
Referral for Non-Compliance with Ethics RequirementsDepartment of Health and Human Services
National Institutes of HealthNIH Ethics Manual, Chapter 2400-08

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:**5. What will resolve the situation?**

Financial Disclosure	Waiver
Divestiture	Honorary Degree
Outside Activity	Gift Acceptance
Official Duty Activity	Training
Award	Other (please specify):
Recusal	

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.

- | | |
|--|--|
| <input type="checkbox"/> Yes, OHR was consulted | <input type="checkbox"/> No employee compliance action is required. |
| <input type="checkbox"/> No, OHR was not consulted | <input type="checkbox"/> Required employee compliance action was obtained. |
| | <input type="checkbox"/> Required employee compliance action was not obtained. |

Comments (optional):

Signature: _____

Date: _____

III. DEPUTY ETHICS COUNSELOR ACKNOWLEDGMENT: DEC completes Part III and distributes copies as noted.

- | | |
|---|----------------------|
| <input type="checkbox"/> No additional employee action is required. | Date Received: _____ |
| <input type="checkbox"/> Employee compliance is adequate. | |
| <input type="checkbox"/> 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