

UNIVERSITY
OF
CALIFORNIA



Auditor User Guide

Last Updated: 1/27/20
Version: 1.0

Table of Contents

1.	Introduction to UC OATS.....	3
1.1	User Roles	3
1.2	Prior Approval Forms and Approval Workflow	4
2.	Auditor Workspace Overview	5
2.1	Logging into UC OATS.....	5
2.2	Auditor Workspace	6
3.1	Workspace Tabs	8
3.1.1	Under Review Tab	8
3.1.2	All Activities Tab	9
3.1.3	Annual Certifications Tab	10

1. Introduction to UC OATS

The UC Outside Activity Tracking System (UC OATS) is a multi-campus collaboration formed to facilitate the reporting and tracking of Outside Professional Activities (OPA) and identify potential cases of Conflict of Commitment (COC). UC OATS is an interactive web-based application that enables users to comply with the University of California, Conflict of Commitment policies outlined in the Academic Personnel Manual (APM): health sciences compensation plan (HSCP) participants (APM 671), general campus (non-HSCP) faculty (APM 025), academic deans (APM 240), and full-time faculty administrators (APM 246).

1.1 User Roles

There are five main user roles in UC OATS. The following is a brief description of how each role interacts with the system.

1. Faculty
 - Report and manage outside professional activities
 - Submit and view the status of prior approval forms
 - Track time spent on outside professional activities
 - Track earnings from outside professional activities (APM 671 only)
 - Complete annual certification reports
2. Reviewer
 - Review prior approval forms
 - Review annual certification reports
 - Run reports on available data
3. Approver
 - Approver prior approval forms
 - Approve annual certification reports
 - Run reports on available data
4. Auditor
 - View prior approval forms
 - View annual certification reports
 - Run reports on available data
5. Application Administrator
 - Manage OATS application settings
 - Manage the UC OATS user accounts
 - Manage data

1.2 Prior Approval Forms and Approval Workflow

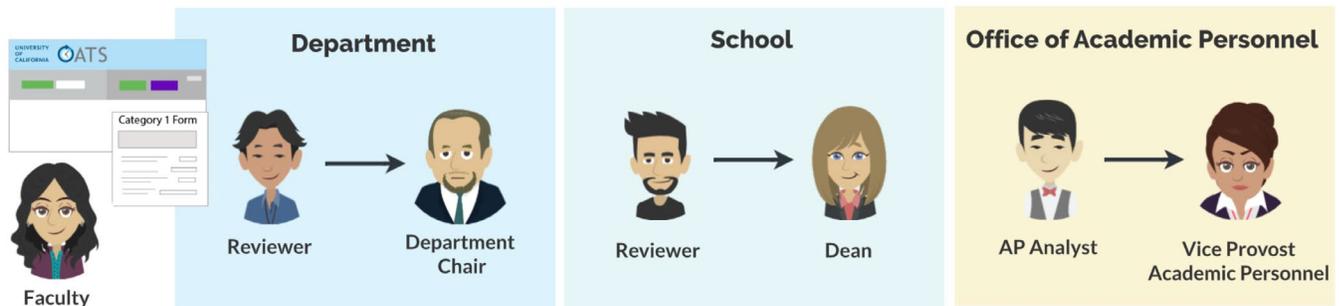
When a faculty member enters a new activity into their workspace, OATS will automatically determine the activity category type and prior approval requirements based on the faculty member's selection. OATS will automatically generate the appropriate prior approval form(s), as needed.

There are six forms available in UC OATS,

1. Category 1
2. Student Involvement
3. Request to Exceed Time Threshold
4. Request to Exceed Earnings Threshold (APM 671 only)
5. Request to Retain Earnings (APM 671 only)
6. Annual Certification Report

Once the faculty member has filled and submitted the prior approval form, the system will automatically route the form through the approval workflow. The prior approval workflow for each form will vary based on campus structure.

e.g., Sample workflow



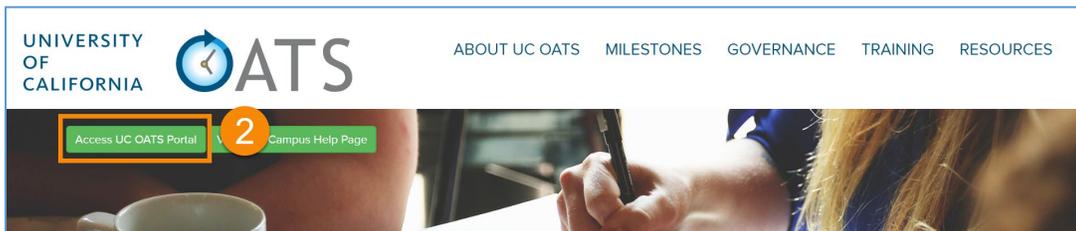
2. Auditor Workspace Overview

The following is an overview of the auditor workspace.

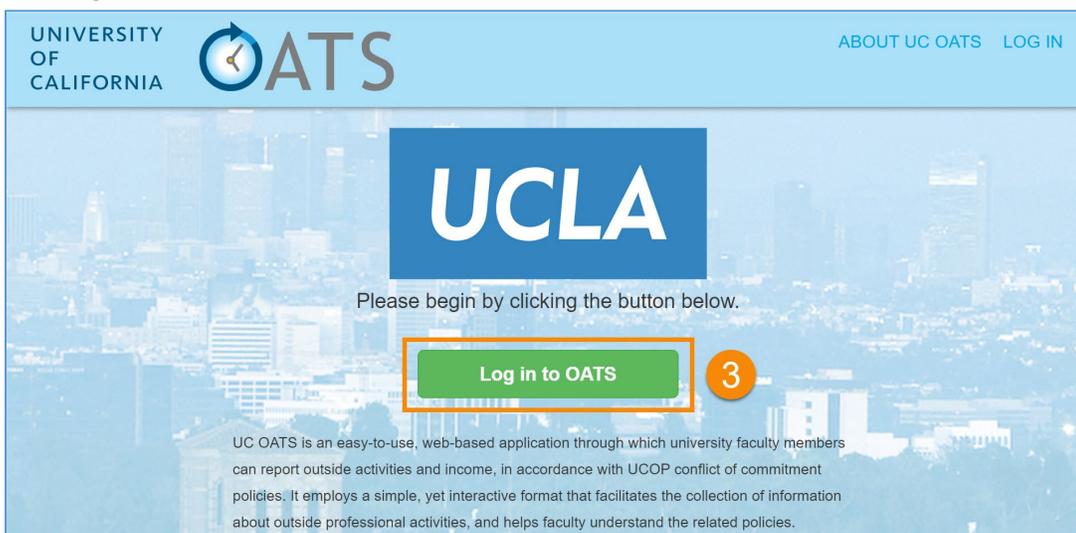
2.1 Logging into UC OATS

To log into UC OATS,

1. Go to the [UC OATS training page](#).
2. Select *Access UC OATS Portal* and choose your campus.



3. Click *Log in to OATS*.



4. You will be redirected to your campus login page. Login with your campus credentials. If you experience issues logging in, contact campus support for assistance.

2.2 Auditor Workspace

The screenshot shows the OATS Auditor Workspace interface. At the top left, it says 'UNIVERSITY OF CALIFORNIA OATS'. On the top right, it says 'WELCOME, SANDRA OCONNOR'. Below this is a 'Fiscal Year' selector set to '2019 - 2020' (callout 1). To the right is a 'Status Legend' button (callout 3). Below the fiscal year is a search bar for 'Faculty' (callout 2) and a 'Filter by division' dropdown menu. Below the search bar are tabs for 'UNDER REVIEW', 'ALL ACTIVITIES', and 'ANNUAL CERTIFICATIONS'. Below the tabs is an 'Export current data' button (callout 4). Below that is a 'Show' dropdown set to '100' entries. The main area is a table with columns: 'Request Approval Type', 'Faculty', 'Activity Types / Roles', 'Label', 'Submission Date', and 'Form'. The table contains four rows of data. The 'Form' column shows buttons for 'Student Involvement Department Reviewer', 'Category I Chair', 'Student Involvement Department Reviewer', and 'Category I Dean'. Callout 5 points to the 'Request Approval Type' column, and callout 6 points to the 'Form' column.

The following is a brief description of the auditor workspace. Reference the numbers on the above image to the descriptions below.

- (1) **Fiscal Year** – When you log into OATS, you will be placed in the current fiscal year. However, you can go to other fiscal years by clicking the forward and back buttons.



- (2) **Search Filters** – You can filter forms by date, department and/or faculty. Departments you have access to will be listed in the dropdown menu.



- (3) **Status Legend** – (a) The *Status Legend* displays a sample workflow and department labels for prior approval forms. The workflow and labels in your version of OATS will align with your campus structure. (b) The *Status Legend* will also show how activities are categorized in OATS. The activity categorization is based on the Academic Personnel Manual (APM) guidelines.

The screenshot shows the 'Categories & Request TH Information' section. It has a title 'Cat I & Request TH Status: What the Buttons Mean' (callout a). Below this is a table with two columns of buttons and their meanings. The first column has buttons for 'Pending', 'Div Reviewer', 'Dept Reviewer/Approver', 'Dean's Office Reviewer/Approver', 'Vice Chancellor Reviewer/Approver', and 'Approved'. The second column has buttons for 'Pending', 'Div Reviewer', 'Dept Reviewer/Approver', 'Dean's Office Reviewer/Approver', 'Vice Chancellor Reviewer/Approver', and 'Approved'. Below this is a section titled 'Activities and Their Category Type' with a scroll bar. It shows a table with columns for 'APM 025' and 'Executive / Leadership / Management Role'. The table contains three rows of data (callout b).

UNIVERSITY OF CALIFORNIA **ATS** WELCOME, SANDRA O'CONNOR

Fiscal Year: 2019 - 2020

Search by Faculty: Filter by division: -- Select a division -- Filter by date: From: To: Clear

★ UNDER REVIEW ALL ACTIVITIES ANNUAL CERTIFICATIONS

Export current data

Show 100 entries

Request Approval Type	Faculty	Activity Types / Roles	Label	Submission Date	Form
Student Involvement	Marshall, Thurgood	Providing outside consulting services or referrals or engaging in professional practice as an individual or through a single-member professional corporation or sole proprietorship (Cat. 2) Assuming founding or co-founding role of a company (Cat. 1)	Founding of Crypticorps	01/13/2020	Student Involvement Department Reviewer
Category I	Marshall, Thurgood	Providing outside consulting services or referrals or engaging in professional practice as an individual or through a single-member professional corporation or sole proprietorship (Cat. 2) Assuming founding or co-founding role of a company (Cat. 1)	Founding of Crypticorps	01/13/2020	Category I Chair
Student Involvement	Lincoln, Abraham	Consulting for for-profit entity (Cat. 2) Assuming founding or co-founding role of a company (Cat. 1)	Founding of Crypticorps	01/13/2020	Student Involvement Department Reviewer
Category I	Lincoln, Abraham	Consulting for for-profit entity (Cat. 2) Assuming founding or co-founding role of a company (Cat. 1)	Founding of Crypticorps	01/13/2020	Category I Dean

(4) **Export Current Data** – The *Export current data* option allows you to download the displayed information into an Excel spreadsheet.

	A	B	C	D
1	Request Approval Type	Faculty	Activity Types / Roles	Details
2	Category I	Marshall, Thurgood	Consulting for for-profit entity (Cat. 2)Assuming founding or cc	Start-up for Lincoln Inc.
3	Category I	Lincoln, Abraham	Consulting for for-profit entity (Cat. 2)Assuming founding or cc	Start-up company Anthony Inc.
4	Over Time & Earnings TH	Anthony, Susan	Providing or presenting a workshop for industry (Cat. 2)Consul	Medical Conference for Medical Inc.
5	Student Involvement	Anthony, Susan	Consulting for for-profit entity (Cat. 2)Assuming founding or cc	Start-up company Anthony Inc.
6	Student Involvement	Lincoln, Abraham	Consulting for for-profit entity (Cat. 2)Assuming founding or cc	Start-up for Lincoln Inc.
7	Student Involvement	Lin, Maya	Providing outside consulting services or referrals or engaging ir	Start-up company Lin Inc.
8	Student Involvement	Marshall, Thurgood	Consulting or testifying as an expert or professional witness (C	Expert Witness for Johnson and Craig Inc.
9				
10				

(5) **Notes** – The *notes* section is where faculty, reviewers, and approvers communicate about an activity. In the notes section, you may find comments regarding an activity, a returned form, and/or attachments. The number of entries is displayed on the notes icon.

Notes for activity Founding a company

Add Activity Note

Message	File	Author	Created Date	Actions
Please see attached agreement	invoice_8-31	Clara Barton	10/25/2019 08:56 am	

Showing 1 to 2 of 2 entries

Close

- (6) **Form** – The *Form* section is where the prior approval forms are located for each activity. The type of form and the current status is listed on the form button. As an auditor, you have read-only access to forms. Click a form to view or print it.

The screenshot shows a sidebar on the left with a 'Form' section containing several buttons for 'Student Involvement Department Reviewer' and 'Category I Chair'. The main area displays the details for a 'Student Involvement' form. It includes fields for Organization Name (Crypticorps), Start Date (01/13/2020), End Date (06/30/2020), and Activity Label (Founding of Crypticorps). A table below lists the student involvement details:

Student Name	Type	Participation Description
Jane Eyre	Graduate	Jane will assist me with the project

Additional sections include 'Alternate Approver(s)' (None assigned) and 'Historical Actions' (01/13/2020 09:39:29 am Submit by Thurgood Marshall).

3.1 Workspace Tabs

There are three tabs in the auditor workspace; *Under Review*, *All Activities*, and *Annual Certification*. When you log into OATS, you will be on the *Under Review* tab.

The screenshot shows the workspace tabs at the top: '★ UNDER REVIEW' (selected), 'ALL ACTIVITIES', and 'ANNUAL CERTIFICATIONS'. Below the tabs is an 'Export current data' button and a 'Show 100 entries' dropdown. The main table displays the following data:

Request	Approval Type	Faculty	Activity Types / Roles	Label	Submission Date	Form
1	Student Involvement	Marshall, Thurgood	Providing outside consulting services or referrals or engaging in professional practice as an individual or through a single-member professional corporation or sole proprietorship (Cat. 2) Assuming founding or co-founding role of a company (Cat. 1)	Founding of Crypticorps	01/13/2020	Student Involvement Department Reviewer
1	Category I	Marshall, Thurgood	Providing outside consulting services or referrals or engaging in professional practice as an individual or through a single-member professional corporation or sole proprietorship (Cat. 2) Assuming founding or co-founding role of a company (Cat. 1)	Founding of Crypticorps	01/13/2020	Category I Chair

3.1.1 Under Review Tab

The *Under Review* tab shows all prior approval forms that are currently processing through the approval workflow.

This screenshot is similar to the previous one but includes callouts. Callout 'a' points to the 'Request' column, and callout 'b' points to the 'Form' column. The table data is identical to the previous screenshot.

- Notes:** As an auditor, you can view and add notes to an activity. Activity notes are not private. Faculty, reviewers, and approvers with access to the activity can view notes and attachments. Private comments or notes should be made outside of OATS.
- Form:** Click on a form to view and/or print it.

3.1.2 All Activities Tab

The *All Activities* tab shows all prior approval forms regardless of the status. You will see forms that are currently in the review process, approved, and forms that have been generated, but not yet submitted by faculty the member.

- a. **All Activities Filter:** You can filter activities using the available options. Some filter options may not apply to your faculty or campus.
 - **With Stock Income:** (APM 671 faculty only) This filter will locate activities that have been paid with stock
 - **With Message:** This filter will locate activities with notes and/or attachments
 - **Exceeds Earnings TH:** (APM 671 faculty only) This filter will locate activities that have exceeded the faculty members earnings threshold
 - **Exceeds Time TH:** This filter will locate activities that have exceeded the faculty members time threshold
- b. **Open / Close Button:** Click the *Open* button to view the faculty member’s reported effort and/or earnings.

- c. **Form Status – Pending:** The *pending* status means the OPA prior approval form is currently pending the faculty member's action. There are two possibilities: (1) the form was generated, but not yet submitted by the faculty member (2) the form has been returned to the faculty member by a reviewer or approver. You can confirm the reason a form has been returned by checking the activity notes.

3.1.3 Annual Certifications Tab

The *Annual Certification* tab shows the current status of annual certification reports.

★ UNDER REVIEW ALL ACTIVITIES **ANNUAL CERTIFICATIONS**

ANNUAL CERTIFICATIONS [READ ONLY:] Forms not submitted Forms in process Forms accepted

Export current data

Show 100 entries

UID	Faculty	Department	Signed Date	# Activities	Total Hours	Total Earnings	Due To Plan	Actions
72271887	Alcott, Louisa	999991 - Dept of Redundancy Department	10/25/2019	2	56.00	0.00	0.00	Annual Certification Chair
72271870	Ali, Muhammad	999991 - Dept of Redundancy Department	10/22/2019	0	0.00	0.00	0.00	Annual Certification Dean Reviewer
72271886	Anthony, Susan	999991 - Dept of Redundancy Department	10/22/2019	0	0.00	0.00	0.00	Annual Certification Dean Reviewer

To view annual certification reports for the previous fiscal year,

1. Click the *Fiscal Year* back button to view the previous fiscal year.

UNIVERSITY OF CALIFORNIA OATS WELCOME, SANDRA OCONNOR

Fiscal Year: < 2019 - 2020 > 1

Search by Faculty: Filter by division: -- Select a division -- Filter by date: From: To: Clear

★ UNDER REVIEW ALL ACTIVITIES **ANNUAL CERTIFICATIONS** 2

Export current data

2. Select the *Annual Certifications* tab.
3. Filter the forms using available options.

Search by Faculty: Filter by division: -- Select a division -- Filter by date: From: To: Clear

★ UNDER REVIEW ALL ACTIVITIES **ANNUAL CERTIFICATIONS** 3

ANNUAL CERTIFICATIONS [READ ONLY:] Forms not submitted Forms in process Forms accepted

Export current data

Show 100 entries

UID	Faculty	Department	Signed Date	# Activities	Total Hours	Total Earnings	Due To Plan	Actions
72271887	Alcott, Louisa	999991 - Dept of Redundancy Department	10/25/2019	2	56.00	0.00	0.00	Annual Certification Chair
72271870	Ali, Muhammad	999991 - Dept of Redundancy Department	10/22/2019	0	0.00	0.00	0.00	Annual Certification Dean Reviewer

- **Forms not submitted:** Filters faculty who have not yet submitted their annual certification reports
- **Forms in process:** Filters forms that have been submitted by faculty and are currently in the review process. The current status of the form is listed on the form
- **Forms accepted:** Filters forms that have completed the review process and have been accepted