

## Policies regarding ROC and REPA reporting: October 6, 2008

The 2007 University audit of the Psychology Department addressed the timely completion of ROC and REPA forms. ROC is the acronym for “Record of Consulting”. REPA is the acronym for “Record of External Professional Activities”. Information on filing requirements can be found at:

[http://www.research.umn.edu/regaffairs/conflict/Repa\\_when.html](http://www.research.umn.edu/regaffairs/conflict/Repa_when.html)

The REPA form is used to report external professional activities and business and financial interests in accordance with the University policies that govern external professional conduct, activities, and interests: Code of Conduct; Outside Consulting and Other Commitments; and Conflict of Interest. Faculty and staff are required, at least annually, to complete and submit a REPA for review and approval prior to the announced deadline. The requirement to file is based on employment classification (being a faculty member or P&A employee) or having direct responsibility for research. Faculty and P&A employees automatically received automated reminders to file REPA forms. However, this procedure misses some employees who are required to file. These include civil service employees who are the investigators or co-investigators on grants. To assure that REPA forms are filed accurately, we will adopt the following procedures. The department will maintain a list of faculty and staff who, on the basis of their appointments, must file the REPA. The department’s grant administrator will check new grants against this list to verify that the investigators are listed. If an investigator is not listed on the people who must file the REPA, the grant administrator will send an email reminder to those individuals indicating that they must remember to file a REPA during this year’s reporting period. These names will also be added to the department’s master list of mandated REPA filers. During the annual filing period, we will check the list to monitor compliance with the requirement to file.

The REPA form uses a guided process to walk you through the setup, preparation, and submission steps. If you need to report external professional activities and interests or even if you have nothing to report, the form has been streamlined to ask only the questions you need to answer.

1. Access the REPA form at <http://eresearch.umn.edu/REPA/>
2. Log in using your U of M Internet ID and password. If you do not know your U of M Internet ID and/or password please call the OIT Technical Helpline at  
612-301-4357 (1-HELP).
3. Complete each screen that the REPA form displays, clicking on the Next button at the bottom of each screen to continue.

The Regents Policies on Outside Consulting and Other Commitments require University Faculty and staff to obtain prior approval by submitting a ROC (Request for Consultant or Outside Service Agreement) form for each external professional activity that the individual anticipates he or she will engage in for more than an average of one day per month in any single term of University appointment.

Some activities represent normal forms of professional activity, and are specified in the Regents Policy on Outside Consulting and Other Commitments as exempted from requiring prior approval.

These exempted activities are:

- holding office in a scholarly or professional organization;
- performing duties for an editorial office or for a learned journal;
- attending professional meetings;
- writing of books or articles or the creation of works of art;
- giving of occasional lectures and speeches, participating in colloquia, symposia, site visits, study sections, and similar gatherings; and
- ad hoc refereeing of manuscripts

Please note this change in departmental policy: anyone who reports outside consulting activity on their REPA will be required to complete an ROC form before the department will approve the REPA.

To submit a ROC form please follow the below instructions.

1. Access the ROC form at <http://egms.umn.edu>
2. Click the EGMS Forms link
3. Log in using your U of M Internet ID and password. If you do not know your U of M Internet ID and/or password please call the OIT Technical Helpline at  
612-301-4357 (1-HELP).
4. From the Main Menu click the Make a Request link
5. Click on the ROC – Request for Consultant or Outside Service Agreement option and then click on the Make Request button
6. Complete each question and then click on the Submit Request button.

This document is posted on the Psychology Department website at:  
[http://online.psych.umn.edu/policies\\_procedures/index.html](http://online.psych.umn.edu/policies_procedures/index.html)