

Decision Matrix for Approval of Outside Activities and Conflict of Interest Disclosures

Note: Definitions used in the Decision Matrix are outlined beginning on page 5.

General Rule

Any outside activity or interest that may reasonably appear to 1) create a conflict of interest, 2) interfere with an employee’s University responsibilities, or 3) qualify as a substantial foreign relationship must be reported in the Outside Activity Portal. This requirement applies regardless of:

- category of employee (full-time, part-time, exempt, non-exempt, faculty),
- location of activity (on or off campus),
- the type of outside entity (individual, for-profit, not-for-profit, government),
- and level of compensation (compensated or not compensated).

** IMPORTANT NOTE: Full-time employees with no outside activities or interests to report must still login to the Portal during the Annual Disclosure Period, which is January, February, and March each year, and “Report No Activity” for the prior year.*

Specific Requirements and Exemptions

Category 1 - Scholarly and Professional Activities.	Prior Approval Required? (employees, not covered family members)	Activity allowed during regularly scheduled work hours / responsibilities?	After-the-Fact Disclosure Required?
Academic activities that are clearly related to UT Tyler’s mission, provided they do not reasonably appear to create a conflict of interest, conflict of commitment, or qualify as a substantial foreign relationship. Examples:	NO* (Provided they are clearly related to the University’s mission and do not reasonably appear to create a conflict of interest, interfere with the employee’s University duties	YES (Provided it does not interfere with University responsibilities.)	NO*

<ol style="list-style-type: none"> 1. Serving on a federal, state, or local government agency committee, panel, or commission. 2. Acting in an editorial capacity for a professional journal. 3. Reviewing journal manuscripts, book manuscripts, or grant or contract proposals. 4. Attending or providing talks or honorary lectures at scholarly and professional colloquia, other academic institutions, and conferences. 5. Developing scholarly communications in the form of books or journal articles, movies, television productions, and similar works. 6. Serving as a committee member or as an officer of a professional, academic or scholarly society or committee. 	<p>and responsibilities, or qualify as a substantial foreign relationship.)</p>		
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Category 2 - Board Service or Other Activity that is Personal.	Prior Approval Required? (employees, not covered family members)	Activity allowed during regularly scheduled work hours / responsibilities?	After-the-Fact Disclosure Required?
<p>Examples:</p> <ol style="list-style-type: none"> 1. Serving on the board of a municipality, local religious congregation, neighborhood association, public, private or parochial school; political organization, social advocacy organization, youth sports or recreation leagues, affinity groups, and other similar outside boards or activities. 	<p>NO* (Provided they do not reasonably appear to create the appearance of a conflict of interest, interfere with the employee's University duties and responsibilities, or qualify as a substantial foreign relationship.)</p>	<p>NO</p>	<p>NO* (even if the activity is compensated)</p>

Category 3 - Outside employment, teaching, and board service that require prior approval.	Prior Approval Required? (employees,	Activity allowed during regularly scheduled	After-the-Fact Disclosure Required?
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	not covered family members)	work hours / responsibilities?	
<p>Employee outside activities or employment <u>other than</u> activities described in Categories 1 or 2 above, <u>and other than</u> activities carried out wholly outside a faculty member's period of appointment at UT Tyler (usually during the summer for faculty who do not appointments for the full 12 months of the year).</p> <ol style="list-style-type: none"> 1. Outside employment or other compensated activities, such as service as a consultant or advisor to any entity. 2. All outside teaching by faculty members, whether onsite or distance teaching, that is in or related to the same discipline as their area of teaching at UT Tyler. 3. Service on a board of a religious organization that provides services which the University provides (e.g., academic institution, health care services). 4. Any relationships that qualify as substantial foreign relationships. 	YES*	NO	<p>NO*</p> <p>(Provided you are not engaged in research or sponsored programs, a substantial foreign relationship, and are not involved in procurement activities over \$15,000. See Categories 4 and 5 below.)</p>

Category 4 - Research and Sponsored Projects Applies only to employees engaged in research or sponsored programs.	Prior Approval Required? (employees, not covered family members)	Activity allowed during regularly scheduled work hours / responsibilities?	After-the-Fact Disclosure Required?
<p>The following outside activities and financial interests received or held by the employee or the employee's covered family members, that reasonably appear to be related to the employee's institutional responsibilities:</p> <ol style="list-style-type: none"> 1. Payments received by the employee or covered family member of \$5000/year or more from an outside entity (other than payments from a federal, state, or local governmental agency, institution of higher education, an academic teaching hospital, 	<p>YES</p> <p>for activities for which prior approval is required under Category 3, above.</p> <p>OTHERWISE NO*</p>	NO	<p>YES</p> <p>unless prior approval has been requested and obtained for this activity through the Outside Activity Portal*</p>

<p>medical center, or a research institute affiliated with an institution of high education).</p> <ol style="list-style-type: none"> 2. Interests in intellectual property and royalties 3. Sponsored travel (other than travel reimbursed by a federal, state, or local governmental agency, institution of higher education, an academic teaching hospital, medical center, or a research institute affiliated with an institution of high education). 4. Equity interests in any entity such as stock, stock options or other ownership interest or entitlement for the employee and covered family members 5. Gifts totaling over \$250 received in the last 12 months from a single entity, other than gifts from a covered family member. 6. Fiduciary positions for which the employee received any form of remuneration or reimbursement for expenses. 7. Any relationships that qualify as substantial foreign relationships. 			
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<p align="center">Category 5 - Procurement</p> <p align="center">Applies only to employees involved in procurement activities (meaning that they make decisions or recommendations regarding: contract terms and conditions, who is awarded a contract, preparation of a solicitation for a contract, or evaluation of a bid or proposal) with respect to purchases of \$15,000 or more. Applies to all such employees including part-time and non-exempt.</p>	<p align="center">Prior Approval Required? (employees, not covered family members)</p>	<p align="center">Activity allowed during regularly scheduled work hours / responsibilities?</p>	<p align="center">After-the-Fact Disclosure Required?</p>
<p>The following outside activities and financial interests received or held by the employee or the employee’s covered family members:</p> <ol style="list-style-type: none"> 1. All outside employment or other compensated activity of the employee. 	<p align="center">YES</p> <p>for activities for which prior approval is required under Category 3, above.</p> <p align="center">OTHERWISE NO*</p>	<p align="center">NO</p>	<p align="center">YES</p> <p>unless prior approval has been requested and obtained for this activity through the</p>

<ol style="list-style-type: none"> 2. All non-university employment or other compensated activity of covered family members that reasonably appear to be related to the employee’s institutional responsibilities. 3. Any outside activity, regardless of compensation, that reasonably appears to create a conflict of interest or a conflict of commitment. 4. Outside board service, unless entirely unrelated to university business. 5. Any substantial interest in a business entity should be disclosed within 30 days after acquiring the interest. 6. Gifts totaling \$250 or more in a year from a single person or entity - other than gifts received from one’s parent, child, sibling, grandparent or grandchild; one’s spouse of the spouse of anyone mentioned immediately above; or the parent, child, sibling, grandparent, or grandchild of one’s spouse. 7. Any relationships that qualify as substantial foreign relationships 			Outside Activity Portal*
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Definition of Terms Used in the Decision Matrix

What does “Engaged in Research” mean for purposes of Decision Matrix – Category 4?

- Individuals engaged in research include everyone who is responsible for the design, conduct, or reporting of research. This may include research staff and students in addition to principal investigators, co-investigators, and project directors.
- Research (in this context) means any systematic investigation, study, or experiment designed to develop or contribute to generalizable knowledge.
- A systematic investigation, study, or experiment is one that involves a prospective plan - which incorporates quantitative or qualitative data collection and data analysis - to answer a question.
- Research includes basic research, applied research, and product development.

What does “Sponsored Project” mean for purposes of Decision Matrix - Category 4?

Sponsored projects are any project or program that receives external (extramural) funding through grants from public entities and in some cases from corporations and foundations. Generally, these are projects and programs where the terms of the grant legally obligate the university to carry out a project or program involving a defined set of activities and/or deliverables within a defined time period.

Philanthropic gifts that provide funds and restrict how they can be used without obligating the university to carry out a specific project or program are excluded from this definition of sponsored projects.

What does “involved in Procurement Activities” mean for purposes of Decision Matrix – Category 5?

Individuals “involved in procurement activities” include employees authorized to make purchases of \$15,000 or more. They also include employees who make decisions or recommendations about purchases of \$15,000 or more regarding:

- Contract terms and conditions.
- Who is awarded a contract.
- Evaluation of a bid or proposal

What is considered “Compensation” for purposes of deciding whether an outside activity requires prior approval?

Compensation is defined as: Any form of benefit including but not limited to salary, retainers, honoraria, intellectual property rights or royalties, or promised, deferred, or contingent interest.

Compensation includes sponsored travel or reimbursement, including travel that is reimbursed or sponsored by a Federal, state, or local government agency, an institution of higher education, an academic teaching hospital, a medical center, or a research institute that is affiliated with an institution of higher education. These benefits do not require disclosure under Decision Matrix Categories 4 and 5, but they never-the-less require prior approval under Decision Matrix Category 3.

What does “Covered Family Member” mean for purposes of Decision Matrix – Categories 4 and 5?

Covered family members include:

- a spouse;

- a dependent child or stepchild or other dependent, for purposes of determining federal income tax liability during the period covered by the disclosure statement; and/or
- a related or non-related, unmarried adult who resides in the same household as the employee and with whom the employee is financially interdependent as evidenced, for example, by the maintenance of a joint bank account, mortgage, or investments.

Does "Substantial Interest in a Business Entity" include mutual funds?

No. Investment vehicles, such as mutual funds or retirement accounts, are not substantial interests in a business entity as long as the individual does not directly control the investment decisions made in those vehicles.

What does "Substantial Foreign Relationship" mean?

A substantial foreign relationship is any relationship between a U. T. Tyler employee and programs that are sponsored, funded, directed, or controlled by a foreign government, foreign agency, or foreign institution. This includes people who work for institutions of higher education that are funded by any type of foreign entity.

What does "Primarily Personal" mean in regard to service on outside boards?

This refers to service that is unrelated to your position at UT Tyler or your UT Tyler responsibilities. Examples include boards of the following nature – a municipality; local religious congregation; neighborhood association; public, private or parochial school; political organization; social advocacy organization; youth sports or recreation league; affinity group such as the local orchid society or model train collectors club; and other similar outside boards.

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