
Referral for Non-Compliance with Ethics Requirements

Department of Health and Human Services

NIH Ethics Manual, Chapter 2400-08

National Institutes of Health

I. REFERRING OFFICIAL (DEPUTY ETHICS COUNSELOR): Complete Part I.**1. Name:** _____ **Referral Date:** _____

Title: _____

Address: _____

Phone: _____

2. Referred to Supervisor

Supervisor Name: _____

Address: _____

Title: _____

Phone: _____

3. Employee Referred: The following employee has not complied with applicable laws and/or regulations for the reason indicated below.

Name: _____

Address: _____

Title: _____

Phone: _____

4. Reason for Referral to Supervisor: Financial Disclosure Waiver Divestiture Honorary Degree Outside Activity Gift Acceptance Official Duty Activity Training Award Other (please specify): _____ Recusal**5. What will resolve the situation?****Distribution:** Original to Supervisor; Copy to Executive Officer; Copy to OHR Workforce Relations Division

II. SUPERVISOR: Complete Part II: Supervisor must confer with the Office of Human Relations, Workforce Relations Division, prior to initiating any action. Complete this part and return the signed form to the referring official indicated above. Yes, OHR was consulted No employee compliance action is required. No, OHR was not consulted Required employee compliance action was obtained.

Comments (optional): _____

 Required employee compliance action was not obtained.

Signature: _____

Date: _____

III. DEPUTY ETHICS COUNSELOR ACKNOWLEDGMENT: DEC completes Part III and distributes copies as noted. No additional employee action is required.

Date Received: _____

 Employee compliance is adequate. Additional action is required. Explain: _____Comments (optional): _____

Signature: _____ Date: _____

Distribution: Completed original: Employee Ethics File

Copies of final: Employee Performance File, OHR; IC Executive Officer; Employee