

# Request for Approval of An Honorary Degree

Date Rec'd in Ethics Office:

US Department of Health and Human Services  
National Institutes of Health

Use prescribed by NIH Manual 2400-10.

<b>1. EMPLOYEE NAME, TITLE, IC AND AGENCY ADDRESS</b>	<b>2. REQUEST DATE</b>
	<b>3. OFFICE TELEPHONE NUMBER</b>
<b>4. NAME OF INSTITUTION OF HIGHER EDUCATION (as defined at 20 U.S.C. § 1141)</b>	<b>5. DATE DEGREE TO BE CONFERRED</b>

6. How will you attend the event at which the honorary degree will be conferred?

- Official capacity. You may go on an official travel order and use sponsored travel if travel expenses are offered.
- Personal capacity. You may accept meals and entertainment only. Travel must be at your own expense.

7. What gifts are being offered in association with the honorary degree? Indicate all gifts being offered.

- Travel  Entertainment
- Lodging
- Meals

**Note:** Employees may not accept tangible or other gifts or items unless separate approval is obtained in advance. If other gifts have been offered, please contact your ethics office for assistance.

8. Are any matters or controversies (e.g., lawsuits, investigations, disputes) pending that involve the institution offering the degree and your IC or the NIH in which you are or could be expected to be involved, or which fall under you or your subordinates' official responsibilities?

- Yes If yes, describe the matter(s).
- No

9. Would the timing of conferring the degree cause a reasonable person to question your impartiality in a matter affecting the institution?

- Yes If yes, describe the matter(s).
- No

## 10. EMPLOYEE'S STATEMENTS AND SIGNATURE

(Attach copy of notification.)

- A. I have read the attached notices. I request permission to accept the honorary degree and the permitted gifts associated with this degree, as described above. The notification letter or electronic mail is attached.
- B. **Disqualification Requirement** : I understand that I am immediately recused (disqualified) from all official matters involving the institution granting the degree until the date the degree is conferred. During this time, I will not participate in any official matters involving the award donor organization without prior authorization from my Deputy Ethics Counselor.

Sign & Date:

**11. SUPERVISOR'S STATEMENT, RECOMMENDATION AND SIGNATURE**

(Omit for IC Directors)

The employee's recusal necessitated by accepting the honorary degree will not materially affect the employee's ability to carry out official responsibilities nor negatively affect the integrity of NIH programs. If the request is approved, I will accept responsibility for all official matters from which the employee is recused due to the receipt of this honorary degree. I:

- Recommend Approval
- Do Not Recommend Approval

Sign & Date:

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**12. INTERMEDIATE REVIEWER RECOMMENDATION AND SIGNATURE**

(IC DEC signs here for NIH Senior employee)

Based on my review of the foregoing statements and supporting documentation in light of the requirements of 5 C.F.R. § 2635.204(d), I:

- Recommend Approval
- Recommend Approval with the Following Condition(s):
- Do Not Recommend Approval

Sign & Date:

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**13. DEPUTY ETHICS COUNSELOR (OR DESIGNEE) DECISION AND SIGNATURE**

Based on my review of the foregoing statements and supporting documentation supplied by the applicant, this constitutes my (written, when required) determination, pursuant to 5 C.F.R. § 2635.204(d), that the employee's request is:

- Approved as Request
- Approved with the Following Conditions:
- Disapproved

Sign & Date:

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**NOTICES**

**CERTIFICATION**

The signature of the employee on this form certifies that the statements made and information provided on this form are true, complete, and correct to the best of the individual's knowledge.

**FINANCIAL DISCLOSURE**

Meals and entertainment received for the personal use, disposition, or retention by the employee valued individually at \$134 or more and which aggregate \$335 or more must be

disclosed by employees who file a financial disclosure report. Incumbent and termination filers of the SF-278 Public Financial Disclosure Report include this information on Schedule B, Part II of the form. Confidential Financial Disclosure Report (OGE-450) filers include these items in Part IV. (Note that the reporting threshold is determined every 3 years; check the financial disclosure requirements for the current amount.) Travel funds accepted by the agency under the sponsored travel (HHS-348) mechanism are gifts to the agency, rather than to the individual, and are not reported as personal gifts on the SF-278 nor on the OGE-450.

## PRIVACY ACT STATEMENT

Section 7301 of Title 5 of the U.S. Code and Executive Order 12674, as implemented by Section 2635.204(d) of Title 5 of the Code of Federal Regulations, authorize the collection of this information. Disclosure of this information is mandatory for employees seeking authorization from an agency ethics official to accept honorary degrees, pursuant to Section 2635.204(d)(2) of Title 5 of the Code of Federal Regulations. Failure to provide the requested information will result in the denial of the request for approval. Falsification of the information required to be reported for this purpose may subject the employee to disciplinary action by the employing agency or other appropriate authority. Knowing and wilful falsification of information required to be reported may also subject the employee to criminal prosecution. The primary use of this information is to allow HHS supervisors and ethics officials to make necessary determinations concerning employee requests to receive honorary degrees. The information is also requested, pursuant to 5 C.F.R. §§ 2638.203(b)(9), (10), and (11), for the purpose of evaluating ethics program administration, as well as the Department's supplemental ethics regulations, to determine their continued adequacy and effectiveness in relation to current agency responsibilities and to ensure that prompt and effective action is taken to remedy violations or potential violations, or appearances thereof, of conflict of interest and related ethics provisions. Additionally, this information may be disclosed to: (1) the Office of Personnel Management, Office of Government Ethics, Merit Systems Protection Board, Office of the Special Counsel, Equal Employment Opportunity Commission, Federal Labor Relations Authority, Federal Service Impasses Panel, Federal Mediation and Conciliation

Service, and an arbitrator, in carrying out their functions; (2) a Federal, State, or local agency charged with investigating or prosecuting violations of, or implementing, the law, in the event there is an indication of a violation or potential violation of civil, criminal or regulatory law; (3) a Federal, State, or local agency maintaining enforcement records or other pertinent records, such as current licenses, if necessary to obtain a record relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit; (4) the National Archives and Records Administration or the General Services Administration in records management inspections; (5) the Office of Management and Budget during legislative coordination on privacy relief legislation; (6) Federal agencies with power to subpoena other Federal agencies' records; (7) a court or party in a court or Federal administrative proceeding if the Government is a party or in order to comply with a judge-issued subpoena; (8) private firms with which the Department may contract for the purpose of collating, analyzing, aggregating or otherwise refining records; (9) a Member of Congress or a Congressional office, pursuant to an inquiry made at the request of the individual who is a subject of the record; (10) the Department of Justice in defense of litigation; and (11) contractors and other non-Government employees working for the Federal Government to accomplish a function related to an Office of Government Ethics Government-wide system of records. This form will not be disclosed to any requesting person unless authorized by law. See the OGE/GOVT-1 Government-wide executive branch system of records.