

UNIVERSITY
OF
CALIFORNIA



Approver User Guide

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1. GETTING STARTED

UC Outside Activity Tracking System (OATS) is a new and efficient way for faculty, deans, and faculty administrators to track, manage and annually certify outside professional activities. UC OATS is an interactive web-based system that facilitates the reporting of outside professional activities and determines appropriate review and approval requirements, enabling users to comply with the University of California, Conflict of Commitment policies: [general campus faculty \(APM 025\)](#) and [health sciences compensation plan participants \(APM 671\)](#).

For faculty who are also covered under additional policies click here: [deans \(APM 240\)](#) and [faculty administrators 100% time \(APM 246\)](#).

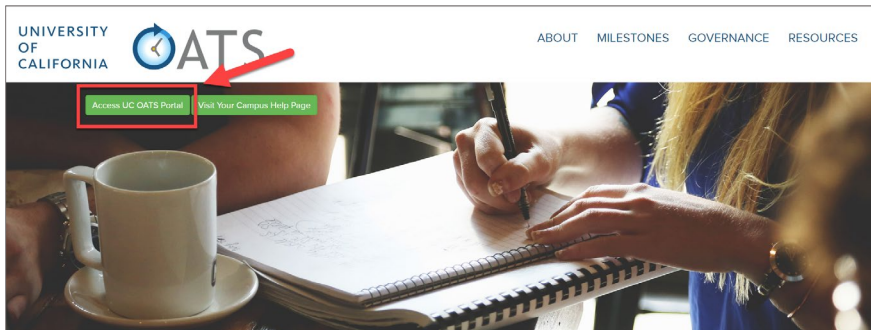
In UC OATS you can,

- Review/ approve conflict of commitment forms
- Review/ approve annual certification reports

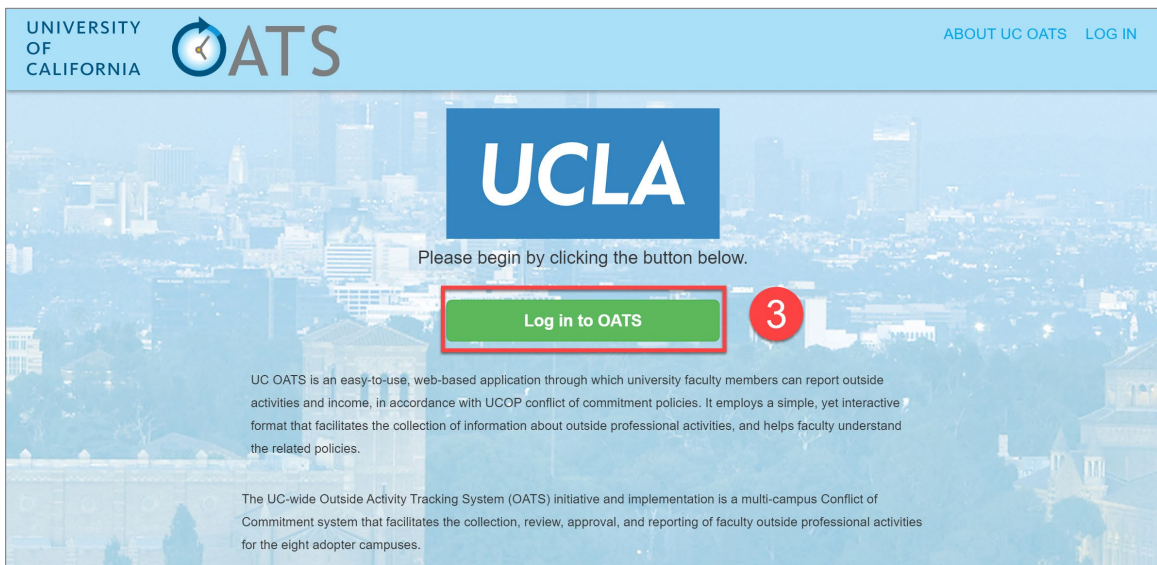
1.1 Logging into UC OATS

To log into UC OATS,

1. Open the [UC OATS home page](#).
2. Click on the **Access UC OATS Portal** button to select your campus.



3. Click **Log in to OATS**.



4. Log into UC OATS using your campus logon ID. If you experience issues logging in, contact campus support for assistance.

1.2 Workspace Overview – Review/Approval Page


Review/Approval is the default workspace for approvers. On this page, you can approve pending prior approval forms, view completed forms, and view all activities.

APPROVAL PENDING

The Review/Approval page is the default workspace for approvers. The **Approval Pending** tab contains forms that have been reviewed for accuracy and completeness by the reviewer(s) and then sent to you for approval.

The screenshot shows the UCATS Review/Approval page. At the top left, the 'Fiscal Year' is set to '2017 - 2018' (callout 1). The main navigation bar includes 'REVIEW/APPROVAL' (callout 2) and 'ANNUAL CERTIFICATIONS'. Below the navigation, there are tabs for 'APPROVAL PENDING' (callout 3), 'COMPLETED FORMS', and 'ALL ACTIVITIES'. The 'APPROVAL PENDING' tab is active, showing a table of pending forms. The table has columns for 'Request Approval Type', 'Faculty', 'Activity Types / Roles', 'Details', 'Submission Date', and 'Form'. Two rows of forms are visible, each with a 'Category I Dept Approver' button (callout 4). A table header 'Request Approval Type' has a sort icon (callout 5). The top right of the page shows 'WELCOME, UCD APPROVER ALL LEVELS' and a 'NOTIFICATIONS' button (callout 6).

The following is a brief description of the approver interface and **Approval Pending** tab. Refer to the corresponding numbers in the image above for detailed information.

- (1) **Fiscal Year** - The fiscal year of the current reporting period (e.g., 07/01/XX--6/30/XX). Click either the forward or back arrow to change the fiscal year.
- (2) **Filters** - You can filter forms by date and division, if applicable. You can also sort the results by clicking on the sort icon to the right of the headers. 
- (3) **Category I & Request TH Status** – Explanation of form status and activity category types.

This section provides a legend for 'Cat I & Request TH Status: What the Buttons Mean'. It lists various status buttons and their meanings:

- Pending**: = form awaiting faculty review.
- Dir Reviewer**: = form is with the division reviewer.
- Dept Reviewer/Approver**: = form is with the department reviewer/approver.
- Dean's Office Reviewer/Approver**: = form is with the Dean's Office reviewer/approver.
- Vice Chancellor Reviewer/Approver**: = form is with the Vice Chancellor reviewer/approver.
- Approved**: = form has been Approved.

Below the legend is a scrollable list of activity categories and their descriptions:

- Executive / Leadership / Management Role:**
 - Cat I: Assuming an executive or managerial position outside of the University
 - Cat I: Assuming founding or co-founding role of company
 - Cat II: Serving on board of directors outside the University whether compensated or uncompensated
 - Cat III: Serving on government or professional panels or committees or as an officer or board member of a professional scholarly society
- Workshops, Lectures, and Talks:**
 - Cat II: Providing or presenting a workshop for industry
 - Cat III: Attending and presenting talks at university/academic colloquia and conferences
- Employment Outside the University:**
 - Cat I: Employment outside the University

Notifications – By default, email notifications is turned off. You will need to opt in to receive daily or weekly notifications of new forms awaiting your review.

The 'Manage Your Notifications' dialog box shows a checkbox for 'Receive Notifications when New Forms are received for review (Cat 1 & Exceeding Threshold)'. A dropdown menu is open, showing 'Daily' and 'Weekly' options. 'Save' and 'Cancel' buttons are also visible.

ACTIVITIES: APPROVAL PENDING

Export current data 4

Show 25 entries

Request Approval Type	Faculty	Activity Types / Roles	Details	Submission Date	Form 6
5 1 Category I	apm240-025, UCD Faculty	Consulting for for-profit entity (Cat. 2) Research outside the University (Cat. 1)	This is a Category I. (Board of Directors)	05/16/2018	Category I Dept Approver
0 Category I	apm246-671, UCD Faculty	Consulting for for-profit entity (Cat. 2) Research outside the University (Cat. 1)	This is a Category I. (Consult on research project)	05/16/2018	Category I Dept Approver

(4) **Export Current Data** – Click the button to download the content into an Excel spreadsheet.

(5) **Notes** – Click to view or add notes for faculty, reviewer(s) and/or approver(s). These notes are not private and may be viewed by anyone with access to the activity record.

(6) **Forms** – Forms awaiting your approval. Click on the form to view it.

COMPLETED FORMS

The **Completed Forms** tab displays all forms that have been approved. This is just for information, no action is required of you.

APPROVAL PENDING ✓ COMPLETED FORMS ALL ACTIVITIES

ACTIVITIES: APPROVED

Export current data

Show 25 entries

Request Approval Type	Faculty	Activity Types / Roles	Details	Submission Date	Actions
0 Student Involvement	apm671, UCD Faculty	Receiving prizes, defined as gifts in recognition of personal achievements and not for services rendered (Cat. 3)	This is a Student Involvement. (Prize acceptance - KP)	05/16/2018	Student Involvement Approved

ALL ACTIVITIES

The **All Activities** tab displays forms that have been submitted. Forms requiring your approval will be listed under the **Approval Pending** tab.

APPROVAL PENDING ✓ COMPLETED FORMS ALL ACTIVITIES

ALL ACTIVITIES

Export current data

Show 25 entries

Request Approval Type	Faculty	Activity Types / Roles	Details	Submission Date	Actions
0 Category I	apm240-025, UCD Faculty	Consulting for for-profit entity (Cat. 2) Research outside the University (Cat. 1)	This is a Category I. (Board of Directors)	05/16/2018	Category I Dept Approver
0 Category I	apm246-671, UCD Faculty	Consulting for for-profit entity (Cat. 2) Research outside the University (Cat. 1)	This is a Category I. (Consult on research project)	05/16/2018	Category I Dept Approver

ANNUAL CERTIFICATION

The **Annual Certification** tab displays all annual certifications awaiting your approval. Use **Filter forms** to view annual certifications with activities, no activities, and that are approved.

Fiscal Year: < 2018 - 2019 > REVIEW/APPROVAL ANNUAL CERTIFICATIONS CAT I & REQUEST TH STATUS NOTIFICATIONS

Search by UID, name or department code:

FACULTY: ANNUAL CERTIFICATIONS Filter forms: Pending Approval with No Activities Pending Approval with Activities Approved

Export current data

Show 10 entries

UID	Faculty	Signed Date	# Activities	Total Hours	Total Earnings	Due To Plan	Actions
apm671, UCD Faculty		08/15/2018	2	0.50	100.00	0.00	Annual Certification Dept Reviewer

2 UC OATS ROLES AND WORKFLOW

2.1 UC OATS Roles

FACULTY ROLE

In UC OATS faculty, deans, and faculty administrators,

- Report and manage outside professional activities
- Submit and view the status of conflict of commitment forms
- Track time spent on outside professional activities
- Track earnings (Heath Science Compensation Plan participants)
- Complete annual certification

REVIEWER ROLE

In UC OATS reviewers,

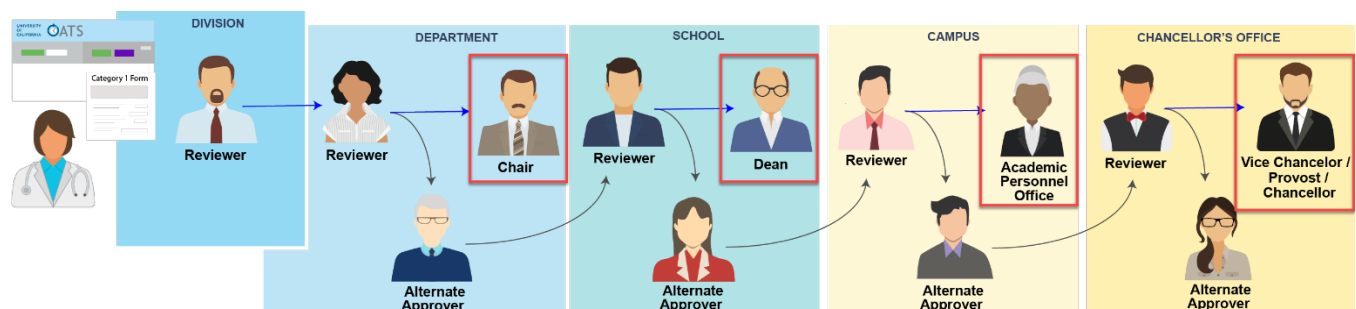
- Review conflict of commitment forms
- Review annual certification reports
- Report earnings paid to the Plan by APM 671 Health Science Compensation Plan participants
- Assign alternate approvers when there is a conflict of interest between the faculty member and approver
- Change faculty status in UC OATS to “not in good standing” and “leave without pay” (only for reviewers assigned the faculty status role)
- Override the faculty’s earning threshold and / or time threshold (only for reviewers assigned the faculty status role)
- Process stock valuations (only for reviewers assigned the stock valuation role)

APPROVER ROLE

In UC OATS approvers,

- Review and approve conflict of commitment forms
- Review and approve annual certification reports

2.2 UC OATS Workflow



The workflow for your campus may vary based on the university’s structure. The following is a basic overview of the review and approval process.

Scenario: Faculty member *Dr. Liang* wants to teach a semester outside the university.

- Faculty:** Dr. Liang enters a new activity “Teaching outside the University” in UC OATS. The system determines the new activity is category I, so it triggers a Category I form. Dr. Liang fills out the form and submits it.

Activity Label	Org. Type	Org. Name	Activity Types / Roles	Current Hrs / Earnings	Start Date	End Date	Student Involvement	Actions	Form
Teaching at USC Spring 2019	Non Profit	USC	Teaching outside the University (Cat. 1)	0.00 hr/ 0.00	01/07/2019	04/26/2019	No	Edit Activity Delete Report Earnings / Effort	Cat. I Approval Dept Reviewer

- Division Reviewer:** Ted, the Division Reviewer sees Dr. Liang’s request in his UC OATS workspace. He reviews the Category I form for accuracy and details. All required information is on the form, so he marks the form as “Reviewed”.

Category I

FORM DETAILS **NOTES**

Activity Label: Teaching at USC Spring 2019

Organization Sector: Non Profit

Organization Name: USC

Start Date: 01/07/2019

Student Involvement: No

Organization Type: For Profit

Activity Type(s)/Role(s): Teaching outside the University (Cat. 1)

End Date: 04/26/2019

Name: apm671, UCD Faculty **Faculty Title:**

Dept: 1561 MEDICINE-NEPHROLOGY (UCD) **School:** Medicine

Type of Category I Activity in which you will be involved: Teaching outside the University

Organization name: USC **General description of the business / agency / organization / group / individual:** I am teaching a class during the Spring Semester

Please list the web address of the company:

Nature of your relationship to entity named above (check all that apply): *

Board Member Consultant (1099)
 Equity/Royalty Interest Founder/Co-Founder
 Owner Salaried Employee (W-2)
 Stockholder/Partnership Interest Other

If Other, please explain:

Description of the nature of your participation in this activity, including, if you wish, possible beneficial outcomes to areas of research, industry, and public service: * I am teaching a class during the Spring Semester

Start date for which you are seeking approval: 2019-01-07 Fiscal Year: 2019 **Last date for which you are seeking approval:** 2019-04-26 Fiscal Year: 2019

Please note approvals are granted generally for one Academic/Fiscal Year but may be granted for a longer term, up to three years.

Estimated number of hours of involvement during a Fiscal Year appointment: * 80

APM 671 requests: Please note approval to engage in this activity does not include approval to exceed the time/earnings threshold, nor to retain earnings above the threshold. If this activity, either alone or in combination with other outside professional activities during the fiscal year causes you to exceed the time or earnings thresholds, you must submit a separate approval request (see Request to Exceed Time and/or Earnings Thresholds).

Signed on behalf of faculty: apm671, UCD Faculty (ucd_fac_apm671@ctrl.ucla.edu) 2018/08/17

Action: * Reviewed Send Back To Faculty

Appoint Alternate Approver(s) [What is this?](#) [Add Alternate Approver](#)

No data available in table

Historical Actions

08/17/2018 09:39:15 am	Submit	UCD Faculty apm671 (ucd_fac_apm671@ctrl.ucla.edu)
------------------------	--------	---------------------------------------------------

[Submit Action](#) [Print](#) [Close](#)

3. **Department Reviewer:** Jan, the Department Reviewer checks over Dr. Liang’s request and marks it as “Reviewed”.

Signed on behalf of faculty: apm671, UCD Faculty (ucd_fac_apm671@ctrl.ucla.edu) 2018/08/14

Action: * Reviewed
 Send Back To Faculty

Submit Action Print Close

4. **Approver:** Dr. John, the Department Chair receives Dr. Liang’s request in UC OATS. He reviews and approves the form.

Signed on behalf of faculty: apm671, UCD Faculty (ucd_fac_apm671@ctrl.ucla.edu) 2018/09/27

Action:* Approved
 Send Back To Faculty
 Send Back To Reviewer

Submit Action Print Close

5. The form will continue through the review process until it has been approved by the Vice Chancellor/Provost/ Chancellor. Once approved, Dr. Liang will be permitted to begin engaging in the activity.

3 REVIEWING PRIOR APPROVAL FORMS

3.1 How to Review Category I Prior Approval Forms

The screenshot shows the UCATS interface. At the top left, the University of California logo is visible. The main header includes 'UNIVERSITY OF CALIFORNIA' and 'UCATS'. A navigation bar contains 'Fiscal Year: 2017 - 2018', 'REVIEW/APPROVAL' (highlighted with a red box and callout 2), 'ANNUAL CERTIFICATIONS', 'CAT I & REQUEST TH STATUS', and 'NOTIFICATIONS'. Below the navigation bar, there are filters for 'Filter by date: From: To: Clear' and tabs for 'APPROVAL PENDING' (highlighted with a red box and callout 1), 'COMPLETED FORMS', and 'ALL ACTIVITIES'. The main content area shows a table of activities under the heading 'ACTIVITIES: APPROVAL PENDING'. The table has columns for 'Request Approval Type', 'Faculty', 'Activity Types / Roles', 'Details', 'Submission Date', and 'Actions'. Two rows of activities are shown, both for 'Category I' and 'Research outside the University (Cat. 1)'. The 'Actions' column for each row contains a 'Category I Dept Approver' button (highlighted with a red box and callout 3). A 'Show 2 entries' dropdown is also visible.

To approve a Category I form do the following:

- (1) Verify you are viewing the correct fiscal year.
- (2) Verify you are on the **Review/Approval** page and **Approval Pending** tab.
- (3) Locate the faculty member you would like to review and then click the **Category I** form.

The screenshot shows the 'Category I' form details page. The page has a 'FORM DETAILS' tab and a 'NOTES' tab (highlighted with a red box and callout 5). The form contains several sections: 'Activity Label: Teaching at Yale', 'Organization Type: For Profit', 'Activity Type(s)/Role(s): Teaching outside the University (Cat. 1)', 'End Date: 06/30/2019', 'Student Involvement: No', 'Organization Name: Yale', 'Start Date: 01/01/2019', 'Name: apm025, UCD Faculty', 'Faculty Title:', 'Dept: 1561 MEDICINE-NEPHROLOGY (UCD)', 'School: Medicine', 'Type of Category I Activity in which you will be involved: Teaching outside the University', 'Organization name: Yale', 'General description of the business / agency / organization / group / individual: * East Coast University', 'Please list the web address of the company:', and 'Nature of your relationship to entity named above (check all that apply): *'. There are several checkboxes for relationship types: 'Board Member', 'Consultant (1099)', 'Equity/Royalty Interest', 'Founder/Co-Founder', 'Owner', 'Salaried Employee (W-2)', 'Stockholder/Partnership Interest', and 'Other'. The 'Salaried Employee (W-2)' checkbox is checked. A red callout 4 points to the 'Type of Category I Activity' field.

- (4) Verify the form contains all necessary information such as,
 - o Detailed description of the business
 - o Description of the nature of the faculty member's relationship to the business
 - o Detailed description of the nature of the faculty member's participation in the activity and possible beneficial outcomes
 - o Verify the faculty member selected the right activity type(s)
- (5) Check the **Notes** tab for messages and attachments related to the request.

Signed on behalf of faculty: apm240-025, UCD Faculty (ucd_fac_apm240-025@ctrl.ucla.edu) 2018/05/16

Action:* Approved Send Back To Faculty Send Back To Reviewer **6**

Appoint Alternate Approver(s)

No data available in table

Historical Actions

05/16/2018 12:37:27 pm	Submit	UCD Faculty apm240-025 (ucd_fac_apm240-025@ctrl.ucla.edu)
05/30/2018 10:29:31 am	Reviewed	UCD Reviewer2 All Levels (ucd_reviewer2@ctrl.ucla.edu)

7 [Submit Action](#) [Print](#) [Close](#)

(6) Select an action.

- **Approved:** Select this option to approve the request.
- **Send Back To Faculty:** Select this option if you would like to return the form to faculty member. In the space provided enter the reason why you are returning the form to the faculty member and who they should contact if they have questions about the feedback.
- **Send Back to Reviewer:** Select this option if you would like to return the form to reviewer. In the space provided enter the reason why you are returning the form to the reviewer and who they should contact if they have questions about the feedback.

(7) Click **Submit Action** to complete the approval process.

3.2 How to Approve Student Involvement Forms

The screenshot shows the 'UNIVERSITY OF CALIFORNIA ATs' portal. At the top, the fiscal year is set to '2017 - 2018' (1). The 'REVIEW/APPROVAL' tab is selected (2). Below, the 'APPROVAL PENDING' filter is active. A table lists activities, with one entry for 'Student Involvement' (1) having a 'Student Involvement Dept Approver' button (3).

To approve a Student Involvement form do the following,

- (1) Verify you are viewing the correct fiscal year.
- (2) Verify you are on the **Review/Approval** page and **Approval Pending** tab.
- (3) Click the Student Involvement form.

The screenshot shows the 'Student Involvement' form details. The 'NOTES' tab is selected (5). Below, a table lists student participation details (4).

Student Name	Type	Participation Description	Instructional/Supervisory/Evaluative Role?
Jane Doe	Graduate	Will be assisting with research	No
John Doe	Graduate	Will be assisting with research	No

- (4) When reviewing the Student Involvement form you may consider,
 - What year is the student?
 - How many hours will they be participating?
 - If they are going to work in a lab, is the lab OSHA approved?
 - Has the student completed all necessary safety training?
 - Is the faculty going to have a supervisory role? If yes, is there a possible conflict of interest?
- (5) Check the Notes tab for messages and attachments related to the request.

Action:
 Approved
 Send Back To Faculty
 Send Back To Reviewer

6

Appoint Alternate Approver(s)

No data available in table

Historical Actions

05/16/2018 02:14:49 pm	Submit	UCD Faculty apm025 (ucd_fac_apm025@ctrl.ucla.edu)
05/29/2018 11:55:40 am	Reviewed	UCD Reviewer All Levels (ucd_reviewer@ctrl.ucla.edu)

7

(6) Select an action.

- **Approved:** Select this option to approve the request.
- **Send Back To Faculty:** Select this option if you would like to return the form to faculty member. In the space provided enter the reason why you are returning the form to the faculty member and who they should contact if they have questions about the feedback.
- **Send Back to Reviewer:** Select this option if you would like to return the form to reviewer. In the space provided enter the reason why you are returning the form to the reviewer and who they should contact if they have questions about the feedback.

(7) Click **Submit Action** to complete the approval process.

3.3 How to Approve Over Time and/or Earnings Threshold Forms

Important Note

- This feature is not allowed at all UC campuses.

1
ATS

WELCOME, UCD APPROVER ALL LEVELS

Fiscal Year: < 2017 - 2018 >

REVIEW/APPROVAL

ANNUAL CERTIFICATIONS
CAT I & REQUEST TH STATUS
NOTIFICATIONS

Filter by date: From: To: Clear

APPROVAL PENDING

✓ COMPLETED FORMS
ALL ACTIVITIES

ACTIVITIES: APPROVAL PENDING

Export current data

Request Approval Type	Faculty	Activity Types / Roles	Details	Submission Date	Actions
0	apm025, UCD Faculty	Assuming an executive or managerial position outside of the University (Cat. 1) Employment outside the University (Cat. 1)	39.00 hrs over th. (Arts & Crafts book project)	05/16/2018	3 <div style="border: 1px solid red; padding: 2px 5px; background-color: #0070C0; color: white; display: inline-block;">Over Time TH Dept Approver</div>

To review an Over Time and/or Earnings Threshold form do the following,

- (1) Verify you are viewing the correct fiscal year.
- (2) Verify you are on the **Review/Approval** page and **Approval Pending** tab.
- (3) Locate the faculty member you would like to review and then click the **Over Time TH** or **Over Time & Earnings TH** form.

Please Review Activity: Arts & Crafts book project

FORM DETAILS NOTES **5**

Activity Label:	Arts & Crafts book project	Student Involvement:	Yes
Organization Sector:	Publishing	Organization Type:	For Profit
Organization Name:	Books Inc.	Activity Type(s)/Role(s):	Assuming an executive or managerial position outside of the University (Cat. 1) Employment outside the University (Cat. 1)
Start Date:	05/16/2018	End Date:	06/30/2018

Plan participant's name: UCD Faculty apm025

The total estimated number of hours to be devoted to this activity: **4** 225.00 hrs

The number of hours that are expected to exceed the threshold:* 39.00 hrs

Person or entity(ies) who will receive and/or pay for the service:

Activity Date: 5/16/2018 - 6/30/2018

Please note:

- You should not engage in this activity until you have received official notification that your request has been approved.
- Approval is for this specific activity only. Any subsequent activities require separate requests and approvals.
- If this activity is approved, it shall be undertaken with all related earnings accruing to the Plan.**
- If any of the information provided above changes (e.g., if the earnings estimate is understated), an amendment should be submitted.

Signed on behalf of faculty: apm025, UCD Faculty (ucd_fac_apm025@ctrl.ucla.edu) 2018/05/16

Action:* Approved **6**
 Send Back To Faculty
 Send Back To Reviewer

7 Submit Action Close

- (4) When reviewing the Over Time and/or Earnings Threshold request you may want to consider,
- Is the activity a one-time activity or is it reoccurring?
 - Is it possible that the activity may impact the faculty member's ability to fulfill their obligation to the university?
 - Does the faculty member need to take a leave of absence to participate in the activity?

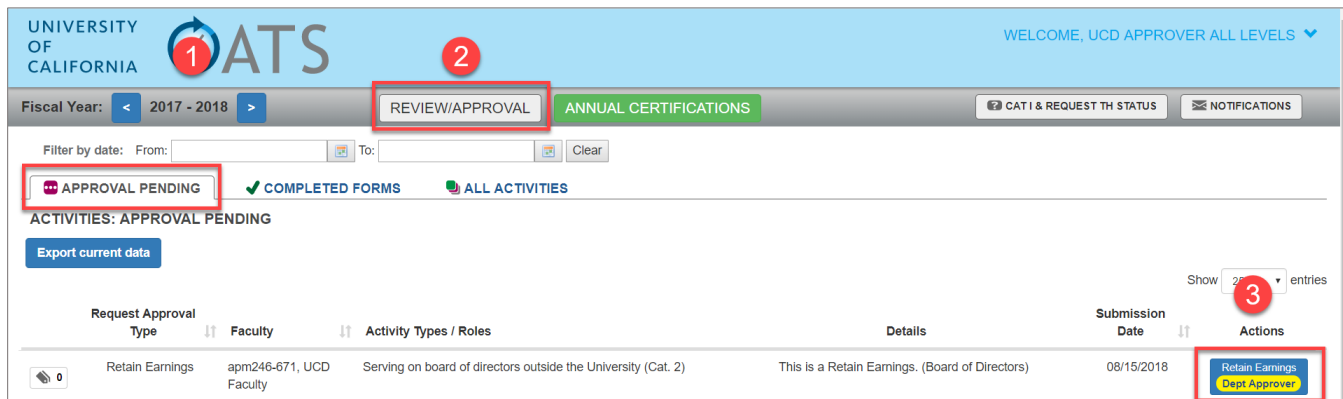
(5) Check the **Notes** tab for messages and attachments related to the request.

(6) Select an action.

- **Approved:** Select this option to approve the request.
- **Send Back To Faculty:** Select this option if you would like to return the form to faculty member. In the space provided enter the reason why you are returning the form to the faculty member and who they should contact if they have questions about the feedback.
- **Send Back to Reviewer:** Select this option if you would like to return the form to reviewer. In the space provided enter the reason why you are returning the form to the reviewer and who they should contact if they have questions about the feedback.

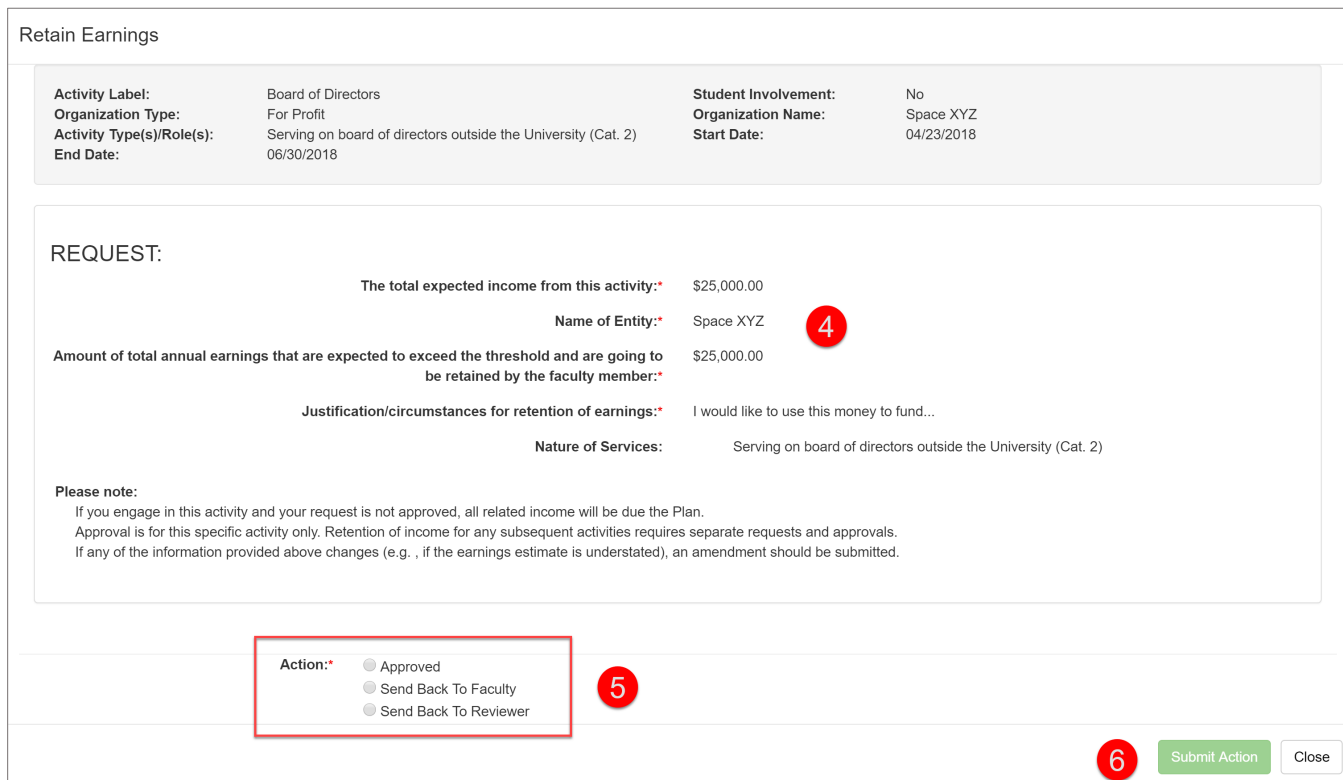
(7) Click **Submit Action** to complete the approval process.

3.4 How to Approve Retain Earnings Threshold Forms



To review a Retain Earnings Threshold form do the following,

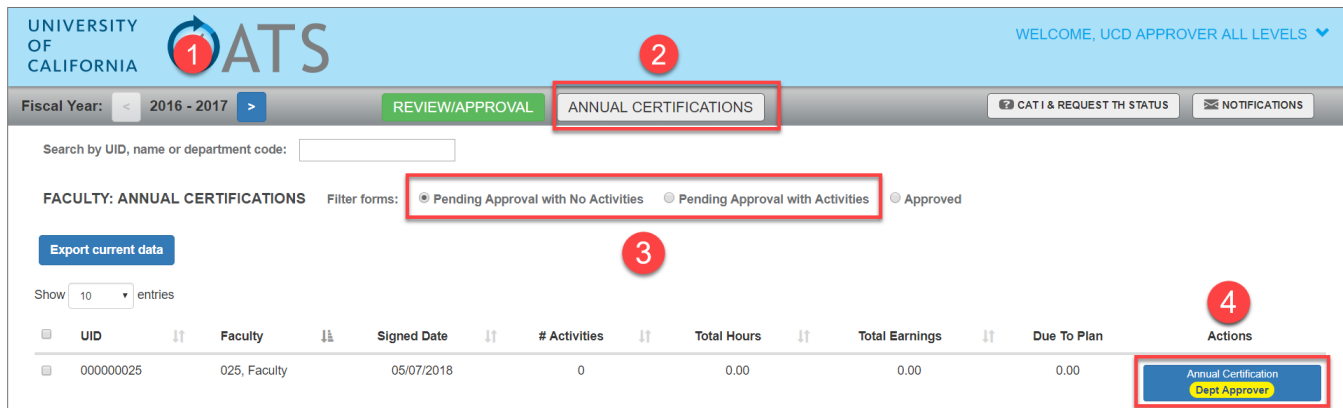
- (1) Verify you are viewing the correct fiscal year.
- (2) Verify you are on the **Review/Approval** page and **Approval Pending** tab.
- (3) Click the **Retain Earnings** form.



- (4) Review the explanation on the form and verify there is enough detail to make a decision.
- (5) Select an action.
 - **Approved:** Select this option to approve the request.
 - **Send Back To Faculty:** Select this option if you would like to return the form to faculty member. In the space provided enter the reason why you are returning the form to the faculty member and who they should contact if they have questions about the feedback.
 - **Send Back to Reviewer:** Select this option if you would like to return the form to reviewer. In the space provided enter the reason why you are returning the form to the reviewer and who they should contact if they have questions about the feedback.
- (6) Click **Submit Action** to complete the approval process.

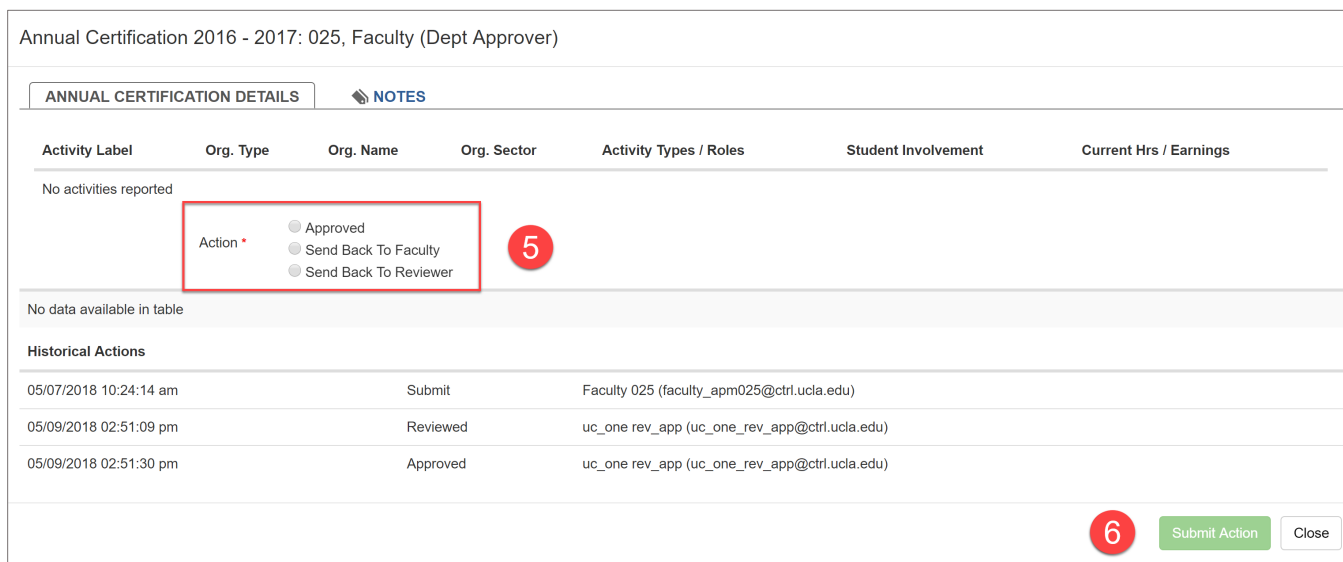
3.5 How to Approve Annual Certifications

An annual certification report is a consolidation of the faculty’s recorded activities in UC OATS for the fiscal year.



To review an Annual Certification form do the following,

- (1) Verify you are viewing the correct fiscal year,
- (2) Click the **Annual Certification button**.
- (3) Filter the forms by either “Pending Chair Approval with No activities” or “Pending Approval with Activities”.
- (4) Click on an **Annual Certification form**.



- (5) Review the form for accuracy, then select an action.
 - **Approved:** Select this option to approve the request.
 - **Send Back To Faculty:** Select this option if you would like to return the form to faculty member. In the space provided enter the reason why you are returning the form to the faculty member and who they should contact if they have questions about the feedback.
 - **Send Back to Reviewer:** Select this option if you would like to return the form to reviewer. In the space provided enter the reason why you are returning the form to the reviewer and who they should contact if they have questions about the feedback.
- (6) Click **Submit Action** to complete the approval process.

3.6 Bulk Annual Certifications

You may approve multiple annual certification requests at once for faculty who do not have activities to report.

The screenshot displays the 'ANNUAL CERTIFICATIONS' page in the University of California ATS system. The interface includes a search bar, a filter for 'Pending Approval with No Activities', and a table of certification requests. The table has columns for UID, Faculty, Signed Date, # Activities, Total Hours, Total Earnings, Due To Plan, and Actions. The 'Actions' column contains 'Annual Certification Dept Approver' buttons. A 'Sign rows that are checked' button is located at the bottom left of the table area.

<input checked="" type="checkbox"/>	UID	Faculty	Signed Date	# Activities	Total Hours	Total Earnings	Due To Plan	Actions
<input checked="" type="checkbox"/>	000000025	025, Faculty	05/07/2018	0	0.00	0.00	0.00	Annual Certification Dept Approver
<input checked="" type="checkbox"/>	423423423	025, Faculty	05/07/2018	0	0.00	0.00	0.00	Annual Certification Dept Approver

To bulk approve,

- (1) Verify you are viewing the correct fiscal year.
- (2) Select the **Annual Certification** page.
- (3) Filter the forms by **Pending Approval with No Activities**.
- (4) Select the checkbox above the list of annual certifications.
- (5) Select **Sign rows that are checked** to approve the selected annual certification requests.

4 Appendix A

4.1 General Terms

Day

A day is defined as 8 hours, unless they are podium hours. Podium hours equals 1.33 podium hours/ 1 normal hour.

4.2 Category I Terms

Administration of a grant outside the University

Refers to administration of a grant through an institution other than UC. Grants submitted on behalf of a professional society are exempt from this restriction; they are not considered a Category I activity.

Assuming an executive or managerial position outside of the University

Examples: CFO, CAO, COO, President, a leadership role. Not board membership or an advising role.

Assuming founding or co-founding role of a company

Refers to your activity as a founder or co-founder that requires significant professional commitment during the current reporting period.

Employment outside the University

Refers to establishing a relationship as a salaried employee outside of UC, i.e., individual receives an IRS W2 form for the purpose of tax reporting.

Teaching outside the University

Refers to any of the following: a sustained teaching assignment at a non-UC institution; teaching with an appointment and/or compensation at a non-UC institution. Teaching at a formally-affiliated UC site does not require prior approval.

Research outside the University

Refers to participation in research under the auspices (i.e. control/management/direction) of another institution as judged by such considerations as to whether the research occurs while in-residence at the other institution and the non-UC institution has claims on the resulting intellectual property or attribution.

4.3 Category II Terms

Add'l University-compensated teaching (CME & UNEX)

Refers to additional University-compensated teaching, including teaching for UNEX (University Extension) courses and programs (see APM - 662, Additional Compensation: Additional Teaching), other continuing health education programs run by the University, and self-supporting UC degree programs. These are teaching activities outside of the assigned teaching load. If the department assigns the teaching activity, it is not considered an outside activity. For example, campus sponsored executive education.

Consulting for non-profit health or education-related organization

If you are unsure, please contact the appropriate office on your campus for consultation.

Consulting for government agency

If you are unsure, please contact the appropriate office on your campus for consultation.

Consulting for non-profit entity

If you are unsure, please contact the appropriate office on your campus for consultation.

Consulting for for-profit entity

If you are unsure, please contact the appropriate office on your campus for consultation.

Consulting under the auspices of UC

If you are unsure, please contact the appropriate office on your campus for consultation.

Consulting or testifying as an expert or professional witness

If you are unsure, please contact the appropriate office on your campus for consultation.

Providing or presenting a workshop for industry

If you are unsure, please contact the appropriate office on your campus for consultation.

Providing outside consulting or compensated professional activities performed for entities such as the Los Alamos and Lawrence Livermore National Laboratories

Because of the nature of their relationship to the University, consulting specifically for the Board of Governors Science and Technology Committee of Los Alamos National Security, LLC and Lawrence Livermore National Security, LLC does not require disclosure in annual reporting or prior approval and does not count toward the faculty member's maximum of 39/48 days of outside professional activities.

Providing outside consulting services or referrals or engaging in professional practice as an individual or through a single-member professional corporation or sole proprietorship

Providing outside consulting services or referrals or engaging in professional practice as an individual or through a single-member professional corporation or sole proprietorship.

Serving on board of directors outside the University

Serving on a board of directors outside the University, whether compensated or uncompensated.

4.4 Category III Terms

Accepting honoraria for scholarly, intellectual, educational, outreach work within the course and scope of employment

If you are unsure, please contact appropriate office on your campus for consultation.

Attending and presenting talks at university/academic colloquia and conferences

If you are unsure, please contact the appropriate office on your campus for consultation.

Developing scholarly or creative works

If you are unsure, please contact the appropriate office on your campus for consultation.

Serving on government or professional panels or committees or as an officer or board member of a professional or scholarly society

If you are unsure, please contact the appropriate office on your campus for consultation.

Receiving prizes, defined as gifts in recognition of personal achievements and not for services rendered

If you are unsure, please contact appropriate office on your campus for consultation.

Reviewing manuscripts, acting in an editorial capacity

If you are unsure, please contact the appropriate office on your campus for consultation.