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NIH ETHICS INFORMATION MANAGEMENT SYSTEM (EMIS)

Waiver of a Conflict of Interest

A waiver may be issued pursuant to 18 U.S. Code 208(b)(1) to manage a real conflict of interest.

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	Internal database number to identify the record.	Not editable.
Receipt Date	Date request received in IC ethics office.	Use m/d/yy or mm/dd/yy format.
Effective Date	Date the waiver action becomes effective.	This is normally the date the waiver action is approved.
End Date	Date the waiver (or the conflict of interest) ends. May need to estimate or add this later, e.g., when the employee has terminated their leave of absence.	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 of the outside organization.	Use standard 2-letter state abbreviation.
Source	In the drop down menu for Source, choose the most appropriate option for the current situation or circumstances.	Outside Activity Sponsored Travel Award Seeking Employment Financial Interests Honorary Degree Future Employer Former Employer Other
IC DEC Action	Action of IC DEC. For a waiver, approving authority must be the NIH Director, with concurrence obtained from the Office of General Counsel and DAEO.	Approved Disapproved Pending (no decision yet) None (no action will be taken)
IC DEC Sig	Date signed or initialed by the IC DEC.	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.
To NEO	Date the waiver was sent to the NIH Ethics Office, if applicable.	Use m/d/yy or mm/dd/yy format for date.
NEO Receipt	Date the NEO received the waiver.	Use m/d/yy or mm/dd/yy format for date.
To NEO Spec	Date assigned to specialist for review.	Use m/d/yy or mm/dd/yy format for date.
NEO Specialist	Choose Specialist's name from the drop-down list.	The NEO Specialist list is maintained by the EMIS Administrator via the assign roles function.

Field Name	Description	Options/Definitions
NEO Spec Review	Date review completed by NEO Specialist.	Use m/d/yy or mm/dd/yy format for date.
NEO Mgmt Review	Date review completed by NEO Management.	Use m/d/yy or mm/dd/yy format for date.
OGC Concur	Date OGC concurred with waiver.	Use m/d/yy or mm/dd/yy format for date.
OGE Concur	Date OGE, through OGC, concurred with waiver.	Use m/d/yy or mm/dd/yy format for date.
To NIH DEC	Date forwarded to NIH DEC.	Use m/d/yy or mm/dd/yy format for date.
NIH DEC Action	Indicate DEC action. 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)
NIH DEC Sig	Date signed by the NIH DEC.	Use m/d/yy or mm/dd/yy format for date.
NIH Director	Date signed by the appropriate person, required to be the "appointing authority," which is the NIH Director.	Use m/d/yy or mm/dd/yy format for date.
To IC	Date package returned to IC.	Use m/d/yy or mm/dd/yy format for date.
IC Receipt	Date request received by IC.	Use m/d/yy or mm/dd/yy format for date.
Copy to Emp	Date copy of the signed 520 sent to the employee.	Use m/d/yy or mm/dd/yy format for date.
Cancel Date	Date the waiver or authorization is cancelled. Indicate reason cancelled in the Notes field, e.g., did not engage or will not engage in the conflicting activity.	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 of the attachment. 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:

Employee hyphen Waiver hyphen Org Name hyphen Approval date.pdf

Avoid blank spaces in the file name. Use hyphens or underline between words.

For example, Indiana Jones is a new NIH employee who is completing work on an NIH grant for his former employer, University of Michigan, with whom he has a leave of absence. A waiver of the conflict of interest is approved on January 10, 2014. The file would be named as follows: JonesI-Waiver-UnivMichigan-2014-01-10.pdf

Document History:

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

2/16/08   Original procedure posted. NEO (FEPlyler)
3/18/13   Revised to update field descriptions and format consistent with other SOPs. FEPlyler
4/14/14   Revised. New logo and updated field instructions based on revisions. NEO (C.Galvin-Combet)