

Frequently Asked Questions about the Extramural Activity Reporting Process

This page addresses possible questions about Penn Medicine's requirement for annual reporting of extramural activities.

The answers on this page are intended to help in understanding how to respond to the questions on the annual reporting form. These questions and answers are not a substitute for the policy.

Q. Where do I find the Annual Extramural Reporting Form?

Click on the following website: <http://my.med.upenn.edu/> and login with your Penn Key and Password

Q. What are the reporting periods?

In order align with the tax reporting year and make it easier for the faculty to report outside income, the annual reporting period has been changed from an academic year to a calendar year. This year's report will cover January 1, 2017 through December 31, 2017.

Q. What types of extramural activities must be reported?

All paid and unpaid activities that are not part of the faculty member's assigned duties at Penn Medicine. Examples of extramural activity include, but are not limited to:

- Service on advisory boards and committees;
- Providing services to a corporation, business, or industry as an individual officer director, owner, or consultant;
- Providing services to an, educational institution, or governmental agency as a scheduled lecturer, or consultant
- Providing services to a private foundation or professional or trade association as a consultant;
- Providing services as a voluntary expert witness in any civil or criminal case;
- Providing services as an editor or reviewer for professional journals;
- CME lectures not sponsored by Penn Medicine.

Disclosure Exceptions

You are not required to disclose any of the following:

Participation in local community activities such as

- Religious institutions
- Schools

- Clubs

Q. Must I report outside work for pay that is not related to my area of professional expertise?

No. The reporting requirement only covers outside work in the area of expertise for which the faculty member is employed by Penn Medicine. For example, a surgeon who is compensated for playing the piano in a local restaurant on Saturday night or who is paid to referee youth soccer games does not need to report such work. However, faculty members' outside activities (whether paid or unpaid) may not interfere with the performance of their Penn Medicine responsibilities.

Q. Do I have to disclose the amount of money I received as payment for the extramural activity?

Yes. The exact dollar amount paid to you for extramural services is required to be reported. If you are unsure as to the exact dollar amount an accurate estimation is required.

Q. How much time do I have to fill out the form?

The form is to be completed by **April 9, 2018**.

Q. Is my Annual Extramural Reporting Form going to be made public?

Penn Medicine intends to extract a limited sub-set of the data report related to compensation of extramural activities and make that available to the public in July.

Q. Do I need to report grant or clinical trial funding?

No, work supported by grant or contract funds awarded to the University of Pennsylvania or CHOP does **NOT** constitute extramural activity.

Q. Do I need to report my VA appointment as an extramural activity?

No

Q. Do I have to fill out the disclosure form? I am certain I have no conflicts of interest or commitment.

Yes. University policy requires disclosure of outside activities and financial interests.

Q. I have no change in my extramural activities since I reported last year. Must I still complete this disclosure form?

Yes. University policy requires reporting every year.

Q. I have no extramural activities; do I still have to submit a disclosure form?

Yes. If you do not have any extramural activities, you can simply answer "no" to the Screening Questions in Part One of the Form.

Q. Does filling out the annual form satisfy all of my Penn Medicine disclosure requirements?

No. While this annual form is retrospective in nature, the University IRB, and the Office of Research Services (mandated by NIH) will ask you to fill out other electronic forms related to your financial interests in real time, if you apply for a grant or clinical trial. Those forms need to be filled out accurately and completely, in addition to the School of Medicine retrospective Annual Extramural Reporting Form.

Q. When do I need to disclose my activities to my Department Chair:

All extramural activities should be reviewed with the Department Chair in advance of accepting the engagement.

Q. What if I am uncertain as to whether or not I should disclose a particular outside activity or financial relationship?

Disclose, Disclose, Disclose!!!

If, after reading the questions on the disclosure form, you are unsure as to whether or not you should report an outside activity/financial interest then you should err on the side of caution and disclose the information. If an issue should arise in the future, having reported the activity/relationship offers some protection to you and Penn Medicine in terms of how the matter is perceived by others. Failure to report an activity/relationship may be misinterpreted as a desire to hide the activity. No one is criticized for "over-reporting."

Q. How many days can I perform consulting activities per year to not violate the conflict of commitment policy?

Faculty members are permitted to consult up to one day per seven day week on outside activities or consulting work, with permission from the Department Chair.

Q. How should time spent on extramural activities be calculated?

All time should be reported in terms of the number of days devoted to it. Eight to ten hours of activity equals one day.

Q. When reporting time spent on extramural activities, do I have to include travel time?

Yes.

Q. Must extramural activities performed during evenings and weekends be reported?

Yes. All extramural activities should be reported regardless of the day of the week or time of day when the services were performed.

Q. How do I report extramural income that is received from a third party such as CME activities?

If a faculty member gives CME lectures for Company X's, but the lectures are coordinated by a separate lecture arrangement/CME company which also pays for expenses and sends 1099 forms to income recipients, then the faculty member should report Company X on his/her annual reporting form, if the payment source is easily attributable to Company X, even though a 1099 was received from the separate lecture/CME company.

Q. Should I report that I serve as President, Vice-president, or on the Board of a company?

Yes, information about other fiduciary roles is required to be reported.

Q. What if I have an outside business, but the business operates at a loss. Should I report this?

Yes, self employment or ownership and operation of a for-profit business should be reported regardless of profit or loss, if the business is related to your profession as a faculty member.

Q. I do my consulting and outside activities through a Limited Liability Corporation that I formed for that purpose. Do I report these activities on the annual form?

Yes.

Q. Do I need to report reimbursement for travel or hotel expenses that are paid by an outside entity?

Currently Penn Medicine does not require the reporting of travel or hotel expenses, which are paid as direct reimbursement for costs incurred by the faculty member on the Annual Extramural Reporting Form.

Q. I participate in a mutual fund. Do I need to report this on my annual form?

No, mutual funds are excluded from reporting.

Q. May I use Penn Medicine resources in my consulting or other extramural activities?

Modest and incidental use of University resources (such as telephone, e-mail, photocopier, etc.) is permitted for extramural activities of faculty and staff. However, any activity that utilizes Penn's resources, e.g. laboratories, clinical facilities or patients, is not **extramural**. If more than modest and incidental use of University resources is needed or desired, it is the obligation of the individual to contact the Department Chair to arrange (in advance) for proper compensation to the University if the Department Chair determines that the activity is appropriate. University staff should not be utilized in connection with extramural activities.

Q. I am occasionally asked to serve as an expert witness in legal proceedings and am compensated for that service. Does this count as consulting?

Yes. Since service as an expert witness does take time away from your primary responsibilities as a faculty member the time devoted should be considered and reported as extramural activity.

Q. I do research in a particular field, and I also consult for Company X. They develop and manufacture products using the science that I study. I receive no funding for my University research from Company X. Do I need to report this consulting income on my annual report?

Yes. Even though Company X does not fund your research, if they have products or research interests that could reasonably appear to be related to your University research, they could have a financial interest in the results of your research, and you therefore need to report this outside activity to the University on your annual report. In addition, after you file this report, if Company X wants to sponsor your research, license a technology that you invented, or provide funding for one of your students, you will need to file a separate disclosure with the University IRB, and the Office of Research Services related to your financial interests in real time.

Q. I still have questions. Is more information available?

Yes. Please contact our office with any additional questions you may have.

Finally, we want to remind you that as faculty members in the School of Medicine, you have an obligation to accurately disclose all extramural activities. An individual's failure to do so constitutes a serious violation

of that obligation and compromises the integrity of our School. By not complying with the disclosure requirements, you may be subject to sanction, including those set forth in the Handbook for Faculty and Academic Administrators, II.E.16, “Procedure Governing Sanctions Taken Against Members of the Faculty” http://www.upenn.edu/assoc-provost/handbook/UPenn%20Faculty%20Handbook_Oct2006.pdf