



Monitoring for OID Compliance

A UTK Departmental Resource



UTK

Departments can
monitor OID
compliance using
IRIS reporting.

- **Compliance with UT Policy FI0125 - Conflicts of Interest, is increasingly important for ensuring any outside interests of employees are appropriately disclosed and reviewed timely.**
- **Compliance is a team effort, and we need departmental support for ensuring timely completion of this important requirement.**
- **This module is designed to equip departmental staff with the knowledge to manage disclosure compliance within their units.**



IRIS Transaction
ZPR_OID_REPORT
is the star of the show!

Report Selections

Personnel Number	<input type="text"/>	<input type="button" value="📄"/>
Responsible Cost Center	<input type="text"/>	<input type="button" value="📄"/>
Personnel Area	<input type="text"/>	<input type="button" value="📄"/>
Personnel Subarea	<input type="text"/>	<input type="button" value="📄"/>
Employee Group	R	<input type="button" value="📄"/>
Employee Subgroup	<input type="text"/>	<input type="button" value="📄"/>
College	<input type="text"/>	<input type="button" value="📄"/>
Department	<input type="text"/>	<input type="button" value="📄"/>
Date Last Reviewed	07/01/2021	<input type="button" value="📄"/>

Note: Date Last Reviewed shows data as of or after the date entered.

OID Form Status to Include Selection

- Submitted
- Approved
- Rejected
- Not Completed



When logging into the transaction, you will see the screen to the left!

Notice the report defaults to 7/01/2021!

The report is designed to run on July 1 of the current disclosure year!

This date should stay as is, anytime you are running reports for the current disclosure year.



Let's identify
the employees
who are
required to
complete
disclosures.

All Regular employees of UT.

Graduate Assistants, both 9
and 12 month appointments.

Temp employees

- Seasonal and Event Staff are not required to complete the disclosure!

A specific criteria set will need to be used to identify each employee group required for disclosure.

- **Transaction ZPR_OID_REPORT will default with "R" in the Employee Group section of the transaction. "R" is the criteria used for pulling a list of "regular" employees who have not completed the form.**
- **Departments will need to enter their specific Cost Center/Department account and identify their campus code in the "Personnel Area." (1010 for UTK and 1020 for UTSI.)**
- **The only other change that will need to be made for running the report for Regular Employees will be to mark "Not Completed" as the OID Form Status, located in the second section on the form.**

Personnel Number	<input type="text"/>	<input type="button" value="↑"/>
Responsible Cost Center	<input type="text"/>	<input type="button" value="↑"/>
Personnel Area	<input type="text"/>	<input type="button" value="↑"/>
Personnel Subarea	<input type="text"/>	<input type="button" value="↑"/>
Employee Group	R	<input type="button" value="↑"/>
Employee Subgroup	<input type="text"/>	<input type="button" value="↑"/>
College	<input type="text"/>	<input type="button" value="↑"/>
Department	<input type="text"/>	<input type="button" value="↑"/>
Date Last Reviewed	07/01/2021	<input type="button" value="↑"/>

Note: Date Last Reviewed shows data as of or after the date entered.

OID Form Status to Include Selection

Submitted

Approved

Rejected

Not Completed

The previous process should be repeated to generate compliance monitoring reports for Student Employees (GA's) and Temp Employees. The following criteria should be used for each.

For Temp Employees, the only change to the screen will be replacing the "R" in the Employee Group section to "T."

For students, there is one additional step. In the "Employee Group" section this should be set to "S." THEN...

In order to only identify the required students, the "Employee Sub Group" will be needed. Using the additional selections option for this section, add 25 & 27 to capture only 9 & 12 month GA positions.

Be sure to check the "Not Completed" status selection box when running each report!

The screenshot shows a 'Report Selections' form with the following fields and values:

Personnel Number		
Responsible Cost Center		
Personnel Area		
Personnel Subarea		
Employee Group	S	
Employee Subgroup	25	
College		
Department		
Date Last Reviewed	07/01/2021	Note: Date L

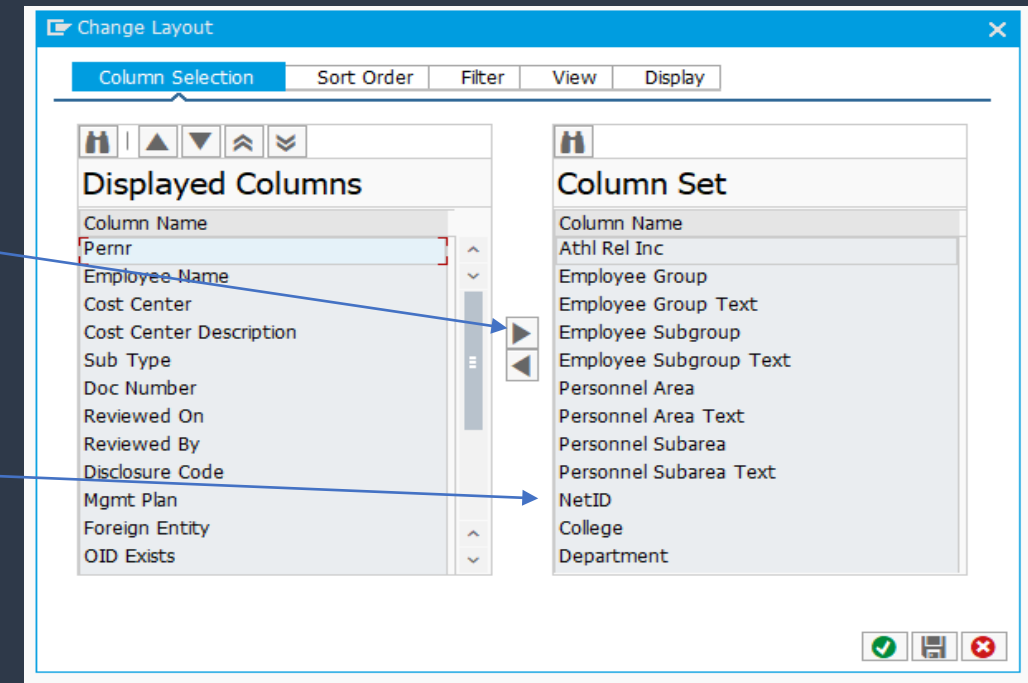
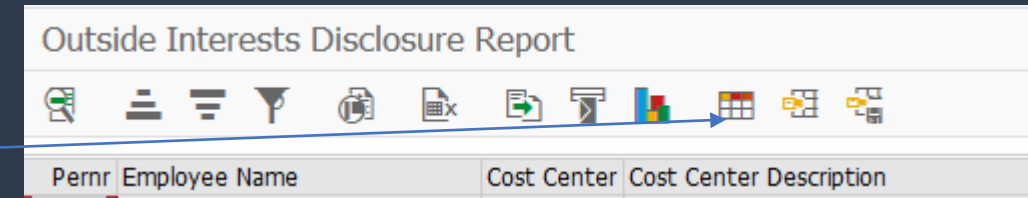
Below the form, the 'OID Form Status to Include Selection' section has the following options:

- Submitted
- Approved
- Rejected
- Not Completed

An inset window titled 'Multiple Selection for Employee Subgroup' shows a list of values with '25' and '27' selected. The window has tabs for 'Select Single Values (2)', 'Select Ranges', 'Exclude Single Values', and 'Exclude Ranges'. The bottom of the screen shows a toolbar with icons for back, forward, search, and other functions.

Once the reports are generated in IRIS, the form can be adapted to show specific information tailored to your departmental needs!

- Using the Change Layout option, you can add and remove columns on the report.
- As you can see, additional options are available for movement to and from the report, using the arrows between the columns.
- One option that has been very helpful in notifying employees is to add the NetID column to the report.



Once the reports are generated, you can save them to Excel.

Helpful tip:

When you have the list of employees who are listed as “not submitting” forms for the current year, you can drop the per #'s into the form for the previous year to see if a prior year's form is preventing them from being able to submit the current form.



The screenshot shows a web-based form titled "Outside Interests Disclosure Report". The form includes a menu bar (Program, Edit, Goto, System, Help) and a toolbar with various icons. The main section is "Report Selections" and contains the following fields:

Personnel Number	1234567	<input type="checkbox"/>
Responsible Cost Center		<input type="checkbox"/>
Personnel Area		<input type="checkbox"/>
Personnel Subarea		<input type="checkbox"/>
Employee Group	R	<input type="checkbox"/>
Employee Subgroup		<input type="checkbox"/>
College		<input type="checkbox"/>
Department		<input type="checkbox"/>
Date Last Reviewed	07/01/2020	<input type="checkbox"/>

Two blue arrows point from the text on the left to the "Personnel Number" and "Date Last Reviewed" fields. A note at the bottom right states: "Note: Date Last Reviewed shows data as of or after the date entered."

Any Questions?

Please don't hesitate to contact
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questions that arise.
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