

# Outside Activity Tracking System

## APM-025 Faculty User Guide

### Annual Certification

UNIVERSITY OF CALIFORNIA  OATS



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

## Table of Contents

1	GETTING STARTED .....	3
1.1	Logging into UC OATS.....	3
1.2	Workspace Overview .....	4
2	ANNUAL CERTIFICATION.....	6
2.1	How to Complete Annual Certification.....	6
2.1.1	Annual Certification - Action Required .....	7

# 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 \(APM 246\)](#).

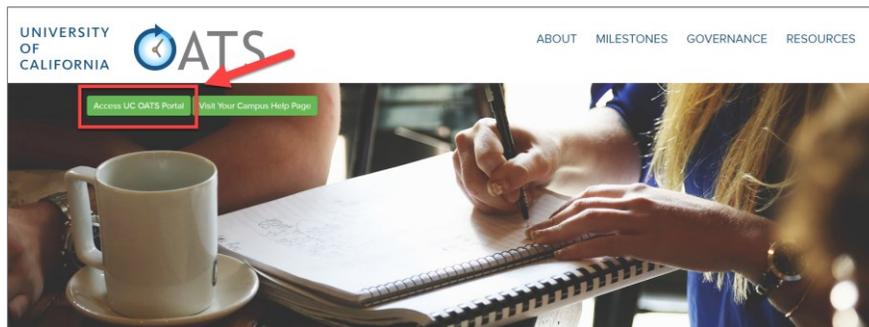
In UC OATS you can,

- 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

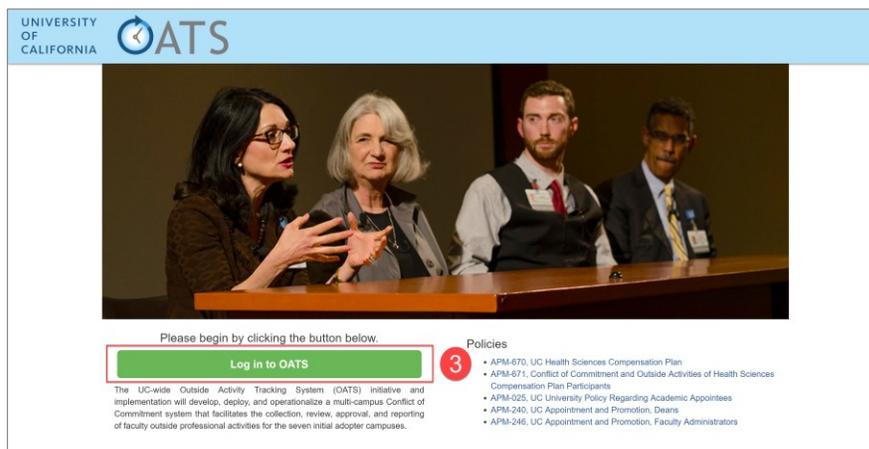
## 1.1 Logging into UC OATS

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 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 a note: '120 hr - allowed hours while drawing UC Salary.' A red circle '1' is next to the 'TIME' label.
- Fiscal Year (2):** A section with 'Fiscal Year: < 2018 - 2019 >' and a red circle '2' next to the year.
- ACTIONS (3):** Two buttons: 'Enter an Activity' (green) and 'Annual Certification' (purple). A red circle '3' is next to the 'ACTIONS' label.
- Status Legend (4):** A button labeled 'Status Legend' with a red circle '4' next to it.
- Export current data (5):** A button labeled 'Export current data' with a red circle '5' next to it.
- 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. The first row is 'Books Inc Chapter editing' with a red circle '6' next to the activity label.
- Form (8):** A section with buttons: 'Edit Activity', 'Report Effort', 'Cat I Approval: Dept Approver', and 'Request to Exceed TH: Dept Reviews'. A red circle '8' is next to the 'Form' label.
- Summary Table (9):** A table with columns: Actions, # of Hours Against Threshold, # of Reported Hours, Start Date, and End Date. It has two rows of data. A red circle '9' is next to the first row.

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

<b>Pending</b>	= form awaiting faculty review.	<b>Pending</b>	= read only.
<b>Dir Reviewer</b>	= form is with the division reviewer.	<b>Dir Reviewer</b>	= read only.
<b>Dept Reviewer/Approver</b>	= form is with the department reviewer/approver.	<b>Dept Reviewer/Approver</b>	= read only.
<b>Dean's Office Reviewer/Approver</b>	= form is with the Dean's Office reviewer/approver.	<b>Dean's Office Reviewer/Approver</b>	= read only.
<b>Vice Chancellor Reviewer/Approver</b>	= form is with the Vice Chancellor reviewer/approver.	<b>Vice Chancellor Reviewer/Approver</b>	= read only.
<b>Approved</b>	= form has been Approved.	<b>Approved</b>	= 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 is highlighted in light blue. Below the table, there is a section for 'Actions' with two rows of data. The first row shows 300.00 hours against a threshold, and the second row shows 20.00 hours. The table includes columns for Activity Label, Org. Type, Org. Name, Activity Types / Roles, Current Hrs, Start Date, End Date, Student Involvement, and Actions. The Actions column contains buttons for 'Edit Activity', 'Report Effort', 'Cat I Approval', 'Dept Approver', and 'Request to Exceed TH Dept Reviewer'. The 'Actions' section below the table has columns for 'Actions', '# of Hours Against Threshold', '# of Reported Hours', 'Start Date', and 'End Date'.

(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 has a title bar. Below it is a 'Message:' label followed by a large text input area. Underneath is an 'Attachment' section with a 'Choose File' button and the text 'No file chosen'. A disclaimer is present: '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.' At the bottom right, there are 'Add Note' and 'Close' buttons.

(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 a title bar. It contains three input fields: 'Activity Label' (with 'Books Inc Chapter editing' entered), 'Type' (with 'For Profit' selected in a dropdown), and 'Organization Name' (with 'Books Inc' entered). At the bottom, there are 'Tutorial On', 'Edit', and 'Close' buttons.

(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 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.

### 2.1 How to Complete Annual Certification

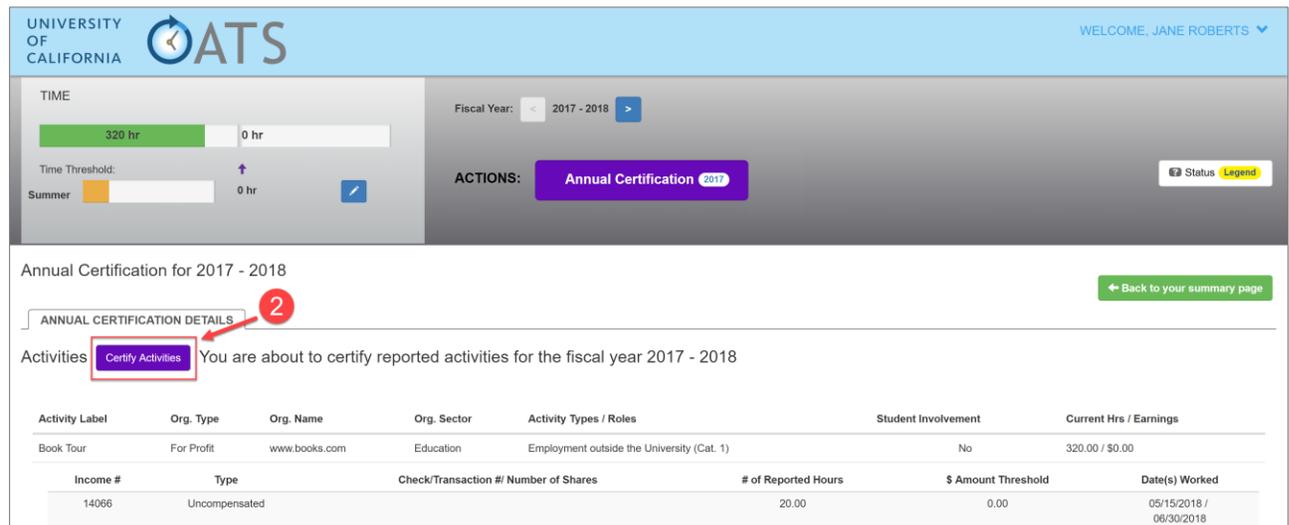
When it is time to complete annual certification you will receive an email notification and the annual certification button will be made available in the UC OATS workspace. You will not be able to complete annual certification if there are prior-approval forms pending or in progress.

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.

Certify Activities for Fiscal Year 2017 - 2018

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.

Enter your initials to certify:

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

## 2.1.1 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.

Arts & Crafts Development Project	For Profit	Books, Inc.	Publishing	Assuming an executive or managerial position outside of the University (Cat. 1)	Yes	125.00 / \$0.00
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