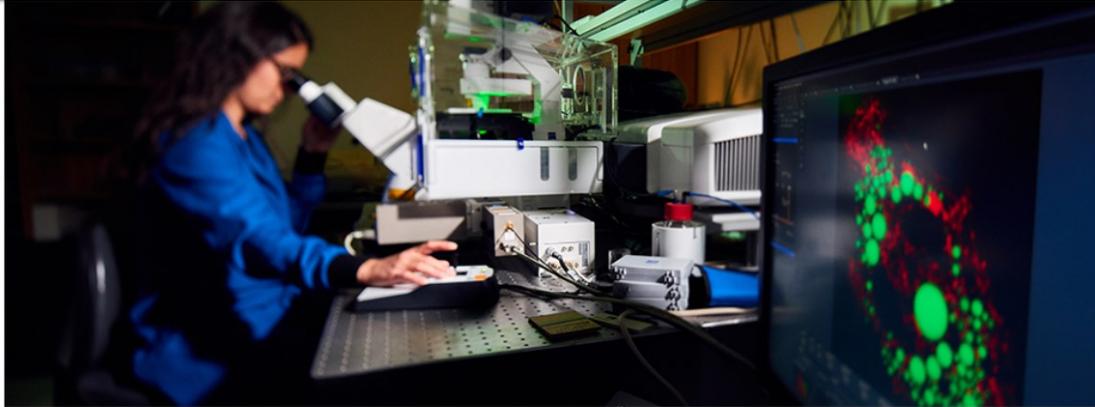


Outside Activity Tracking System

APM-671 Faculty User Guide



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 \(APM 246\)](#).

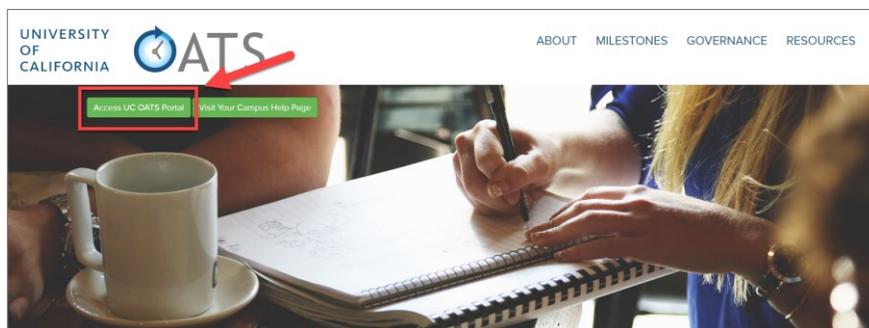
In UC OATS you can:

- 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

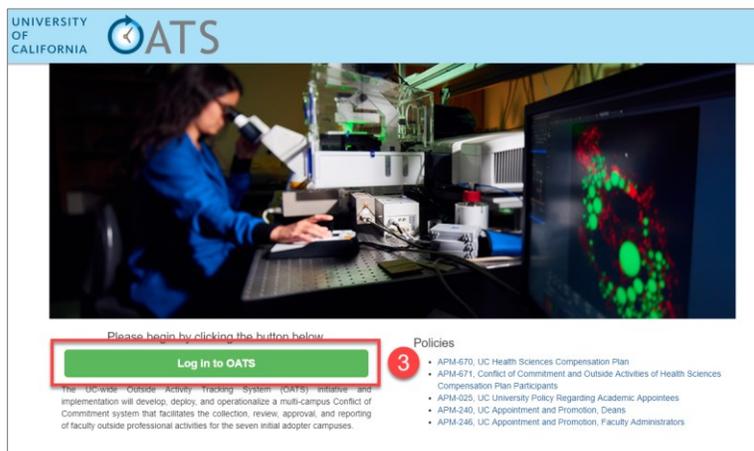
1.1 Logging into UC OATS

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):** A dropdown menu set to '2018 - 2019'.
- ACTIONS (5):** Includes buttons for 'Enter an Activity' and 'Annual Certification 2017'.
- Status Legend (6):** A button for 'Status Legend'.
- Export current data (7):** A button to export data.
- Activity List (8):** A table with columns for Activity Label, Org. Type, Org. Name, Activity Types / Roles, Current Hrs / Earnings, Start Date, End Date, Student Involvement, Actions, and Form. One activity is listed: 'Founder of New Company'.
- Actions Table (9, 10, 11):** A detailed table for activities with columns: Actions, Type, # of Hours Against Threshold, # of Reported Hours, \$ Amount Threshold, # of Shares, Start Date, and End Date. It shows two rows of activity data.

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																								
<table border="1"> <thead> <tr> <th>Actions</th> <th>Type</th> <th># of Hours Against Threshold</th> <th># of Reported Hours</th> <th>\$ Amount Threshold</th> <th># of Shares</th> <th>Start Date</th> <th>End Date</th> </tr> </thead> <tbody> <tr> <td>Edit Earnings/Effort Delete</td> <td>Stock</td> <td>100.00</td> <td>100.00</td> <td>\$0.00</td> <td>100.00</td> <td>09/10/2018</td> <td>12/21/2018</td> </tr> <tr> <td>Edit Earnings/Effort Delete</td> <td>Stock</td> <td>1.00</td> <td>1.00</td> <td>\$0.00</td> <td>1.00</td> <td>09/10/2018</td> <td>12/21/2018</td> </tr> </tbody> </table>										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
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																										

- 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 I 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 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. (e.g. Teaching outside of the University, Employment outside the University, etc.)

- 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 and earnings thresholds.

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 (e.g. Serving on board of directors outside the University, Providing or presenting a workshop for industry, etc.).

- 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 and earnings 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 (e.g. Developing scholarly or creative works, Reviewing manuscripts, acting in an editorial capacity).

- 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.

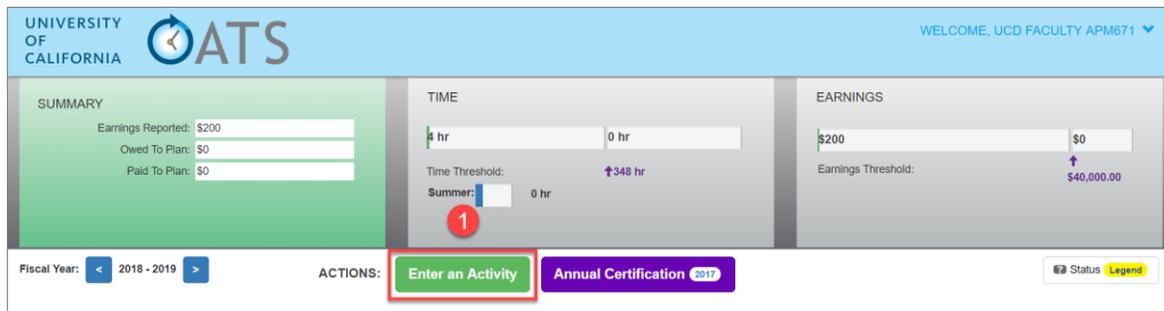
Review the [APM-671 policy](#) for specifics regarding category levels.

2.2 Entering an Outside Professional Activity

Before you engage in an outside professional activity, you will need to enter 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.

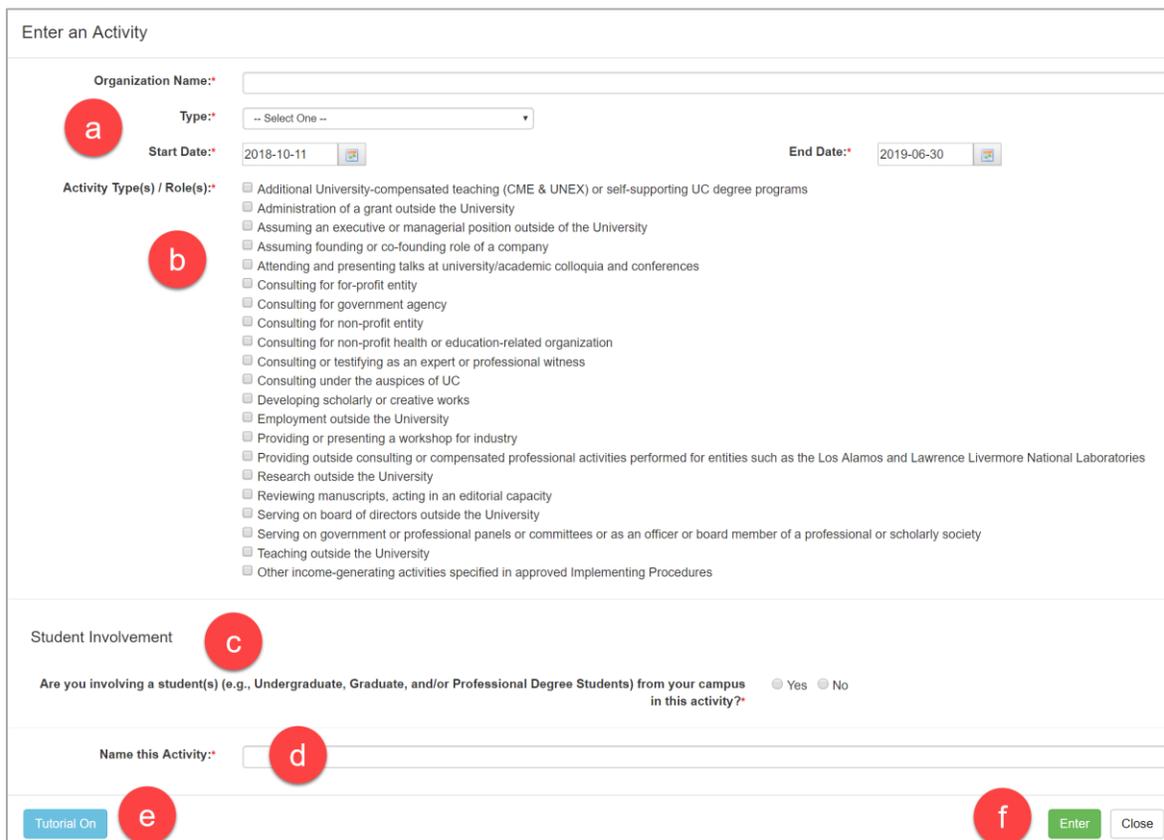
To report a new activity,

1. Click the **Enter an Activity** button.



The screenshot shows the UC OATS dashboard. At the top, it says 'UNIVERSITY OF CALIFORNIA OATS' and 'WELCOME, UCD FACULTY APM671'. Below this are three main sections: 'SUMMARY', 'TIME', and 'EARNINGS'. The 'SUMMARY' section shows 'Earnings Reported: \$200', 'Owed To Plan: \$0', and 'Paid To Plan: \$0'. The 'TIME' section shows '4 hr' and '0 hr' with a 'Time Threshold' of '348 hr'. The 'EARNINGS' section shows '\$200' and '\$0' with an 'Earnings Threshold' of '\$40,000.00'. At the bottom, there are 'ACTIONS' buttons: 'Enter an Activity' (highlighted with a red box and a red circle '1') and 'Annual Certification 2017'. There is also a 'Status Legend' button.

2. Complete the activity form.



The screenshot shows the 'Enter an Activity' form. It has several sections: 'Organization Name' (text input), 'Type' (dropdown menu), 'Start Date' (calendar icon) and 'End Date' (calendar icon). Below these are 'Activity Type(s) / Role(s)' with a list of checkboxes for various activity types. The 'Student Involvement' section has 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. At the bottom, there is a 'Name this Activity' text input field, a 'Tutorial On' button, and 'Enter' and 'Close' buttons. Red circles 'a' through 'f' are placed over various elements: 'a' on the Organization Name field, 'b' on the Activity Type(s) list, 'c' on the Student Involvement question, 'd' on the Name this Activity field, 'e' on the Tutorial On button, and 'f' on the 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.)

Activity Type(s) / Role(s):*

- Additional University-compensated teaching (CME & UNEX) or self-supporting UC degree programs
- Administration of a grant outside the University
- Assuming an executive or managerial position outside of the University
- Assuming founding or co-founding role of a company
- Attending and presenting talks at university/academic colloquia and conferences
- Consulting for for-profit entity
- Consulting for government agency
- Consulting for non-profit entity
- Consulting for non-profit health or education-related organization
- Consulting or testifying as an expert or professional witness
- Consulting under the auspices of UC
- Developing scholarly or creative works
- Employment outside the University
- Providing or presenting a workshop for industry
- Providing outside consulting or compensated professional activities performed for entities such as the Los Alamos and Lawrence Livermore National Laboratories
- Research outside the University
- Reviewing manuscripts, acting in an editorial capacity
- Serving on board of directors outside the University
- Serving on government or professional panels or committees or as an officer or board member of a professional or scholarly society
- Teaching outside the University
- Other income-generating activities specified in approved Implementing Procedures

Student Involvement

Are you involving a student(s) (e.g., Undergraduate, Graduate, and/or Professional Degree Students) from your campus in this activity? Yes No

Name this Activity:*

Tutorial On

- (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.
- (c) **Student Involvement** – Indicate if you will involve a student in the activity. Student involvement in an activity requires pre-approval for category I, II, and III activities. 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. e.g. “Lecture at USC Rossier School of Education Research Lecture Series”.
- (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 pre-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

Activity Label	Org. Type	Org. Name	Activity Types / Roles	Current Hrs / Earnings	Start Date	End Date	Student Involvement	Actions	Form
Grant for USC Medical Center	For Profit	USC	Administration of a grant outside the University (Cat. 1)	4.00 hr/ 200.00			No	1 Edit Activity Report Earnings / Effort	Cat 1 Approval Dept Reviewer

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 that cannot be made immediately is the Activity Type/Role as this change could affect the classification and therefore interrupt an ongoing review process.

Edit Activity: Grant for USC Medical Center

What would you like to do? **2**

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 earnings/effort from the activity, if applicable.

Activity Label	Org. Type	Org. Name	Activity Types / Roles	Current Hrs / Earnings	Start Date	End Date	Student Involvement	Actions	Form
Grant for USC Medical Center	For Profit	USC	Administration of a grant outside the University (Cat. 1)	4.00 hr / 200.00			No	Edit Activity Delete 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
Edit Earnings/Effort Delete	Check	4.00	4.00	\$200.00		08/10/2018	08/10/2018

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

Delete Earnings/Effort for Activity: Grant for USC Medical Center

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

[Tutorial On](#) Record ID: 18335 [Delete](#) [Close](#)

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

Activity Label	Org. Type	Org. Name	Activity Types / Roles	Current Hrs / Earnings	Start Date	End Date	Student Involvement	Actions	Form
Grant for USC Medical Center	For Profit	USC	Administration of a grant outside the University (Cat. 1)	4.00 hr / 200.00	09/20/2018	06/30/2019	No	Edit Activity Delete Report Earnings / Effort Cat I Approval: Dept Reviewer	

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

Delete Activity: Grant for USC Medical Center

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 Reporting Earnings/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 Earnings/Effort** button.

Activity Label	Org. Type	Org. Name	Activity Types / Roles	Current Hrs / Earnings	Start Date	End Date	Student Involvement	Actions	Form
Grant for USC Medical Center	For Profit	USC	Administration of a grant outside the University (Cat. 1)	0.00 hr / 0.00			No	Edit Activity Delete Report Earnings / Effort	Cat / Approval Dept Reviewer

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

Add Earnings or Hours Pertaining to this Activity: Grant for USC Medical Center for work during fiscal year 2018 - 2019

2

Remuneration Type: *

Amount \$: *

Enter earnings received for this activity.

of Hours: *

Enter hours performed for this activity.

Notes:

Start Date:

End Date:

If needed, revise dates that apply to this activity.

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

- o **Remuneration Type** – Select the method of compensation you received
- o **Amount \$ / # of Shares** – Enter the amount of money or shares you received
- o **# of Hours** – Enter the total number of hours you performed for the activity
- o **Notes** – You may enter notes for the add notes for the reviewer(s) and approver(s)
- o **Start & End Date** – Select the start and end date of the period in which the effort occurred

-- Select One --

- Select One --
- Payment Pending
- Check
- EFT
- Founders' Stock
- Phantom Stock
- Stock
- Stock Options
- Uncompensated

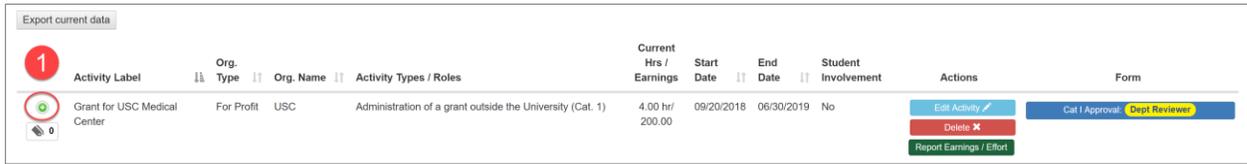
Note: You may view the reported effort by clicking the activity expand button.

Activity Label	Org. Type	Org. Name	Activity Types / Roles	Current Hrs / Earnings	Start Date	End Date	Student Involvement	Actions	Form
Grant for USC Medical Center	For Profit	USC	Administration of a grant outside the University (Cat. 1)	8.00 hr / 200.00			No	Edit Activity Report Earnings / Effort	Cat / Approval Dept Reviewer

2.6 Edit or Delete Earnings/Effort

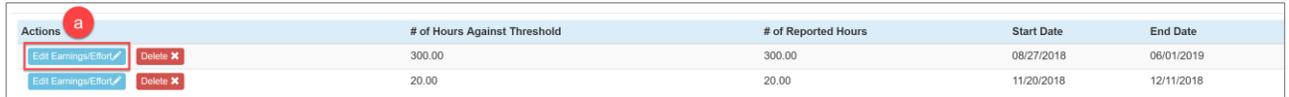
To edit or delete a reported earnings/effort,

(1) Click the  expand button.



Activity Label	Org. Type	Org. Name	Activity Types / Roles	Current Hrs / Earnings	Start Date	End Date	Student Involvement	Actions	Form
Grant for USC Medical Center	For Profit	USC	Administration of a grant outside the University (Cat. 1)	4.00 hr/ 200.00	09/20/2018	06/30/2019	No	Edit Activity Delete Report Earnings / Effort	Cat I Approval: Dept Reviewer

a. To edit the earnings/effort, click the **Edit Earnings/Effort**.



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

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



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

c. To hide the reported earnings/effort, click the  collapse button



Activity Label	Org. Type	Org. Name	Activity Types / Roles	Current Hrs / Earnings	Start Date	End Date	Student Involvement	Actions	Form
Grant for USC Medical Center	For Profit	USC	Administration of a grant outside the University (Cat. 1)	4.00 hr/ 200.00	09/20/2018	06/30/2019	No	Edit Activity Delete Report Earnings / Effort	Cat I Approval: 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.



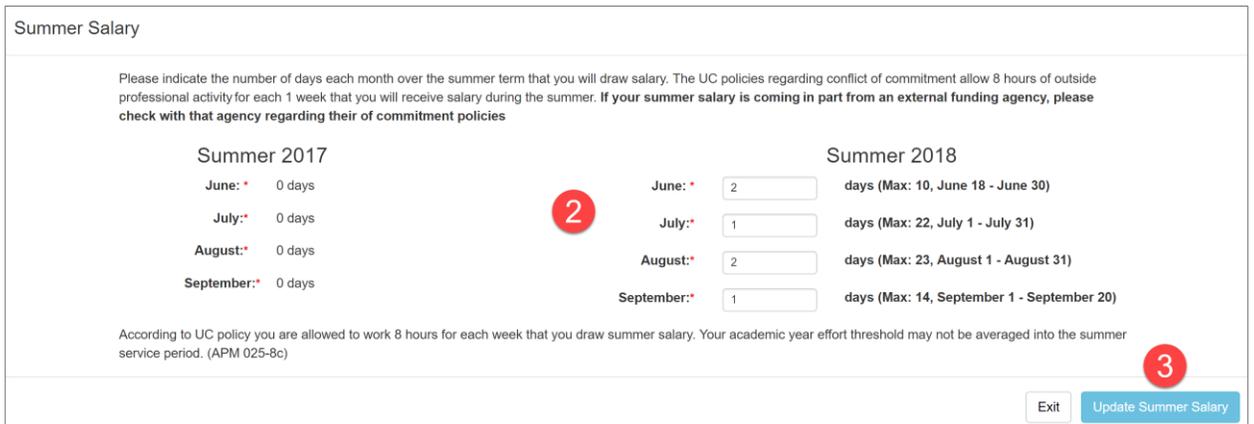
TIME

161 hr 0 hr

Time Threshold: ↑384 hr

Summer Hours Info 1

- (2) Indicate the number of days each month over the summer term that you will draw salary.



Summer Salary

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

Summer 2017		Summer 2018
June: * 0 days		June: * 2 days (Max: 10, June 18 - June 30)
July: * 0 days	2	July: * 1 days (Max: 22, July 1 - July 31)
August: * 0 days	1	August: * 2 days (Max: 23, August 1 - August 31)
September: * 0 days	2	September: * 1 days (Max: 14, September 1 - September 20)

According to UC policy you are allowed to work 8 hours for each week that you draw summer salary. Your academic year effort threshold may not be averaged into the summer service period. (APM 025-8c)

Exit Update Summer Salary 3

- (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- 671 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.



TIME

161 hr 0 hr

Time Threshold: ↑384 hr

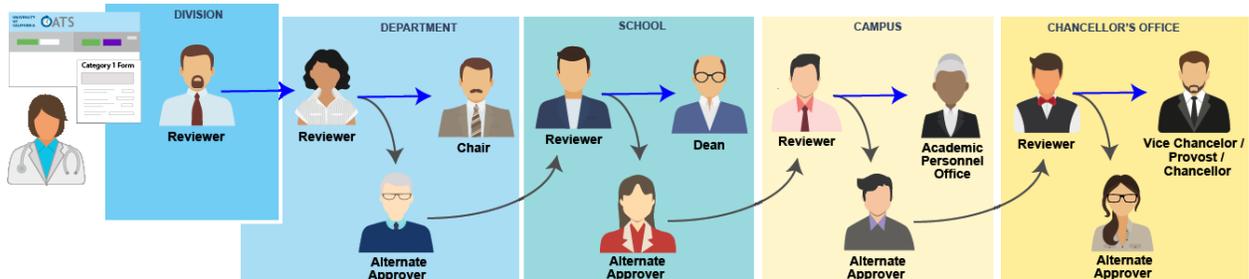
Summer 0 hr 6 hr 4

3 PRE-APPROVAL FORMS

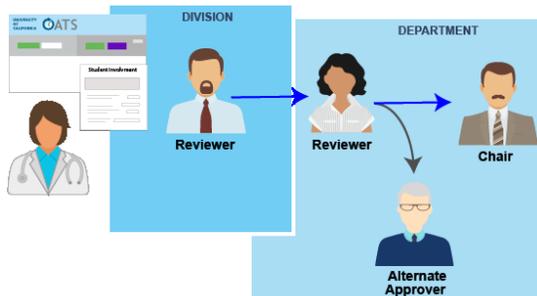
3.1 Prior Approval Workflow

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.

1. **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 / Earnings	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 / 0.00	01/07/2019	04/26/2019	No	Edit Activity Delete Report Earnings / Effort	Cat. I Approval Dept Reviewer

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.

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:	Research at John Hopkins University	Student Involvement:	No
Organization Type:	Non Profit	Organization Name:	John Hopkins University
Activity Type(s)/Role(s):	Research outside the University (Cat. 1)	Start Date:	09/19/2018
End Date:	06/30/2019		

Name: apm671, UCLA Faculty Faculty Title:

Dept: 1563 MEDICINE-RHEUMATOLOGY (UCLA) School: Medicine

Type of Category I Activity in which you will be involved: Research outside the University

Organization name: John Hopkins University 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 Consultant (1099) Equity/Royalty Interest

Founder/Co-Founder Owner Salaried Employee (W-2)

Stockholder/Partnership Interest Other

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: *

APM 671 requests: Please note approval to engage in this activity does not include approval to exceed the time/earnings threshold, nor to retain earnings above the threshold. If this activity, either alone or in combination with other outside professional activities during the fiscal year causes you to exceed the time or earnings thresholds, you must submit a separate approval request (see Request to Exceed Time and/or Earnings Thresholds).

Signed on behalf of faculty: apm671, John Smith (ucla_fac_apm671@ctrl.ucla.edu) 2018/09/19

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 prior approval 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 - 671-8-f](#)).

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 and/or Earnings 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 or earnings threshold, the **Request to exceed effort and/or earnings threshold for fiscal year** form will appear.

Request to Exceed Effort and/or Earnings Threshold(s) for Fiscal Year 2018 Activity: Founder of New Company

FORM DETAILS NOTES **2**

Activity Label:	Founder of New Company	Student Involvement:	No
Organization Sector:		Organization Type:	For Profit
Organization Name:	Orange Incorporated	Activity Type(s)/Role(s):	Assuming founding or co-founding role of a company (Cat. 1)
Start Date:	09/10/2018	End Date:	12/21/2018

Plan participant's name: UCLA Faculty apm671

The total estimated number of hours to be devoted to this activity: 401.00 hrs

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

The total expected earnings from this activity: \$ 60,000.00 **1**

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

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

Activity Date: 9/10/2018 - 12/21/2018

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: apm671, John Smith (ucla_fac_apm671@ctrl.ucla.edu) 2018/09/19

Historical Actions

Tutorial On **3** Request Approval Print Close

To complete the Request to Exceed Effort and/or Earnings 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 **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).

3.5 Requesting to Retain Earnings

Important Note

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

Once a request to exceed threshold is approved, the option to retain earnings will appear. To request to retain earnings,

1. Click **Retain Earnings : Request**

Activity Label	Org. Type	Org. Name	Activity Types / Roles	Current hrs / Earnings	Start Date	End Date	Student Involvement	Actions	Form
Research at George Washington University	Non Profit	George Washington University	Research outside the University (Cat. 1)	32.00 hr / 50,000.00	07/18/2018	08/31/2018	No	Edit Activity Report Earnings / EMail	Call / Approval Request to Exceed TH: Approved Retain Earnings : Request

Add retain earnings request to this Activity: Research at George Washington University for work during fiscal year 2018 - 2019

FORM DETAILS | NOTES **3**

Activity Label: Research at George Washington University	Student Involvement: No
Organization Sector: George Washington University	Organization Type: Non Profit
Organization Name: George Washington University	Activity Type(s)/Role(s): Research outside the University (Cat. 1)
Start Date: 07/18/2018	End Date: 08/31/2018

REQUEST:

The total expected income from this activity: \$10,000.00 **2**

Name of Entity: George Washington University

Amount of total annual earnings that are expected to exceed the threshold and are going to be retained by the faculty member: 10000.00

Justification/circumstances for retention of earnings:

Nature of Services: Research outside the University (Cat. 1)

Please note:
If you engage in this activity and your request is not approved, all related income will be due the Plan.
Approval is for this specific activity only. Retention of income for any subsequent activities requires separate requests and approvals.
If any of the information provided above changes (e.g., if the earnings estimate is understated), an amendment should be submitted.

Tutorial Off **4** [Submit Retain Earnings](#) [Close](#)

2. Complete the form with detailed information.
3. Click the NOTES tab to add or review notes and/or documentation
4. Click **Submit Retain Earnings** 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 ANNUAL CERTIFICATION

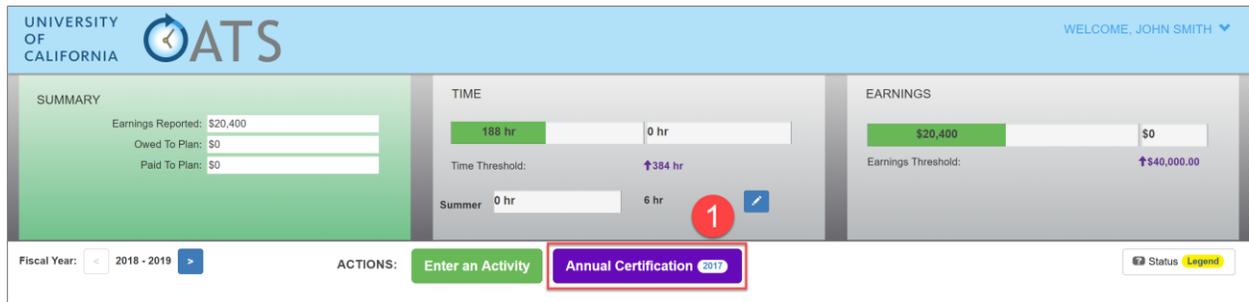
As a faculty member you are required to file certification of adherence to the policy each fiscal year, even if you did not engage in any outside professional activities during the year.

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

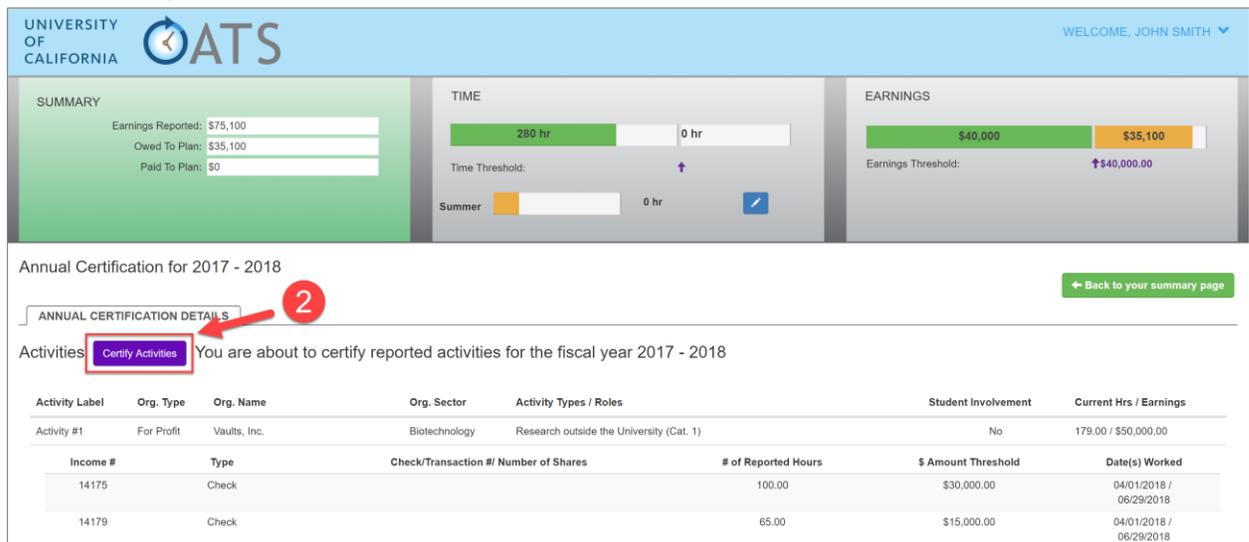
To complete annual certification,

- (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 the user's name. 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.

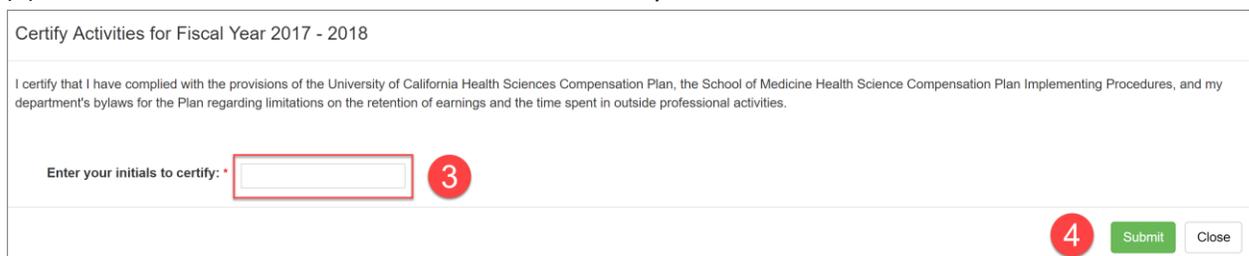
- (2) View and confirm the list of reported activities is accurate and up to date. Once confirmed, click the **Certify Activities** buttons.



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 'Back to your summary page' button. The main content area is titled 'Annual Certification for 2017 - 2018' and contains a 'Certify Activities' button highlighted by a red box and a red circle with the number 2. Below the button 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 titled 'Certify Activities for Fiscal Year 2017 - 2018' and 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 the statement is a text input field labeled '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 the 'Submit' button highlighted by a red box and a red circle with the number 4.

- (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
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](#)

5 APPENDIX A

5.1 Deans and Faculty Administrator Workspace Overview

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

- (1) **Summary** – Total reported earnings and plan balance
 - **Earnings Reported** – Total earnings reported in activities
 - **Owed To Plan** – Earnings owed to the plan due to exceeding earnings threshold
 - **Paid To Plan** – Total amount paid to the plan
 - **External For-Profit Boards** - The number of external boards currently held
- (2) **Time** – Total number of hours reported for all activities.
 - **Striped 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.
 - The summer button will be visible until you click it and input your summer working hours. Once the summer working hours are entered, a bar will appear indicating the allowed number of Outside Professional Activities working hours.
- (3) **Earnings** – Earnings threshold details
- (4) **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.
- (5) **Actions**
 - **Enter an Activity** – Click the **Enter an Activity** button to enter 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.

(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 871

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.

Export current data **7**

Activity Label	Org. Type	Org. Name	Activity Types / Roles	Current Hrs / Earnings	Start Date	End Date	Student Involvement	Actions	Form 10
Teaching at USC Spring 2019 8	For Profit	USC	Teaching outside the University (Cat. 1)	60.00 hr/ 60,000.00	09/20/2018	06/30/2019	No 9	Edit Activity Report Earnings / Effort	Cat I Approval: Pending Request to Exceed TH: Pending

Actions	Type	# of Hours Against Threshold	\$ Amount Threshold	# of Shares	Start Date	End Date
Edit Earnings/Effort 11 Delete	Check	60.00	\$60,000.00		09/20/2018	11/20/2018

(8) **Reported Activities**

- **Expand Button** – click to expand the activity record to view, edit, or delete reported hours/effort
- **Collapse Button** – click to collapse the activity record to view, edit, or delete reported hours/effort
- **Notes Button** – click to view or “Add Activity Note(s)” 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

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

- **Edit Activity** – Updates are limited to Activity Label, Type, Organization Name, and involving a student.
- **Report Earnings/Effort** – Add earnings and/or effort to the listed activity
- **Delete** – Removes the selected activity. This option is only available when there are no reported earnings/hours on the activity.

(12) **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.

(10) **Earnings/Effort Actions** – Available actions for reported earnings/effort.

- **Edit Earnings/Effort** – Update hours spent and compensation received from this activity
- **Delete** – Removes the selected earnings/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.

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.

6.3 Category II Terms

Serving on board of directors outside the University

Serving on a board of directors outside the University, whether compensated or uncompensated.

Providing or presenting a workshop for industry

Providing or presenting a workshop for industry.

Consulting for non-profit health or education-related organization

Consulting for a non-profit health or education-related organization.

Consulting for government agency

Consulting for a government agency.

Consulting for non-profit entity

Consulting for a non-profit entity.

Consulting for for-profit entity

Consulting for a for-profit entity.

Consulting under the auspices of UC

Consulting activity under the auspices of the University of California.

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 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

Consulting or testifying as an expert or professional witness.

Providing outside consulting or compensated professional activities performed for Los Alamos National Security 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.

Other income-generating activities specified in approved Implementing Procedures

Other income-generating activities specified in approved implementing Procedures.

6.4 Category III Terms

Attending and presenting talks at university/academic colloquia and conferences

Attending and presenting talks at university/academic colloquia and conferences.

Developing scholarly or creative works

Developing scholarly or creative works.

Serving on government or professional panels or committees or as an officer or board member of a professional or scholarly society

Serving on government or professional panels or committees or as an officer or board member of a professional or scholarly society.

Reviewing manuscripts, acting in an editorial capacity

Reviewing manuscripts, acting in an editorial capacity.