

NIH ETHICS INFORMATION MANAGEMENT SYSTEM (EMIS)

Request for Approval of Outside Activity (HHS 520)

Open EMIS. Use the Search function to locate the appropriate employee. In the navigation section listing the ethics forms along the left side of the screen, choose HHS 520 OA to see the list of all HHS 520s already in EMIS. Locate the activity you wish to update and choose *Edit*. To add a new HHS 520 record, choose *Add New*.

Add/Edit/Save Data: Instructions for each field are in the table below. To save a new entry, click on *Save* at the bottom of the screen. To save revised information, 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.

Outside Activities (HHS 520) Data Entry Guidance		
Field Name	Description/Options	Definitions
EMIS ID	Internal database number for the record.	Not editable.
Receipt Date	Date received in IC ethics office.	Use m/d/yy or mm/dd/yy format for date.
Org Name	Full Name of the outside/sponsoring organization. Use standard abbreviations.	Type full name, use standard abbreviations where possible, e.g, for a state, or Inc.
Org Location	City & State, Territory, or Country of the sponsoring organization.	Use 2-letter standard abbreviation for states.
Org Type	Use the drop-down menu to choose the type of organization:	
	Educational Institution/University	Refers to a university or other school.
	For Profit, Other	For profit/industry, other than pharmaceutical or biotechnology company.
	For Profit, Pharma/Biotech	Refers to all pharmaceutical and biotechnology companies. Use this for legal consulting if the law firm's client is a pharmaceutical or biotechnology company.
	Foundation, Private	An organization identified as a private foundation according to the IRS. (See Private Foundation information on ethics web site).
	Foundation, Public	All other organizations identified as a foundation, and considered public by the IRS.
	Government	Refers to some level of government, domestic or foreign.
	Hospital/Medical Care Facility	Refers to a hospital or other medical care facility, including when the hospital is associated with a university if the invitation came from the hospital. (Sometimes they are independent, despite their name.)

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Field Name	Description/Options	Definitions
	Journal	Use when the outside organization is a journal, e.g., serve on editorial board. For Editor-in-Chief or Associate Editor, where there is responsibility for content, the outside organization type is the publisher of the journal. (See "Publisher" below)
	Law-Firm	Refers to law firms, except if client is pharma/biotech.
	Non-profit	Refers to non-profit associations or organizations, e.g., non-profit research institute such as the National Academies of Science.
	Other Organization	Use when the organization type does not fit any other category.
	Professional Association	Refers to professional associations, such as the employee's professional association; e.g. American Psychological Association.
	Publisher	Refers to publishers. Use when the employee will serve in a position responsible for content such as Editor-in-Chief.
	Research Institute	Refers to research institutes, e.g., Scripps.
Activity Type	Use the drop-down menu to choose the type of activity most appropriate for the activity.	
	Consulting, legal/expert testimony	Refers to the employee assisting the law firm by offering opinions, ideas, etc., on a particular case, usually in an individual capacity.
	Consulting, other than legal	Refers to consulting activities with a sponsor other than a law firm. Includes some attendance at advisory or scientific board meeting if employee is asked to consult to the board rather than be a member of the board. Consulting is normally one person providing input vs. a board or committee of several persons providing input.
	Editing	Refers to service as an editor for any type of publication, e.g., article, journal, chapter, book, newsletter
	Health care practice	Refers to professional practice in medicine and related disciplines, e.g., physician, nurse, social worker, psychologist, and other allied health care professional practice. Includes self employment as health care practitioner.
	Legal practice	Refers to private law practice as an attorney or paralegal. Does not include consulting with a law firm. Includes self-employed legal practice.
	Member, Board of Directors or similar	Refers to service as a member of Board of Directors, Advisory Board, any other board other than one of the other options below.
	Member, Editorial Board	Member of an editorial board, e.g., for a journal's manuscript review/editorial board.

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Field Name	Description/Options	Definitions
	Member, Review Board	Refers to service on a review board, e.g., to review awards, grant applications, provide peer review services, other than manuscript review for publications.
	Member, Scientific Advisory Board	Refers to service on a scientific advisory board or similar entity, providing scientific input.
	Officer in Professional Association	Service as an officer, e.g., president, president-elect, secretary, treasurer, historian, or any other elected or appointed officer. Excludes chair of a committee of an association.
	Other Professional Activity	Any activity not covered by the descriptions of the other options. Should be used rarely.
	Participant, other than speaker	Refers to participation in a capacity other than as a speaker, e.g., on a panel.
	Self Employed	Owning one's company; working for self, regardless of the type of company. Excludes self employed health care or legal practice, which are professional or legal practice.
	Speaking/Lecturing	Giving a talk, or series of talks; e.g, giving a speech at a meeting or conference.
	Teaching a course	Responsibility for a course, e.g., teaching and managing the course, vs. giving a guest lecture is Speaking/Lecturing, above.
	Writing	Service as a writer, e.g., a chapter, article, or book.
Nature of Activity	Succinctly add other information to clarify the activity, e.g., name of the committee or other information to help identify and clarify. There is no drop down nor required entry. Be succinct.	
Outside Position	Use the drop down menu to choose the position appropriate to the activity chosen above.	
	Attorney	Service as an attorney.
	Chair/Co-Chair	Service as chair or co-chair of a committee or similar group.
	Consultant	Individual consulting, excludes member of an advisory board.
	Editor, Associate	Associate editor of a journal or book, usually responsible for a particular section or jointly responsible with other individual(s).
	Editor-in-Chief	Service as the overall editor of a journal or book.
	Faculty	Teaching a full course at an educational institution.
	Member	Member of a committee or board, such as an advisory board; see Reviewer for members of editorial boards.
	Officer	Elected or appointed officer, such as in a professional organization.
Other	Any other position not covered by other options.	

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	Practitioner	Engaging in health care, allied health care, or legal practice.
	Reviewer	Reviews documents, e.g., reviews manuscripts as a member of an editorial board, or grant reviewer.
	Speaker	Speaking to a group, e.g., giving a speech at a meeting or conference; giving a talk at a single class (versus having faculty responsibility for an entire course, see Faculty, above), or poster presentation.
	Writer	Actual writing activity, not just editing something written by others, e.g. writing a textbook chapter; writing a paper.
Start Date	Proposed start date indicated by employee	Use m/d/yy or mm/dd/yy format for date.
Expected End Date	Proposed end date indicated by employee	Use m/d/yy or mm/dd/yy format for date. *See note at end of table.
Duration	Denotes the length of time the activity is expected to continue	
	Less than one year	Less than 12 months, even if multiple meetings/presentations.
	One year or more	Continuing for 12 months or more; also referred to as 'ongoing.' *See note at end of table.
	Withdrawn	Request withdrawn by employee prior to review and review/approval decision.
	Cancelled	Activity cancelled by employee after review and approval process, and before employee engaged in the activity.
Activity Hrs	Number of hours used for the activity, as indicated by employee on form. If the activity lasts more than one year, indicate total annual hours.	Indicate the maximum number of hours indicated by employee, e.g., if employee says 10-20 hours, use 20 hours. Convert days to hours (1 day = 8 hours).
Compensation	Yes or No: If there is compensation (other than expenses), choose Yes and additional fields will be visible to indicate the type of compensation. Choose employee's designation(s).	
	Advance	Receipt of an advance payment for the service.
	Fee	Use for consulting, similar activities.
	Honorarium	Use for speaking engagements.
	Other	Use when type of compensation does not match other options.
	Retainer	Payment for employee to be available for future service, e.g., such as payment for being someone's attorney.
	Royalty	Use when employee indicates receipt of royalties, e.g. for a book being written.
	Salary	Use when employee receives a salary.
	Stock	Employee receives shares of stock as payment.

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	Stock Options	Employee receives the ability to purchase share of stock at a set price as payment.
Amount of Compensation	This field shows only if Compensation is marked Yes.	Aggregate all amounts, if necessary. Omit travel expenses in conjunction with teaching, speaking or writing activity. [2635.807(a)(2)(iii)]
	Expenses	Choose Yes or No. If choose yes, several fields appear to indicate type of expenses. Mark each one as described by the employee and aggregate a total amount.
	Lodging	For hotel expenses.
	Meals	For meal expenses.
	Other	For other expenses, e.g., preparation of a report, or copying.
	Travel	For travel expenses, e.g., plane or train.
Amount of Expenses	This field shows only if Yes is marked for Expenses.	Indicate the total amount of expenses the employee will receive, including all expenses amounts above.
Annual Leave	Indicate number of hours of annual leave to be used for the activity.	Use whole number only. Round up when partial hours are indicated.
Foreign?	Choose Yes or No from the drop-down list.	Choose Yes if the organization is foreign (not US). Choose No if the organization is domestic.
IC DEC Sig	Date signed by the IC DEC.	Use m/d/yy or mm/dd/yy format for date.
IC DEC Action	Choose action from the drop-down list.	Approved Disapproved Pending (no decision yet) Renewal Pending None (no action will be taken, e.g., when submitted after the start date.
NEAC?	Choose Yes or No from the drop-down list.	If NEAC is yes, enter the date sent to NEO.
To NEO	Date sent to NIH Ethics Office (NEO), if applicable.	Use m/d/yy or mm/dd/yy format for date.
The following fields between the heavy borders are available only to NEO users.		
NEO Receipt	Date NEO received the request package.	Use m/d/yy or mm/dd/yy format for date.
To NEO Spec	Date assigned to a NEO ethics 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.
NEO Spec Rev	Date review completed by NEO Specialist.	Use m/d/yy or mm/dd/yy format for date.
To NEO Mgmt	Date forwarded to NEO management.	Use m/d/yy or mm/dd/yy format for date.
To NEAC	Date reviewed by NEAC, if applicable.	Use m/d/yy or mm/dd/yy format for date.
To NIH DEC	Date forwarded to NIH DEC, if applicable.	Use m/d/yy or mm/dd/yy format for date.
NIH DEC Sig	Date signed by the NIH DEC	Use m/d/yy or mm/dd/yy format for date.

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NIH DEC Action	Indicate DEC action. This is required. In order for the Pending Report to work, you MUST indicate Pending while waiting for DEC decision.	Approved Disapproved Pending (no decision yet) Renewal Pending None (no action will be taken, e.g., when submitted after the activity date)
To IC	Date request 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.
To Employee	Date copy of the signed 520 sent to the employee.	Use m/d/yy or mm/dd/yy format for date.
Actual End Date	Date an ongoing activity actually ends.	Use m/d/yy or mm/dd/yy format for date. *See note at end of table.
Notes	Insert relevant information. Conserve space, avoid extra spaces or blank lines.	Add only relevant information; do not repeat or summarize information entered in a field above

*NOTE: When a continuing activity finally ends, the Actual End Date must be entered for the record to be included on the Purge List. For records with duration of 1 year or more, the 6-year retention time frame is based on the Actual End Date. To identify records without the Actual End Date, create a custom report with the following filters:

- 520 Duration = one year or more
- 520 Actual End Date is Null (empty)
- 520 End Date is before (less than) 1/1/yyyy, where yyyy is the calendar year 5 years prior to current calendar year.

Example: In 2014, to identify the HHS-520s with no Actual End Date which must be reviewed to determine if they need to be purged, use 520 End Date < 1/1/2013 to identify those activities which were expected to end in or before 2007. Evaluate each activity to determine when it actually ended. If the actual end date was before 2008, it can be purged in 2014. Add Actual End Date for activities which ended in 2007 or later so they will be included on future Purge lists.

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 if desired. PDF files are the best attachments because they can be opened by all users.

Files for the HHS 520 shall be named using the employee's last name and initial(s), form number, outside organization, truncated as needed, activity, and start date. Use hyphens between words/sections; do not use spaces.

Example: Dr. Indiana Jones requests permission to engage in an outside activity with the University of California, San Francisco. The activity involves giving a speech on July 15, 2014. The file will be named:

JonesI-520-UCSF-Speak-2014-7-15.pdf

Other examples for the same organization and date, with different activities:

- Consulting JonesI-520-UCSF-Consult-2015-7-15.pdf
- Teaching JonesI-520-UCSF-Teach-2015-7-15.pdf
- Professional Practice JonesI-520-UCSF-ProfPrac-2015-7-15.pdf

Document History:

File Name: Q:\EMIS\SOPs\Employee-Forms\HHS-520-Data-Entry.doc

2/14/08 Original instructions posted. NEO (FEPlyler)

3/20/13 Revised per current revisions to EMIS and explanation of purge function as it relates to continuing activities. FEPlyler

3/27/14 Revised. New logo and field instruction based on revisions. NEO (C.Galvin-Combet)