NIH ETHICS INFORMATION MANAGEMENT SYSTEM (EMIS)

Other Ethics Actions

Use this module for other actions which do not have a specific data table. See the example situation following the table of instructions, below.

Add/Edit/Save Data: Instructions for each field are in the table below. When a new record is created and saved, the option at the bottom of the screen is *Save.* When a current record is opened and edited, the option is *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	Internal database identification number	Not editable
Receipt Date	Date the action received in the ethics office, or the ethics office became aware of an issue.	Use m/d/yy or mm/dd/yy format for date.
Source of Action	Use the drop-down menu to choose the source or reason for this 'other' action.	278 Public Financial Disclosure 2803 WAG 2854 Award 2855 Honorary Degree 348 Sponsored Travel, FTE 450 Confidential Financial Disclosure 520 Outside Activity 521 Annual Report of 520 CRADA Gift to Agency Gift to Employee Gifts, Between Employees Gifts, Foreign Gifts, Outside Sources Hatch Act/Political Activity MTA Official Duty Other (see Notes) Protocol Sponsored Travel, Non-FTE SV/GR Training, Annual Training, New Employee
Org Name	Enter the name of the involved outside organization, if applicable.	Use standard abbreviations where possible.
Org Location	Enter the City, State, or Territory, Country of the organization, if applicable.	Use standard 2-letter state abbreviation.
To Specialist	Date assigned to Specialist.	Use m/d/yy or mm/dd/yy format for date.
Specialist	Specialist's last name, first initial.	
Specialist Review	Date Specialist completes the review.	Use m/d/yy or mm/dd/yy format for date.
Mgmt Review	Date management completes the review, if applicable.	Use m/d/yy or mm/dd/yy format for date.
To DEC	Date forwarded to DEC, if applicable.	Use m/d/yy or mm/dd/yy format for date.

Field Name	Description	Options/Definitions
DEC Review	Date DEC completes the review, if applicable.	Use m/d/yy or mm/dd/yy format for date.
Action Type	Use the drop-down menu to choose the type of action resulting from the issue which arose. For example, if the employee had conflicting financial interests on a financial disclosure report resulting in divestiture, choose the source above as 278 or 450, and divestiture as the resulting action.	Authorization Counseling Divestiture Other Pre-clearance Reassignment Recusal Reprimand, Verbal Reprimand, Written Resignation from Government Terminate Activity Waiver
Action Date	Enter the date the action was determined.	Use m/d/yy or mm/dd/yy format for date.
Action Effective	Enter the date that the action will take effect. For example, if the employee will resign, enter the date of employee's last day of service. Or if the employee must divest, the date the employee was notified to divest. In this case, put actual divestiture date in the Notes field.	Use m/d/yy or mm/dd/yy format for date.
Notify Employee	Enter the date that the employee was notified of the action, either verbally or in writing.	Use m/d/yy or mm/dd/yy format for date.
Notes	Include relevant information. Conserve space in the table, avoid extra lines or spaces.	For example, may indicate content, time and place of verbal counseling; or who was present.

Example of situation and applicable data entry:

Employee has an approved outside activity to teach a course at UMCP, thus employee is recused from all official matters involving UMCP. However, the employee participates in a discussion of a grant application from UMCP so some action must be taken.

Source of Action: Outside Activity
Type of Action: Written counseling
Action Date: Date the employee was counseled.
Effective date: leave blank
Notice to employee   In this case, same as action (counseling) date
Note: Participated in discussion of UMCP grant application despite recusal due to approved 520.

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. Attachments may be pdf, Word, or other formats. However, pdf is preferred to guarantee that others will be able to open the file in the future. Files shall be named as follows, truncating as needed. ***Use hyphens between sections of the name***; avoid blank spaces. Date format is yyyy-mm-dd.
.   LastnameInitials-hyphen-Source-RequiredAction-ActionDate.pdf

Example:

Dr. Indiana Jones held a conflicting financial interest, discovered on review of the OGE-450. On January 13, 2015, Dr. Jones was told to divest. The OGE approval memo was dated January 25,

2015, and on February 10, 2015, divestiture was completed. The initial action, divestiture approval, and divestiture completion documents will be named as follows:

JonesI-450-Divest-Order-2015-01-13.pdf
JonesI-Divest-OGE-Approval-2015-01-25.pdf
JonesI-Divest-Complete-2015-02-10.pdf

All three files could be combined into a single file if the size does not exceed 5 MB.

Document History:

File Name: Q:\EMIS\SOPs\Employee-Forms\Other-Action-Data-Entry.pdf

2/16/08   New SOP. NEO (FEPlyler)
3/21/13   Revised to include new fields, naming convention, and consistent format. FEPlyler
4/21/14   Revised. Updated logo and some field options and instructions. NEO (C.Galvin-Combet)