

NIH ETHICS INFORMATION MANAGEMENT SYSTEM (EMIS)

Ethics Agreement

Candidates entering positions subject to filing the Public Financial Disclosure Report (OGE 278) are required to be pre-cleared by the Office of General Counsel, Ethics Division, prior to appointment. Ethics Agreements or Understandings are required as part of the pre-clearance process. Ethics Agreements document any ethics issues that shall be resolved after the employee has been appointed. Ethics Understandings serve as documented ethics guidance to the employee when there are no specific ethics issues to resolve.

Add/Edit/Save Data: Instructions for each field are in the table below. To save new data, click on *Save* at the bottom of the screen. To save revised data, click on *Update* at the bottom of the screen.

Delete: To delete a record, open the record and click on *Delete* at the bottom of the screen. Click on *Yes* in the confirmation window.

Field Descriptions and Contents:

Field Name	Description	Options/Definitions
EMIS ID		Non-editable internal database ID number for the record.
Date Identified*	Date discovered the need of action.	Use m/d/yy or mm/dd/yy format for date.
Proposed EOD*	Proposed Entry on Duty Date	Use m/d/yy or mm/dd/yy format for date.
Employee Type	Select from the drop down list.	New NIH Emp, Permanent Incumbent, Acting Incumbent, Permanent Other New NIH Emp, Acting
Document Type	Select from the drop down list.	Ethics Agreement Ethics Understanding
Specialist Name	Enter last name, first initial of specialist.	
Specialist Review	Enter date of specialist review.	Use m/d/yy or mm/dd/yy format for date.
Required Action?	Select Yes or No to indicate whether actions are required of the employee.	If Yes, add issues and actions. See list of options for required actions below.
To OGC	Enter date the ethics agreement is sent to OGC, if applicable.	Use m/d/yy or mm/dd/yy format for date.
OGC Concur	Enter date the OGC concurs with the ethics agreement, if applicable.	Use m/d/yy or mm/dd/yy format for date.
DEC Review	Enter date of DEC review.	Use m/d/yy or mm/dd/yy format for date.
Employee Concur	Enter date employee concurs with the terms of the ethics agreement, if applicable.	Use m/d/yy or mm/dd/yy format for date.
Notify IC	Enter date the IC is notified of the pre-clearance, if applicable.	Use m/d/yy or mm/dd/yy format for date.

Field Name	Description	Options/Definitions
Notes	Include relevant information. Conserve space in the table, omit extra lines or spaces.	

Options for Required Actions

Drop-down list for Issue:	Drop-down list for Action:
Collaboration	Authorization
Grant	Award NIH-2854
Official Duty Activity	Divestiture
Outside Position	Hon Deg NIH-2855
Patent	ODA Memo
Publication	Outside Activity HHS-520
Royalty	Recusal
	WAG NIH-2803
	Waiver
	Other

* = required field

* **Date Identified**

* **Proposed EOD**

* **Employee Type**

Document Type

Specialist Name

Specialist Review

Required Action?

Issue Resolution

Issue	Organization	Action	Completion Date

Figure 1: Ethics Agreement Data Entry fields

Issue Resolution

Issue	Organization	Action	Completion Date
<input type="text" value="Collaboration"/> <ul style="list-style-type: none"> Collaboration Grant Official Duty Activity Outside Position Patent Publication Royalty 	<input type="text"/>	<input type="text" value="Authorization"/> <ul style="list-style-type: none"> Authorization 	<input type="text"/>
	OGC		<input type="text"/>
	oncur		<input type="text"/>
	review		<input type="text"/>

Figure 2: Required Action – drop-down list of issues to resolve

Issue Resolution			
Issue	Organization	Action	Completion Date
Collaboration	<input type="text"/>	Authorization	<input type="text"/>
		<ul style="list-style-type: none"> Authorization Award NIH-2854 Divestiture Hon Deg NIH-2855 ODA Memo Outside Activity HHS-520 Recusal WAG NIH-2803 Waiver Other 	<input type="button" value="Save"/> <input type="button" value="Cancel"/>
	To OGC <input type="text"/>		
	OGC Concur <input type="text"/>		
	DEC Review <input type="text"/>		
	Employee Concur <input type="text"/>		
	Final DEC Action Date <input type="text"/>		

Figure 3: Required Action - drop-down list actions

Issue Resolution: Any issues requiring action that are addressed in the employee's ethics agreement may be entered in this section. The completion date(s) of the required actions may also be entered.

For example, Dr. Indiana Jones had an outside position as Editor-in-Chief of the Journal of Applied and Basic Science prior to his appointment at NIH. He wishes to continue the activity as an approved outside activity, and will seek permission via the HHS 520 outside activity request. The date of completion is the date his HHS 520 is initially approved.

Upload Files: This function permits you to upload files and attach them to the open record. At the bottom of the screen, click on *Browse*; locate the desired file; double click the file name; add a description if desired

Naming Convention: The final ethics agreement or understanding shall be named using the employee's name and initial(s), document type (i.e. Ethics Agreement or Ethics Understanding), and date the agreement was signed by the employee. Use hyphens or underscore between words. **Do not include blank spaces in the file name.**

For example, Dr. Indiana Jones signed his Ethics Agreement on January 1, 2015. The file will be named as follows:

JonesI-Ethics-Agreement-2015-1-1.pdf

Files must be saved in a format which can be opened by other users, such as pdf or Microsoft Office software, i.e., Word or Excel. PDF files from a scanner are acceptable.

Document History:

File Name: Q:\EMIS\SOPs\Employee-Forms\CRADA-Data-Entry.doc

2/16/08 New Document. NEO (FEPLYler)

3/13/13 Revised, per revision of data table. FEPLYler

4/18/14 Revised. Updated logo and field instructions, per revisions. NEO (C.Galvin-Combet)