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 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.
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.

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Description</th>
<th>Options/Definitions</th>
</tr>
</thead>
<tbody>
<tr>
<td>1  *Receipt Date</td>
<td>Enter the date that the IC ethics office received the award information or request.</td>
<td>Use m/d/yy or mm/dd/yy format for date. To avoid typing the slash, type mmmddyyyy.</td>
</tr>
<tr>
<td>2  *Initiator Name/DDRMS Number</td>
<td>Enter last name, first name of the employee recipient. For awards forwarded by the NIH Executive Secretariat, enter the DDRMS identification number.</td>
<td>For employee, last name, first name. If it is not a DDRMS request and there is no employee, enter No Employee.</td>
</tr>
<tr>
<td>3  *Initiator IC/DDRMS</td>
<td>IC of the recipient employee, or DDRMS.</td>
<td>Use the drop down list of all ICs. DDRMS is at the bottom of the list.</td>
</tr>
<tr>
<td>4  *Sponsor</td>
<td>Full name of the organization providing the award.</td>
<td>May use standard abbreviations, e.g., Assn for Association.</td>
</tr>
<tr>
<td>Field Name</td>
<td>Description</td>
<td>Options/Definitions</td>
</tr>
<tr>
<td>------------</td>
<td>-------------</td>
<td>---------------------</td>
</tr>
<tr>
<td>5 Location</td>
<td>City, State, or City. Foreign Country</td>
<td>Use standard state abbreviations.</td>
</tr>
<tr>
<td>6 Sponsor Type</td>
<td>Description of the sponsor. Use the drop down list to choose the type of sponsor.</td>
<td>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</td>
</tr>
<tr>
<td>7 *Award Name</td>
<td>Full name of the award.</td>
<td>Omit initial word “The.”</td>
</tr>
<tr>
<td>8 Gift, Cash</td>
<td>Value of cash gift, US dollars</td>
<td></td>
</tr>
<tr>
<td>9 Gifts, Non-travel</td>
<td>Value of other gifts, other than travel, non-cash.</td>
<td>Examples: journal subscription, sculpture</td>
</tr>
<tr>
<td>10 Gifts, Travel</td>
<td>Value of travel being given to the employee which is counted in the total value of the gift to the employee.</td>
<td>Omit value of sponsored travel, which is a gift to the agency, not to the employee.</td>
</tr>
<tr>
<td>11 Subject to IRS?</td>
<td>Yes or No. Indicate yes if 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.</td>
<td>See information on the web site; contact NEO specialist for assistance as needed.</td>
</tr>
<tr>
<td>12 IC Spec Review</td>
<td>Date of the IC Specialist’s review.</td>
<td>mm/dd/yy or mmddyyyy</td>
</tr>
<tr>
<td>13 IC DEC Review</td>
<td>Date of the IC DEC’s review.</td>
<td>mm/dd/yy or mmddyyyy</td>
</tr>
<tr>
<td>14 IC DEC Recomd</td>
<td>Select from the drop down list.</td>
<td>Recommend Do Not Recommend None (if no further action will be taken)</td>
</tr>
<tr>
<td>15 Send to NEO</td>
<td>Date package forwarded to NEO.</td>
<td>mm/dd/yy or mmddyyyy</td>
</tr>
</tbody>
</table>

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

The following fields will be completed by the NEO officials, except for Notes and attaching files.

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
<th>Format</th>
</tr>
</thead>
<tbody>
<tr>
<td>16 NEO Receipt</td>
<td>Date packaged received in NEO.</td>
<td>mm/dd/yy or mmddyyyy</td>
</tr>
<tr>
<td>17 Forward Email</td>
<td>Date NEO Action Coordinator forwards the incoming email and attachment to the NEO Ethics Specialist for the submitting IC.</td>
<td>mm/dd/yy or mmddyyyy</td>
</tr>
</tbody>
</table>
| 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. | 

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](image)

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. FEP\lyler

6/5/14 Revised to update some field instructions, new logo, and formatting. NEO (C.Galvin-Combet)