UT System Outside Activity Portal Tool Tip Training

MAKING A DISCLOSURE
Making Disclosures

• Good news: Requests that are made and final approved in this portal will automatically become disclosures—if disclosure is required.
  – Example: You requested approval for outside employment. If you are required to disclose outside employment, then this activity will automatically populate in the disclosure table once.
  – You should not go in and make a separate disclosure covering the same activity.
• Ongoing interests/activities require annual disclosure (This is what Duplicate is for.)
• The Disclosure Form is very similar to the Request Form
• Differences:
  – Disclosure is generally about activities that have already occurred or interests that already exist
  – There are activities/interests that may need to be disclosed that do not require prior approval
  – For most users, disclosure forms do not route for approval; they are simply submitted. Some users’ disclosures will route to a compliance officer.
To Make a Disclosure:

Log in to the UT System Outside Activity Portal and select **Make a Disclosure**

If you are already logged in to the system, you will also find the Make a Disclosure option on your Employee Portal.
The Disclosure Form

- Begin by selecting who you are disclosing for (yourself or others). Please consult your institution’s policy for details on disclosure requirements.
- Then select the type of activity you are disclosing.
- Based on your selection, a couple of screening questions may appear. These are to ensure that you do not disclose when it is not required.
- Based on your answers, if you need to make a disclosure, the form will appear.
- If you do NOT need to make a disclosure, you can go to your Employee Portal through the menu at the top right, or simply close your browser window if you are done.

Disclosure Form

Submit one completed form per activity. Please note: final determination of whether an activity relates to your UT responsibilities and/or presents a conflict is made by your institution.

Fields with a red asterisk (*) are required.

The information entered below is not saved until you click Save and Review at the bottom of the form. The form will time out after 10 minutes of no activity, and unsaved information will be lost.

Relationship: *Self

Type of Activity:
- Outside Employment/Other Compensated Activity
- Significant Interest in Business Entity
- Uncompensated Outside Activity
- Gifts
- Intellectual Property/Royalties/Copyright

Tool Tip!
This is the Disclosure Form. This is not where you Request Prior Approval for outside employment or service on outside boards. To do that, return to the Employee Portal and select “Request Approval.”
The Disclosure Form

The General Section

- If you are required to disclose the activity, the form will appear below. There are a number of sections included in the disclosure form.
- The first is the “General” section. Here you will enter basic information about the outside entity and your duties with that entity—this is not information about your UT institution/department or UT responsibilities.
- In some rare cases of Gifts or Intellectual Property, there may not be an entity that is associated with the activity. For those activities, we have provided “Gifts-Personal” and “Intellectual Property-Personal” as options in “Your Entities” dropdown menu. These should not be used for other activity types.

2/12/2014
The Disclosure Form

The General Section (continued)

Select the year for which you are disclosing the activity.

Most often, you will make a disclosure for the current calendar year. However, when you first enter the application, or during the Annual Finalization Period, you may need to make a disclosure for the previous calendar year.

The Annual Finalization Period will be discussed in more detail below.
The Disclosure Form

The General Section (continued)

Tool Tips!
Questions marked with a red asterisk (*) are required.

Please carefully enter your entity information because, at this time, entity information cannot be edited or deleted once it has been saved. That functionality will be forthcoming.

If you have already reported activity for an entity in this online application, you can simply select it from the drop down menu, and there will be no need to re-enter the information. This would not include anything done previously on paper forms or through other electronic systems on your campus.

Once you have completed the entity information in the General section, you can elect to Save for Later at the bottom of the form. You must complete the General section first. The form will time out in 10 minutes without saving.
Next will be the “Time” section, where you will provide information about the start and end dates of the activity.

Remember that you are only disclosing for one calendar year at a time for each activity—even if that activity has been or will be ongoing.

Ideally, the start date on a disclosure should be the later of January 1 or the actual start date for the calendar year for which you are disclosing.

Ideally, the end date should be the earlier of December 31 or the actual end date for the calendar year for which you are disclosing.

What does this question mean? “Appointment” refers to time when you are “actively” employed with UT. The most common example of when you would answer “YES” would be for activities occurring during the summer months when faculty may not have UT responsibilities.

Note:
There may be another, special, section with questions specific to the type of disclosure you have selected. Or some of these questions/fields in these sections may not appear if they are not relevant to the disclosure type selected.
The Conflict of Interest/Conflict of Commitment section asks a series of guiding questions that will help you determine if your activity presents a conflict of commitment or a conflict of interest.

Sometimes conflict of commitment is not an issue. Not all questions will apply to every instance.

For disclosures, it is up to the employee to determine whether there may reasonably appear to be a conflict.

Note: some users may see a slightly different view.
For 180 disclosures, the “Compensation” section only appears if you have indicated that there is a conflict—and if you are disclosing for yourself. Only report the range, not actual whole dollars.

If you indicated there may be a conflict, the Compensation Section begins by asking you if the payment you received (cash or other equivalent) from this entity was more than $5,000. If you answer “No”, then you will skip the compensation questions and move to the next section.

If you answer “Yes,” you are required to answer the remaining questions in the section.

If you are disclosing research-related activity:
• Compensation questions are always required.
• Travel/Expense Reimbursements require listing the destination, purpose and duration of any trips.

Tool Tip! At any point after you have completed the entity information, you can elect to Save for Later. You can return to the form through the Employee Portal and complete the form at any point. If you have finished the form and think you are ready to submit you can Review and Submit.
This is the Review Disclosure screen. Your disclosure is currently in a saved state.

Possible actions:

- **Edit** – As the Author, you are the only person who can edit your forms

- **Duplicate** – this creates a copy of the disclosure to edit. Useful when most of the information will remain the same—for example, when asking for re-approval for an ongoing activity the next year

- **Save** – you can always save and return to your Employee Portal

If you think you are ready to submit...<next slide>
Under the form details is the Validation section. It will either

- Have a list of missing or invalid form fields that you will need to EDIT to correct. (It will also have a link to delete the disclosure.)

OR it will say

- Disclosure Passed Validation and you will be able to Take Action
  - You can Submit or Delete the form at this point.
  - Select Submit and click the Submit button that appears.
  - For most users, there is no routing for disclosures; they are simply submitted. Some users’ disclosures will route to a compliance officer.

### Review Disclosure

#### Details

<table>
<thead>
<tr>
<th>Edit</th>
<th>Duplicate</th>
<th>Save and Return to Employee Portal</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Type of Activity: Significant Interest in a Business Entity</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Employer / Organization: Toys R Us</td>
</tr>
<tr>
<td></td>
<td></td>
<td>123 Toy Street</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Toyville Texas 78700</td>
</tr>
<tr>
<td></td>
<td></td>
<td>United States of America</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Industry: For profit Organization - Publicly Traded Retail Trade</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Activity Will Be Compensated: Yes</td>
</tr>
<tr>
<td></td>
<td></td>
<td>View All Compensation for this Entity: Entity Compensation</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Compensation: $10,000-$19,999</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Cash: Yes</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Stock: Stock Options:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Officer: Ownership Interest:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Conflict of Interest: Yes</td>
</tr>
<tr>
<td></td>
<td></td>
<td>This is a conflict because we buy things from them.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Conflict management plan: Yes</td>
</tr>
</tbody>
</table>

- Disclosure Passed Validation

- **Take Action**
  - Action: Submit an Option
    - Submit
    - Delete
OVERVIEW OF ACTIONS
User/Requester/Submitter Actions

- **Save for Later** – Saves the form in its current state of completion. It runs some validation checks, but you are not required to fix them in order to save. It takes you to the Review screen. From there you can return to your Employee Portal.
- **Review and Submit** – Runs validation to make sure all required fields are complete. Fields must be complete in order to move to the next stage of the process. Additional validation is run once the form is complete and you are taken to the Review screen. A pop-up message will alert you to any errors that must be fixed. You will find the details of any errors at the bottom of the page; they need to be addressed before the form can be submitted. Use Edit to make those changes. You should carefully review the information to make sure it is complete and accurate.
- **Edit** – Opens the form with any completed fields. Edit is not available for a form after it has been submitted or final approved without first recalling the form.
- **Duplicate** – Ongoing activities require annual re-approval and disclosure. Use Duplicate to generate a copy of a previous request or disclosure that you can
User/Requester/Submitter Actions Continued

- **Recall** – This returns a submitted or Final Approved form to the person who originally submitted it. This is the Ooops! Button. It’s for making edits to a form that you plan to resubmit. Once a form has been recalled, it can be edited. Example: You submitted a request for approval of outside employment that was final approved. However, you realized that you accidently indicated that the outside employment would require 20 hours per week, but you meant 20 hours per month. You need to make that correction and resubmit the form. You recall the request. Make the correction (through the Edit function). And then resubmit.

- **Deactivate** – This action is for the rare instances where you requested and were given approval to engage in an outside activity, but, for whatever reason, the activity never occurred. Example: You made a request to engage in some consulting that you thought would be likely. However, at the end of the year, no consulting for that entity had occurred. You need to deactivate this request.

- **Withdraw** – This action is when the outside employment or board service started but the employee decides to stop the activity before the approved end date. Example: You requested approval for ongoing outside employment. This request was approved and you began working. However, two months later you decide the time commitment is too significant and you are going to cease the outside activity. Withdraw is the correct selection for this scenario.
# Actions for Disclosure Forms (non-research employees)

<table>
<thead>
<tr>
<th>Status</th>
<th>New</th>
<th>Saved</th>
<th>Submitted</th>
<th>Finalized</th>
</tr>
</thead>
<tbody>
<tr>
<td>Requester</td>
<td>Save for Later</td>
<td>Edit</td>
<td>Duplicate</td>
<td>Duplicate</td>
</tr>
<tr>
<td></td>
<td>Review and Submit</td>
<td>Save</td>
<td>Recall</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Delete</td>
<td></td>
<td>Deactivate</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Duplicate</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Submit (no routing)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Approver</td>
<td>No Actions</td>
<td>No Actions</td>
<td>No Actions</td>
<td>No Actions</td>
</tr>
</tbody>
</table>
# Actions for Disclosure Forms (research employees)

<table>
<thead>
<tr>
<th>Status</th>
<th>New</th>
<th>Saved</th>
<th>Submitted</th>
<th>Acknowledged</th>
<th>Finalized</th>
</tr>
</thead>
<tbody>
<tr>
<td>Requester</td>
<td>Save for Later</td>
<td>Edit</td>
<td>Duplicate</td>
<td>Duplicate</td>
<td>Duplicate</td>
</tr>
<tr>
<td></td>
<td>Review and Submit</td>
<td>Save</td>
<td>Recall</td>
<td>Recall</td>
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<td></td>
<td>Delete</td>
<td>Deactivate</td>
<td>Deactivate</td>
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<td>Duplicate</td>
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<td></td>
<td>Submit</td>
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<td></td>
</tr>
<tr>
<td>Approver</td>
<td>No Actions</td>
<td>No Actions</td>
<td>Acknowledge (and route to another approver)</td>
<td>Recall</td>
<td>No Actions</td>
</tr>
<tr>
<td></td>
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<td></td>
<td>Final Acknowledge</td>
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</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Returned (for edits/additional comments)</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>I should not have received this</td>
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<td></td>
</tr>
</tbody>
</table>