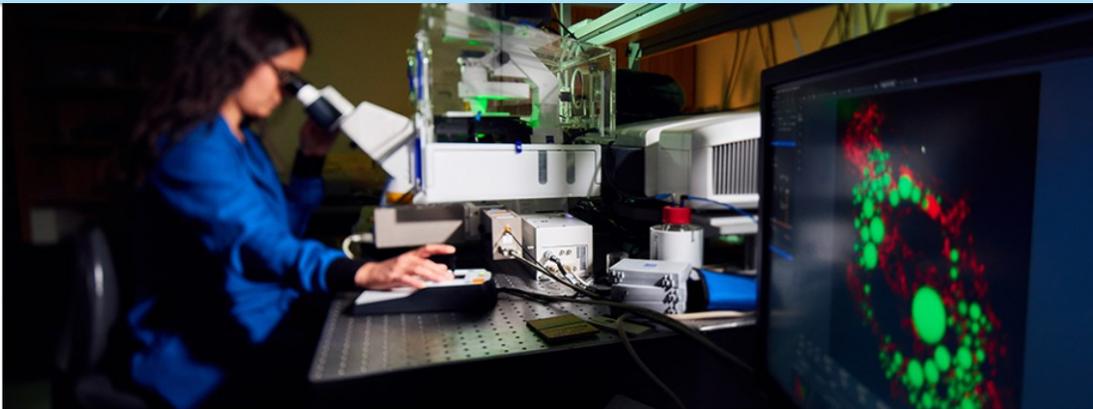


Outside Activity Tracking System

APM-671 Faculty User Guide Annual Certification



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 \(APM 246\)](#).

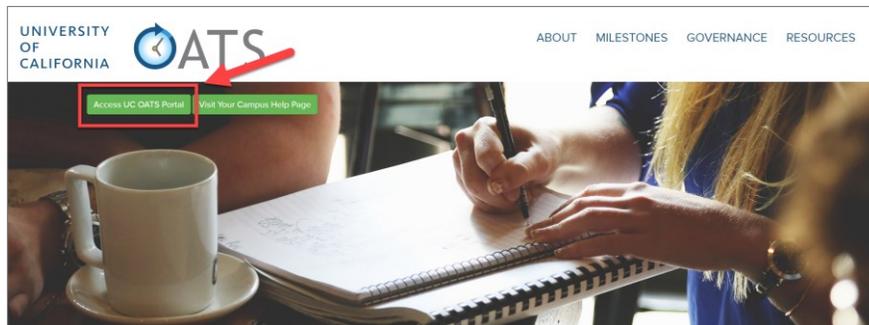
In UC OATS you can:

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

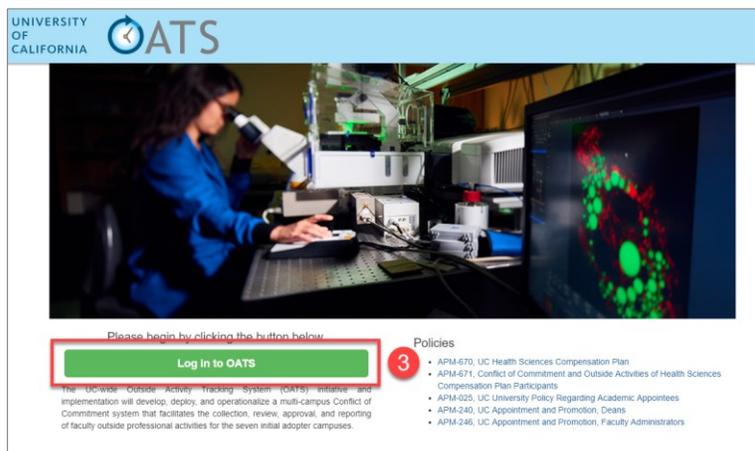
1.1 Logging into UC OATS

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, it displays 'UNIVERSITY OF CALIFORNIA OATS' and a welcome message for 'JOHN SMITH APM671'. The interface is divided into several sections:

- SUMMARY (1):** Shows 'Earnings Reported: \$200', 'Owed To Plan: \$0', and 'Paid To Plan: \$0'.
- TIME (2):** Features a progress bar for '161 hr' out of a '0 hr' threshold, with a 'Time Threshold: ↑384 hr' and a 'Summer Hours Info' button.
- EARNINGS (3):** Shows '\$200' reported and '\$0' owed, with an 'Earnings Threshold: ↑\$40,000.00'.
- Fiscal Year (4):** Set to '2018 - 2019' with navigation arrows.
- ACTIONS (5):** Includes 'Enter an Activity' and 'Annual Certification 2017' buttons.
- Export current data (7):** A button to export data.
- Activity Table (8):** A table with columns for Activity Label, Org. Type, Org. Name, Activity Types / Roles, Current Hrs / Earnings, Start Date, End Date, and Student Involvement. The first row shows 'Founder of New Company' with 101.00 hrs reported.
- Actions (9):** Buttons for 'Edit Activity', 'Report Earnings / Effort', 'Cat I Approval', and 'Dept Reviewer'.
- Form (10):** A 'Form' button for the activity.
- Summary Table (11):** A table with columns for Actions, Type, # of Hours Against Threshold, # of Reported Hours, \$ Amount Threshold, # of Shares, Start Date, and End Date. It lists two 'Stock' activities.

The following is an overview of the UC OATS workspace tailored to faculty who fall under the [UC policy APM 671](#). 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) **Summary** – Total reported earnings and plan balance
 - Earnings Reported – indicates total earnings reported in activities
 - Owed To Plan – indicates earnings owed to the plan
 - Paid To Plan – indicates total amount paid to the plan
- (2) **Time Progress Bar** – Total number of hours reported for all activities
 - **Green** – indicates the total number of hours reported within the threshold
 - **Gold** – 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.
- (3) **Earnings Progress Bar** – Total reported earnings
 - **Green** – indicates earnings below the threshold
 - **Gold** – indicates earnings exceeding the threshold
- (4) **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.
- (5) **Actions**
 - Enter an Activity – Click the **Enter an Activity** button to enter 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.

(6) **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

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

(8) **Reported Activities** – corresponds to actions that are available for each activity

Activity Label	Org. Type	Org. Name	Activity Types / Roles	Current Hrs / Earnings	Start Date	End Date	Student Involvement	9 Actions	10 Form
Founder of New Company	For Profit	Orange Incorporated	Assuming founding or co-founding role of a company (Cat. 1)	101.00 hr/ 0.00	09/10/2018	12/21/2018	No	Edit Activity Report Earnings / Effort	Cat I Approval: Dept Reviewer
Actions									
Type	# of Hours Against Threshold	# of Reported Hours	\$ Amount Threshold	# of Shares	Start Date	End Date			
Stock	100.00	100.00	\$0.00	100.00	09/10/2018	12/21/2018			
Stock	1.00	1.00	\$0.00	1.00	09/10/2018	12/21/2018			

- Expand Button – click to expand the activity record to view, edit, or delete reported effort
- Collapse Buttons – click to hide the activity record
- Notes – 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.

New Activity Note

Message: *

Attachment No file chosen

(i) 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.

Activity Label	Org. Type	Org. Name	Activity Types / Roles	Current Hrs / Earnings	Start Date	End Date	Student Involvement	9 Actions	10 Form
Founder of New Company	For Profit	Orange Incorporated	Assuming founding or co-founding role of a company (Cat. 1)	101.00 hr / 0.00	09/10/2018	12/21/2018	No	Edit Activity Report Earnings / Effort	Cat 1 Approval: Capt Reviewer
Actions		Type	# of Hours Against Threshold	# of Reported Hours	\$ Amount Threshold	# of Shares	Start Date	End Date	
Edit Earnings/Effort	Delete	Stock	100.00	100.00	\$0.00	100.00	09/10/2018	12/21/2018	
Edit Earnings/Effort	Delete	Stock	1.00	1.00	\$0.00	1.00	09/10/2018	12/21/2018	

(9) **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 Earnings/Effort – Add earnings/effort to the listed activity
- Delete – Removes the selected activity. This option is only available when there are no reported earnings/effort on the activity.

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

(11) **Earnings/Effort Actions** - Available actions for reported earnings/effort

- Edit Earnings/Effort – Update time spent and compensation received from this activity
- Delete – Removes the selected earnings/effort details

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 any prior-approval forms or payments are pending or in progress.

To complete annual certification,

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

The screenshot shows the UC OATS workspace for John Smith. The top navigation bar includes the University of California logo, the OATS logo, and a welcome message. The main content area is divided into three sections: SUMMARY, TIME, and EARNINGS. The SUMMARY section shows Earnings Reported: \$20,400, Owed To Plan: \$0, and Paid To Plan: \$0. The TIME section shows 188 hr reported, 0 hr remaining, and a Time Threshold of 384 hr. The EARNINGS section shows \$20,400 reported, \$0 remaining, and an Earnings Threshold of \$40,000.00. At the bottom, there are buttons for 'Enter an Activity' and 'Annual Certification 2017', with the latter highlighted by a red box and a red circle with the number 1.

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

The screenshot shows the 'Annual Certification for 2017 - 2018' page. The top navigation bar is the same as in the previous screenshot. The main content area is divided into three sections: SUMMARY, TIME, and EARNINGS. The SUMMARY section shows Earnings Reported: \$75,100, Owed To Plan: \$35,100, and Paid To Plan: \$0. The TIME section shows 280 hr reported, 0 hr remaining, and a Time Threshold of 384 hr. The EARNINGS section shows \$40,000 reported, \$35,100 remaining, and an Earnings Threshold of \$40,000.00. Below the summary is a section titled 'Annual Certification for 2017 - 2018' with a 'Back to your summary page' button. Underneath is a section titled 'ANNUAL CERTIFICATION DETAILS' with a 'Certify Activities' button highlighted by a red box and a red circle with the number 2. Below this is a table of activities.

Activity Label	Org. Type	Org. Name	Org. Sector	Activity Types / Roles	Student Involvement	Current Hrs / Earnings
Activity #1	For Profit	Vaults, Inc.	Biotechnology	Research outside the University (Cat. 1)	No	179.00 / \$50,000.00
Income #	Type	Check/Transaction # / Number of Shares	# of Reported Hours	\$ Amount Threshold	Date(s) Worked	
14175	Check		100.00	\$30,000.00	04/01/2018 / 06/29/2018	
14179	Check		65.00	\$15,000.00	04/01/2018 / 06/29/2018	

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

The screenshot shows the 'Certify Activities for Fiscal Year 2017 - 2018' page. The top navigation bar is the same as in the previous screenshots. The main content area is divided into three sections: SUMMARY, TIME, and EARNINGS. The SUMMARY section shows Earnings Reported: \$75,100, Owed To Plan: \$35,100, and Paid To Plan: \$0. The TIME section shows 280 hr reported, 0 hr remaining, and a Time Threshold of 384 hr. The EARNINGS section shows \$40,000 reported, \$35,100 remaining, and an Earnings Threshold of \$40,000.00. Below the summary is a section titled 'Annual Certification for 2017 - 2018' with a 'Back to your summary page' button. Underneath is a section titled 'ANNUAL CERTIFICATION DETAILS' with a 'Certify Activities' button highlighted by a red box and a red circle with the number 2. Below this is a table of activities. At the bottom, there is a section titled 'Certify Activities for Fiscal Year 2017 - 2018' with a certification statement and a text input field for initials, highlighted by a red box and a red circle with the number 3. At the bottom right, there are 'Submit' and 'Close' buttons, with the 'Submit' button highlighted by a red box and a red circle with the number 4.

- (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.

Income #	Type	Check/Transaction # / Number of Shares	# of Reported Hours	\$ Amount Threshold	Date(s) Worked
14439	Payment Pending		150.00	\$30,000.00	05/16/2018 / 06/29/2018
14441	Check		65.00	\$15,000.00	05/16/2018 / 06/29/2018

Click the **Back to your summary page** to resolve the issue. Once the issue is resolved, complete steps 1 through 3 again.

UNIVERSITY OF CALIFORNIA  WELCOME, JOHN SMITH

SUMMARY

Earnings Reported: \$75,100
Owed To Plan: \$35,100
Paid To Plan: \$0

TIME

280 hr / 0 hr
Time Threshold: ↑
Summer 0 hr

EARNINGS

\$40,000 / \$35,100
Earnings Threshold: ↑\$40,000.00

Annual Certification for 2017 - 2018

[← Back to your summary page](#)