

Reviewer User Guide

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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 \(APM 246\)](#).

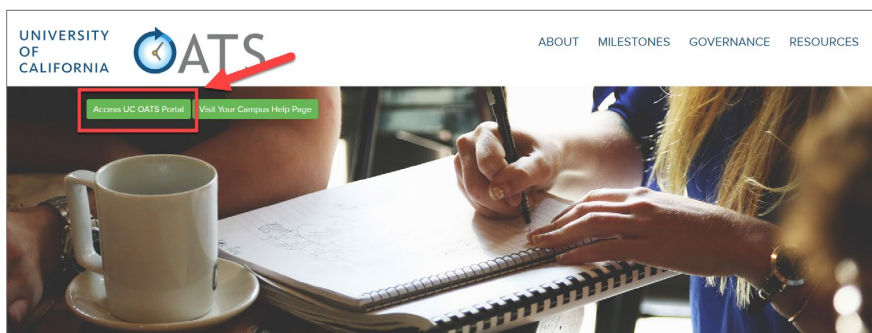
In UC OATS you can,

- Review/ approve conflict of commitment forms
- Review/ approve annual certification reports

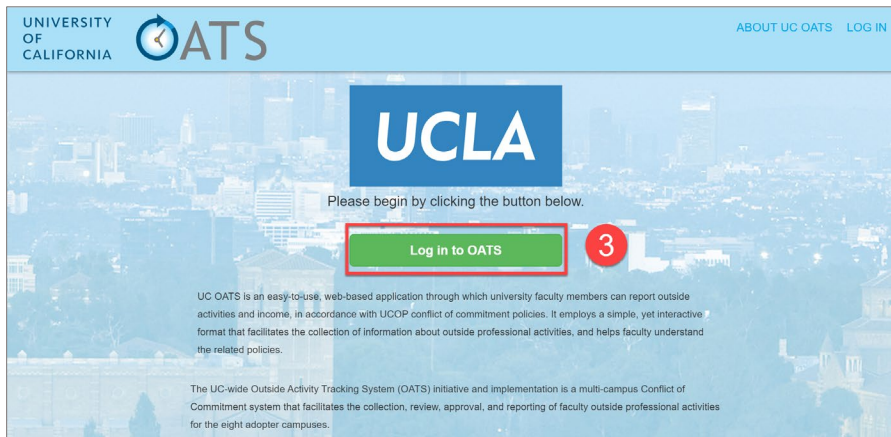
1.1 Logging into UC OATS

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.

Status	Meaning	Button Label	Meaning
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

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).

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.

★ NEEDS MY REVIEW								✳ FORMS IN PROCESS		✓ APPROVED		▲ STOCK VALUATION		📄 ALL ACTIVITIES		📅 ANNUAL CERTIFICATIONS		✗ DELETED	
ALL ACTIVITIES		Filter activities: <input type="checkbox"/> With Stock Income <input type="checkbox"/> With Messages <input type="checkbox"/> Exceeds Earnings TH <input type="checkbox"/> Exceeds Time TH																	
Export current data																			
Show <input type="text" value="10"/> entries																			
Activity Label	Activity Types / Roles	Faculty	Reported Earnings	Reported Hrs	Activity Start Date	Actions													
Teaching Engagement at University of Southern California	Teaching outside the University (Cat. 1)	apm240-025, UCLA Faculty	\$140,000.00	500.00 hr	09/07/2018	Category I Dept Reviewer													

ANNUAL CERTIFICATION

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

★ NEEDS MY REVIEW								✳ FORMS IN PROCESS		✓ APPROVED		▲ STOCK VALUATION		📄 ALL ACTIVITIES		📅 ANNUAL CERTIFICATIONS		✗ DELETED	
FACULTY: ANNUAL CERTIFICATIONS		Filter forms: <input checked="" type="radio"/> Pending Chair Review with No Activities <input type="radio"/> Pending Chair Review with Activities <input type="radio"/> Accepted																	
Export current data																			
Show <input type="text" value="10"/> entries																			
UID	Faculty	Signed Date	# Activities	Total Hours	Total Earnings	Due To Plan	Actions												
423423423	Dominguez, Maria	07/13/2018	0	0.00	0.00	0.00	Annual Certification Dept Reviewer												

DELETED

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

★ NEEDS MY REVIEW								✳ FORMS IN PROCESS		✓ APPROVED		▲ STOCK VALUATION		📄 ALL ACTIVITIES		📅 ANNUAL CERTIFICATIONS		✗ DELETED	
ACTIVITIES: DELETED																			
Export current data																			
Show <input type="text" value="25"/> entries																			
Activity Label	Activity Types / Roles	Faculty	Reported Earnings	Reported Hrs	Activity Start Date	Actions													
No data available in table																			

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 screenshot shows the OATS interface for the 'ALL FACULTY' page. At the top, there's a navigation bar with 'FACULTY', 'AP REVIEW', and 'FISCAL REVIEW' tabs. Below this, there are search and filter options. A table lists faculty members with columns for UID, Last Name, First Name, Actual Hours, Actual Earnings, and # Activities. Red callouts 1 and 2 highlight specific filter options and a faculty member's name in the table.

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.

The screenshot shows the OATS interface for the 'Faculty Details' page. It displays a summary of the faculty member's time and earnings, along with a 'Faculty Status' section. Red callouts 3, 4, and 5 highlight specific features: 'Manage Notifications', 'Faculty Status', and 'EMAILS'.

- (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 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.

UID	Last Name	First Name	Actual Hours	Actual Earnings	# Activities
👎	apm671	UCD Faculty	0.50	100.00	2
👎	apm025	UCD Faculty	903.00	0.00	12

- **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.

UID	Last Name	First Name	Actual Hours	Actual Earnings	# Activities
🕶	apm671	UCD Faculty	0.50	100.00	2
🕶	apm025	UCD Faculty	903.00	0.00	12

OVER EARNINGS TH (671 faculty)

The **Over Earnings TH** tab displays a list of faculty who have exceeded the earnings threshold.

UID	Last Name	First Name	Actual Hours	Actual Earnings	# Activities
	apm246-671	UCD Faculty	273.00	135,000.00	3

APPROACHING TH

The **Faculty Page & Approaching TH** tab displays a list of faculty who are within 10% of their threshold(s).

Search by UID, name or department code: Filter by division: -- Select a division --

ALL FACULTY **OVER TIME TH** **OVER EARNINGS TH** **APPROACHING TH**

FACULTY: APPROACHING TH

Export current data

UID || Last Name || First Name || Actual Hours || Actual Earnings || # Activities ||

No data available in table

Show 10 entries

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.

Fiscal Year: < 2018 - 2019 > **FACULTY** **AP REVIEW** **FISCAL REVIEW** CAT I & REQUEST TH STATUS NOTIFICATIONS

PAYMENT DUE TO PLAN

FACULTY PAYMENTS

Export current data

UID || Faculty || Exceed Hours || \$ to Department || \$ Paid || Action ||

apm246-671, UCD Faculty	0	\$6,300.00	\$0.00	Report a Payment
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Show 25 entries

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,

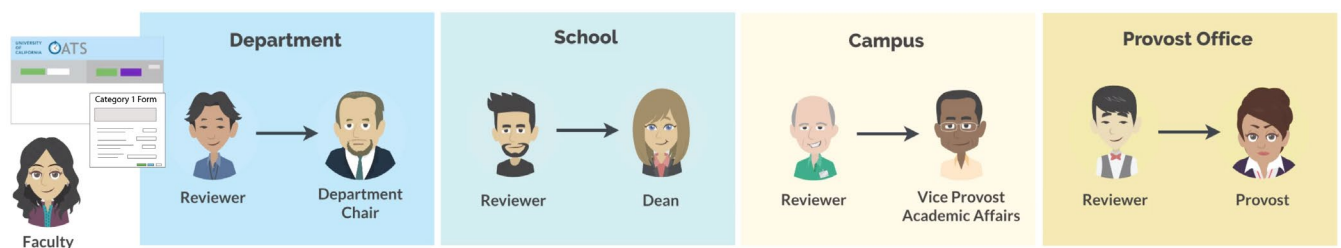
- Review conflict of commitment forms
- Review annual certification reports
- Report earnings paid to the Plan by APM 671 Health Science Compensation Plan participants
- Assign alternate approvers when there is a conflict of interest between the faculty member and approver
- Change faculty status in 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.

- 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.

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

- 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”.

Category I

FORM DETAILS **NOTES**

Activity Label: Teaching at USC Spring 2019

Organization Sector: Non Profit

Organization Name: USC

Start Date: 01/07/2019

Student Involvement: No

Organization Type: For Profit

Activity Type(s)/Role(s): Teaching outside the University (Cat. 1)

End Date: 04/26/2019

Name: apm671, UCD Faculty **Faculty Title:**

Dept: 1561 MEDICINE-NEPHROLOGY (UCD) **School:** Medicine

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

Organization name: USC **General description of the business / agency / organization / group / individual:** I am teaching a class during the Spring Semester

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: * I am teaching a class during the Spring Semester

Start date for which you are seeking approval: 2019-01-07 Fiscal Year: 2019 **Last date for which you are seeking approval:** 2019-04-26 Fiscal Year: 2019

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 of involvement during a Fiscal Year appointment: * 80

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, UCD Faculty (ucd_fac_apm671@ctrl.ucla.edu) 2018/08/17

Action: * Reviewed Send Back To Faculty

Appoint Alternate Approver(s) [What is this?](#) [Add Alternate Approver](#)

No data available in table

Historical Actions

08/17/2018 09:39:15 am	Submit	UCD Faculty apm671 (ucd_fac_apm671@ctrl.ucla.edu)
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[Submit Action](#) [Print](#) [Close](#)

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

Signed on behalf of faculty: apm671, UCD Faculty (ucd_fac_apm671@ctrl.ucla.edu) 2018/08/14

Action: * Reviewed
 Send Back To Faculty

Submit Action Print Close

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

Signed on behalf of faculty: apm671, UCD Faculty (ucd_fac_apm671@ctrl.ucla.edu) 2018/09/27

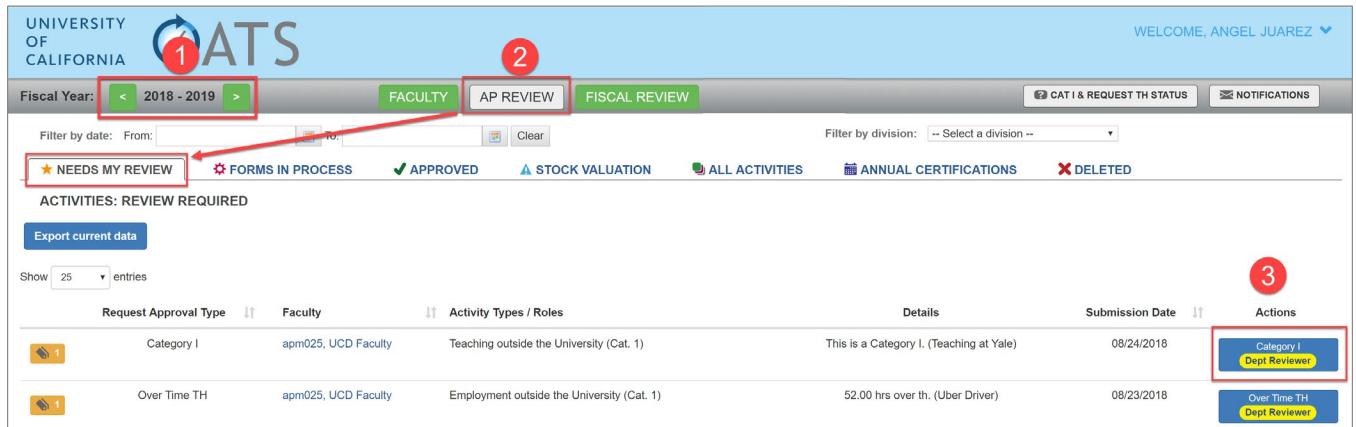
Action:* Approved
 Send Back To Faculty
 Send Back To Reviewer

Submit Action Print Close

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.

The screenshot shows the 'Category I' form details page. At the top, there are tabs for 'FORM DETAILS' and 'NOTES' (highlighted with a red circle 5). Below the tabs, there is a table with the following information:

Activity Label:	Teaching at Yale	Student Involvement:	No
Organization Type:	For Profit	Organization Name:	Yale
Activity Type(s)/Role(s):	Teaching outside the University (Cat. 1)	Start Date:	01/01/2019
End Date:	06/30/2019		

Below the table, there are several fields:

Name: apm025, UCD Faculty Faculty Title:

Dept: 1561 MEDICINE-NEPHROLOGY (UCD) School: Medicine

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

Organization name: Yale General description of the business / agency / organization / group / individual: * East Coast University

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:

- (4) Verify the form contains all necessary information such as,
 - o Detailed description of the business
 - o Description of the nature of the faculty member's relationship to the business
 - o Detailed description of the nature of the faculty member's participation in the activity and possible beneficial outcomes
 - o Verify the faculty member selected the right activity type(s)
- (5) Check the **Notes** tab for messages and attachments related to the request.

APM 025 requests: Please note approval to engage in this activity does not convey approval to exceed the policy time limits. This activity, either alone or in combination with other professional activities during the fiscal year, should not exceed the time limits.

Signed on behalf of faculty: apm025, UCD Faculty (ucd_fac_apm025@ctrl.ucla.edu) 2018/08/24

Action: Reviewed 6 Send Back To Faculty

Appoint Alternate Approver(s) Add Alternate Approver

No data available in table

Historical Actions

08/24/2018 12:24:36 pm	Submit	UCD Faculty apm025 (ucd_fac_apm025@ctrl.ucla.edu)
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Add Activity Note

Message	File	Author	Actions
No data available in table			

Showing 0 to 0 of 0 entries

7 Submit Action Print Close

(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.

Action: Reviewed Send Back To Faculty

Appoint Alternate Approver(s) Add Alternate Approver 1

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

Add Alternate Approver

Search For Faculty/Staff: 2

Selected Faculty/Staff: 1563 - MEDICINE-RHEUMATOLOGY (UCLA) John Smith (ucd_fac_apm671@ctrl.ucla.edu)

Add Close 3

3. Click the **Add** button.

Action: Reviewed Send Back To Faculty

Appoint Alternate Approver(s) Add Alternate Approver

1563 - MEDICINE-RHEUMATOLOGY (UCLA)	Smith, John	----	Remove
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3.2 How to Review Student Involvement Forms

The screenshot shows the University of California ATS interface. At the top, the 'Fiscal Year' is set to '2018 - 2019'. The 'AP REVIEW' tab is selected. A filter for 'NEEDS MY REVIEW' is active. Below, a table lists activities requiring review:

Request Approval Type	Faculty	Activity Types / Roles	Details	Submission Date	Actions
Student Involvement	apm025, UCD Faculty	Providing or presenting a workshop for industry (Cat. 2) Developing scholarly or creative works (Cat. 3)	This is a Student Involvement. (Student Faire)	09/11/2018	Student Involvement Dept Reviewer
Over Time TH	apm025, UCD Faculty	Employment outside the University (Cat. 1)	52.00 hrs over th. (Uber Driver)	08/23/2018	Over Time TH Dept Reviewer

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.

The screenshot shows the 'Student Involvement' form details. The 'FORM DETAILS' tab is active. The form information is as follows:

Activity Label:	Student Faire	Student Involvement:	Yes
Organization Sector:		Organization Type:	Non Profit
Organization Name:	Cookies Inc	Activity Type(s)/Role(s):	Providing or presenting a workshop for industry (Cat. 2) Developing scholarly or creative works (Cat. 3)
Start Date:	09/11/2018	End Date:	06/30/2019

Below the form details is a table of students:

Student Name	Type	Participation Description	Instructional/Supervisory/Evaluative Role?	Details
Christy Christy	Undergraduate	none	No	
Christy Kissel	Graduate	none	No	

- (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.

Action: * Reviewed
 Send Back To Faculty

Appoint Alternate Approver(s) Add Alternate Approver **6**

No data available in table

Historical Actions

09/11/2018 01:51:39 pm	Submit	UCD Faculty apm025 (ucd_fac_apm025@ctrl.ucla.edu)
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7 Submit Action Close

(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.

Action: * Reviewed
 Send Back To Faculty

Appoint Alternate Approver(s) Add Alternate Approver **1**

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

Add Alternate Approver

Search For Faculty/Staff: **2**

Selected Faculty/Staff: * 1563 - MEDICINE-RHEUMATOLOGY (UCLA) John Smith (ucla_fac_apm671@ctrl.ucla.edu)

3 Add Close

3. Click the **Add** button.

Action: * Reviewed
 Send Back To Faculty

Appoint Alternate Approver(s) Add Alternate Approver

1563 - MEDICINE-RHEUMATOLOGY (UCLA)	Smith, John	-----	Remove
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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.

Please Review Activity: Uber Driver

FORM DETAILS | NOTES 5

Activity Label:	Uber Driver	Student Involvement:	No
Organization Sector:		Organization Type:	For Profit
Organization Name:	Uber	Activity Type(s)/Role(s):	Employment outside the University (Cat. 1)
Start Date:	08/20/2018	End Date:	06/30/2019

Plan participant's name: UCD Faculty apm025

The total estimated number of hours to be devoted to this activity: 66.00 hrs

The number of hours that are expected to exceed the threshold: * 52.00 hrs 4

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

Activity Date: 8/20/2018 - 6/30/2019

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: apm025, UCD Faculty (ucd_fac_apm025@ctrl.ucla.edu) 2018/08/23

- (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

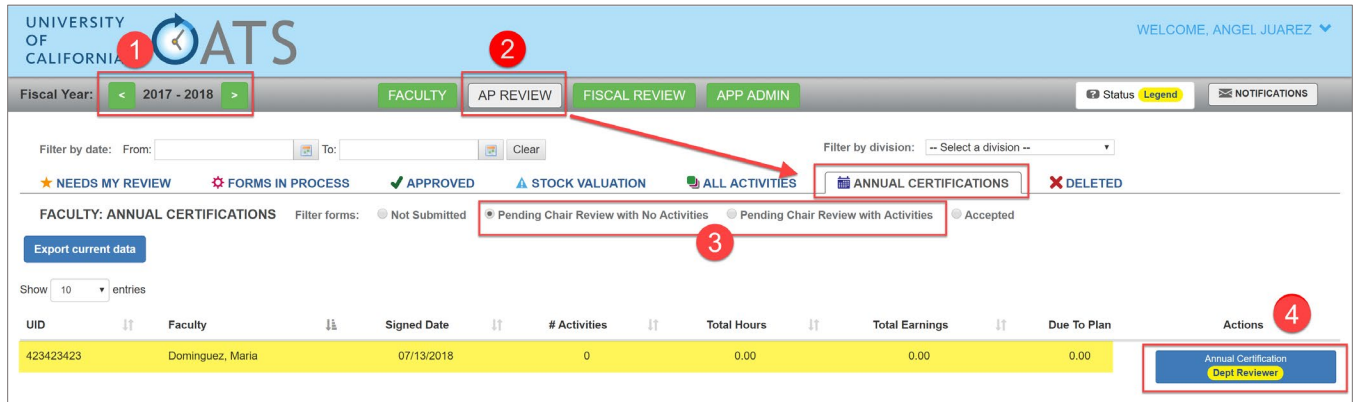
1. Click the **Add Alternate Approver** button.

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

3. Click the **Add** button.

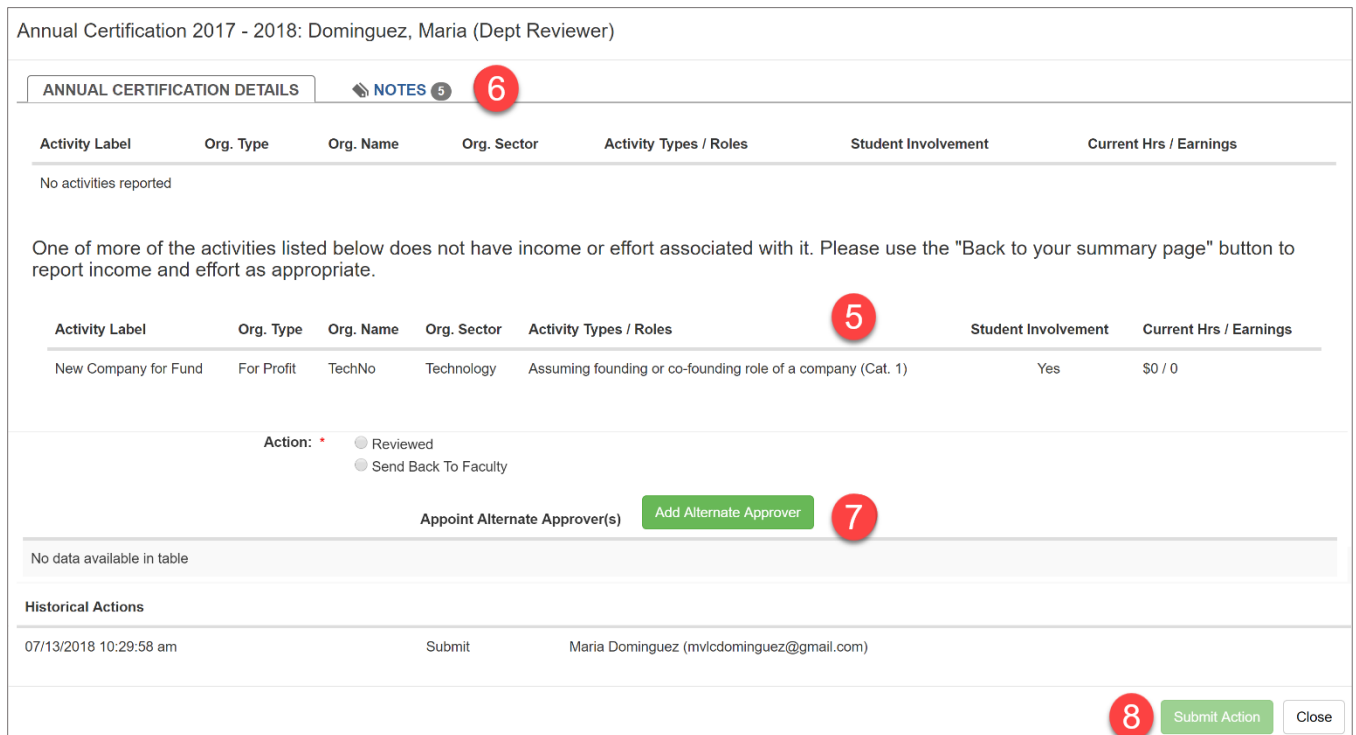
3.4 How to Review Annual Certifications

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.

The screenshot shows a form titled "Appoint Alternate Approver(s)". At the top, there are two radio buttons under the heading "Action": "Reviewed" and "Send Back To Faculty". Below this, there is a green button labeled "Add Alternate Approver" which is highlighted with a red box and a red circle containing the number 1. The text "Appoint Alternate Approver(s)" is centered above the button.

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

The screenshot shows a search dialog titled "Add Alternate Approver". It has a search input field with "John" entered, highlighted with a yellow background and a red circle containing the number 2. Below the input field, a dropdown menu displays "1563 - MEDICINE-RHEUMATOLOGY (UCLA) John Smith (ucla_fac_aprm671@ctrl.ucla.edu)". At the bottom right, there are two buttons: "Add" (highlighted with a red box and a red circle containing the number 3) and "Close".

3. Click the **Add** button.

The screenshot shows the "Appoint Alternate Approver(s)" form after an approver has been added. The "Add Alternate Approver" button is still present. Below it, a table lists the selected approver: "1563 - MEDICINE-RHEUMATOLOGY (UCLA) John Smith". The "Remove" button for this entry is highlighted with a red box. The "Action" section at the top remains the same.

3.5 How to Review Retain Earnings Requests

Important Note

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

The screenshot shows the University of California ATS interface. At the top, the 'Fiscal Year' is set to '2018 - 2019'. The 'AP REVIEW' tab is selected, and a 'NEEDS MY REVIEW' notification is highlighted. A table lists activities, with one entry for 'Retain Earnings' by 'Smith, John' for 'Research outside the University (Cat. 1)'. The 'Actions' column for this entry contains a 'Retain Earnings Dept Reviewer' button.

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.

The 'Retain Earnings' form displays the following details:

Activity Label:	Activity #1	Student Involvement:	No
Organization Type:	For Profit	Organization Name:	Vaults, Inc.
Activity Type(s)/Role(s):	Research outside the University (Cat. 1)	Start Date:	04/01/2018
End Date:	06/30/2018		

REQUEST:

The total expected income from this activity:* \$5,000.00

Name of Entity:* Vaults, Inc.

Amount of total annual earnings that are expected to exceed the threshold and are going to be retained by the faculty member:* \$5,000.00

Justification/circumstances for retention of earnings:* I would like to use this money to continue a project related to my field of study.

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.

- (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.

(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

UNIVERSITY OF CALIFORNIA **ATS** WELCOME, ANGEL JUAREZ

Fiscal Year: < 2018 - 2019 > FACULTY AP REVIEW **FISCAL REVIEW** APP ADMIN

CAT I & REQUEST TH STATUS NOTIFICATIONS

PAYMENT DUE TO PLAN

FACULTY PAYMENTS

Export current data

Show 25 entries

UID	Faculty	Exceed Hours	\$ to Department	\$ Paid	Action
apm246-671, UCD Faculty		0	\$6,300.00	\$0.00	Report a Payment

Showing 1 to 1 of 1 entries

Previous 1 Next

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**.

Report a Payment: apm246-671, UCD Faculty

Add Payment

Check #	Amount	Received Date	Actions
No data available in table			

Showing 0 to 0 of 0 entries

Close

- (5) Add payment details.

Add Faculty Payment

5 Check # *

\$ Amount *

Received Date *

Note

6 Add Close

- (6) Click the **Add** button.

(7) A payment confirmation will appear. Click the **Close** button to exit.

Report a Payment: apm246-671, UCD Faculty

[Add Payment](#)

Success! Faculty payment added successfully. ✕

Check #	Amount	Received Date	Actions
1245	\$2,000.00	09/25/2018	Edit Delete

Showing 1 to 1 of 1 entries

7 [Close](#)

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

PAYMENT DUE TO PLAN

FACULTY PAYMENTS

[Export current data](#)

Show 25 entries

UID	Faculty	Exceed Hours	\$ to Department	\$ Paid	Action
apm246-671	UCD Faculty	0	\$6,300.00	\$2,000.00	Report a Payment

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.

UNIVERSITY OF CALIFORNIA OATS WELCOME, ANGEL JUAREZ

Fiscal Year: 2018 - 2019

FACULTY AP REVIEW FISCAL REVIEW APP ADMIN

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

NEEDS MY REVIEW FORMS IN PROCESS APPROVED STOCK VALUATION ALL ACTIVITIES ANNUAL CERTIFICATIONS DELETED

ACTIVITIES: ATTENTION REQUIRED

Export current data

Activity Label	Activity Types / Roles	Faculty	Reported Earnings	Reported Hrs	Activity Start Date	Actions
Teaching at USC Spring 2019	Teaching outside the University (Cat. 1)	apm671, UCD Faculty	\$0.00	10.00 hr	01/07/2019	Category I Dept Approver

Actions	Type	Check/Transaction #	# of Hours Against Threshold	# of Reported Hours	\$ Amount Threshold	# of Shares	Start Date	End Date
Price Share	Stock		10.00	10.00	\$0.00	1250.00	01/07/2019	04/26/2019

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.

Price Earnings: #18216 for Activity: Teaching at USC Spring 2019

of Shares: 1250.00

Price per Share: * \$

Amount: \$ 0.00

- (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.

UNIVERSITY OF CALIFORNIA OATS WELCOME, ANGEL JUAREZ

Fiscal Year: 2018 - 2019 FACULTY AP REVIEW FISCAL REVIEW APP ADMIN CAT I & REQUEST TH STATUS NOTIFICATIONS

Search: name or department code: Filter by division: -- Select a division --

ALL FACULTY OVER TIME TH OVER EARNINGS TH APPROACHING TH

ALL FACULTY Filter: Faculty with Outside Activities Not in Goodstanding Leave to engage in Outside Activity

Export current data

UID	Last Name	First Name	Actual Hours	Actual Earnings	# Activities
apm671	UCD Faculty	UCD Faculty	100.00	13,050.00	7
apm025	UCD Faculty	UCD Faculty	54.25	0.00	5

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.

< Back to faculty list

apm671, UCD Faculty APM Policy: 671

TIME: 100 hr Time Threshold: ↑384 hr

EARNINGS: \$13,050 Earnings Threshold: ↑\$40,000.00

Faculty Status: Not in good standing Leave to engage in outside activity Override earnings threshold Override time threshold

Comment: Update

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.

The screenshot shows the University of California ATS interface. At the top, there is a navigation bar with the University of California logo, the 'ATS' logo, and a welcome message for Angel Juarez. Below the navigation bar, there are several tabs: 'FACULTY' (highlighted with a red circle 1), 'AP REVIEW', 'FISCAL REVIEW', and 'APP ADMIN'. There are also buttons for 'CAT I & REQUEST TH STATUS' and 'NOTIFICATIONS'. A search bar is present with a red circle 2 next to it. Below the search bar, there are tabs for 'ALL FACULTY' (highlighted with a red circle 2), 'OVER TIME TH', 'OVER EARNINGS TH', and 'APPROACHING TH'. Below these tabs, there are filter options: 'Faculty with Outside Activities', 'Not in Goodstanding', and 'Leave to engage in Outside Activity'. An 'Export current data' button is also visible. A table of faculty members is shown with columns for 'UID', 'Last Name', 'First Name', 'Actual Hours', 'Actual Earnings', and '# Activities'. The first row is highlighted with a red circle 3 and a red box around the name 'apm671 UCD Faculty'.

UID	Last Name	First Name	Actual Hours	Actual Earnings	# Activities
apm671	UCD Faculty	UCD Faculty	100.00	13,050.00	7
apm025	UCD Faculty	UCD Faculty	54.25	0.00	5

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.

The screenshot shows the threshold adjustment screen for a faculty member. At the top, there is a button for '< Back to faculty list'. Below that, the faculty member's name 'apm671, UCD Faculty' and 'APM Policy: 671' are displayed. The screen is divided into three sections: 'TIME', 'EARNINGS', and 'Faculty Status'. The 'TIME' section shows a current value of '100 hr' and a threshold of '384 hr' with an upward arrow. The 'EARNINGS' section shows a current value of '\$13,050' and a threshold of '\$40,000.00' with an upward arrow. The 'Faculty Status' section has several checkboxes: 'Not in good standing', 'Leave to engage in outside activity', 'Override earnings threshold', and 'Override time threshold' (checked). Below these checkboxes, there is a text input field containing '340' and an 'Update' button (highlighted with a red circle 5).

5 REPORTS

5.1 Export Data into a Report

Filter by date: From: To: Clear

Filter by division: -- Select a division --

★ NEEDS MY REVIEW ✖ FORMS IN PROCESS ✓ APPROVED ▲ STOCK VALUATION 🌐 ALL ACTIVITIES 📅 ANNUAL CERTIFICATIONS ✖ DELETED

ACTIVITIES: REVIEW REQUIRED

Export current data ← 1

Show 25 entries

Request Approval Type	Faculty	Activity Types / Roles	Details	Submission Date	Actions
Category I	apm025, UCD Faculty	Teaching outside the University (Cat. 1)	This is a Category I. (Teaching at Yale)	08/24/2018	Category I Dept Reviewer
Category I	apm246-671, UCD Faculty	Assuming founding or co-founding role of a company (Cat. 1)	This is a Category I. (Category I)	08/23/2018	Category I Dept Reviewer

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.

Request Approval Type	Department	Faculty	Activity Types / Roles	Details	Submission Date
Category I	1561 - MEDICINE-NEPHROLOGY (UCD)	apm025, UCD Faculty	Teaching outside the University (Cat. 1)	This is a Category I. (Teaching at Yale)	08/24/2018
Category I	1561 - MEDICINE-NEPHROLOGY (UCD)	apm246-671, UCD Faculty	Assuming founding or co-founding role of a company (Cat. 1)	This is a Category I. (Category I)	08/23/2018
Category I	1561 - MEDICINE-NEPHROLOGY (UCD)	apm240-025, UCD Faculty	Administration of a grant outside the University (Cat. 1)	This is a Category I. (Act_20180828_163907477)	08/28/2018
Category I	1561 - MEDICINE-NEPHROLOGY (UCD)	Dennis, Robert	Assuming founding or co-founding role of a company (Cat. 1)	This is a Category I. (Space XYZ)	09/11/2018
Category I	1561 - MEDICINE-NEPHROLOGY (UCD)	apm671, UCD Faculty	Administration of a grant outside the University (Cat. 1)	This is a Category I. (Act_20180828_164058717)	08/28/2018
Category I	1561 - MEDICINE-NEPHROLOGY (UCD)	apm025, UCD Faculty	Administration of a grant outside the University (Cat. 1)	This is a Category I. (Act_20180828_164611169)	08/28/2018
Category I	1561 - MEDICINE-NEPHROLOGY (UCD)	apm240-025, UCD Faculty	Administration of a grant outside the University (Cat. 1)	This is a Category I. (Act_20180828_164704166)	08/28/2018
Category I	1561 - MEDICINE-NEPHROLOGY (UCD)	apm671, UCD Faculty	Administration of a grant outside the University (Cat. 1)	This is a Category I. (Act_20180828_164845116)	08/28/2018
Over Time TH	1561 - MEDICINE-NEPHROLOGY (UCD)	Dennis, Robert	Assuming founding or co-founding role of a company (Cat. 1)	123.75 hrs over th. (Space XYZ)	09/12/2018
Over Time TH	1561 - MEDICINE-NEPHROLOGY (UCD)	apm240-025, UCD Faculty	Administration of a grant outside the University (Cat. 1)	11.50 hrs over th. (Act_20180828_163907477)	09/12/2018
Over Time TH	1561 - MEDICINE-NEPHROLOGY (UCD)	apm240-025, UCD Faculty	Administration of a grant outside the University (Cat. 1)	50.00 hrs over th. (Act_20180828_163907477)	09/12/2018
Student Involvement	1561 - MEDICINE-NEPHROLOGY (UCD)	Dennis, Robert	Providing or presenting a workshop for industry (Cat. 2)Develop	This is a Student Involvement. (Student Faire)	09/11/2018

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.