

Report to the National Advisory Environmental Health Sciences Council

Dr. Samuel Wilson

Acting Director, NIEHS

September 9, 2008



Outline

- Update on the Corrective Action Plan
- Challenges for the future
- Milestones and Highlights



Timeline

- 10 April 2008 – NIH Office of Management Assessment submitted “final report” on NIEHS management. Dr. Zerhouni determined that a corrective action plan (CAP) would be developed and submitted to him for approval
- 14 May 2008 – NIEHS was tasked with developing the CAP
- 13 August 2008 – NIEHS sent the final draft CAP to Dr. Zerhouni
- 29 August 2008 – Dr. Zerhouni approved the CAP for implementation
- Full implementation of the CAP is anticipated to take at least a year



My Summary of Overall Findings of the OMA Review

- **Assessment & Audit** – need to make better use of assessment and auditing as management tools
- **Training** – need to ensure that individual training requirements are met and should identify new training opportunities
- **Policy & Procedure** – need to more clearly set forth and communicate policies and procedures from management to staff for improved implementation by all
- **Governance** – need thorough coordination and management
- **Morale** – need to improve organizational climate

OMA Recommendations

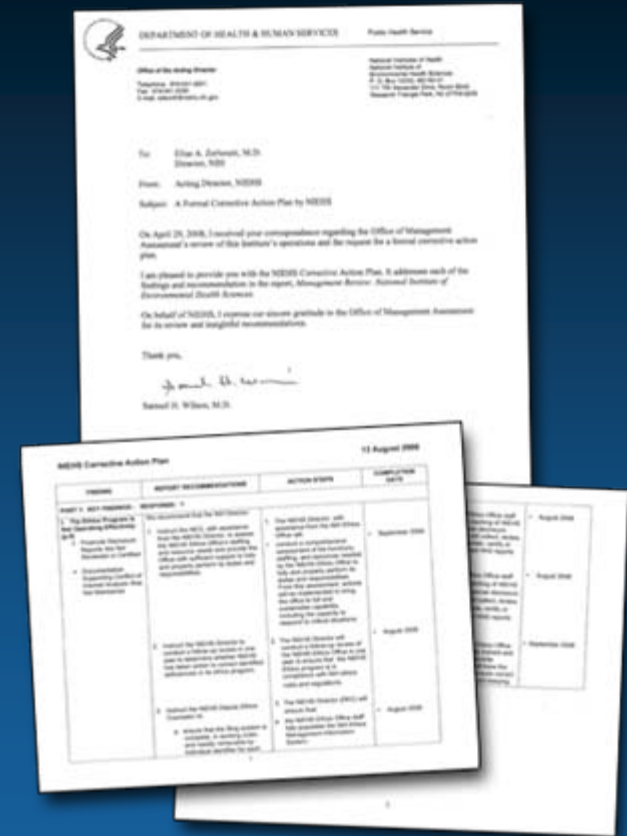
Part 1. Key Findings

- Ethics Program
- Grant Making
- Board of Scientific Counselors
- NIEHS Leadership

Part 2. Functional Findings (7)

CAP Development Process

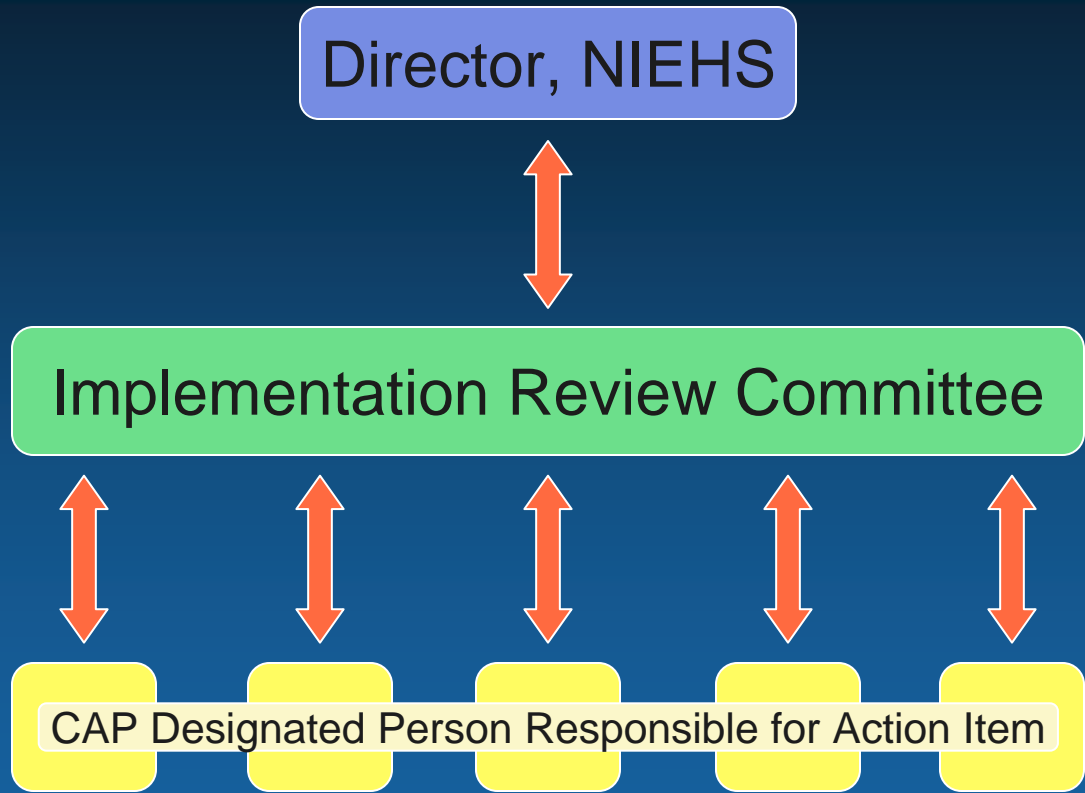
- OMA report identified seven functional areas in need of corrective action:
 - human resources
 - contracting
 - financial management
 - ethics
 - grant making
 - governance structure
 - organizational climate
- Teams of NIEHS staff were established to identify best management practices and develop action steps in each of these areas.
- CAP development included consultation with NIH and outside consultants (Claude Lenfant)
- The CAP Report is now formally approved by Dr. Zerhouni for implementation. CAP action items cannot be amended.



CAP Implementation Process

- Already underway
- Senior staff have been tasked with completing action items related to their area of responsibility:
 - **Ethics** – Sam Wilson, OD
 - **Financial Management** – Laurie Johnson, OM
 - **Contracting** – Gary Delaney, OM
 - **Human Resources** – Chris Major, NIH OHR
 - **Core Facilities** – Perry Blackshear, DIR
 - **Organizational Climate** – Sam Wilson, OD
 - **Grant Making** – Dennis Lang, DERT
 - **Property Management/Travel Cards** – Chris Long, OM
 - **Administration** – Marc Hollander, OM
 - **IT Consolidation** – Heather Nicholas, OM
- Questions, concerns, and input on the implementation of CAP action items may be directed to these people.

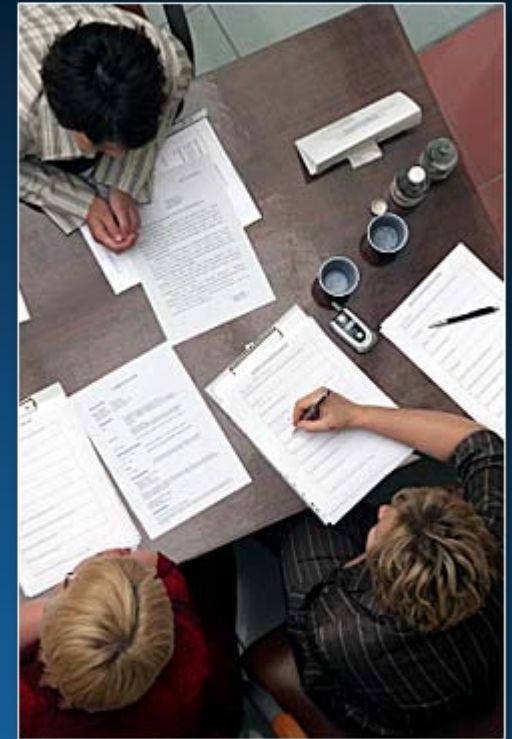
Implementing the CAP Action Items



Implementation Review Committee

An Implementation Review Committee has been formed. Committee members will:

- Create and establish a transparent, collaborative, and effective process to review progress of the CAP implementation
- Serve as points of contact for the NIEHS staff and senior managers responsible for implementing each corrective action
- Monitor the status of action items during implementation
- Maintain the master schedule for action item due dates
- Review documentation submitted on each corrective action for completeness and responsiveness to the OMA report
- Receive questions, concerns, and input on the implementation of CAP action items
- Submit recommendation to Dr. Wilson regarding completeness of each corrective action



Communication About CAP

- CAP has been posted online with links from the Junction homepage and the public website Organization & Management.
- Quarterly progress reports will be submitted to NIH, as well as posted online.



The image shows three overlapping screenshots of the NIEHS website. The top-left screenshot displays the 'New & Old Website Index (NIEHS Forms | NIH Portal)' with various links like 'Arts & Photographs', 'MCA's', and 'NIEHS CARE ELink'. The top-right screenshot shows 'Today's Events' for 'EST webinars (NIEHS Staff 2008)' and '28th (2008) (in the Public) Series'. The bottom screenshot is a detailed view of the 'NIEHS Corrective Action Plan' table.

FINDING	REPORT RECOMMENDATIONS	ACTION STEPS	COMPLETION DATE
PART 1: KEY FINDINGS - RESPONSE: 1			
1. The Ethics Program is Not Operating Effectively (a)	the recommend that the NIH Director:	1. The NIEHS Director, with assistance from the NIH Ethics Office will: a) conduct a comprehensive assessment of the functions, staffing, and resources needed to support the Ethics Office to fully and properly perform its duties and responsibilities. From this assessment, actions will be implemented to bring the office to full and sustainable capacity, including the capacity to respond to critical situations.	September 2008
2. Financial Disclosure Reports are Not Reviewed or Certified	2. The NIEHS Director will conduct a follow-up review in one year to determine whether NIEHS has taken action to correct identified deficiencies in its ethics program.	2. The NIEHS Director will conduct a follow-up review of the NIEHS Ethics Office in one year to ensure that the NIEHS Ethics program is in compliance with NIH ethics rules and regulations.	August 2009
3. Inadequate Conflict of Interest Review	3. The NIEHS Director (DIEC) will ensure that:	3. The NIEHS Director (DIEC) will ensure that:	
a. ensure that the filing system is complete, in working order, and readily retrievable by individual identifier for each employee.	a. the NIEHS Ethics Office staff fully prepares the NIH Ethics Management Information System.	a. the NIEHS Ethics Office staff fully prepares the NIH Ethics Management Information System.	August 2008
b. ensure that all public financial disclosure reports filed from 2004 to the present are reviewed and certified. Certified, review, and if appropriate, certify or approve related NIEHS reports and responses.	b. the NIEHS Ethics Office staff reviews the backlog of NIEHS public financial disclosure reports, and will collect, review, and if appropriate, certify or approve related NIEHS reports and responses.	b. the NIEHS Ethics Office staff reviews the backlog of NIEHS public financial disclosure reports, and will collect, review, and if appropriate, certify or approve related NIEHS reports and responses.	August 2008