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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.

![Diagram of the Review/Approval page with numbered items highlighting different features.](image)

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.

4. **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.
(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.

**ALL ACTIVITIES**

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

**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.
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.
1. **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.

2. **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”.
3. **Department Reviewer**: Jan, the Department Reviewer checks over Dr. Liang’s request and marks it as “Reviewed”.

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

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

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.

(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.
(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.
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.
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.
(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.

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.
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?

Check the Notes tab for messages and attachments related to the request.

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.

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.

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.