# Data Specification for UC OATS Ingest

## Faculty

The information provided for faculty will drive the following system functionality:

* General identifying information
* Policies applied
* Routing and approval workflow
* Threshold calculated (both effort and earnings)
* Time frame for which the data elements apply

The data sheets generated are multi-record data sets, not flat files. Multiple rows of data can apply to a single faculty member. Multiple faculty records are associated to an individual by using the employee ID number. All columns, **not marked** as deprecated, are required in the file. The value for the column can be empty if it is designated as “Required=N”. Uploads must include the FULL faculty record (including all appointments and salary data for 671 faculty) every time. An incomplete faculty record will override the existing record (for example, making a faculty appear to have a partial appointment instead of a joint appointment). A faculty cannot hold a joint appointment in the same unit.

| **Data Element Name** | **Description** | **Max Size** | **Required (Y/N)** | **Accepted format** | **Example** | **Note** |
| --- | --- | --- | --- | --- | --- | --- |
| **employee\_id** (Optional) | A unique ID number that does not change over the life time of a faculty person’s association with a UC campus. This ID will serve as a unique identifier in UC OATS to identify the user and associate incoming data. | 50 characters | N | Alphanumeric | 123456789 | At UCLA this variable is called the UID.  **Deprecated** |
| **emp\_lname** | Last name of faculty member. | 50 characters | Y | Text; spaces, hyphens, and apostrophes accepted | Brown  Brown Smith  Brown-Smith |  |
| **emp\_fname** | First name of faculty member. | 50 characters | Y | Text; spaces, hyphens, and apostrophes accepted | Mary  Mary Ann  Mary-Ann |  |
| **emp\_mname** | Middle name of faculty member | 50 characters | N | Text; spaces, hyphens, and apostrophes accepted | John  John Joseph  John-Joseph |  |
| **~~title\_display~~**  **(Deprecated)** | If supplied the value will be ignored. The academic title of the faculty member that is used for display purposes only. This field will be visible to faculty. You may use the description from the HR system if no “pretty” label exists. |  | N | Text; spaces, hyphens, and apostrophes accepted | The title generated from the HR system is FAC-HCOMP, but the common title for this code is “Professor” | **Deprecated** |
| **dept\_code** | The department code for the department with which the faculty is associated. This field dictates the thresholds for which a faculty is subject. For the 671 faculty, this department code should be the department associated with the faculty’s comp plan. When no division is provided, the department code will dictate the routing and approval of forms. | 30 characters | Y | Alphanumeric | 1400 | If a person has multiple department associations, a new record must be present for each department for that faculty. |
| **level\_1\_review\_code** | The unit (department, division, etc.) code with which a faculty is associated. This field dictates the routing and approval workflow for the initial review stage for each form. | 30 characters | N | Alphanumeric | 1400  The level 1 review code could be a division within the department with which the faculty is associated. This field is used to dictate the routing and approval workflow for this faculty relative to their division. This field does not affect the thresholds for faculty. If no data source exists for divisions, campus will have to provide a distinguishing ID number for each division. | The level 1 review code could also be the department code if review should begin at the department level. In this case, the value would be identical to dept\_code or NULL. |
| **~~level\_1\_review\_title~~**  **(Deprecated)** | If supplied the value will be ignored. The name of the unit in association with the level\_1\_review\_code field. This is a “pretty” label that would be used to override the name of the level\_1\_review\_code label in the department data elements. |  | N | Text; spaces, hyphens, and apostrophes accepted | Division of Hematology | **Deprecated** |
| **percent\_**  **appointment** | This is the percent appointment of this faculty member to the departmental unit referenced by dept\_code in this record. If a faculty is only associated with one unit (department) and is working full-time then this value will be 100. If a faculty has multiple department/unit appointments, then this parameter will have a value greater than 0 and less than 100, and there will be multiple records in this data set for the same faculty member. **However the sum of percent appointments among department codes for the same faculty cannot be greater than 100.** | 3 digits | Y | Integer value greater than zero but less or equal to 100 | 1  33  45  100  If a faculty appointment to dept\_code 1 is 75% and to dept\_code 2 is 25, then dept\_code 1 has the value 75 and dept\_code 2 has the value 25. However the system will normalize these values by dividing by 100. Thus dept\_code 1 will become 0.75 and dept\_code 2 will become 0.25 | The percent appointments do not have to equal 100 if faculty is part-time, or there are additional title codes that are not subject to policy. |
| **primary\_**  **appointment\_p** | If a faculty member has multiple departmental appointments, this parameter will indicate which department is the faculty’s primary appointment where 1 = Yes and 0 = No. Faculty with a singular departmental appointment should be set to 1. **Faculty must have only one primary department appointment.** This field will determine the routing and approval workflow for the faculty. | 1 digit | Y | Integer value, 1 = yes and 0 = no | 1  0  A faculty has a joint appointment with the Department of Biology, Chemistry, and Physics. If the primary appointment is Biology, then the line corresponding to department code of Biology will be 1 while the rest of the departments will be 0. | This field dictates the workflow and thus where final *approval* for certain forms will occur at the department level. |
| **base\_salary**  **(671 ONLY)** | For faculty participating in a compensation plan governed by APM 671, a base salary must be provided in the format 100000. Commas will be removed and decimals will be rounded up to an integer. The earnings threshold for outside activity is scaled from this value.  For 025 faculty, leave this value as empty. | 15 decimal digits | N | Do include “$” in value. Integer value will be rounded up to an integer. | 100000  82599 | The system is currently using Scale 0 to calculate earning thresholds.  Base salary parameters should be updated on an annual basis to account for salary changes. Data feeds may be updated concurrent with fiscal year start (or retroactively applied). |
| **~~data\_record\_~~**  **~~begin\_date~~**  **(Deprecated)** | If supplied the value will be ignored. The first date for which the data elements on this record line item are valid in a MM/DD/YYYY format. Other date formats will not be accepted. |  | N | MM/DD/YYYY | A faculty is working part-time over the summer beginning 06/15/2018. When s/he begins working over the summer, his/her title code will change and his/her percent appointment will decrease to 75%. Since s/he is drawing salary from the University over the summer, s/he is subject to APM policies. The data sheet should have two records for this faculty member with one line item describing their academic-year title and percent appointment and the other line item describing the summer title code and percent appointment with appropriate begin and end dates. | **Deprecated** |
| **~~data\_record\_~~**  **~~end\_date~~**  **(Deprecated)** | If supplied the value will be ignored. The last date for which the data elements on this record line item are valid in a MM/DD/YYYY format. Other date formats will not be accepted. |  | N | MM/DD/YYYY | Same as above | **Deprecated** |
| **academic\_term** | This is an indicator to track terms for faculty. APM 671: F = fiscal, APM 025: A = academic, F = fiscal. Only the summer indicator will affect system functionality. | 1 character | Y | A = academic  F = fiscal  **Case insensitive** | A or a  F or f | Required: a null value will result in record not being processed. |
| **emp\_email** | University email address used by the faculty. Faculty emails are used for automated emails from UC OATS. This is limited to one email address per faculty member. | 100 characters | Y | Email address | user@  campus.edu | Limited to one email per faculty |
| **CC\_policy** | The conflict of commitment policy governing this faculty member. Acceptable formats:  025  671  240.5 (Dean, General Campus)  240.1 (Dean, Health Sciences)  246.5 (Faculty Admin, General Campus)  246.1 (Faculty Admin, Health Sciences)  Other data formats will not be accepted. | 5 characters | Y | One of:  025  671  240.5  240.1  246.5  246.1 | For a faculty administrator under the Health Sciences comp plan, value should be 246.1 | In general, campuses can generate the information for this field based on title code.  This data can be manipulated directly through the UC OATS administrative console if needed. In rare instances a campus might wish to include certain title codes under a CC policy. |
| **UCpath\_**  **employee\_id** | UCPATH employee ID when available. This will replace the employee\_id field when possible. | 500 characters | Y | Numeric | 12345678 |  |

## Departments/Divisions/ORUs

The information provided for departments will drive the following system functionality:

* General identifying information
* Routing and approval workflow
* Reporting

The department data sheets generated are flat files. Only one row of data should apply to a single department. Certain labels may be overwritten by faculty parameters.

This data set is not expected to be updated frequently. Department data elements may be updated by the campus administrator through the UC OATS administrative console after the initial data upload.

| **Data Element Name** | **Description** | **Max Size** | **Required (Y/N)** | **Accepted format** | **Example** | **Note** |
| --- | --- | --- | --- | --- | --- | --- |
| **dept\_code** | A unique ID number that does not change over the life time of an organizational unit. This ID will serve as a unique identifier in UC OATS to identify the organizational unit and associate incoming data. | 100 characters | Y | Alphanumeric | 1400, must be unique within a campus. | This field will be used to identify departments, divisions, schools, and organized research units (ORUs). |
| **title** | The name of the organizational unit in association with the dept\_code provided. This is a “pretty” label that is visible to all UC OATS users. | 500 characters | Y | Text; spaces, hyphens, and apostrophes accepted | Department of Biological Chemistry | This field may be overridden by individual faculty parameters (e.g., BiolChem) |
| **description** | A description of the organizational unit visible to users of UC OATS. This may be a long, pretty name of the unit. | 3000 characters | Y | Text; spaces, hyphens, and apostrophes accepted | Department of Microbiology, Immunology, and Molecular Genetics (MIMG) | This variable is only used for presentation within the admin sections of UCOATS. It does not affect business logic. |
| **parent\_unit\_code** | The dept\_code of the parent organizational unit for this organizational unit. This field will be used to map the hierarchy of organizational units and is used for routing and approval. If this is the root level unit, leave field blank. | 100 characters | Y | Alphanumeric | For the unit, Division of Hematology (dept\_code = 1234) within the Department of Medicine (dept\_code = 5678), the parent\_unit\_code for Hematology should be "5678", and the parent\_unit\_code for Department of Medicine should be the code for UCLA | A top level unit on a campus will have no parent. For example, UCLA is the top-most unit in the tree and will have a NULL value for this variable. |
| **certification\_date** | The month and day of each year the annual certification is due. This will drive email notification reminders to the faculty. This date can be campus specific. | date | Y | MM/DD | If annual certification are due 9/15, reminder email notifications will be sent out 3 weeks prior to this date saying that their annual certification date is due in 3 weeks. | Reminder email notifications can be disabled by campus administrator. |
| **rely\_on\_primary\_**  **for\_review** | For faculty with multiple appointments in different departments, this parameter will define if only the primary department should be executing the review and approval process. The other departments will rely on the primary department for review of forms submitted. | 1 character | Y | 1 = Yes  0 = No | A faculty has a dual appointment in the Department of MIMG and the Department of Biology, and MIMG is his primary appointment. Biological Chemistry has elected NOT to require parallel review and will rely on the primary department, and so this value is "1" for Biological Chemistry | Note: this is a department-wide setting and will be applied to all cases where faculty has a non-primary appointment in this department.  This can also be a campus level decision. Campuses are independent of other campuses. |
| **unit\_type\_label** | The label of the type of organizational unit (Department, Division, School, etc.). This label is displayed to UC OATS users to indicate where a form is in the approval process | 500 characters | Y | Text; spaces, hyphens, and apostrophes accepted | Division;  Department;  ORU;  School; |  |

## Reviewers and Approvers

The information provided for reviewers and approvers will drive the following system functionality:

* Routing and approval workflow
* Reporting

The reviewers and approvers data sheet is a flat file. Only one row of data should apply to a single staff member. Data elements may be updated through the administrative console after uploading if needed.

| **Data Element Name** | **Description** | **Max Size** | **Required (Y/N)** | **Accepted format** | **Example** | **Note** |
| --- | --- | --- | --- | --- | --- | --- |
| **dept\_code** | A unique ID number that does not change over the life time of an organizational unit. This ID will serve as a unique identifier in UC OATS to identify the organizational unit and associate incoming data. | 30 characters | Y | Alphanumeric | 1400, must be unique within a campus. | This field will be used to map reviewers and approvers to the appropriate department, division, school, or organized research unit (ORU). |
| **role** | The role the person will fill in the system. | 20 characters | Y | Reviewer  Approver  Auditor |  | Alternate approvers should also be identified with the “Approver” role. |
| **employee\_id** | A unique ID number that does not change over the life time of a person’s association with a UC campus. This ID will serve as a unique identifier in UC OATS to identify the user and associate incoming data. | 50 characters | Y | Alphanumeric | 123456789 | At UCLA this variable is called the UID. |
| **emp\_lname** | Last name of reviewer or approver. | 50 characters | Y | Text; spaces, hyphens, and apostrophes accepted | Brown;  Brown Smith;  Brown-Smith; |  |
| **emp\_fname** | First name of reviewer or approver. | 50 characters | Y | Text; spaces, hyphens, and apostrophes accepted | Mary;  Mary Ann;  Mary-Ann |  |
| **emp\_mname** | Middle name of reviewer or approver. | 50 characters | N | Text; spaces, hyphens, and apostrophes accepted | John;  John Joseph;  John-Joseph |  |
| **emp\_email** | University email address used by the user. Email addresses are used for automated emails from UC OATS. This is limited to one email address per user. | 100 characters | Y | Email address | user@  campus.edu | Limited to one email per faculty |

Form Routing, Labels, and Approvals

The information provided for form routing, labels, and approvals will drive the following system functionality:

* Standard form routing
* Exceptions to the standard form routing
* Labels displayed to end users indicating where in the approval process their form is

This data set is not expected to be updated via file upload. Form routing, labels, and approval data elements will be updated by the DGIT team if changes are required.

Labels Tab

Form routing is always sequential by level and skipping levels is not currently supported. A form may start routing at a higher level, but cannot skip a level mid-route.

* Supported: Level 3 > Level 4 > Level 5
* Not supported: Level 3 > Level 5

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Data Element Name** | **Description** | **Accepted format** | **Example** | **Note** |
| **Level 5** | The terminal state requiring the highest level of review on any form. | Text | Unit Name: Chancellor’s Office  Approver: Chancellor  Reviewer: Chancellor Office’s Reviewer |  |
| **Level 4** | The unit before the final level of review and approval. | Text | Unit Name: Academic Affairs Office  Approver: Vice Provost  Reviewer: APO Reviewer |  |
| **Level 3** | An earlier level of review. | Text | Unit Name: Dean’s Office  Approver: Dean  Reviewer: Dean’s Office Reviewer |  |
| **Level 2** | An earlier level of review. | Text | Unit Name: Department  Approver: Department Chair  Reviewer: Department Reviewer |  |
| **Level 1** | The lowest level of routing supported. Only a reviewer is supported on this level. | Text | Unit Name: Division  Reviewer: Division Reviewer | This may also be referred to as a departmental sub unit |

Form Routing Rules

All forms will begin at the lowest level at which a faculty member is assigned in the level hierarchy. For example, If a faculty is assigned to a division, their forms will start at Level 1. If a faculty is assigned to a school that does not have departments, their forms will start at Level 3.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Data Element Name** | **Description** | **Accepted format** | **Example** | **Note** |
| **Enter an Activity (Category 1 Approval)** | The final level label where this form will terminate routing. | Text | Chancellor | Approver Role |
| **Student Involvement** | The final level label where this form will terminate routing. | Text | Dean | Approver Role |
| **Annual Certification** | The final level label where this form will terminate routing. | Text | Chair | Approver Role |
| **Request to Exceed Time Threshold** | The final level label where this form will terminate routing. | Text | Chancellor | Approver Role |
| **Request to Exceed Earnings Threshold** | The final level label where this form will terminate routing. | Text | Chancellor | Approver Role |
| **Request to Retain Exceeded Earnings Threshold** | The final level label where this form will terminate routing. | Text | Chancellor | Approver Role |

UCPATH Queries

**CUSTOMIZE TO CAMPUS BY UPDATING VALUES DESIGNATED WITH \*\*\* CAMPUS SPECIFIC \*\*\* ON RIGHT SIDE**

**Employee Appointments and Contact Information**

SELECT

H.UC\_EXT\_SYSTEM\_ID AS "UID", --employee\_id

A.EMPLID AS "UCPATH\_ID", --UCpath\_employee\_id

G.FIRST\_NAME, --emp\_fname

G.MIDDLE\_NAME, --emp\_mname

G.LAST\_NAME, --emp\_lname

EM.EMAIL\_ADDR, --emp\_email

A.DEPTID, --dept\_code

A.JOB\_INDICATOR, --primary\_appointment\_p if A.JOB\_INDICATOR='P'

A.FTE, --percent\_ appointment

A.ANNUAL\_RT --base\_salary

FROM

PS\_JOB A

LEFT JOIN

PS\_EMAIL\_ADDRESSES EM

ON EM.EMPLID = A.EMPLID

AND EM.PREF\_EMAIL\_FLAG='Y'

LEFT JOIN

PS\_PERSONAL\_PHONE PH

ON PH.EMPLID = A.EMPLID

AND PREF\_PHONE\_FLAG ='Y'

INNER JOIN PS\_NAMES G

ON G.EMPLID=A.EMPLID,

PS\_UC\_EXT\_SYSTEM H

WHERE

A.EMPL\_CLASS IN (3,9,10,11,14,20,21,22,23,24) AND -- **\*\*\* CAMPUS SPECIFIC – DESIGNATION OF FACULTY (COMMENT LINE BELOW FOR FACULTY)\*\*\***

A.EMPL\_CLASS IN (1,2,4,5,6,7,8,13,15) AND -- **\*\*\* CAMPUS SPECIFIC – DESIGNATION OF STAFF (COMMENT LINE ABOVE FOR STAFF) \*\*\***

A.BUSINESS\_UNIT IN

(

'LACMP' -- **\*\*\* CAMPUS SPECIFIC – LACMP indicates UCLA \*\*\***

)

AND A.EMPL\_STATUS IN

(

'A',

'L',

'P',

'W'

)

AND A.POSITION\_NBR <> ' '

AND A.EFFDT =

(

SELECT

MAX(A2.EFFDT)

FROM

PS\_JOB A2

WHERE

A2.EMPLID = A.EMPLID

AND A2.EMPL\_RCD = A.EMPL\_RCD

AND A2.DML\_IND <> 'D'

AND A2.EFFDT <= GETDATE()

)

AND A.EFFSEQ =

(

SELECT

MAX(A3.EFFSEQ)

FROM

PS\_JOB A3

WHERE

A3.EMPLID = A.EMPLID

AND A3.EMPL\_RCD = A.EMPL\_RCD

AND A3.DML\_IND <> 'D'

AND A3.EFFDT = A.EFFDT

)

AND G.EMPLID = A.EMPLID

AND G.NAME\_TYPE = 'PRI'

AND G.EFFDT =

(

SELECT

MAX(G2.EFFDT)

FROM

PS\_NAMES G2

WHERE

G2.EMPLID = G.EMPLID

AND G2.DML\_IND <> 'D'

AND G2.NAME\_TYPE = G.NAME\_TYPE

AND G2.EFFDT <= GETDATE()

)

AND G.EFF\_STATUS='A'

AND H.UC\_EXT\_SYSTEM = 'UCLA\_UID' -- **\*\*\* CAMPUS SPECIFIC – UCLA\_ID indicates UCLA ID\*\*\***

AND H.BUSINESS\_UNIT IN

(

'LACMP' -- **\*\*\* CAMPUS SPECIFIC** - LACMP INDICATES UCLA CAMPUS**\*\*\***

)

AND H.BUSINESS\_UNIT = A.BUSINESS\_UNIT

AND H.EMPLID = A.EMPLID

AND H.EFFDT =

(

SELECT

MAX(H2.EFFDT)

FROM

PS\_UC\_EXT\_SYSTEM H2

WHERE

H2.EMPLID = H.EMPLID

AND H2.BUSINESS\_UNIT = H.BUSINESS\_UNIT

AND H2.UC\_EXT\_SYSTEM = H.UC\_EXT\_SYSTEM

AND H2.DML\_IND <> 'D'

AND H2.EFFDT <= GETDATE()

)

AND A.DML\_IND <> 'D'

AND G.DML\_IND <> 'D'

AND H.DML\_IND <> 'D'

AND EM.DML\_IND<> 'D'

AND PH.DML\_IND<> 'D'

ORDER BY

A.DEPTID,

A.EMPLID

|  |  |  |
| --- | --- | --- |
| EMPL\_CLASS | DESCR | DESCRSHORT |
| 1 | Staff: Contract | Contract |
| 2 | Staff: Career | Career |
| 3 | Academic: Recall | Ac Recall |
| 4 | Staff: Limited | Limited |
| 5 | Student: Casual/Restricted | Student |
| 6 | Staff: Per Diem | Per Diem |
| 7 | Staff: Partial Year Career | PartYr Car |
| 8 | Staff: Floater | Floater |
| 9 | Academic: Faculty | Ac Faculty |
| 10 | Academic: Non Faculty | Non Fac |
| 11 | Academic: Academic Student | Ac Student |
| 13 | Staff: Contingent Worker | CWR Staff |
| 14 | Academic: Contingent Worker | CWR Acad |
| 15 | Staff: Rehired Retiree | RehRetiree |
| 20 | Academic: Conversion | Ac Conv |
| 21 | Academic: Emeriti | Ac Emeriti |
| 22 | Academic: Deans/Faculty Admin | Ac Dean/FA |
| 23 | Academic: Post Docs | Ac PostDoc |
| 24 | Academic: Medical Residents | Ac Med Res |

EMPL\_CLASS CODES