UT System Outside Activity Portal Tool Tip Training

FULL VERSION TRAINING TOOL

2/12/2014
The Tool Tip Training

• What will be covered:
  – How to access and use the online application
  – Overview of the various components, including tool tips and some definitions/explanations on how the application works
    • Request Form
    • Disclosure Form
    • Employee Portal
    • Approver Portal
  – Appendix of what the various actions do and when you can use them

• What will not be covered: This is not policy training. Policy training is covered separately.
About the Outside Activity Portal

• Purpose: to provide employees a way to electronically request approval and make necessary disclosures for outside activities
• Entering the system is NOT required of all employees
• If you do not have a request to make or activity to disclose, you may not have to enter the system at all, unless you need to approve the request of someone else
ACCESSING THE OUTSIDE ACTIVITY PORTAL & GETTING HELP
Accessing the Outside Activity Portal

- [http://outsideactivity.utsystem.edu](http://outsideactivity.utsystem.edu)
- Best viewed with Internet Explorer (at least version 9)
- Should work with Chrome (version 32.) and Safari (version 7.0.1)
- Full functionality may be missing in Firefox
- Does NOT work on iPad or Android Tablet
- The application sends out automatic email notifications at certain points in the process. Please add notification@utsystem.edu to your safe senders list
- If you have any questions, please use the Help link at the top right of your screen
Accessing the Outside Activity Portal

- When you click the 
  [http://outsideactivity.utsystem.edu](http://outsideactivity.utsystem.edu) URL, you are taken to this page
- You can search for your organization

OR

- Select it from the dropdown menu

- From here you will go to your institution’s log in page. You will sign in using your normal network credentials.

Tool Tip!
You can tell the system to remember your institution for up to a week. Then it will automatically direct you to your institution’s log in page.
The Home Portal

- Once you have logged in, you will come to the “UT System Outside Activity Portal.”
- From here, you can make a new request for approval or make a new disclosure. More on those below.
- Or you can go to your Employee Portal which allows you to see the status of and/or access existing requests or disclosures. There are other actions available from the Employee Portal that will be covered in that section of the training.
- The Approver Portal is where you go to see any requests that have been sent to you that need your action. The Approver Portal is covered in more detail in that section of the training.

UT System Outside Activity Portal

Tool Tips!
This page with the icons is also referred to as the “Home Portal.”
HELP

- A “Help” link is located in the top right of every page of the application.
- Instructions and tool tips on different aspects of the application are available. Please review these to see if your question is addressed.
- If not, you can submit a Support Request Form will appear. All fields are required.
- Once the user selects “Submit”, he/she will be taken to a Thank You page with the following language “Your request has been received.”
- For technical issues, users will receive a response within 24 business hours.
- As you move through the application you may receive an error similar to “SAS Stored Process Error”. In most cases, the best solution is to close your browser and then re-enter the application. “Save Early. Save Often.” is your best defense.
New Users

The first time you log in to the portal, and you select Request Approval, Make a Disclosure, or Employee Portal, you will be directed to the Welcome, New User screen.

You will need to answer a few questions, as well as read and acknowledge the policy.

NOTE for Approvers: Selecting the Approver Portal button does not trigger the New User event. Only when you select one of the other three for the first time will you trigger the New User event.

University of Texas Outside Activity Portal

Welcome, New User!

Thank you for logging in to the Outside Activity Portal. Before you begin, you will need to answer a few questions and acknowledge that you have read the appropriate policies. This will take less than 5 minutes (not including the time it takes you to read the policies).

Acknowledge and Answer Now
You must answer a few questions about your employment status the first time you log in to the portal as a new user.

Your answers to these questions determine the reporting requirements for you and tell the application how to process your requests and disclosures.

You are only required to answer the questions the first time you enter the portal. However, you can update your responses from the Employee Portal at any point if your status changes.

**New User Information**

You will only have to answer the few questions on this page this one time or if there is a change in your status.

Please indicate Yes or No for the following statements:

I am a principal investigator, co-investigator, or project director or am otherwise responsible for the design, conduct, or reporting of research.

- Yes
- No

I am a member of the faculty.

- Yes
- No

I am an exempt employee.

- Yes
- No

Employees who are exempt from the Fair Labor Standards Act (FLSA) and are, therefore, not entitled to overtime pay.

**User Tip:** You can hover over any orange text throughout this site, and helpful definitions will pop up.

**Hover on orange text and helpful definitions will appear.**

**Tool Tip!**
Throughout the portal, you will see orange text. You can hover over that text, and helpful definitions and tips will pop up.
• After you answer the new user questions, you need to read and acknowledge the policy(s) governing outside activity.

Now you can
• Make a disclosure (if you have activity to disclose) OR
• Go to your Employee Portal (where you can do a number of things including making a request for approval)

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University of Texas Outside Activity Portal

Acknowledgement

Please acknowledge that you have read and understood your institution’s policies related to outside activity, substantial financial interests, and conflict of interest and conflict of commitment.


I hereby affirm that I have read and understood the above policies.

[ ] Acknowledge

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Thank You for Your Acknowledgement

You may be required to disclose outside activity.

Based on your answers to the previous questions, you may have to disclose outside activity under The University of Texas System Systemwide Policy “Conflicts of Interest, Conflicts of Commitment, and Outside Activities” (UTS 180) and your institutional HOP/HOOP.

Please proceed to the disclosure form OR to your employee portal.

Go to the disclosure form.

Return to the Employee Portal if you do not have any activity to disclose or if you want to request approval for a new activity.

2/12/2014
EMPLOYEE PORTAL
The Employee Portal – Part 1

About User – this should be you

The Actions box – menu options tailored to the user
  • Make a new request or disclosure (disclosure option does not appear if you are not supposed to make disclosures)
  • Update your status and acknowledge the policy
  • Finalize your disclosures for the previous calendar year (only appears during the Annual Finalization Period—more about this later)

Approvals
  • See status of existing requests at a glance
  • View existing requests to see details or take action
  • Clicking on the entity name will show all activities for that entity (in that same year as the request you clicked) [More about Entity Compensation later]
  • Request Approval for a New Activity takes you to the request form
  • View Previous shows all requests from previous calendar years (nothing prior to 2013)
The Employee Portal – Part 2

Disclosures
• See status of existing disclosures at a glance
• View existing disclosures to see details or take action
• Clicking on the entity name will show all activities for that entity (in that same year as the disclosure you clicked)
• Add New Disclosure takes you to the disclosure form
• View Previous shows all disclosures from previous calendar years

Acknowledge
• Provides link to relevant policy/policies
• Gives you the date of the last time you acknowledged the policies
• Offers a link to re-acknowledge the policies
• Note: Re-acknowledging the policy/policies may require re-affirming your status questions.

Status
• Provides your most recent responses to the status questions (also known as the New User Information).
• To update your status, you can click on the “Re-Acknowledge” link above or the “Status Questions” link in the blue Action box (previous slide).
  • Note: updating your status requires you to re-acknowledge the policy/policies.
REQUESTING PRIOR APPROVAL
Requesting Prior Approval

- Some outside activities require prior approval
  - Outside employment/other compensated activity
  - Service on outside boards
  - Uncompensated activity that may reasonably appear to create a conflict
  - Note: there are exclusions and exemptions. Please review your institution’s policy and policy training materials for more information about the policy requirements.

- Ongoing outside activity requires annual re-approval (This is what Duplicate is for.)

- In general, Requests are for activities that have not yet occurred. (Note: there is a way in the request form to request approval retrospectively.)
To request prior approval

Log in to the UT System Outside Activity Portal at http://outsideactivity.utsystem.edu

Use the ID that you use every day to log in to your computer

If you are already logged in to the system, you will also find the Request Approval option on your Employee Portal

Tool Tip!
This page with the icons is also referred to as the “Home Portal”
Making a Request:
The Approval Request Form

Your institution’s list of pre-approved activities will appear at the top of this screen.

Begin by selecting the type of activity for which you are requesting prior approval.

Based on your selection, a couple of screening questions may appear. These are to ensure that you do not request approval when it is not required.

Based on your answers, if you need to submit a request, the form will appear.

If you do NOT need to request prior approval you can go to your Employee Portal through the menu at the top right, or simply close your browser window if you are done.

Approval Request Form

Submit one completed form per activity that needs approval. Employees are required to obtain prior approval for themselves before engaging in:

- outside employment or other compensated activity;
- service on an outside board; and
- other outside activity that may reasonably appear to create a conflict of interest or conflict of commitment.

The following activities are considered free-approved by your institution. They may still require disclosure:

- Service on a federal, state, or local governmental agency committee, panel, or commission.
- Acting in an editorial capacity for a professional journal.
- Reviewing journal manuscripts, book manuscripts, grant or contract proposals.
- Attending and presenting talks at scholarly colloquia and conferences.
- Developing scholarly communications in the form of books or journal articles, reviews, movies, television productions, and similar works, even when such activities result in financial gain, consistent with intellectual property and other applicable U.T. System and institutional policies and guidelines.
- Serving as a committee member, an officer, or board member of a professional or scholarly society.

Prior approval is not required for immediate family members, though disclosure may be required.

The form will time out after 10 minutes and unsaved information will be lost.

Does any portion of this activity occur during your appointment with UT? * Yes • No

Type of Activity: * Please Select an Option --
- * Please Select an Option*
  - Outside Employment / Other Compensated Activity
  - Service on Outside Boards
  - Uncompensated Outside Activity

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 “NO” would be for activities occurring during the summer months when faculty may not have UT responsibilities.

Remember!
Prior approval is needed before engaging in most
- Outside employment or other compensated activity
- Service on outside boards
- Uncompensated activity that may reasonably appear to create a conflict
The Approval Request Form

If you are required to request approval, the form will appear below. There are a number of sections included in the approval 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.

Tool Tip!
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 date and the amount of time the activity will require.

In this section, you can indicate that this is a request for **retrospective approval** if you were unable to make the request prior to your start date.

Remember!
Activities lasting more than one year require annual re-approval.
This activity will be compensated.*  
[ ] Yes  [ ] No

Please select range of estimated annualized compensation. After the close of the calendar year—or end of the employment activity—you will have an opportunity to modify the amount if necessary.

Provide compensation range from this activity*  
-- Not Applicable --

Optional comments about estimated compensation:
(100 characters maximum)

Remember!
Compensation includes salary/cash received, as well as things such as travel reimbursements, equity, and in-kind items.

Note: If the activity is uncompensated, then you may need to change the type to “Uncompensated Outside Activity.” Approval for uncompensated activities is only needed if there is a conflict.
The “Compensation” section
Double check to make sure that this is a compensated activity

If you answer “Yes,” you are required to enter a valid numerical amount in at least one “by type” field.

If the activity is uncompensated, then you may need to change the type to “Uncompensated Outside Activity” Approval for uncompensated activities is only needed if there is a conflict.

Tool Tip!
All dollar amounts entered in the tool should use numeric format, WHOLE numbers, and no dollar signs or commas.
You are asked about whether you think this activity may create or reasonably appear to create a conflict. Please note, however, that the final determination of conflict is made by the institution.

You may be required to upload documentation related to this activity. Examples may include contracts, offer letters, etc.

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 Request screen. Your request 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 request 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>
If you think you are ready to submit your form:

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 (action links at the top of the screen)

OR it will say

- “This form has no errors and is OK to submit” and you will be able to Take Action.

- One action available will be Submit. Select it and then route to the appropriate person.

- Another action available will be Delete. Select this option if you no longer wish to make the request.

**Validation Messages**

**Tool Tip!**
If you indicate that this is an ongoing activity, you will receive a reminder that you will need to request approval again for the next year.

**Tool Tip!**
Begin typing and names will appear, similar to Outlook or Google/Gmail functionality. BUT the person must have at least signed in to the application one time.

**Note:**
If the person you need to route your request to does not populate as a valid user, you need to send them an email and ask them to sign in to the Outside Activity Portal. Once they have logged in, it may still take up to 12 hours for their identity to be processed and added to the Approvers list. That process will be run at noon and midnight.
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
- Service on Outside Boards
- 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.
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.
ENTITY COMPENSATION
Entity Compensation

• You may have a variety of activities or interests around a single entity. You may have to disclose some of those but not others. But the total compensation for all activities and interests for the entity (disclosed or not) is what matters.

• Entity compensation allows you to look at all activity and interests related to a single entity.

• It allows you to add undisclosed amounts into the calculation to help you determine what that total entity compensation actually is.

2/12/2014
Entity Compensation View

See the Entity Compensation View by clicking on the Entity Name in the Employee Portal.

The Entity Compensation view displays all approved/disclosed activities and compensation (if you were required to disclose it) for the selected entity and year. For values that were disclosed as ranges, Entity Compensation shows the midpoint of the range.

If you would like to add values (that are not tied to a request or disclosure) or add or subtract a value in order to adjust the Total, you can do that here.

Add or subtract (by entering a negative number) an individual Amount to or from this Entity.

2/12/2014
Finalizing Disclosures

ANNUAL FINALIZATION PERIOD
Annual Finalization Period

• When is it? January through March. (It is timed to coincide with when you would receive W2s, etc., and would have accurate annual compensation if needed.) Example: In January through March of 2014, you would finalize the 2013 year.
• What is it? The period of time when you review and update existing disclosures for the previous calendar year. It is also your last chance to make any disclosures not previously submitted for that year.
• Once all disclosures for that previous calendar year have been made and updated, you are ready to FINALIZE your disclosures for the year.
• Very important: Once you have finalized a year, you cannot make additional disclosures for that year. Disclosures that have been finalized cannot be edited or deactivated.
• ALSO: this is not the only time disclosures can be made. They can be made at any point during that year. This is just the last chance to make and finalize them for the year that has just ended.
Annual Finalization Period

• Finalization is only available during this annual period
• The “Finalize Disclosures” link will show up in the Actions Box of your Employee Portal
• Once you believe you have made all disclosures for the closing year, you should select that link

Employee Portal

Actions
- Request Approval
- Make a Disclosure
- Status Questions and Policy
- Acknowledgement
- Finalize Disclosures

About User

pbales@utsystem.edu
UTSYSTEM.EDU

You may make new requests or disclosures, update existing forms, or change your status questions at any time during the year.
Annual Finalization and Certification

This view will show you only SUBMITTED disclosures related to the closing calendar year. Disclosures that have been saved but not submitted will not show up here.

- Review the details of each to make sure there are no changes that need to be made (Select “View”).
- Submit any disclosures you might have forgotten to make (after you submit them, they will show up in this view)
- Once you are certain all disclosures have been made and are accurate, select “Ready to Finalize” for all of them (this acts as an electronic signature on each)
- And then check the “Certification” box and click “Certify”.

2/12/2014
Annual Finalization and Certification

After you click certify, the same page will refresh but there should be NO disclosures in the table.

You can Return to the Employee Portal (Actions Box) OR close your browser window.

Please note: the finalized disclosures will no longer appear in the tables on your Employee Portal page. You can view them—and all previous disclosures—by clicking on the View Previous link under the Approvals and Disclosures tables. The only Action available on these disclosures is Duplicate.
THE APPROVER PORTAL
About Being an Approver

• You must sign in to the system in order for someone to route you a request.
  – You do not have to do anything other than sign in; this creates your identity in the system
• There is no built-in hierarchy – maximum flexibility for different processes
• There are no limits to the number of approvers in a chain, but approvals are completed one at a time and then routed to the next person in the chain
• The record of the process is not lost as it moves through approvers, but the FINAL approver makes the ultimate determination of approved/rejected and whether something is/is not a conflict, etc.
To Approve a Request or Acknowledge a Disclosure

Log in to the UT System Outside Activity Portal and select Approver Portal.

If you are already logged in to the system, you will find the Approver Portal option by returning to the Home Portal page.
The Approver Portal

- About User – this is you
- Needs Your Action – These are the items that have been routed to you and **require your action.**
- Pending Final Approval – These are items that you approved or acknowledged and routed forward but that **have not yet reached final status.**
- By Employee – This list includes all employees for whom you have approved or acknowledged activity. Selecting their name allows you to see a 360-degree view of the employee by showing all of their submitted activity (approvals and disclosures). Activities that have been saved but not submitted are not visible to approvers.
- Note: Employees drop off the first table after you have taken action. They drop off the second table after they reach final status. At this point, they are available via the By Employee box.

# Approver Portal

## About User

**UTEXAS.EDU**

You may update your information at any time during the year. Please note, you may need to update your status questions and your no activity questions, as well as disclose any new activity.

## Needs Your Action

Here are the requests pending your review and action.

<table>
<thead>
<tr>
<th>Kind</th>
<th>Type</th>
<th>Name of Individual</th>
<th>Entity Name</th>
<th>Start Date</th>
<th>Received</th>
<th>Review</th>
</tr>
</thead>
<tbody>
<tr>
<td>REQUEST</td>
<td>Outside Employment / Other Compensated Activity</td>
<td><a href="mailto:cstair@utsystem.edu">cstair@utsystem.edu</a></td>
<td>asdf</td>
<td>03/20/2014</td>
<td>01/23/2014</td>
<td>View</td>
</tr>
<tr>
<td>REQUEST</td>
<td>Outside Employment / Other Compensated Activity</td>
<td><a href="mailto:cstair@utsystem.edu">cstair@utsystem.edu</a></td>
<td>asdf</td>
<td>03/20/2014</td>
<td>01/23/2014</td>
<td>View</td>
</tr>
<tr>
<td>REQUEST</td>
<td>Outside Employment / Other Compensated Activity</td>
<td><a href="mailto:jwhitman@utsystem.edu">jwhitman@utsystem.edu</a></td>
<td>Test Inc.</td>
<td>03/21/2014</td>
<td>01/27/2014</td>
<td>View</td>
</tr>
<tr>
<td>REQUEST</td>
<td>Outside Employment / Other Compensated Activity</td>
<td><a href="mailto:jwhitman@utsystem.edu">jwhitman@utsystem.edu</a></td>
<td>Test Inc.</td>
<td>04/12/2014</td>
<td>01/27/2014</td>
<td>View</td>
</tr>
</tbody>
</table>

## Pending Final Approval

Items you approved but that have not yet reached final status.

<table>
<thead>
<tr>
<th>Kind</th>
<th>Type</th>
<th>Name of Individual</th>
<th>Entity Name</th>
<th>Start Date</th>
<th>Received</th>
<th>Review</th>
</tr>
</thead>
</table>

Note: Only employees who have routed something to you during the year will appear here.

Note: Start by viewing the request.
**Reviewing a Request**

Start by viewing the request.

Review the details of this request.

To find out more about the employee’s other outside activities and interests, use the 360 View here. (more on this view on the next slide)

If you require a copy of the uploaded contract/agreement, please click on “Help” in the upper right-hand corner and send a support request. Please select “Other” from the drop-down menu and in the open-ended text box indicate that you need a copy of the information.
The Approver’s 360 View (“By Employee”)

- Approvals – All submitted approvals for the employee
- Disclosures – All submitted disclosures for the employee
- Please note: The approver can see some basic fields for all items shown, but **if you were NOT part of the approval chain for an item, you will not be able to view the details of that item.** This means that the details of disclosures will **NOT be visible** to approvers because disclosures do not route for approval.
- If you need more information on an activity for which you cannot see the details, you will need to contact your compliance office and make a request.
- Status – You can see the employees latest responses to the status questions.

---

**About User**

UTEXAS.EDU

---

**Approvals**

<table>
<thead>
<tr>
<th>Type</th>
<th>Entity Name</th>
<th>Date</th>
<th>Action Desk</th>
<th>Approval Status</th>
<th>Disclosure Status</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Outside Employment / Other Compensated Activity</td>
<td>asdf</td>
<td>01/28/2014</td>
<td>FINAL</td>
<td>Final Approved</td>
<td></td>
<td>View</td>
</tr>
</tbody>
</table>

**Disclosures**

Here are the disclosures that you have reported so far for this year.

<table>
<thead>
<tr>
<th>Type</th>
<th>Relationship</th>
<th>Entity Name</th>
<th>Compensation</th>
<th>Date</th>
<th>Reviewer Status</th>
<th>Disclosure Type</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Outside Employment / Other Compensated Activity</td>
<td>Self</td>
<td>asdf</td>
<td>$5,000-$9,999</td>
<td>01/21/2014</td>
<td>Submitted</td>
<td>180</td>
<td>View</td>
</tr>
</tbody>
</table>

**Status**

Your last response indicated the following

- I am a member of the faculty: Yes
- My appointment length is: 12 Month Appointment
- I am an exempt employee: Yes
- I have a full-time appointment: Yes

---

**Tool Tip!**
You must use the 360 View if you want to rescind your approval for an activity. You may only rescind approval for an activity that you approved.
Back to Review Request

History – allows you to see when it was submitted, as well as any other approvers and actions it has gone through.

Take Action
When you are ready to take action, you can
• Approve – you can approve and route to another person for their approval or you can mark yourself as the Final approver (a final action)
• Not Approve (Reject) – this is a final action
• Return for Edits/Additional Comments – return to either a previous approver OR to the person who submitted the form
• Or indicate “I should not have received this” – returns the form and removes you from the approval chain. This is used in case something is mistakenly routed to you.

Each action has a series of required questions/comments. In most cases, the comments are for management purposes and will not be seen by the employee making the request.
Action: Approve

Here is the form that appears if you select Approve.

- You must provide a brief explanation of why you took the action.
- You are asked if you approve the use of university time, within the limits of your policy, for this activity.
- You are asked about Conflict of Commitment and Conflict of Interest. Please note: an item that has a conflict that CANNOT be mitigated through a conflict management plan should NOT be approved.
- You are asked about whether the activity relates to the employee’s UT responsibilities.
- You indicate whether you are the FINAL approver or if you want to route to an additional approver.
- Then Submit
Appendix

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 update for the next year and resubmit.
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.
Reviewer/Approver Actions

- **Approve/Acknowledge (and route)** – Used by the reviewer to indicate their approval before routing forward to the next reviewer. Example: Immediate supervisor evaluates request for conflict of commitment and any known conflicts of interest. However, campus process requires final approval by the department head. So Approve and Route. The employee does not receive notification of this and the request status remains at submitted.

- **Approve/Acknowledge (I am the Final approver)** – Used by the reviewer to indicate their approval and to indicate that the request requires no additional review. At this point, the employee’s request status would change and they would receive notification that their request has been Final Approved. Also, at this point, the request would be included in the process to become a disclosure if the employee is required to make disclosures (this can take up to 24 hours).

- **Return (for edits/additional comments)** – This action is for approvers only. When you receive a request or disclosure you can return the form back to the employee for edits or further comments. The employee will then resubmit that form. If you are on a chain of approvers (meaning there is more than one approver for the form), you can also return to someone else on the chain requesting comment, follow-up, etc. When an approver returns a form, they remain in the approver chain. The employee receives an email notification that the form has been returned to them.

*Continued*
Reviewer/Approver Actions Continued

- **Recall** – Used by reviewers/approvers if they have routed it on to the next reviewer/approver but need to make a change. Example: You approved an employee’s request for service on an outside board, but you had not approved the employee’s use of university time. You routed it to your department head. Afterwards, you realized that this board service would qualify for using university time within your policy. You recall the request and approve the use of university time, the route it back to your department head. Note: this does not remove the person you routed it to from the approval chain. That person must use “I Should Not Have Received This” (below) in order to be removed from the approval chain.

- **Rescind** – This action is for approvers only. If, after a final approval has been given, circumstances change or new information is received, the Rescind option allows you to revoke approval for the employee’s outside activity. The intent is for the employee to stop this outside activity. Note: policy allows the employee to appeal this decision.

- **I Should Not Have Received This** – In some instances, a person may have a form routed to them that they should not have received. Using this option returns the form and takes you out of the approver chain.
# Actions for Request Forms

<table>
<thead>
<tr>
<th>Status</th>
<th>New</th>
<th>Saved</th>
<th>Submitted</th>
<th>Final Approved</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>Recall</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Delete</td>
<td>Deactivate (for retrospective approvals)</td>
<td>Withdraw</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Duplicate</td>
<td>Withdraw (for retrospective approvals)</td>
<td>Deactivate</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Submit</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Approver</td>
<td>No Actions</td>
<td>No Actions</td>
<td>Approve (and route to another approver)</td>
<td>Rescind</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Final Approve</td>
<td>Recall</td>
</tr>
<tr>
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<td></td>
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<tr>
<td></td>
<td></td>
<td></td>
<td>Not Approved</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Returned (for edits/additional comments)</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>I should not have received this</td>
<td></td>
</tr>
</tbody>
</table>
## 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></td>
<td>Delete</td>
<td>Deactivate</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td></td>
<td>Duplicate</td>
<td></td>
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<td></td>
</tr>
<tr>
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<td></td>
<td></td>
<td>Submit (no routing)</td>
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</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>
<td>Recall</td>
</tr>
<tr>
<td></td>
<td>Delete</td>
<td>Deactivate</td>
<td>Deactivate</td>
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</tr>
<tr>
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<td>Duplicate</td>
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</tr>
<tr>
<td></td>
<td>Submit</td>
<td></td>
<td></td>
<td></td>
<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>
<td></td>
<td></td>
<td></td>
<td>Final Acknowledge</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Returned (for edits/additional comments)</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>I should not have received this</td>
<td></td>
</tr>
</tbody>
</table>

2/12/2014