

From: Jaffe, Holli Beckerman (NIH/OD) [E]
Sent: Thursday, October 16, 2008 5:16:21 PM
To: DEC's & ECs
Subject: REMINDER: Using EMIS for SAOs
Importance: High

SUBJECT: Clarifying the Use of EMIS for the HHS-717-1

To follow up to the discussion at the recent DEC/EC meeting, please ensure that all staff entering SAO data into EMIS do so the same way. The HHS-717-1 form in EMIS is used to track both actual forms submitted and email updates; each is entered as a separate "form."

Each HHS-717-1 must be a full current list of SAO interests, including current values. Updates must also include current values. It is not permissible to say "Nothing has changed." Values do change. A new full form HHS-717-1 is needed when the employee acquires any SAO holdings (e.g., dividends reinvested in additional shares or a regular purchase of the interest). For an update, the employee may reply to you via email but the employee must list each holding and its current value. If the employee indicates in the email that an SAO interest was acquired, regulation requires that employee to submit a full form HHS-717-1.

Ethics staff then enter that data as another HHS 717-1 form/record in EMIS, regardless of whether the information was submitted via a full form or an email. Update emails are identified as: Update/No Form. Please read the instructions for Type of form carefully on the form. The "New Entrant" type only refers to individuals new to NIH. The second type (Incumbent non-filer) is for current employees who are newly identified as a filer. The third type (Incumbent filer) is for someone who already files and who is reporting an acquisition.

Attach the final document to the EMIS record. You can save the email to pdf right from Outlook (File, Print, Print to Adobe PDF printer; in the next screen name it and designate the location for the file). Attach that file to the EMIS record. The form HHS-717-1 can be scanned and named according to the naming convention noted in the EMIS data entry instructions on the EMIS Help Page. There is no space problem on the server. There is a limit to file size which can be uploaded (approx 50 pages).

For protocol review, it is best to look at the most recent HHS-717-1. The most recent report shows all current SAO holdings. The holdings are reviewed and confirmed as correct by the specialist and/or DEC. Therefore, you can count on the list being accurate. Previously held SAOs not listed would have been verified as no longer held by the EC or DEC prior to accepting the form as complete. Note that the "SAO List" in EMIS shows everything ever held, reorganized by the actual holding. Holdings change over time, so this is not a list of current holdings.

Please let me know if you have any questions. Thanks.

Holli

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