National Institutes of Health
NIH Ethics Program

NIH ETHICS INFORMATION MANAGEMENT SYSTEM (EMIS)

Authorization to Participate Despite Appearance of a Conflict

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 Name	Description	Options/Definitions
	EMIS ID	Non-editable internal database record ID number
Receipt Date	Date request received in IC ethics office.	Use m/d/yy or mm/dd/yy format for date.
Effective Date	Date the action becomes effective.	This is normally the date the action is approved. Field is required. You may need to estimate the date of approval when first entering the data, and update the field upon approval of the authorization.
End Date	Expected or actual end date of the authorization, e.g, end of cooling off period.	Use m/d/yy or mm/dd/yy format.
Org Name	Full name of the outside organization with which the employee has a conflict, which this document would resolve, if approved.	Use standard abbreviations as needed.
Org Location	City, State	Use 2-letter state abbreviation.
Source	Indicate the source of the authorization, i.e., what prompted its need.	Outside Activity Sponsored Travel Award Seeking Employment Financial Interests Honorary Degree Former Employer (e.g., 1-year cooling off) Other (e.g., spouse of officer)
IC DEC Action	Decision of the IC DEC. This is required. In order for the Pending Report to work, you MUST indicate Pending while waiting for DEC decision.	Approved Disapproved Pending (no decision yet) None (no action will be taken)
IC DEC Sig	Date signed by the IC DEC.	Use m/d/yy or mm/dd/yy format for date.
To NEO	Date sent to NEO.	Use m/d/yy or mm/dd/yy format for date.
NEO Receipt	Date received by NEO.	Use m/d/yy or mm/dd/yy format for date.
To NEO Spec	Date assigned to a NEO Specialist.	Use m/d/yy or mm/dd/yy format for date.
NEO Specialist	Text, drop-down list of names.	The NEO Specialist list is maintained by the EMIS Administrator via the assign roles function.
NEO Spec Review	Date NEO Specialist completes the review.	Use m/d/yy or mm/dd/yy format for date.
NEO Mgmt Review	Date reviewed by NEO management.	Use m/d/yy or mm/dd/yy format for date.
To NIH DEC	Date sent to the NIH DEC.	Use m/d/yy or mm/dd/yy format for date.

Field Name	Description	Options/Definitions
NIH DEC Action	Decision of the NIH DEC.	Approved Disapproved Pending (no decision yet) None (no action will be taken)
NIH DEC Sig	Date signed by the NIH DEC.	Use m/d/yy or mm/dd/yy format for date.
To IC	Date returned to the IC.	Use m/d/yy or mm/dd/yy format for date.
IC Receipt	Date received by the IC.	Use m/d/yy or mm/dd/yy format for date.
Copy to Emp	Date copy of the signed memo was sent to the employee.	Use m/d/yy or mm/dd/yy format for date.
Notes	Insert other relevant information.	Conserve space in the table, avoid extra spaces or blank lines.

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 document concerning advice shall be named using the employee's name and initial(s), action (in this case, Authorization, truncated), reason for the authorization, and approval date. Use hyphens or underscore between words. ***Do not include blank spaces in the file name***.

For example, Indiana Jones needed an authorization to participate in an official duty activity with the Washington Antiquaries Society (WAS) because he was an officer of the organization less than one year ago and in his "cooling off period". The authorization was approved on May 5, 2014. The file will be named as follows:

JonesI-Auth-WAS-BdSvc-2014-05-05.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\Authorization-Data-Entry.doc

2/16/08   New Document. NEO (FEPlyler)
3/13/13   Revised, per revision of data table. FEPlyler
4/14/14   Revised. New logo and updated field instructions based on revisions. (NEO) C.Galvin-Combet