



Outside Activity Tracking System

APM-025 Faculty User Guide

UNIVERSITY
OF
CALIFORNIA 



Please begin by clicking the button below.

[Log in to OATS](#)

The UC-wide Outside Activity Tracking System (OATS) initiative and implementation will develop, deploy, and operationalize a multi-campus Conflict of Commitment system that facilitates the collection, review, approval, and reporting of faculty outside professional activities for the seven initial adopter campuses.

Policies

- APM-670, UC Health Sciences Compensation Plan
- APM-671, Conflict of Commitment and Outside Activities of Health Sciences Compensation Plan Participants
- APM-025, UC University Policy Regarding Academic Appointees
- APM-240, UC Appointment and Promotion, Deans
- APM-246, UC Appointment and Promotion, Faculty Administrators

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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 \(APM 246\)](#).

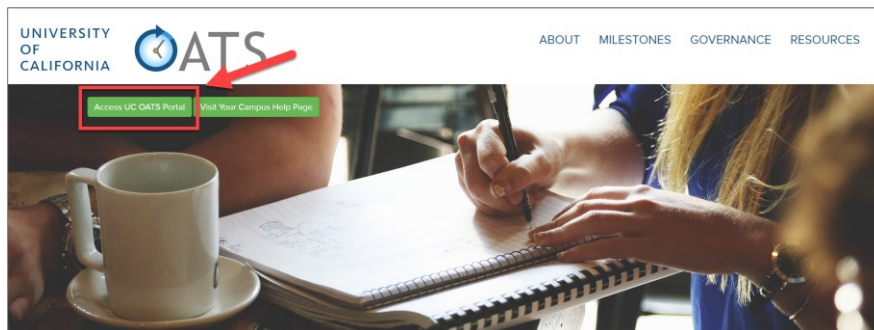
In UC OATS you can,

- Report and manage outside professional activities
- Submit and view the status of conflict of commitment forms
- Track time spent on outside professional activities
- Complete annual certification
- Comply with UCOP Conflict of Commitment policies

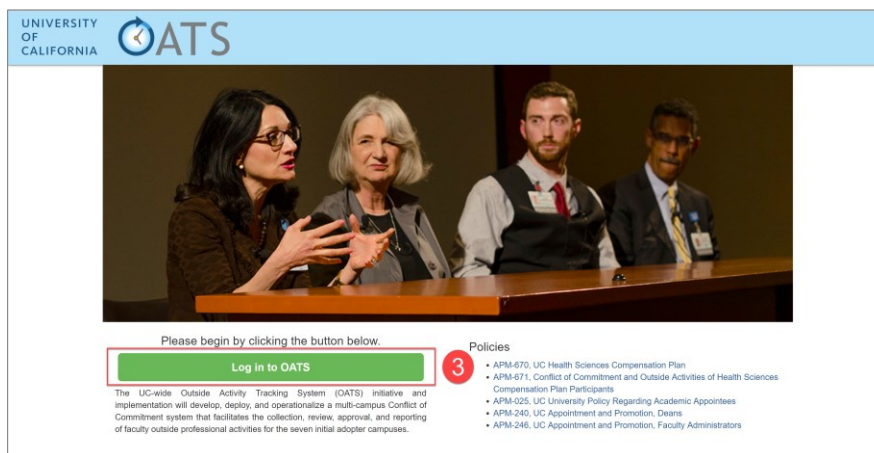
1.1 Logging into UC OATS

To log into UC OATS,

1. Open the <https://info.ucoats.org/pages/training>.
2. Click on the **Access UC OATS Portal** button to select your campus.



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



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

The screenshot shows the UC OATS workspace interface. At the top left, it says 'UNIVERSITY OF CALIFORNIA OATS'. On the top right, it says 'WELCOME, JANE ROBERTS'. Below the header, there are several sections:

- TIME (1):** A progress bar showing 200 hr in green and 120 hr in gold. Below it, a 'Time Threshold' section with a 'Summer Hours Info' button and text: '120 hr - allowed hours while drawing UC Salary.' and '↑ 200.00 hr'.
- Fiscal Year (2):** A dropdown menu showing '2018 - 2019' with forward and back arrows.
- ACTIONS (3):** Two buttons: 'Enter an Activity' (green) and 'Annual Certification' (purple).
- Status Legend (4):** A button labeled 'Status Legend'.
- Export current data (5):** A button labeled 'Export current data'.
- Activity Table (6):** A table with columns: Activity Label, Org. Type, Org. Name, Activity Types / Roles, Current Hrs, Start Date, End Date, Student Involvement, Actions, and Form. One row is visible: 'Books Inc Chapter editing' (For Profit, Books Inc, Employment outside the University (Cat. 1), 320.00 hr, 08/27/2018, 06/30/2019, No, Edit Activity, Report Effort, Cat I Approval: Dept Approver, Request to Exceed TH: Dept Reviews).
- Summary Table (7):** A table with columns: Actions, # of Hours Against Threshold, # of Reported Hours, Start Date, and End Date. It shows two rows of activity data.
- Form (8):** A button labeled 'Form'.
- Buttons (9):** 'Edit Effort' and 'Delete' buttons for each row in the summary table.

The following is an overview of the UC OATS workspace tailored to faculty who fall under the [UC policy APM 025](#). Refer to the corresponding numbers in the image above for detailed information. Note: Deans and Faculty Administrators refer to [Appendix A](#) for a detailed overview of your UC OATS workspace.

- (1) **Time Threshold Bar** – Total number of hours reported for all activities.
 - **Green** – the green filling indicates the total number of hours reported within the threshold
 - **Gold** – the gold filling indicates the total number of hours that exceed the threshold
 - **Summer Hours Info** – A new progress bar will appear once you have input your summer hours for the summer period. The length of the bar is calculated relative to how many hours you are drawing summer salary from the University. The “Summer Hours Info” button only appears at the beginning of the summer for that calendar year, and once salary-draw hours have been reported, it converts to an hours bar indicating the number of hours of Outside Professional Activity you are eligible for. The “Summer Hours Info” button is then converted to the blue “pencil” icon which is used as “edit” across the system.
- (2) **Fiscal Year** – The fiscal year of the current reporting period (e.g., 07/01/18--6/30/19). Click either the forward or back arrow to change the fiscal year.
- (3) **Actions**
 - **Enter an Activity** – Click the **Enter an Activity** button to report a new activity, additional forms may appear depending on the type of activity you select.
 - **Annual Certification** – The **Annual Certification** button will be made available towards the end of the fiscal year.
- (4) **Status Legend** – Explanation of form status and activity category types.

Categories & Request TH Information

Cat I & Request TH Status: What the Buttons Mean

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

Activities and Their Category Type Scroll to see more.

APM 025

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
- 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

The screenshot displays a table of activity records. The top row shows an activity labeled 'Books Inc Chapter editing' with 320.00 hours reported from 08/27/2018 to 06/30/2019. Below this is a table of 'Actions' for the activity, showing two entries: one for 300.00 hours against a threshold (from 08/27/2018 to 06/01/2019) and another for 20.00 hours (from 11/20/2018 to 12/11/2018). Each entry has 'Edit Effort' and 'Delete' buttons.

(5) **Export Current Data** – Click the **Export current data** button to download the current activity data into an Excel spreadsheet (.xlsx).

(6) **Reported Activities** - The following options appear once an activity has been reported.

- Expand Button – click to expand the activity record to view, edit, or delete reported effort
- Collapse Button – click to hide the activity record
- Notes Button – click to view, add notes and/or attachments to the activity for reviewer(s) and approver(s). Reviewers and approvers can also add notes for you and other reviewers and approvers. **Important note:** there is no delete option and all notes and attachments are visible to anyone who has access to the record in a reviewer/approver’s queue. You can also attach relevant files such as consulting or compensation agreement. However, attaching it here does not mean that it has been reviewed or approved by relevant campus officials for either legal or university policy compliance.

The 'New Activity Note' form contains a text area for the message, an attachment section with a 'Choose File' button, and a disclaimer: 'Disclaimer: The attachment here of a consulting or compensation agreement document does not imply or ensure that this document has been reviewed or approved by relevant campus officials for either legal or university policy compliance.' The form has 'Add Note' and 'Close' buttons at the bottom right.

(7) **Actions** – the list of available actions for each activity.

- Edit Activity – you can update the Activity Label, Type, Organization Name, and you can add a student to your activity
- Report Effort – Add effort to the listed activity
- Delete – Removes the selected activity. This option is only available when there are no reported effort on the activity.

The 'Edit Label/Organization/Intellectual Property Info' form has three input fields: 'Activity Label' (containing 'Books Inc Chapter editing'), 'Type' (a dropdown menu set to 'For Profit'), and 'Organization Name' (containing 'Books Inc'). It includes 'Edit' and 'Close' buttons at the bottom right.

(8) **Forms** – Forms that have been submitted for review and pre-approval. The current status of the form will be highlighted yellow or white (form is read-only). Click the form to view or print.

(9) **Effort Actions** - Available actions for reported effort

- Edit Effort – Update the effort details such as number of hours, add notes, or change the start and end dates.
- Delete – Removes the selected effort detail

2 USING THE SYSTEM

2.1 Outside Professional Activity Categories

There are three category of activities in UC OATS, category I, category II, and category III. When a new activity is reported in UC OATS the system will automatically determine the category level and populate the required forms (if necessary).

Category I activities require prior approval because they are most likely to create a conflict of commitment.

- Category I activities must be reported in UC OATS and receive approval before the faculty member may begin to engage in the activity.
- Category I activities count towards the faculty member's maximum outside professional activities time threshold.

Category II activities are typically shorter-term activities that have lesser potential for conflict of commitment. These activities do not require prior approval unless a student is involved in the activity.

- Category II activities must be reported in UC OATS, but prior approval is not required unless there is student involvement.
- Category II activities count towards the faculty member's maximum outside professional activities time threshold.

Category III activities are within the course and scope of University employment. As such, they are less likely to raise conflict of commitment issues, so they do not require prior approval unless you are involving a student.

- Category III activities do not require disclosure in annual reporting and do not require prior approval unless there is student involvement. Category III activities do not count towards the faculty member's maximum outside professional activities time threshold.

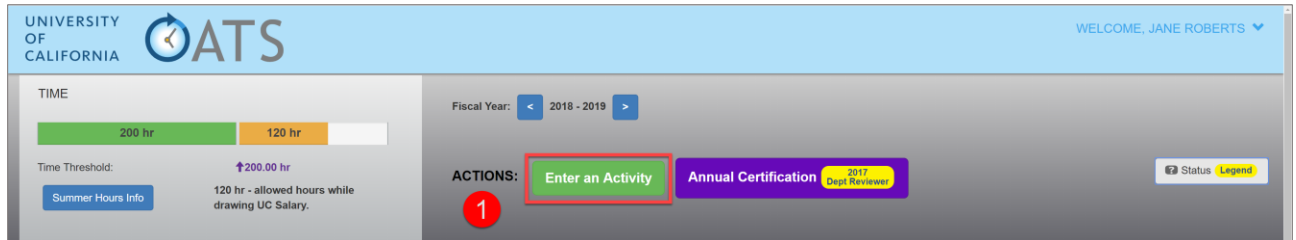
Review the [APM-025 policy](#) for specifics regarding category levels.

2.2 Entering an Outside Professional Activity

Before you engage in an outside professional activity, you will need to report it in UC OATS. Based on the information you provide, UC OATS will automatically determine the category level of the activity and if prior approval is required. Prior approval is required for Category I activities and for any activities involving a student.

To report a new activity,

- (1) Click on the **Enter an Activity** button.



- (2) Complete the activity form.

The 'Enter an Activity' form contains the following fields and elements:

- Organization Name:** A text input field.
- Type:** A dropdown menu with the text '-- Select One --'.
- Start Date:** A date picker set to 2018-10-11.
- End Date:** A date picker set to 2019-06-30.
- Activity Type(s) / Role(s):** A list of 20 checkboxes for various activity categories, such as 'Accepting honoraria for scholarly, intellectual, educational, outreach work within the course and scope of employment'.
- Student Involvement:** A section with a question: 'Are you involving a student(s) (e.g., Undergraduate, Graduate, and/or Professional Degree Students) from your campus in this activity?' with 'Yes' and 'No' radio buttons.
- Name this Activity:** A text input field.
- Buttons:** 'Tutorial On', 'Enter', and 'Close'.

Red circles labeled a through f highlight the following elements:

- a:** Organization Name field
- b:** Activity Type(s) / Role(s) list
- c:** Student Involvement question
- d:** Name this Activity field
- e:** Tutorial On button
- f:** Enter button

(a) Enter an Activity

- **Organization Name** – Enter the name of the organization with no abbreviations. e.g. “AHA” should be “American Heart Association”
- **Type** – Indicate if the organization is for-profit or non-profit.
- **Start / End Date** - Enter the start and end date of the activity. Note: the dates must fall within the fiscal year, July 1 – June 30th. (On the prior approval form, you have the ability to request approval for activities that go beyond the fiscal year. Approvals are generally for one fiscal year but may be granted for a longer term depending on your campus, not to exceed five years.)

(b) **Activity Type(s) / Role(s)** – Select the type of activity(s) you plan to participate in UC OATS will automatically determine if an activity is Category I, II or III and if prior approval is needed. Note - Category III activities only need to be recorded when there is student involvement.

On the prior approval form, you have the ability to request approval for activities that go beyond the fiscal year. Approvals are generally for one fiscal year but may be granted for a longer term, not to exceed five years. UC OATS will automatically create an activity record for subsequent years if it gets approved.

(c) **Student Involvement** – Indicate if you will involve a student in the activity. Student involvement in an activity requires prior-approval for category I, II, and III. Involvement of students means any substantive activity in which the student participates, whether the student is compensated or uncompensated.

(d) **Name this Activity** – Enter a descriptive activity label. The activity label helps you keep track of your activities. e.g. “Presentation: Genomics for Dummies”.

(e) **Tutorial Off / On** – The tutorial text contains helpful details and may be accessed by hovering over the content on the forms, when available. Tutorial text is turned on automatically. When the button is “Tutorial On”, that means the tutorial text is on. Click the tutorial button to turn the text off or on.

(f) **Enter** – Click **Enter** to submit the activity. If the activity requires prior-approval, an additional form will appear. Once the form(s) is completed, it will be routed to the appropriate reviewer(s) and approver(s).

2.3 Edit an Activity

Export current data

Activity Label	Org. Type	Org. Name	Activity Types / Roles	Current Hrs	Start Date	End Date	Student Involvement	Actions	Form
Books Inc Chapter editing	For Profit	Books Inc	Employment outside the University (Cat. 1)	320.00 hr	08/27/2018	08/30/2019	No	Edit Activity Report Effort	Cat 1 Approval: Dept Approver Request to Exceed TH: Dept Reviewer

Actions	# of Hours Against Threshold	# of Reported Hours	Start Date	End Date
Edit Effort Delete	300.00	300.00	08/27/2018	08/01/2019
Edit Effort Delete	20.00	20.00	11/20/2018	12/11/2018

To make a change to an activity,

- (1) Click the **Edit Activity** button.
- (2) Select an option and make the necessary changes.
 - The only change you cannot make is to the activity type. The activity type determines the category level, therefore, it cannot be changed. If you need to change the category type, delete the activity and create a new one with the correct category.

Edit Activity: Books Inc Chapter editing

What would you like to do?

I want to change Activity Label, Organization Type/Sector/Name, and/or Intellectual Property.

I am involving student(s) (e.g. undergraduates, GSRs, professional students- MD, MBA, JD, etc.) in this activity.

I need to make a change to the Activity Type/Role.

[Next](#) [Close](#)

To update the activity type, enter a description of the change you would like to make. The reviewer will be notified and will provide you with further guidance.

Edit Activity Type Role

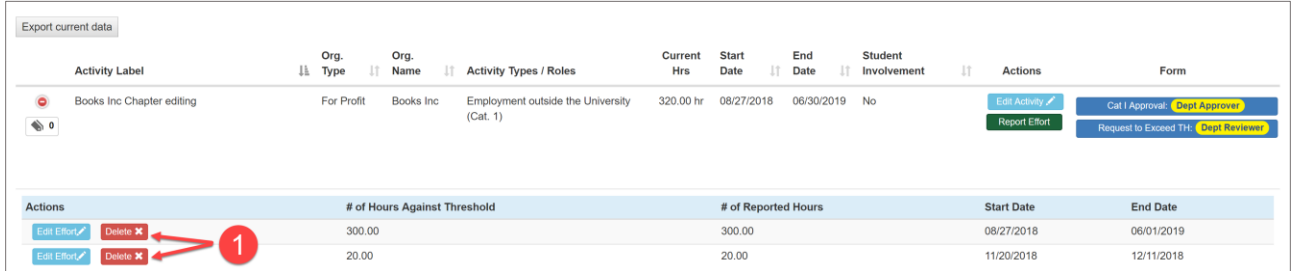
If you would like to change the Activity Type/Role, please describe the change you would like to make below. Your department reviewer will provide guidance. *

[Tutorial Off](#) [Notify](#) [Close](#)

2.4 Delete an Activity

To delete an activity,

(1) First, delete all effort from the activity, if applicable.



Export current data

Activity Label	Org. Type	Org. Name	Activity Types / Roles	Current Hrs	Start Date	End Date	Student Involvement	Actions	Form
Books Inc Chapter editing	For Profit	Books Inc	Employment outside the University (Cat. 1)	320.00 hr	08/27/2018	06/30/2019	No	Edit Activity Report Effort	Cat. 1 Approval: Dept Approver Request to Exceed TH: Dept Reviewer

Actions	# of Hours Against Threshold	# of Reported Hours	Start Date	End Date
Edit Effort Delete	300.00	300.00	08/27/2018	06/01/2019
Edit Effort Delete	20.00	20.00	11/20/2018	12/11/2018

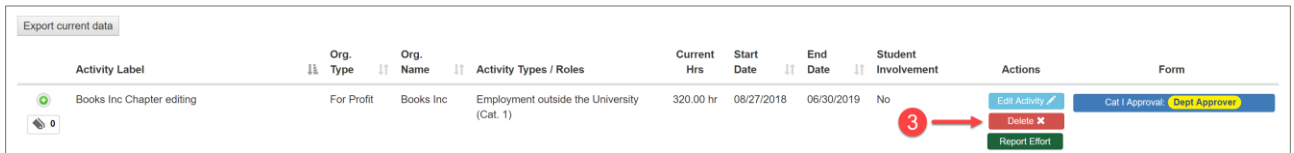
(2) Click **Delete** on the disclaimer to confirm. (repeat steps 1 and 2 until all efforts have been removed)

Delete Effort for Activity: Books Inc Chapter editing

ALERT: This action cannot be undone. Are you sure you wish to delete this record of earnings/effort?

[Tutorial On](#) Record ID: 17551 [Delete](#) [Close](#)

(3) Once all effort have been removed, the **Delete** button will become available. Click the **Delete** button.



Export current data

Activity Label	Org. Type	Org. Name	Activity Types / Roles	Current Hrs	Start Date	End Date	Student Involvement	Actions	Form
Books Inc Chapter editing	For Profit	Books Inc	Employment outside the University (Cat. 1)	320.00 hr	08/27/2018	06/30/2019	No	Edit Activity Delete Report Effort	Cat. 1 Approval: Dept Approver

(4) Click **Delete** on the disclaimer to confirm.

Delete Activity: Books Inc Chapter

ALERT: You are about to delete the activity.

This action cannot be undone, are you sure that you wish to delete this activity?

[Tutorial On](#) [Delete](#) [Close](#)

2.5 Report Effort

Once you receive approval (if necessary), you may begin engaging in the activity. To report effort,

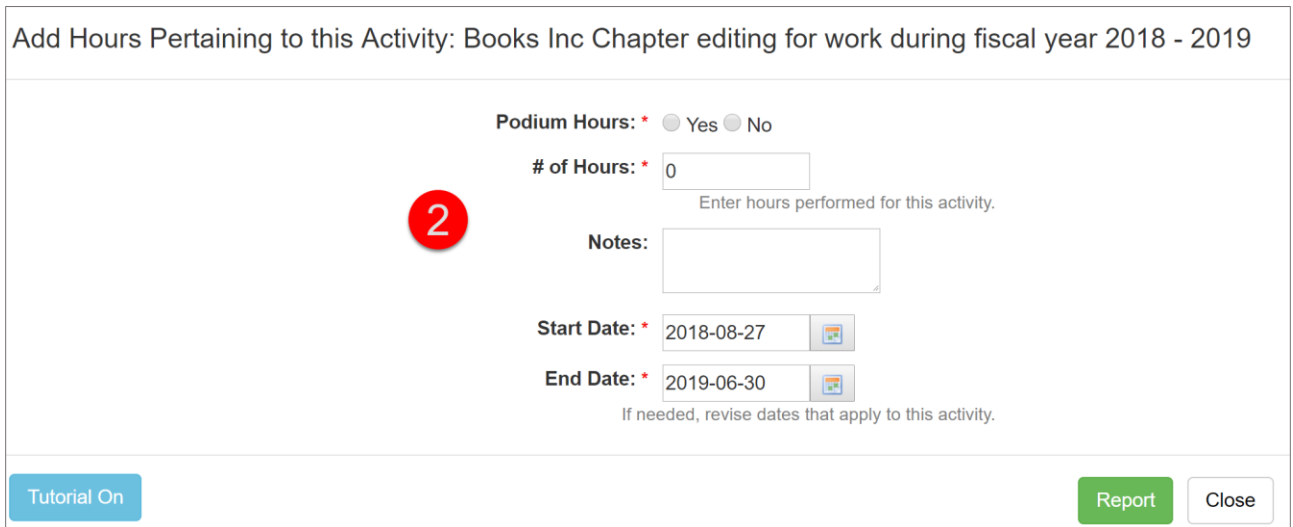
(1) Locate the activity and click the **Report Effort** button.



The screenshot shows a table with columns: Activity Label, Org. Type, Org. Name, Activity Types / Roles, Current Hrs, Start Date, End Date, Student Involvement, Actions, and Form. The first row contains the activity 'Books Inc Chapter editing'. In the Actions column, the 'Report Effort' button is highlighted with a red box and a red circle with the number 1.

Activity Label	Org. Type	Org. Name	Activity Types / Roles	Current Hrs	Start Date	End Date	Student Involvement	Actions	Form
Books Inc Chapter editing	For Profit	Books Inc	Employment outside the University (Cat. 1)	320.00 hr	08/27/2018	06/30/2019	No	Edit Activity Delete Report Effort	Cal Approval Dept Approver

(2) Complete the form and then click **Report**.




The form is titled 'Add Hours Pertaining to this Activity: Books Inc Chapter editing for work during fiscal year 2018 - 2019'. It contains the following fields:

- Podium Hours:** * Yes No
- # of Hours:** * Enter hours performed for this activity.
- Notes:**
- Start Date:** *
- End Date:** * If needed, revise dates that apply to this activity.

At the bottom, there is a 'Tutorial On' button, a green 'Report' button, and a 'Close' button. A red circle with the number 2 is placed over the '# of Hours' field.

- **Podium Hours** – Select yes if you participated in a traditional or hybrid in-person instruction (lecture, discussion) with students. Podium hours equals 1.33/ 1 normal hour
- **# of Hours** – Enter the total number of hours you performed for the activity
- **Notes** – You may enter notes for the approver to review
- **Start & End Date** – Select the start and end date of the period in which the effort occurred

Note: You may view the reported effort by clicking the activity  expand button.




The screenshot shows the same table as in step 1. The expand button (a green circle with a plus sign) next to the 'Books Inc Chapter editing' activity is highlighted with a red circle and a red arrow.

Activity Label	Org. Type	Org. Name	Activity Types / Roles	Current Hrs	Start Date	End Date	Student Involvement	Actions	Form
Books Inc Chapter editing	For Profit	Books Inc	Employment outside the University (Cat. 1)	320.00 hr	08/27/2018	06/30/2019	No	Edit Activity Delete Report Effort	Cal Approval Dept Approver

2.6 Edit or Delete Effort

To edit or delete a reported effort,

(1) Click the  expand button.


Export current data									
Activity Label	Org. Type	Org. Name	Activity Types / Roles	Current Hrs	Start Date	End Date	Student Involvement	Actions	Form
 Books Inc Chapter editing	For Profit	Books Inc	Employment outside the University (Cat. 1)	320.00 hr	08/27/2018	06/30/2019	No	Edit Activity Report Effort	Cat 1 Approval: Dept Approver


a. To edit the effort, click the **Edit Effort**.

Actions	# of Hours Against Threshold	# of Reported Hours	Start Date	End Date
 	300.00	300.00	08/27/2018	06/01/2019
 	20.00	20.00	11/20/2018	12/11/2018

b. To delete effort click **Delete**.

Actions	# of Hours Against Threshold	# of Reported Hours	Start Date	End Date
 	300.00	300.00	08/27/2018	06/01/2019
 	20.00	20.00	11/20/2018	12/11/2018

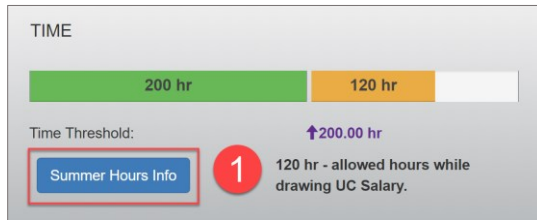
c. To hide the reported effort(s), click the  collapse button

Export current data									
Activity Label	Org. Type	Org. Name	Activity Types / Roles	Current Hrs	Start Date	End Date	Student Involvement	Actions	Form
 Books Inc Chapter editing	For Profit	Books Inc	Employment outside the University (Cat. 1)	320.00 hr	08/27/2018	06/30/2019	No	Edit Activity Report Effort	Cat 1 Approval: Dept Approver Request to Exceed TH: Dept Reviewer

2.7 Summer Hours

During summer months, the **Summer Hours Info** button will appear. If you plan on drawing UC salary over the summer term, do the following:

- (1) Click the **Summer Hours Info** button.



- (2) Indicate the number of days each month over the summer term that you will draw salary. The UC policies regarding conflict of commitment allow 8 hours of outside professional activity for each 1 week that you will receive salary during the summer. If your summer salary is coming in part from an external funding agency, please check with that agency regarding their of commitment policies.

Note: If you engage and report outside professional activities during the last two months of summer, your reported effort will get carried over and count against your summer allowance for the first two months of the following summer.

The screenshot shows a 'Summer Salary' form. At the top, it says 'Please indicate the number of days each month over the summer term that you will draw salary. The UC policies regarding conflict of commitment allow 8 hours of outside professional activity for each 1 week that you will receive salary during the summer. If your summer salary is coming in part from an external funding agency, please check with that agency regarding their of commitment policies'. Below this, there are two columns for 'Summer 2017' and 'Summer 2018'. Each column has input fields for 'June', 'July', 'August', and 'September' with 'days' labels. A red circle with the number '2' is positioned over the 'June' input field for Summer 2018. At the bottom right, there is a blue button labeled 'Update Summer Salary' and a red circle with the number '3' is positioned over it. At the bottom left, there is a text box for 'Summer' with '0 hr' and a red circle with the number '4' is positioned over it.

- (3) Click the **Update Summer Salary** button.

The summer time threshold bar will appear with the total number of available summer hours based on the number of weeks you indicated. Please consult the [APM- 025 policy](#) to understand your obligations to the university while engaging in outside professional activities during the summer period.

- (4) Click the edit icon to update the number of summer weeks.

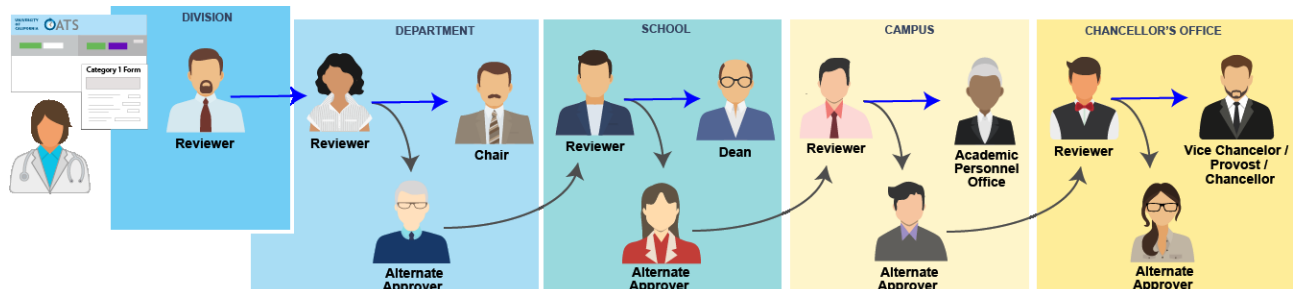


3 PRIOR-APPROVAL FORMS

3.1 Prior Approval Workflow

The required prior approval workflow, unit names, and approvers may vary based on campus structure. The following is an example of the approval workflow.

Category I and Exceed Time Threshold Approval Workflow



Student Involvement and Annual Certification Approval Workflow



Workflow Example

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 activity is category I and populates a Category I form. Dr. Liang fills out the form and submits it.

Activity Label	Org. Type	Org. Name	Activity Types / Roles	Current Hrs	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	01/07/2019	04/26/2019	No	Edit Activity Delete Report Effort	Cat I Approval: Dept Reviewed

- 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”.
- Department Reviewer:** Jan, the Department Reviewer, checks over Dr. Liang’s request and marks it as “Reviewed”.
- Approver:** Dr. John, the Department Chair, receives Dr. Liang’s request in UC OATS. He reviews and approves the form.

The form will continue through the review process until it is approved by the Vice Chancellor/ Provost/ Chancellor, at which point Dr. Liang will be permitted to begin engaging in the activity.

3.2 Category I Form

The **Prior Approval Form for Outside Activities (Category 1)** will appear automatically if your reported activity is category I.

Prior Approval Form for Outside Activities (Category 1)

FORM DETAILS **NOTES** 2

Activity Label: Teaching Engagement at University of Southern California
Organization Type: Non Profit
Activity Type(s)/Role(s): Teaching outside the University (Cat. 1)
End Date: 12/21/2018

Student Involvement: Yes
Organization Name: USC
Start Date: 09/07/2018

Name: apm025, UCLA Faculty
Faculty Title:
Dept: 1563 MEDICINE-RHEUMATOLOGY (UCLA)
School: Medicine
Type of Category I Activity in which you will be involved: Teaching outside the University

Organization name: USC 1
General description of the business / agency / organization / group / individual: *

Please list the web address of the company:

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

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

Start date for which you are seeking approval: Fiscal Year: 2019
Last date for which you are seeking approval: Fiscal Year:

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: *

Will you be requesting a full- or part-time leave without pay to engage in this activity? * Yes No

APM 025 requests: Please note approval to engage in this activity does not convey approval to exceed the policy time limits. This activity, either alone or in combination with other professional activities during the fiscal year, should not exceed the time limits.

Signed on behalf of faculty: Roberts, Jane (ucla_fac_apm025@ctrl.ucla.edu) 2018/09/07

Historical Actions
N/A

Add Activity Note

Message File Author Actions

No data available in table

Showing 0 to 0 of 0 entries

Tutorial On 3 Request Approval Print Close

To complete the form, do the following:

- (1) Fill out the **Prior Approval Form for Outside Activities (Category 1)** form
- (2) Click the **NOTES** tab to add or review notes and/or documentation.
- (3) Click **Request Approval** or click the **Close** button to close the form without saving. You may return to the form at a later time to complete it.
- (4) The form will be routed to the appropriate reviewer(s) and approver(s).

3.3 Student Involvement Form

The **Student Involvement Form** will automatically appear if you indicated you will be involving a student in your reported activity. Involvement of students in the outside professional activities may, under certain conditions, offer the student potential educational benefits. However, the relationship between the faculty member and the student must be protected from influences or activities that could interfere with the student's learning and must be consistent with the goals and ideals of the University (The Faculty Code of Conduct, APM - 015). A faculty member involving a student in outside activities has the responsibility to ensure that the student's participation does not interfere with the student's academic obligations. ([APM - 025-8-d](#)).

The screenshot shows the 'Student Involvement Form' interface. At the top, there are tabs for 'FORM DETAILS' and 'NOTES'. The form contains several sections:

- Activity Information:** Activity Label: Research at John Hopkins University; Organization Sector: John Hopkins University; Organization Name: John Hopkins University; Start Date: 09/19/2018; Student Involvement: No; Organization Type: Non Profit; Activity Type(s)/Role(s): Research outside the University (Cat. 1); End Date: 06/30/2019.
- Add students section:** Labeled 'Add students below one by one:'. It includes a text input for 'Name of student:*', a dropdown for 'Type of student:*', a text area for 'Description of the nature of the student's participation...', and radio buttons for 'Do you have or expect to have academic responsibility...?' (Yes/No).
- Table:** A table with columns: Student Name, Type, Participation Description, Instructional/Supervisory/Evaluative Role?, and Details. It currently shows 'No data available in table'.
- Buttons:** 'Add Student +' (highlighted with a red box and arrow), 'Export current data', 'Submit Form', 'Print', and 'Close'.

Numbered callouts in the image:

- 1:** Points to the 'Name of student:*' input field.
- 2:** Points to the 'Add Student +' button.
- 3:** Points to the 'NOTES' tab.
- 4:** Points to the 'Submit Form' button.

To complete the Student Involvement Form,

- (1) Fill out the required fields.

Type of Student

- Graduate academic degrees — These include academic doctoral, academic master's and professional doctoral degrees in the physical sciences, social sciences, arts, humanities and engineering/computer science.
- Graduate professional degrees — UC's professional degrees include professional master's and professional practice degrees in fields such as law, medicine, business, education, architecture, public policy and the arts. The graduate professional category includes professional master's degrees (e.g., M.B.A., M.Ed.) and professional practice degrees (e.g., J.D., M.D.).
- Professional practice degrees may also include those in Public Health, Social Welfare, Journalism, and Veterinary Medicine.

Do you have or expect to have academic responsibility (instructional, evaluative, or supervisory) for the student in their capacity as UC students?

- Are you on the student's thesis committee? Are you or do you expect to be the student's classroom instructor? Do you serve in any role where the student relies on you for feedback that will affect the student's academic career?

If appropriate, what protection will be put in place to ensure that the student continues to make adequate progress on degree work? How will the student be compensated?

- Typical mechanisms may involve assigning an alternate advisor or a co-advisor for the duration of the student(s) association with the outside activity (please include the name of the temporary alternate faculty advisor), or the identification and/or assignment of other avenues of guidance for the student should any conflicts arise. You may also use this field to describe any other circumstances regarding your supervision of the student at UC or at the activity site.
- (2) Click the **Add Student +** button to add the student to the form.
- (3) Click the **NOTES** tab to add additional details such as,
- What year is the student?
 - How many hours will they be participating?
 - If working in a lab, is the lab OSHA approved?
 - Has the student completed all necessary safety training?
 - Am I going to have a supervisory role? If yes, is there a possible conflict of interest?
- (4) Click **Submit Form** or click the **Close** button to close the form without saving. You may return to the form at a later time to complete it.
- (5) The form will be routed to the appropriate reviewer(s) and approver(s).

3.4 Exceed Time Threshold for Fiscal Year Requirement(s) Form

Important Note

- This feature may not be available at all UC campuses.

If you are involved in an activity that will exceed your time threshold the **Request to exceed time threshold for fiscal year** form will appear.

Request To Exceed Effort Threshold for Fiscal Year 2018 Activity: Teaching at USC Spring 2019

FORM DETAILS NOTES **2**

Activity Label:	Teaching at USC Spring 2019	Student Involvement:	No
Organization Sector:		Organization Type:	Non Profit
Organization Name:	USC	Activity Type(s)/Role(s):	Teaching outside the University (Cat. 1)
Start Date:	01/07/2019	End Date:	04/26/2019

Plan participant's name: UCLA Faculty apm025

The total estimated number of hours to be devoted to this activity: 20.00 hrs

The number of hours that are expected to exceed the threshold:* hrs **1**

The total expected earnings from this activity: \$ 0.00

The amount of total annual earnings that are expected to exceed the threshold:* \$ 0.00

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

Activity Date: 1/7/2019 - 4/26/2019

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: Roberts, Jane (ucla_fac_apm025@ctrl.ucla.edu) 2018/10/08

Historical Actions

Tutorial On **3** Request Approval Close

To complete the Request to Exceed Time Threshold for Fiscal Year,

- (1) Verify the information on the form is accurate.
- (2) Click the **NOTES** tab to add or review notes and/or documentation.
- (3) Click **Submit Form** or click the **Close** button to close the form without saving. You may return to the form at a later time to complete it.
- (4) The form will be routed to the appropriate reviewer(s) and approver(s).

4 ANNUAL CERTIFICATION

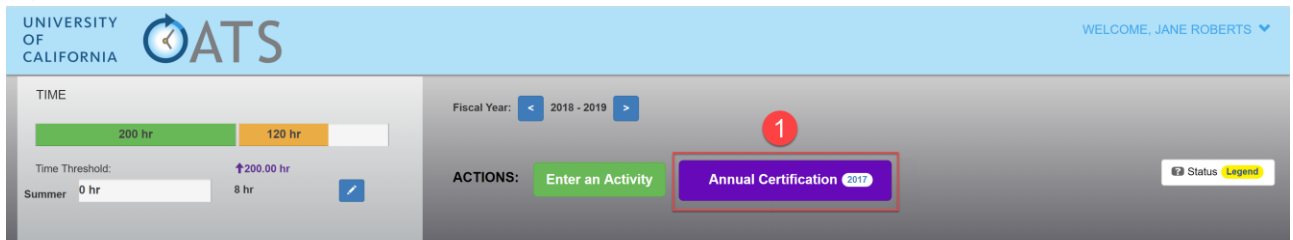
As a faculty member you are required to file certification of adherence to the policy each fiscal year, even if you did not engage in any outside professional activities during the year.

4.1 How to Complete Annual Certification

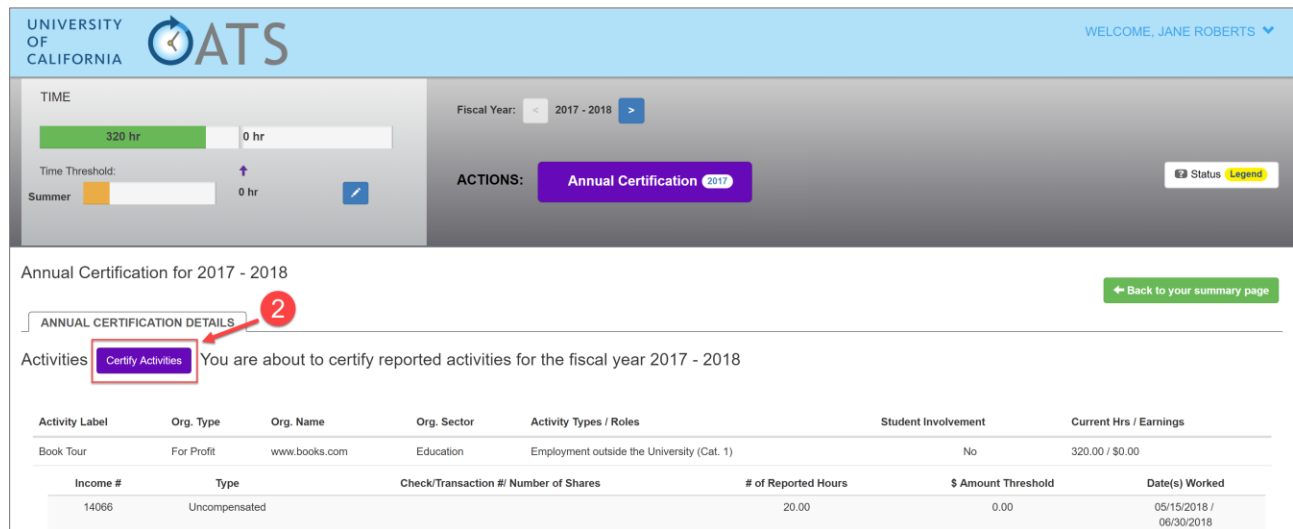
When it is time to complete annual certification you will receive an email notification and the annual certification button will be made available in the UC OATS workspace. You will not be able to complete annual certification if there are prior-approval forms pending or in progress.

To complete annual certification,

- (1) Click the **Annual Certification** button.



- (2) View and confirm the list of reported activities is accurate and up to date. Once confirmed, click the **Certify Activities** button.



- (3) Review the certification statement and then enter your initials.

The screenshot shows the 'Certify Activities for Fiscal Year 2017 - 2018' page. It contains a certification statement: 'I certify that I have complied with the provisions of the University of California Health Sciences Compensation Plan, the School of Medicine Health Science Compensation Plan Implementing Procedures, and my department's bylaws for the Plan regarding limitations on the retention of earnings and the time spent in outside professional activities.' Below this, there is a field for 'Enter your initials to certify:' with a red box and a red circle with the number 3. At the bottom right, there are 'Submit' and 'Close' buttons, with a red circle with the number 4 next to the 'Submit' button.

- (4) Click the **Submit** button.

4.1.1 Annual Certification - Action Required

You will receive a disclaimer instead of a certification confirmation page if you have any pending payments or approvals.

Annual Certification


Please take actions regarding the activities marked with the icon . Move mouse over icon next to each activity for explanation.

[OK](#)

The orders that require attention will be highlighted in red.

Income #	Type	Check/Transaction #	Number of Shares	# of Reported Hours	\$ Amount Threshold	Date(s) Worked
14453	Uncompensated			75.00	0.00	05/16/2018 / 06/29/2018
14457	Uncompensated			35.00	0.00	05/16/2018 / 06/29/2018
14455	Uncompensated			15.00	0.00	05/16/2018 / 06/29/2018

Click the **Back to your summary page** button and locate the fiscal year that has the error to resolve the issue. Once the issue is resolved, complete steps 1 through 3 again.

UNIVERSITY OF CALIFORNIA  WELCOME, JANE ROBERTS

TIME: 320 hr / 0 hr
Time Threshold: Summer 0 hr

Fiscal Year: 2017 - 2018

ACTIONS: [Annual Certification 2017](#) [Status Legend](#)

Annual Certification for 2017 - 2018

[← Back to your summary page](#)

ANNUAL CERTIFICATION DETAILS

Activities [Certify Activities](#) You are about to certify reported activities for the fiscal year 2017 - 2018

5 Appendix A

5.1 Deans and Faculty Administrator Workspace Overview

The screenshot displays the UC OATS workspace interface. At the top left, the University of California logo and 'OATS' are visible. The user is identified as 'WELCOME, JESSE ROBERTS'. The interface is divided into several sections:

- TIME (1):** A bar chart shows 384 hours (Stripped Green) and 116 hours (Gold) against a 96-hour threshold. A 'Summer Hours Info' button is present.
- Fiscal Year (2):** A dropdown menu shows the current year as 2018-2019.
- EXTERNAL FOR-PROFIT BOARDS (4):** A counter shows 0/3 boards.
- ACTIONS (3):** Buttons for 'Enter an Activity' and 'Annual Certification 2017'.
- Form (9):** A 'Status Legend' button.

Below these sections is a table of activities:

Activity Label	Org. Type	Org. Name	Activity Types / Roles	Current Hrs	Start Date	End Date	Student Involvement	Actions	Form
Teaching Engagement at University of Southern California	Non Profit	USC	Teaching outside the University (Cat. 1)	500.00 hr	09/07/2018	06/30/2019	Yes	Edit Activity Report Effort	Cat I Approval Request to Exceed TH: Pending Student Involvement Approval: Pending

Below the activity table is a summary table:

Actions	# of Hours Against Threshold	# of Reported Hours	Start Date	End Date
Edit Earnings/Effort Delete	10.00	10.00	09/07/2018	06/30/2019
Edit Earnings/Effort Delete	90.00	90.00	09/07/2018	06/30/2019
Edit Earnings/Effort Delete	400.00	400.00	09/07/2018	06/30/2019

The following is an overview of the UC OATS workspace tailored to deans and faculty administrators.

- (1) **Time** – Total number of hours reported for all activities.
 - **Stripped Green** – indicates the total number of compensated hours reported within the threshold
 - **Solid Green** – indicates the total number of uncompensated hours reported within the threshold
 - **Gold** – indicates the total number of hours that exceed the threshold
 - **Summer Hours Info** – indicates the total number of summer hours reported in activities.
Note: This section will only appear during the summer months, and it is only relevant when you draw summer salary from your UC campus.
- (2) **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.
- (3) **Actions**
 - Enter an Activity – Click the **Enter an Activity** button to report a new activity, a prior approval request for a Category I activity may appear depending on the type of activity you select.
 - Annual Certification – Click the **Annual Certification** button to complete your annual certification.
- (4) **External For-Profit Boards** - The number of external boards currently held.

(5) **Status Legend** – Explanation of form status and activity category types.

Categories & Request TH Information

Cat I & Request TH Status: What the Buttons Mean

Pending = form awaiting faculty review.	Pending = read only.
Div Reviewer = form is with the division reviewer.	Div Reviewer = read only.
Dept Reviewer/Approver = form is with the department reviewer/approver.	Dept Reviewer/Approver = read only.
Dean's Office Reviewer/Approver = form is with the Dean's Office reviewer/approver.	Dean's Office Reviewer/Approver = read only.
Vice Chancellor Reviewer/Approver = form is with the Vice Chancellor reviewer/approver.	Vice Chancellor Reviewer/Approver = read only.
Approved = form has been Approved.	Approved = read only.

APM 671

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

(6) **Export Current Data** – Click the **Export current data** button to download the current activity data into an Excel spreadsheet (.xlsx).

Export current data **6**

Activity Label	Org. Type	Org. Name	Activity Types / Roles	Current Hrs	Start Date	End Date	Student Involvement	Actions	Form 9
Teaching Engagement at University of Southern California 7	Non Profit	USC	Teaching outside the University (Cat. 1)	500.00 hr	09/07/2018	06/30/2019	Yes 8	Edit Activity Report Effort	Cat I Approval: Dept Reviewer Request to Exceed TH: Pending Student Involvement Approval: Pending

Actions	# of Hours Against Threshold	# of Reported Hours	Start Date	End Date
Edit Earnings/Effort Delete 10	10.00	10.00	09/07/2018	06/30/2019
Edit Earnings/Effort Delete	90.00	90.00	09/07/2018	06/30/2019
Edit Earnings/Effort Delete	400.00	400.00	09/07/2018	06/30/2019

(7) **Reported Activities**

- Expand Button – allows you to expand the field to edit reported effort
- Collapse Button – allows you to collapse the field of reported effort
- Notes Button – allows you to view or add activity note(s) for reviewers and approvers. Reviewers and approvers can also add notes for you and other reviewers or approvers

(8) **Actions** – the list of available actions for each activity.

- Edit Activity – Update activity type or details
- Report Effort – Add effort to the listed activity
- Delete – Removes the selected effort details

(9) **Forms** – Forms that have been submitted for review and pre-approval. The current status of the form will be highlighted yellow. Click the form to view or print.

(10) **Actions** – Available actions for reported effort.

- Edit Effort – Update the effort details
- Delete – Removes the selected effort detail

6 Appendix B

6.1 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.

6.2 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.

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.

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.

6.3 Category II Terms

Add'l University-compensated teaching (CME & UNEX) or self-supporting UC degree programs

Refers to additional University-compensated teaching, including teaching for UNEX (University Extension) courses and programs (see APM - 662, Additional Compensation: Additional Teaching), other continuing 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 or testifying as an expert or professional witness

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.

Providing or presenting a workshop for industry

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.

6.4 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.

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.