

NIH ETHICS INFORMATION MANAGEMENT SYSTEM (EMIS)

Confidential Financial Disclosure Report (OGE 450)

EMIS tracks signature, review, and certification dates for the Confidential Financial Disclosure Report (OGE 450). The OGE 450 is submitted electronically via NEES, however, the NIH Deputy Ethics Counselor requires that all tracking data must be added to EMIS.

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.

Confidential Financial Disclosure Report (OGE 450)		
Field Name	Description	Options/Definitions
EMIS ID	Internal database record number	Not editable
Form Filed	Use the drop down menu to choose the form filed by the employee.	Form 450 = full form Form 450A = Statement of No New Interests (the 'short' form) (No longer used at NIH.)
File Year	Calendar Year in which the report due date occurs.	For a report submitted in February 2014, file year = 2014, and the name of the report is 2014 AN (per OGE naming convention).
Report Type	Type of report submitted; choose an option from the drop-down menu.	Annual New Entrant
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 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 the specialist for review.	Use m/d/yy or mm/dd/yy format for date.

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Field Name	Description	Options/Definitions
Specialist	Name of specialist.	Last name, initial if multiple specialists with same last name
Initial Review Done	Date initial review completed (may not be the date on which all issues are resolved; that could be later).	Use m/d/yy or mm/dd/yy format for date.
To DEC	Date forwarded to DEC for final review and certification.	Use m/d/yy or mm/dd/yy format for date.
DEC Certify	Date the DEC certified the report.	Use m/d/yy or mm/dd/yy format for date.
Copy to Emp	Date the certified report is sent to the employee.	Use m/d/yy or mm/dd/yy format for date.
Notes	Include any relevant notes, e.g., first extension due date. Conserve space in the table, avoid extra spaces or blank lines.	Example of extension dates: 3/15/14 End second extension. BAEggs 2/28/14 End first 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 450 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 450 Annual report submitted in February 2015 by Dr. Indiana Jones shall be named: JonesI-2015-AN-OGE450.pdf

The PDF from NEES may be saved with the above name and attached to the EMIS record.

Document History:

File Name: Q:\EMIS\SOPs\Employee-Forms\OGE-450-Data-Entry.doc

2/15/08 Original document posted. NEO (FEPLYler)

3/19/13 Revised to include new fields in EMIS. FEPLYler

4/4/14 Revised. Updated with new logo and some field instructions. NEO (C. Galvin-Combet)