

## NIH ETHICS INFORMATION MANAGEMENT SYSTEM (EMIS)

### HHS 717-1 Confidential Report of Financial Interests in SAOs

**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.

SAO interests are tracked in EMIS to provide immediately available information on holdings, especially useful for reviewing clinical protocols. The EMIS HHS 717-1 form is used for 2 purposes:

1. Enter data reported on a form HHS 717-1 (new filers, acquisitions); and
2. Enter updated values obtained during protocol review, when an acquisition form is not required.

Field Name	Instructions for Data Entry
EMIS ID	Internal database record number, not editable.
Report Type	<ul style="list-style-type: none"> <li>• <b>New Entrant/Reassignment:</b> Employees new to NIH, either through new appointment to the Government or reassignment from another agency.</li> <li>• <b>Incumbent, Newly Designated:</b> Current NIH employees who are newly designated as a filer or clinical investigator at this time.</li> <li>• <b>Incumbent, Acquisition/Update:</b> Current NIH employees who previously reported their SAO interests on either form, now reporting acquisition of an SAO. (The HHS 716 is obsolete.)</li> <li>• <b>Update/No Form:</b> Current clinical investigator who previously reported SAO interests, now providing updated values as part of protocol review process. Filer responds via email; no full HHS 717-1 required unless investigator acquired an SAO.</li> </ul>
Filing Event Date	Date of the event which requires filer to submit the information, e.g., acquired an SAO, or protocol being reviewed. Use m/d/yy or mm/dd/yy format for date.
Receipt Date	Date received in Ethics Office. Use m/d/yy or mm/dd/yy format for date.
Employee Sig Date	Date signed by employee. Use m/d/yy or mm/dd/yy format for date.
To Specialist	Date assigned to specialist for review. Use m/d/yy or mm/dd/yy format for date.
Specialist	Last name and initial(s) of specialist to whom review is assigned.
Does this need supervisor review?	Answer YES only if the holdings meet the criteria for supervisor review. If you answer YES, two additional date fields will show: To Supervisor Date From Supervisor Date
To Supervisor Date	Date sent to supervisor. Use m/d/yy or mm/dd/yy format for date.
From Supervisor Date	Date received back from supervisor. Use m/d/yy or mm/dd/yy format for date.
Does employee hold financial interests in SAOs?	If the employee has NO SAO interests, choose No. If the employee has SAO interests, choose Yes and the fields to enter the SAO data will drop down.
Is employee considered Senior?	If the employee is Senior NIH (aka Top 5), choose Yes. If not, choose No.

Field Name	Instructions for Data Entry
The following fields are visible only if the employee holds SAOs (the answer to the question is <b>Yes</b> ). Choose <b>Add</b> holdings. If the employee is Senior (both questions' response is <b>Yes</b> ), the questions relevant to senior status will also be in the data entry line. Enter the employee's responses. If the Senior employee does not hold SAOs, the additional questions will not be presented.	
Description	Enter the name of SAO holding. Check spelling.
NEES Investment Type	Select the appropriate investment type from the drop-down options. This will match the investment type in NEES, once the HHS 717-1 is added to NEES. If "Other" is selected, the type must be entered into the Investment Type field.
Investment Type	No entry is needed in this field if a drop-down option was selected in the NEES Investment Type field. This field should be populated only if the NEES Investment Type selected is "Other."
Value	Enter the value of the holding.
EB	EB = Employee Benefit. Indicate yes or no.
Ownership	Ownership designation is defined as follows: <b>I</b> = Individually owned by the employee <b>S</b> = owned by spouse <b>MC</b> = owned by minor child(ren) <b>J</b> = jointly owned <b>O</b> = Other If jointly owned by the employee and spouse, minor child, or others, the co-ownership is designated as <b>J/S</b> , <b>J/MC</b> , or <b>J/O</b> , respectively.
≥ 1% equity?	Senior question: Does any equity interest in a substantially affected organization listed above in Part III, Box 1, constitute 1% or more of the total outstanding equity of the organization? If yes, check box. If no, leave box unchecked.
>50% of total holdings?	Senior question: Does the actual value of the holdings listed above in Part III, Box 1, in substantially affected organizations and sector mutual funds that state in their prospectus the objective of investing in substantially affected organizations, when totaled, account for 50% or more of the total value of the combined investment portfolio of you, your spouse, and minor child(ren). If yes, check box. If no, leave box unchecked.
Sold	If sold, check box. If held, leave box unchecked.
Date Sold	Date SAO interest was sold, if known. Use m/d/yy or mm/dd/yy format for date.
Not SAO	If the reported interest is not an SAO, check the box.
No longer SAO	If the reported interest is no longer an SAO, check the box.
Date Not SAO	If date of SAO determination is known, enter it. Use m/d/yy or mm/dd/yy format for date.
Specialist Review	Date specialist reviewed 717-1. Use m/d/yy or mm/dd/yy format for date.
To DEC	Date forwarded to DEC for review and determination. Use m/d/yy or mm/dd/yy format for date.
DEC Sig	Date signed by the DEC. Use m/d/yy or mm/dd/yy format for date.
Divestiture Required?	If no divestiture is required answer <b>No</b> and save the record.

Field Name	Instructions for Data Entry
	<p>If divestiture is required, answer <b>Yes</b> and additional fields will show to track the actual divestiture. Enter the appropriate information.</p> <p>Employee Notified  Divest Due Date  CD Requested?                      If Yes, then two additional fields will show.  CD Request Date  CD Response Date  Action on CD Request?           Drop-down list: Approve, Disapprove  Actual Divest Date:              Date employee sold the holdings.  Employee Certify                 Date employee signed the compliance page.</p>
Notes	Add relevant information. Be succinct.

Note: If the employee reports that they have sold all interests in SAOs, enter the update data into EMIS and indicate that the employee holds no SAOs.

**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. PDF files are the best attachments because they can be opened by all users.

Files for the HHS 717-1 report shall be named using the employee's last name and initial(s), form number, type of report, and date of event which required the report. Use hyphens between words/sections; do not use spaces.

Examples: Dr. Indiana Jones was new to NIH on April 16, 2014 entering into a filer position. He submitted his HHS 717-1 with his new entrant OGE 450. Later, he acquired an interest in an SAO on 12/20/2014. The reports will be named:

JonesI-717-NewEmp-2014-04-20.pdf

JonesI-717-Acquisition-2014-12-20.pdf

### Document History:

File Name: Q:\EMIS\SOPs\Employee-Forms\HHS-717-1-Data-Entry.doc

2/16/08 Original instructions posted. NEO (FEPlyler)

3/19/13 Revised per new fields in EMIS. FEPlyler

04/11/2014 Revised. Updated new logo and field instructions. NEO (C.Galvin-Combet)