Reviewer User Guide
# Table of Contents

1. **GETTING STARTED**
   - 1.1 Logging into UC OATS
   - 1.2 Workspace Overview - AP Review Page
   - 1.3 Workspace Overview - Faculty Page
   - 1.4 Workspace Overview - Fiscal Review Page

2. **UC OATS ROLES AND WORKFLOW**
   - 2.1 UC OATS Roles
   - 2.2 UC OATS Workflow

3. **REVIEWING PRIOR APPROVAL FORMS**
   - 3.1 How to Review Category I Prior Approval Forms
   - 3.2 How to Review Student Involvement Forms
   - 3.3 How to Review Over Time & Earnings Threshold Forms
   - 3.4 How to Review Annual Certifications
   - 3.5 How to Review Retain Earnings Requests

4. **FACULTY ACCOUNT DETAILS**
   - 4.1 Report Payments Paid to the Plan
   - 4.2 Stock Valuation
   - 4.3 Updating Faculty Status
   - 4.4 Overriding Earnings and Time Thresholds

5. **REPORTS**
   - 5.1 Export Data into a Report

6. **Appendix A**
   - 6.1 General Terms
   - 6.2 Category I Terms
   - 6.3 Category II Terms
   - 6.4 Category III Terms
1 GETTING STARTED

UC Outside Activity Tracking System (OATS) is a new and efficient way for you to track faculty, deans, and faculty administrators outside professional activities and annual certification. 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 homepage 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 - AP Review Page

AP Review is the default workspace for reviewers. On this page, you can review pending prior approval forms, the status of forms that are in process, view how much money faculty owe to their plan, update earnings and time thresholds (if you have this role) and more.

NEEDS MY REVIEW

The following is an overview of the Needs My Review tab in the reviewer workspace. 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., 07/01/18–6/30/19). 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 (Threshold) Status – Explanation of form status and activity category types.

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 or you can manually check the system on a consistent basis.
(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 the faculty member.

(6) **Faculty Details** – Click to view the list of faculty activities, emails sent, and faculty status.

(7) **Forms** - Submitted forms that are awaiting your review.

## FORMS IN PROCESS

The **Forms in Process** tab displays all forms that are currently waiting to be processed by another level of reviewer(s) and/or approver(s).

### ACTIVITIES: APPROVAL PENDING

- **Needs My Review**
- **Forms in Process**
- **Approved**
- **Stock Valuation**
- **All Activities**
- **Annual Certifications**
- **Deleted**

### Activities: Need My Review

<table>
<thead>
<tr>
<th>Activity Label</th>
<th>Activity Types / Roles</th>
<th>Faculty</th>
<th>Reported Earnings</th>
<th>Reported Hrs</th>
<th>Submission Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Teaching at USC Spring 2019</td>
<td>Teaching outside the University (Cat. 1)</td>
<td>appml771, UCD Faculty</td>
<td>$0.00</td>
<td>10.00 hr</td>
<td>08/27/2019</td>
</tr>
</tbody>
</table>

### Activities: Forms in Process

<table>
<thead>
<tr>
<th>Activity Label</th>
<th>Activity Types / Roles</th>
<th>Faculty</th>
<th>Reported Earnings</th>
<th>Reported Hrs</th>
<th>Submission Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Prize acceptance - KJ</td>
<td>Receiving prizes, defined as gifts in recognition of personal achievements and not for services rendered (Cat. 3)</td>
<td>appml771, UCD Faculty</td>
<td>$0.00</td>
<td>0.35 hr</td>
<td>05/10/2018</td>
</tr>
</tbody>
</table>

### Activities: Approved

<table>
<thead>
<tr>
<th>Activity Label</th>
<th>Activity Types / Roles</th>
<th>Faculty</th>
<th>Reported Earnings</th>
<th>Reported Hrs</th>
<th>Submission Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Founder of New Company</td>
<td>Assuming founding or co-founding role of a company (Cat. 1)</td>
<td>Smith, John</td>
<td>$80,000.00</td>
<td>40.01 hr</td>
<td>09/13/2018</td>
</tr>
</tbody>
</table>

## APPROVED

The **Approved** tab displays all forms that have received final approval.

## STOCK VALUATION

The **Stock Valuation** tab is used for estimating the value of stocks and determining if faculty owe money to the plan.

### Important Note

- Only Reviewers with the Stock Valuation role will have access to this tab.
ALL ACTIVITIES

The **All Activities** tab displays all activities that have been submitted. You can filter the results.

![All Activities Tab](image1)

ANNUAL CERTIFICATION

The **Annual Certification** tab displays all annual certifications that have been submitted for review and approval.

![Annual Certification Tab](image2)

DELETED

The **Deleted** tab is an archive of all activities that have been deleted by faculty.

![Deleted Tab](image3)
1.3 Workspace Overview - Faculty Page

The Faculty page displays details such as a list of all faculty you support in your unit, faculty who are over the time or earnings threshold and faculty who are approaching their threshold.

**ALL FACULTY**

The following provides a brief description of the options available under the All Faculty tab.

1. **Filter** – The indicators below are controlled by reviewers with the “faculty status” role. You can filter results based on faculty status such as,
   - **Faculty with Outside Activities** – Filters faculty that have reported outside professional activities.
   - **Not in Good Standing** – Filter faculty that have been flagged as not being in good standing. This does not change functionality in UC OATS and it does not alert the faculty member. It is simply an FYI for reviewers.
   - **Leave to engage in Outside Activity** - the faculty member has taken a leave of absence to engage in an outside activity.

2. **Click on the faculty member’s first or last name to be routed to their faculty details page.**

3. **Manage Notifications** – this functionality is not currently available.

4. **Faculty Status** – You must be assigned this role to view these options. This information is not visible to faculty.
• **Not in good standing** (only applicable for 671 faculty) - This option may be selected as a way to let other reviewers know the faculty member is not in good standing. This status does not prevent faculty from logging activities and should not be used as an alert to notify faculty of their status. This status button is just for your information. Faculty that are not in good standing will display a thumbs down icon 🙅 under the All Faculty tab.

• **Leave to engage in outside activity** - This option may be selected as a way to let other reviewers and approvers know the faculty member’s status. This status does not prevent faculty from logging activities and should not be used as an alert to notify faculty of their status. This status button is just for your information. Faculty that are on leave will display a sunglasses icon 🕶 under the All Faculty tab.

• **Override earnings threshold** (only applicable to 671 faculty) - The earnings threshold may be manually adjusted for reasons such as an approved Request to Override Earnings Threshold.

• **Override time threshold** - The time threshold may be manually adjusted by a reviewer for reasons such as an approved Request to Override Time Threshold.

(5) **Emails** – Displays emails that have been sent to the user.

**OVER TIME TH**

The Over Time TH tab displays a list of faculty who have exceeded the time threshold.

**OVER EARNINGS TH (671 faculty)**

The Over Earnings TH tab displays a list of faculty who have exceeded the earnings threshold.
The Faculty Page & Approaching TH tab displays a list of faculty who are within 10% of their threshold(s).

1.4 Workspace Overview - Fiscal Review Page

The Fiscal Review page displays a list of APM 671 faculty members who owe payments to the Plan. You can report payments that have been received on this page.
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”.

![Image of Category I form]

---

**Action:**
- Reviewed
- Send Back To Faculty

**Appoint Alternate Approver(s)**
- What a twist? Add Alternate Approver

**Signed on behalf of faculty:** apm671, UCD Faculty (ucd_fac_apm671@ctrui.ucla.edu) 2018/08/17

---

**No data available in table**

**Historical Actions**
- 08/17/2018 08:38:15 am Submit UCD Faculty apm671 (ucd_fac_apm671@ctrui.ucla.edu)
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 review a Category I prior approval form, do the following:

(1) Verify you are viewing the correct fiscal year.
(2) Click the AP Review button and then click the Needs My Review 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,
   - Detailed description of the business
   - Description of the nature of the faculty member’s relationship to the business
   - Detailed description of the nature of the faculty member’s participation in the activity and possible beneficial outcomes
   - 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.

- **Reviewed**: Select this option if the form is ready for the approver’s approval.
- **Send Back To Faculty**: Select this option if the faculty member did not provide all required information. In the space provided describe what you need from the faculty member. The form will be returned to them.
- **Add Alternate Approver**: You may select an alternate approver. For example, the faculty member is related or married to the approver or the faculty member is also the Department Chair.

(7) Click **Submit Action** to complete the review process.

**How to Add an Alternate Approver**

1. Click the **Add Alternate Approver** button.

2. Enter the alternate approver’s name. Select the name once it appears.

3. Click the **Add** button.
To review a Student Involvement form, do the following:

1. Verify you are viewing the correct fiscal year.
2. Click the **AP Review** button and then click the **Needs My Review** tab.
3. Locate the faculty member you would like to review and then 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?
   - Check for spelling errors.
5. Check the **Notes** tab for messages and attachments related to the request.
(6) Select an action.

- **Reviewed**: Select this option if the form is ready for the approver’s approval.
- **Send Back To Faculty**: Select this option if the faculty member did not provide all required information. In the space provided describe what you need from the faculty member. The form will be returned to them.
- **Add Alternate Approver**: You may select an alternate approver if there is a conflict of interest between the faculty member and approver. For example, the faculty member is related or married to the approver or the faculty member is also the Department Chair.

(7) Click **Submit Action** to complete the review process.

### How to Add an Alternate Approver

1. Click the **Add Alternate Approver** button.

2. Enter the alternate approver’s name. Select the name once it appears.

3. Click the **Add** button.
### 3.3 How to Review Over Time & Earnings Threshold Forms

**Important Note**

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

To review an Over Time & Earnings Threshold form do the following,

1. Verify you are viewing the correct fiscal year.
2. Click the **AP Review** button and then click the **Needs My Review** tab.
3. Locate the faculty member you would like to review and then click the **Over Time TH** or **Over Time & Earnings TH** form.
4. When reviewing the Over Time & 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?
5. Check the **Notes** tab for messages and attachments related to the request.
(6) Select an action.

- **Reviewed**: Select this option if the form is ready for the approver’s approval.
- **Send Back To Faculty**: Select this option if the faculty member did not provide all required information. In the space provided describe what you need from the faculty member. The form will be returned to them.
- **Alternate Approver**: You may select an alternate approver if there is a conflict of interest between the faculty member and approver. For example, the faculty member is related or married to the approver or the faculty member is also the Department Chair.

(7) Click **Submit Action** to complete the review process.

---

**How to Add an Alternate Approver**

1. Click the **Add Alternate Approver** button.

![Add Alternate Approver](image1)

2. Enter the alternate approver’s name. Select the name once it appears.

![Add Alternate Approver](image2)

3. Click the **Add** button.

![Add Alternate Approver](image3)
3.4 How to Review Annual Certifications

An annual certification report is a consolidation of the faculty’s recorded activities in UC OATS for the year. Review for accuracy.

To review an Annual Certification form do the following,

1. Verify you are viewing the correct fiscal year.
2. Click the AP Review button and then click the Annual Certifications tab.
3. Filter the forms by either “Pending Chair Review with No activities” or “Pending Chair Review with Activities”.
4. Locate the faculty member you would like to review and then click the Annual Certification form.
5. Review the form for accuracy.
6. Check the Notes tab for messages and attachments related to the request.
7. Select an action.
   - Reviewed: Select this option if the form is ready for the approver’s approval.
• **Send Back To Faculty:** Select this option if the faculty member did not provide all required information. In the space provided describe what you need from the faculty member. The form will be returned to them.

• **Alternate Approver:** You may select an alternate approver if there is a conflict of interest between the faculty member and approver. For example, the faculty member is related or married to the approver or the faculty member is also the Department Chair.

(8) Click Submit Action to complete the review process.

---

### How to Add an Alternate Approver

1. Click the **Add Alternate Approver** button.

2. Enter the alternate approver’s name. Select the name once it appears.

3. Click the **Add** button.
3.5 How to Review Retain Earnings Requests

To review a retain earnings request,

1. Verify you are in the correct fiscal year.
2. Click the AP Review button and then click the Needs My Review tab.
3. Locate the faculty member you would like to review and then click the Retain Earnings form.
4. Review the explanation on the form to verify there is enough detail for the approver to make a decision.
5. Check the Notes tab for messages and attachments related to the request.

Important Note

- This feature may not be available at all UC campuses.
(6) Select an action.

- **Reviewed**: Select the option if the form is ready for the approver’s approval.
- **Send Back To Faculty**: Select this option if the faculty member did not provide all required information. In the space provided describe what you need from the faculty member. The form will be returned to them.
- **Alternate Approver**: You may select an alternate approver if there is a conflict of interest between the faculty member and approver. For example, the faculty member is related or married to the approver or the faculty member is also the Department Chair.

(7) Click **Submit Action** to complete the review process.

---

**How to Add an Alternate Approver**

1. Click the **Add Alternate Approver** button.

2. Enter the alternate approver’s name. Select the name once it appears.

3. Click the **Add** button.
4 FACULTY ACCOUNT DETAILS

4.1 Report Payments Paid to the Plan

To report a faculty members payment to the plan,

1. Click on the Fiscal Review button.
2. Click the Payment Due To Plan tab and locate the faculty member.
3. Click on the Report a Payment button.
4. Click Add Payment.
5. Add payment details.
6. Click the Add button.
(7) A payment confirmation will appear. Click the **Close** button to exit.

(8) Refresh your browser to see the payment update.
4.2 Stock Valuation

To complete stock valuation, you may need to request the following documentation from the faculty member:

- A copy of the fully executed agreement between the faculty and the company related to the consulting work and compensation;
- A copy of the articles of incorporation of the company;
- A copy of any company records that will document the company’s stock value at the time that the faculty member originally received the stock or stock options (e.g. meeting minutes of the Board of Directors; 409a valuation);
- A copy of the offer letter, stock agreement or other documentation that describes the numbers of stocks or options that have been offered. This document should include the date(s) of signing.

To process a stock valuation, do the following.

1. Click on the AP Review button.
2. Click on the Stock Valuation tab.
3. Click on the expand button to view the effort details.
4. Click on the Price Share button.
5. Enter share details.

6. Click the Update button.
7. Once the stock valuation has been saved, the activity will be removed from the Stock Valuation list. You can view the updated stock valuation by locating it in either the Forms in Process tab or the All Activities tab.
4.3 Updating Faculty Status

**Important Note**

Only Reviewers with the Faculty Status role can change a faculty member’s status.

You can update a faculty member’s status in UC OATS to **Not in Good Standing** or **Leave to Engage in Outside Activities**. These statuses do not affect the faculty member’s UC OATS functionality and it does not notify them of the change.

To update a faculty member’s status in UC OATS,

1. Click on the **Faculty** button.
2. Click on the **All Faculty** tab.
3. Locate the faculty member using the search or sort feature.
4. Select the faculty member’s name.
5. Select the appropriate faculty status. In the note section, enter the reason for the status change and then click the **Update** button.
4.4 Overriding Earnings and Time Thresholds

Important Note

- This feature may not be available at all UC campuses.
- Only Reviewers with the Faculty Status role can override earnings and time thresholds.

Once an Over Time TH (APM 025) or Over Time & Earnings TH (APM 671) prior approval request has been approved, you may manually adjust the threshold.

To adjust the threshold,

1. Click on the Faculty button.
2. Click on the All Faculty tab.
3. Locate the faculty member using the search or sort feature.
4. Select the faculty member’s name.
5. Enter the new threshold and then click the Update button.
5  REPORTS

5.1 Export Data into a Report

You can export data on any page that contains an Export current data button. To export data,

1. Click on the Export current data button.
2. The data will be exported into an Excel spreadsheet.
6 Appendix A

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
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.

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.

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 or testifying as an expert or professional witness
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 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.

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

Other income-generating activities specified in approved Implementing Procedures
Other income-generating activities specified in approved implementing Procedures.

6.4 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
Attending and presenting talks at university/academic colloquia and conferences.

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

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.