

NIH ETHICS INFORMATION MANAGEMENT SYSTEM (EMIS)

Public Financial Disclosure Reports (OGE 278 & OGE 278-T)

EMIS tracks signature, review, and certification dates for the Public Financial Disclosure Report (OGE 278) and the Periodic Transaction Report (OGE 278-T). The OGE 278 is submitted electronically via NEES, however, the NIH Deputy Ethics Counselor requires that all tracking data must be added to EMIS. The OGE 278-T is currently submitted either in hard copy or electronic submission through email.

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.

Public Financial Disclosure Reports (OGE 278 and OGE 278-T)		
Field Name	Description	Options/Definitions
EMIS ID	Internal database record number.	Not editable.
File Year	Year in which report submitted, i.e., year due. A report submitted in 2014 is a 2014 report even though it covered 2013.	More than one report in a year is possible, e.g., a new entrant or annual in the spring and a termination later that same year.
Report Type	Type of report submitted; choose an option from the drop-down menu.	Annual Combined New Entrant Termination Transaction (i.e. OGE 278-T)
Is employee considered Senior?	Indicate whether the employee was considered senior ("top 5") when filing this report. Choose appropriate option from the drop-down.	Yes No Default option is "select one."
Filing Type	If employee was senior, "top 5", when filing the report, indicate whether they were Acting or Incumbent (permanent) when filing this report. If employee was non-senior when filing the report, indicate whether they were Acting or Incumbent (permanent) when filing this report. This field is designed to capture whether the filer was incumbent (permanent) or acting in the position at the time of filing.	Non-senior, Acting Non-senior, Incumbent Senior, Acting Senior, Incumbent Default option is set to "select one."
Filer Sig Date	Date the filer signed the report.	Use m/d/yy or mm/dd/yy format for date.
Receipt Date	Date the IC Ethics Office received the report.	Use m/d/yy or mm/dd/yy format for date.
Extension Due Date	New due date after granting an extension.	If grant multiple extensions, use the Notes field to keep track of the dates. Put the latest extension due date here. See Example below.
To Specialist	Date assigned to specialist to review.	Use m/d/yy or mm/dd/yy format for date.
Specialist	Name of reviewing specialist.	Last name, first initial, or initials.
Initial Review Done	Date initial review was completed.	Use m/d/yy or mm/dd/yy format for date.
To DEC	Date reviewer sends report forward to DEC.	Use m/d/yy or mm/dd/yy format for date.
DEC Certify	Date the DEC certified the report as showing no conflict.	Use m/d/yy or mm/dd/yy format for date.

Public Financial Disclosure Reports (OGE 278 and OGE 278-T)		
Field Name	Description	Options/Definitions
Copy to Emp	Date the certified report is sent to the employee.	Use m/d/yy or mm/dd/yy format for date.
Late Fee	Indicates whether a late fee is not applicable or it was paid or waived.	N/A = not applicable Paid = employee paid the fee Waived = late fee was waived
To NEO	Date forwarded to NEO, to be sent to OGC.	Use m/d/yy or mm/dd/yy format for date.
NEO Receipt	Date certified report received in NEO. Entered by NEO.	Use m/d/yy or mm/dd/yy format for date.
To NEO Specialist	Date assigned to NEO reviewer.	Use m/d/yy or mm/dd/yy format for date.
NEO Specialist	NEO Specialist who reviews the certified report.	Choose from the drop-down list.
To OGC	Date certified and reviewed report is sent to OGC. Entered by NEO.	Use m/d/yy or mm/dd/yy format for date.
Notes	Include any relevant notes. Conserve space in the table, do not use extra spaces or blank lines. Avoid repeating data.	Example of multiple extensions: 6/15/13 End 2nd extension. BAEggs 5/31/13 End 1st extension. BAEggs

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 Requirement for Attachments: PDF files are the best attachments because they can be opened by all users. Files for the OGE 278 report shall be named using the employee's last name and initial(s), the file year, type of report, and form number. Use hyphens between words/sections; do not use spaces. For example, a completed OGE 278 Annual report submitted in May 2014 by Dr. Indiana Jones shall be named:

JonesI-2014-AN-OGE278.pdf

The PDF files for the OGE 278-T shall be named using the employee's last name and initial(s), the date filed in yyyyymmdd format, and form number. Use hyphens between words/sections; do not use spaces. For example, Dr. Jones' transaction report submitted on June 15, 2014 shall be named:

JonesI-20140615-OGE278T.pdf

Document History:

File Name: Q:\EMIS\SOPs\Employee-Forms\OGE-278-Data-Entry.doc

2/17/08 Instructions approved and posted. FEPLYler
2/12/13 Instructions revised to include new form number, transaction report, and fields for submitting the certified report to NEO and to OGC Ethics Division. FEPLYler
3/18/13 Fields updated per current EMIS revision. Title and format revised to match other SOPs. FEPLYler
4/4/14 Revised. Updated NIH logo and revised some field instructions. NEO (C.Galvin-Combet).