External Activities Questionnaire (EAQ) User Guide

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3. Accessing the EAQ – Faculty Access
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Purpose
External Activities Questionnaire (EAQ) - Purpose

What is it

- The Questionnaire tool is intended to be a high-level guide to assist investigators and supporting staff in considering the various resources for meeting federal disclosure requirements for sponsored projects while minimizing exposure of confidential details.
- Companion tools to the Questionnaire will map the information to the various requirements across the federal agencies.

Why should we use it

- Federal agencies require full transparency and disclosure of all activities and resources related to an Investigator’s research endeavors whether they are provided (1) directly to the Investigator, (2) to Stanford, or (3) through another entity. This includes research resources from foreign and domestic entities, regardless of their monetary value (be it funding or in-kind resources and contributions).

NOTE: The EAQ is not a system of record that will be reviewed and approved. It is not required by the university.
The EAQ asks 7 questions in the following areas:

1. Visiting Postdocs, Visiting Students, Visiting Scholars
2. Outside funding for Stanford registered Postdocs and Students
3. Access to in-kind resources in support of current research endeavors
4. Outside affiliations and appointments, paid or unpaid
5. Outside research roles, excluding subcontracts processed through Stanford or the VA
6. Outside Programs and Activities
7. Personal Financial Interest
Features
External Activities Questionnaire - Features

Each of the 7 areas asks a Yes/No question.
- If “No”, click Next to move to the next question
- If “Yes”, additional questions will be asked

Left Hand Navigation allows user to click directly to a specific area.
**External Activities Questionnaire - Features**

For convenience, any active entities from a faculty member's OPACS record will appear here by default for selection IF APPLICABLE.

Identify the Entities providing support by selecting or adding below.

If a faculty member wants to display inactive entities from their OPACS record, they can click here.

Inactive entities Selected below will remain Selected when box is unchecked.

If a faculty member wants to add a NEW entity, it can be added here.

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**Visitors**

Do you have any visiting postdoctoral fellows, visiting students, or visiting scholars involved in research in your lab who are paid directly, in full or in part, by any non-Stanford organization, institution, company or government (“Entity”)?

<table>
<thead>
<tr>
<th>Select</th>
<th>Entity</th>
<th>OPACS Status</th>
<th>Written Agreement</th>
<th>Visitor(s) supported by this Entity</th>
<th>Work on your federally funded projects</th>
<th>Additional Information</th>
<th>Completion Status</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>PepsiCo</td>
<td>ACTIVE</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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*Stanford University*
For each Entity that is selected or added, associated questions will be asked.

The * means it’s a required field.
Once the data for each applicable Entity has been added, click **Completion status for each selected Entity is displayed**. The ability to edit responses is also available. Responses for each Entity is displayed.
Any previously added Entity will display as an option for future questions.
Relationships identified under Questions 6 and 7 must be disclosed in OPACS. If a NEW entity is ADDED here, a Transactional (Add-Update) disclosure in OPACS will be triggered.
Transactional (Add-Update) transactions triggered by Questions #6 and 7 can be access on the faculty members SeRA My Projects Dashboard.
Accessing the EAQ
External Activities Questionnaire – Faculty Access

The EAQ tool is available at sera.stanford.edu

Faculty will land on their My Projects page

Once created, the EAQ transaction can be accessed here

The EAQ transaction can be started and viewed here
External Activities Questionnaire – Faculty Access

Start a new, or Update an existing, EAQ by clicking here

Once you have clicked “Start/Update Questionnaire, you may be directed to a refreshed page that now displays the “Start Questionnaire” button. To go directly to the EAQ in the future, allow pop-ups from this site. The EAQ will then be opened in a new window moving forward.

Pop-up blocker: click to allow pop-ups from this site
If an administrator initiates the EAQ on behalf of a faculty member, the faculty member will receive an email requesting they access and complete the EAQ.

**Stanford | External Activities Questionnaire**

**ACTION REQUIRED:** Complete your External Activities Questionnaire

You have been requested to complete a new External Activities Questionnaire by Divyashree Ramesh.

The Questionnaire, together with companion resources, will assist investigators and staff in fulfilling federal disclosure requirements for sponsored project proposals and during the life of an award.

Go to Questionnaire →

Please do not reply to this email. Need technical help? Please submit a Help Ticket.
Accessing the EAQ

ADMINISTRATIVE ACCESS
External Activities Questionnaire – Administrator Access

The EAQ tool is available at sera.stanford.edu

- Administrators have access to create and view the EAQ for the faculty within the Orgs that they have access to in SeRA
Individuals with Administrators Access logging into SeRA will click on My Projects…

…then enter the Investigator name and click to select

…then from the Investigator’s My Projects page, click to access
Administrators initiating an EAQ for an Investigator will receive a confirmation pop-up.
When an administrator initiates the EAQ, the Investigator will receive an email requesting they access and complete the EAQ.

**Stanford | External Activities Questionnaire**

**ACTION REQUIRED:** Complete your External Activities Questionnaire

You have been requested to complete a new External Activities Questionnaire by Divyashree Ramesh.

The Questionnaire, together with companion resources, will assist investigators and staff in fulfilling federal disclosure requirements for sponsored project proposals and during the life of an award.

Please do not reply to this email. Need technical help? Please submit a Help Ticket.
External Activities Questionnaire

Instructions

This Questionnaire tool is intended to be a high level guide to assist investigators and supporting staff in fulfilling federal disclosure requirements for sponsored projects. Companion tools to the Questionnaire will map the information to the various requirements across the federal agencies.

Federal agencies require full transparency and disclosure of all activities and resources related to an investigator’s research endeavors whether they are provided (1) directly to the Investigator, (2) to Stanford, or (3) through another entity. This includes research resources from foreign and domestic entities, regardless of their monetary value (be it funding or in-kind resources and contributions).

Carefully review and respond to each question while considering all activity as of January 1, 2021 and onward.

Note: The Questionnaire is not a system of record that will be reviewed and approved. It is not required by the university.

Tasks

<table>
<thead>
<tr>
<th>Task</th>
<th>Status</th>
<th>Assignee</th>
<th>Assigned Date</th>
<th>Completed Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Complete External Activities Questionnaire</td>
<td>Not Responded</td>
<td>David M Studdert</td>
<td>05/09/2021</td>
<td></td>
</tr>
</tbody>
</table>
Do you have any visiting postdoctoral fellows, visiting students, or visiting scholars involved in research in your lab who are paid directly, in full or in part, by any non-Stanford organization, institution, company or government ("Entity")? *

Yes  No

If “No”, click Next to move to the next question
If “Yes”, additional questions will be asked
External Activities Questionnaire - Visitors

Do you have any visiting postdoctoral fellows, visiting students, or visiting scholars involved in research in your lab who are paid directly, in full or in part, by any non-Stanford organization, institution, company or government (“Entity”)?

Yes  No

Select and/or add all Entities providing support. (See examples.)

For convenience, any active entities from a faculty member’s OPACS record will appear here by default for selection IF APPLICABLE.

If a faculty member wants to display inactive entities from their OPACS record, they can click here.

Inactive entities Selected below will remain Selected when box is unchecked.

If a faculty member wants to add a NEW entity, it can be added here.
For each Entity that is selected or added, these questions will be asked.

The * means it’s a required field.
Once the data for each applicable Entity has been added, click “Next”.
External Activities Questionnaire – SU Postdocs & Students

Any previously added Entity will display as an option for future questions.

Identify the Entities providing support by selecting or adding below.

Select and/or add all Entities providing support. (See examples.)

Add any NEW entities here.
External Activities Questionnaire – SU Postdocs & Students

For each Entity that is selected or added, these questions will be asked.

The * means it's a required field
Do you have any Stanford registered postdoctoral fellows or students involved in research for your lab supported in full or in part by any non-Stanford organization, institution, company, or government ("Entity") including fellowships?

- [ ] Yes
- [x] No

Select and/or add all Entities providing support. (See examples.)

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<thead>
<tr>
<th>Select</th>
<th>Entity</th>
<th>OPACS Status</th>
<th>Written Agreement</th>
<th>Person(s) supported by this Entity</th>
<th>Work on your federally funded projects</th>
<th>Additional Information</th>
<th>Completion Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>✔️</td>
<td>Human Frontier Science Program Organization</td>
<td>-</td>
<td>Yes</td>
<td>Roger Craig</td>
<td>No</td>
<td>-</td>
<td>✔️</td>
</tr>
<tr>
<td>✔️</td>
<td>Netherlands Organisation for Scientific Research</td>
<td>-</td>
<td>Yes</td>
<td>Jerry Rice</td>
<td>Yes</td>
<td>Jerry works on the DARPA project</td>
<td>✔️</td>
</tr>
<tr>
<td>□</td>
<td>PepsiCo</td>
<td>-</td>
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</table>

Once the data for each applicable Entity has been added, click Next.
External Activities Questionnaire – In-Kind Resources

Do you have access to "in-kind" resources in support of your research endeavors that are obtained through a collaboration, appointment, or relationship with an outside institution, organization, or company ("Entity")? Examples of "in-kind" resources include lab or office space, specialized equipment, research data, or materials.

If any of the displayed Entities apply, select the check box.

Identify the Entities providing resources by selecting or adding below:

Select and/or add all Entities providing resources. (See examples.)

Add any NEW entities here:
External Activities Questionnaire – In-Kind Resources

For each Entity that is selected or added, these questions will be asked.

The * means it’s a required field.
Once the data for each applicable Entity has been added, click Next.
Identify the Entities where you hold an appointment by selecting or adding below.

Select and/or add all Entities where you hold an Appointment. (See examples.)

Add any NEW entities here.
External Activities Questionnaire – Affiliations/Appointments

For each Entity that is selected or added, these questions will be asked.

The * means it’s a required field.
Do you hold a paid or unpaid appointment, position, or affiliation ("Appointment") at any Entity other than Stanford? This includes unpaid Appointments such as "guest", "adjunct", "honorary", or "visitor" titles.

Select and/or add all Entities where you hold an Appointment. (See examples.)

<table>
<thead>
<tr>
<th>Select</th>
<th>Entity</th>
<th>OPACS Status</th>
<th>Written Agreement</th>
<th>Appointment Type</th>
<th>Additional Information</th>
<th>Completion Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>✔️</td>
<td>McMaster University</td>
<td>-</td>
<td>Yes</td>
<td>I have an honorary appointment in Mac's School of Engineering</td>
<td>9/1/2019 - 8/31/2025</td>
<td>☑</td>
</tr>
<tr>
<td></td>
<td>Human Frontier Science Program Organization</td>
<td>-</td>
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<td></td>
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<tr>
<td></td>
<td>Netherlands Organisation for Scientific Research</td>
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Once the data for each applicable Entity has been added, click Next.
**External Activities Questionnaire – Outside Research Roles**

**Outside Research Roles**

Except for proposals or awards processed through the VA or Stanford as subcontracts, has another institution identified you as the PI, Co-PI, investigator, or other key personnel on a project (proposed or awarded) (**Outside Role**)?

- **Yes**
- **No**

Identify the Entities where you were identified in an Outside Role by selecting or adding below.

**Select and/or add all Entities where you were identified in an Outside Role** *(See examples.)*

- Active entities from your OPACS record appear by default. Check this box to show inactive entities from your OPACS record. *(Inactive entities Selected below will remain Selected when box is unchecked)*

If any of the displayed Entities apply, select the check box.

<table>
<thead>
<tr>
<th>Select</th>
<th>Entity</th>
<th>OPACS Status</th>
<th>Written Agreement</th>
<th>Project Role &amp; Additional Information</th>
<th>Completion Status</th>
</tr>
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<tbody>
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<tr>
<td></td>
<td>McMaster University</td>
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<td>Netherlands Organisation for Scientific Research</td>
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<td></td>
<td>University of California Los Angeles</td>
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Add any NEW entities here.
External Activities Questionnaire – Outside Research Roles

For each Entity that is selected or added, these questions will be asked.

The * means it’s a required field.
Once the data for each applicable Entity has been added, click Next.
External Activities Questionnaire – Outside Activities

Are you involved in a non-Stanford program or activity that provides you with compensation, research or office facilities, sponsored or reimbursed travel, honorary funding, or any type of benefit in exchange for teaching or mentoring students, performing research for another institution, or publishing research results naming your affiliation at the other institution (“Outside Activity”)?

- Yes
- No

Identify the Entities where you have an Outside Activity by selecting or adding below.

Select and/or add all Entities where you were have an Outside Activity. (See examples.)

- Active entities from your OPACS record appear by default. Check this box to show inactive entities from your OPACS record (Inactive entities Selected below will remain Selected when box is unchecked).

<table>
<thead>
<tr>
<th>Select</th>
<th>Entity</th>
<th>OPACS Status</th>
<th>Written Agreement *</th>
<th>Program or Activity *</th>
<th>Completion Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>☐</td>
<td>Human Frontier Science Program Organization</td>
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<tr>
<td>☐</td>
<td>McMaster University</td>
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<td>☐</td>
<td>Netherlands Organisation for Scientific Research</td>
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<td>University of California Los Angeles</td>
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</tbody>
</table>

Add any NEW entities here.
External Activities Questionnaire – Outside Activities

For each Entity that is selected or added, these questions will be asked.

The * means it’s a required field
Once the data for each applicable Entity has been added, click **Next**
External Activities Questionnaire – Financial Interest

Identify the Entities where you have Personal Financial Interest by selecting or adding below.

Select and/or add all Entities where you were have Personal Financial Interest. (See examples.)

If any of the displayed Entities apply, select the check box.

Add any NEW entities here.

<table>
<thead>
<tr>
<th>Select</th>
<th>Entity</th>
<th>OPACS Status</th>
<th>Written Agreement</th>
<th>Completion Status</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Human Frontier Science Program Organization</td>
<td></td>
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<tr>
<td></td>
<td>McMaster University</td>
<td></td>
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<tr>
<td></td>
<td>Netherlands Organisation for Scientific Research</td>
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<td></td>
<td>PepsiCo</td>
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<tr>
<td></td>
<td>University of California Los Angeles</td>
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</tbody>
</table>
External Activities Questionnaire – Financial Interest

For each Entity that is selected or added, these questions will be asked.

The * means it’s a required field.
Have you received any Personal Financial Interest (e.g., salary, consulting fees, stock/stock options, honoraria, gifts, or sponsored or reimbursed travel) from a non-Stanford entity that will be used to support your Stanford research endeavors? *

- Yes  - No

Select and/or add all Entities where you were have Personal Financial Interest. (See examples.)

- Active entities from your OPACS record appear by default. Check this box to show inactive entities from your OPACS record. (Inactive entities Selected below will remain Selected when box is unchecked)

<table>
<thead>
<tr>
<th>Select</th>
<th>Entity</th>
<th>OPACS Status</th>
<th>Written Agreement *</th>
<th>Completion Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>☑</td>
<td>McMaster University</td>
<td>-</td>
<td>No</td>
<td>✔</td>
</tr>
<tr>
<td>☐</td>
<td>Human Frontier Science Program Organization</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
</tbody>
</table>

**NOTE:** Relationships identified here must be disclosed in OPACS. If a NEW entity is listed here, an Ad-Hoc disclosure transaction in OPACS will be triggered.

Once the data for each applicable Entity has been added, click Next.
External Activities Questionnaire – Review & Complete

Entity data can be displayed by clicking the “+” in each section.

If everything looks good, scroll to the bottom of the page and click Complete Questionnaire.
External Activities Questionnaire - Completed

If new entities were added as part of Questions #6 or 7, the faculty member will have the opportunity to go straight to the OPACS Task from the Thank You page.

Thank you

Questionnaire completed successfully.

To view your completed questionnaire, navigate to the External Activities Questionnaire page from the My Projects page in SeRA.

New external relationships were listed in this EAQ which need to be disclosed in OPACS and reviewed by a COI manager. These new relationships must be disclosed as soon as possible to stay in compliance with federal requirements. A new task has been started in OPACS. Click the button below to begin this task.

→ Go to OPACS Task
If new entities were added as part of Questions #6 or 7, the faculty member will also be able to access the OPACS Add/Update Task on their SeRA My Projects Dashboard.
Viewing & Printing
TheLatestResponses to the EAQ can be viewed and printed

The system retains each version of the EAQ and can be accessed in EAQ History
Companion Tools & Resources
EAQ Companion Tools

ora.stanford.edu/resources/disclosure-resources/disclosure-tools/external-activities-questionnaire

- Sample EAQ
- EAQ User Guide
- EAQ Sponsor Matrix
# Website Resources

https://ora.stanford.edu/resources/disclosure-resources/disclosure-tools

- Sponsor-specific pages
- Disclosure Tools
- Disclosure FAQs

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**When, What, and Where to Report**

The following resources have been compiled to assist Stanford researchers and administrators with understanding the various disclosure requirements related to their support, resources, and time commitments. Disclosures can be required at the time of proposal, just-in-time, prior to award acceptance, annual reporting, and during the life of the award. Federal agencies have expanded their disclosure requirements to include all paid or in-kind resources supporting a PI’s research program, whether the support is made through Stanford or provided directly to the PI.

Federal disclosure regulations and requirements are actively evolving and developing. Please bookmark and check this page for updates.

**Disclosure Resources**

- National Institutes of Health (NIH)
- National Science Foundation (NSF)
- Department of Defense (DoD)
- Department of Energy (DoE)

**Source of Support:** XYZ Company

**Primary Place of Performance:** Stanford University

**Summary of In-Kind Contributions:** Industrial Affiliates Program donation/membership specific to the Investigator’s area of research

**Time Commitment - Person-Month(s) (or Partial Person-Months) Committed Per Year:**

<table>
<thead>
<tr>
<th>Year</th>
<th>Person-months per year committed</th>
</tr>
</thead>
<tbody>
<tr>
<td>2021</td>
<td>0.15</td>
</tr>
</tbody>
</table>

The dollar value of the in-kind contribution should be the amount of the associated Industrial Affiliates Program annual membership/donation.