>	
OGC Reason <input type="text" value="-SELECT ONE-"/>	To OGC <input type="text"/>
From OGC <input type="text"/>	OGC Concur <input type="text" value="-SELECT ONE-"/>
To NIH DEC <input type="text"/>	NIH DEC Sig <input type="text"/>
NIH DEC Action <input type="text" value="-SELECT ONE-"/>	To ACD Sub <input type="text"/>
From ACD Sub <input type="text"/>	ACD Sub Recomd <input type="text" value="-SELECT ONE-"/>
Notify IC Sub <input type="text"/>	Full ACD Meet <input type="text"/>
Full ACD Action <input type="text" value="-SELECT ONE-"/>	Notify IC Full <input type="text"/>
Add Web <input type="text"/>	Add NEES <input type="text"/>

Figure 5: NEO Data Entry Fields – modifiable by NEO EMIS users

Note:

If an award is deemed to not meet the regulatory criteria, e.g., by NEO management, and no further action will be taken, choose "Withdraw" for **NIH DEC Action** (Field #33) **and Full ACD Action** (# 39) and add the date of the most recent full ACD meeting to **Full ACD Meet** (# 38). This closes the record

and removes it from the list of pending awards on the Award Review home page. It also permits reporting on withdrawn awards at a later time.

If an award may meet the regulatory criteria, but no further action will be taken to result in a final determination, choose “None” for **NIH DEC Action** (Field #33) and **Full ADC Action** (#39). This closes the record and removes it from the list of pending awards on the Award Review home page. It also permits reporting on withdrawn awards at a later time.

Creating a Route Slip for the Award

The EMIS Award Review module permits creation of a route slip in Microsoft Word software. After saving a record, choose Edit from the list to open the record. Scroll to the bottom of the record and locate the three (3) buttons.



Figure 6: Route Slip Option

Choose the **Create Route Slip** button. Word software will open and a route slip with the NIH Ethics Office logo and header will open. Modifications to the route slip may be made in Word. Some of the information is filled in, e.g., ID number, award name, sponsor, and NEO specialist (if those fields are complete in the EMIS Award Review record).

Reporting on ACD Review of Awards

The Award Review table is listed in the EMIS Report Function, on the list of tables for creating an ad hoc report. Choose Reports in the header banner on the screen, then choose Create Custom Report at the bottom of the screen. On the list of data tables, choose **Award Review** and follow the usual steps for creating a report. (Choose the fields for inclusion in the output, choose filters to limit output to the desired records, choose sort order, save and name the report. Then run the report and export to Excel or Word.) See the EMIS Help Menu for detailed instructions for creating a custom ad hoc report.

Assistance

For assistance, contact the EMIS Administrator or your IC’s NEO Ethics Specialist (301-402-6628).

Document History

File Name: Q:EMIS\Instructions\Award-Review-Module.wpd, and pdf

- 7/26/12 Original document. Convert to ADA compliant pdf file; distributed to NEO staff, and posted on EMIS Help Menu. FEP
- 8/2/12 Revised to include email notification for approved awards only. FEP
- 3/26/13 Revised to format consistent with other SOPs and add “assistance” section. FEPLYler
- 6/5/14 Revised to update some field instructions, new logo, and formatting. NEO (C.Galvin-Combet)