

July 9, 2019

This message is being sent to all Academic Department Chairs and all Senate Faculty

Academic Personnel Manual ([APM](#)) [025, Conflict of Commitment and Outside Activities of Faculty Members](#), requires certain faculty members to file an annual report of outside professional activities (Category I and II, as described below) each year, and to request prior approval for certain types of outside professional before the activity occurs. **Prior approval** is required to: (1) engage in Category I activities, or (2) involve a graduate student in outside professional activity. A copy of [Red Binder I-29, Conflict of Commitment and Outside Professional Activities](#), which lists examples of the types of activity that falls into each category, is attached for your convenience.

Faculty holding the following titles at 50% time or more must report annually:

- Assistant Professor, Associate Professor, Professor
- The above titles when used with an Acting or Adjunct pre-fix
- Lecturer PSOE, Lecturer SOE, Senior Lecturer SOE

Retired faculty are not required to complete a 2018-19 report. New hires for Fall 2019 are not required to complete a 2018-19 report.

The campus has recently transitioned to the new systemwide Outside Activity Tracking System (OATS). While policy has not changed, the new system does differ in terms of navigation and the manner in which some information is reported and requested. OATS may be accessed directly at <https://ucsb.ucoats.org/>, however you are strongly encouraged to use the step-by-step instructions that follow when you first sign on to the system.

### **Annual reporting**

Forms must be completed no later than **October 31, 2019** and should include activities for the period of July 1, 2018 through June 30, 2019. Because faculty must certify the completion of the annual reports when submitting their advancement cases, faculty putting forward cases during the 2019-20 cycle will need to complete the forms prior to the departmental deadline for submission of case materials.

### **Prior approval**

Prior approval of Category I activity is required even if the activity will take place while on an approved leave or over the summer period. If you anticipate engaging in Category I activities or involving graduate students in outside activities, you are required to request prior approval. Prior approval must take place before the activity begins.

The following step-by-step directions will guide you through the process, depending on your needs. Additional resources are listed at the end of the announcement.

**Reporting for 2018-19:**

- A. [Faculty with No Outside Activities](#)
- B. [Faculty with Category II Outside Activities for 2018-19](#)
- C. [Faculty with Category I Outside Activities requiring Prior Approval in 2018-19](#)

(Faculty with both Category I and II activity in 2018-19 will need to refer to B and C.)

**Prior Approval for 2019-20:**

- D. [Faculty with Category I Outside Activities in 2019-20 requiring Prior Approval](#)

**Please note:** Reports for years prior to 2018-19 cannot be completed in OATS. To complete late reports for prior years please log onto the Academic Personnel home page and click on "[Outside Professional Activities \(APM-025\) - Prior to 2018-19](#)."

Step-by-Step instructions and OATS Training Resources may be accessed directly at <https://ap.ucsb.edu/resources.for.department.analysts/oats/training.resources/>

Questions regarding the prior approval may be addressed to Helly Kwee at [helly.kwee@ucsb.edu](mailto:helly.kwee@ucsb.edu) x5428 or Lia Cabello at [lia.cabello@ucsb.edu](mailto:lia.cabello@ucsb.edu) x5979.

Technical questions may be submitted to [help@aait.ucsb.edu](mailto:help@aait.ucsb.edu)

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**CONFLICT OF COMMITMENT AND OUTSIDE PROFESSIONAL ACTIVITIES**

(Revised 7/19)

**General information**

APM 025 provides specific guidelines concerning potential conflicts of commitment that may arise when faculty participate in outside professional activity, both compensated and uncompensated. While there is great value in activities outside the University that advance and communicate knowledge, it is important that these activities not conflict with the faculty member's primary responsibility to the University.

Faculty members holding the following titles are subject to APM 025:

- Assistant Professor, Associate Professor, Professor
- The above titles when used with an Acting or Adjunct pre-fix
- Lecturer PSOE, Lecturer SOE, Senior Lecturer SOE

In addition, administrative officers who hold appointments in any of the above titles are subject to APM-025, regardless of the current percent of time in the academic appointment.

A full-time faculty member on a nine-month appointment may not engage in outside professional activity for more than 39 days during the academic year. The 39-day limitation does not apply during periods of leave without pay, however prior approval of category I activity and reporting of category I and II activity is still required. Faculty receiving compensation from the University during the summer period (i.e. Summer Session teaching or research compensation) may engage in a maximum of one day per week of outside professional activity.

**Categories Of Outside Professional Activity**

Three categories of outside activity have been defined, in terms of the extent to which they may raise a conflict of commitment. See APM-025 for a complete explanation of activity

Category I activities are likely on their face to raise issues of conflict of commitment. Such activities are **not allowed without prior approval** from the Chancellor or designee, and when approved are subject to the 39-day limit, and must be reported on an annual basis. Prior approval is required even if the activity will take place during a period of leave without pay. Category I activities include:

- Assuming an executive or managerial position in a for-profit or not-for-profit business.
- Assuming a founding or a co-founding role of a company.
- Administering a grant outside the University that would ordinarily be conducted under the auspices of the University.
- Establishing a relationship as an employee outside the University, including teaching or research at another institution.
- Other professional activity that common sense and good judgment would indicate are likely to raise issues of conflict of commitment.

Category II activities are unlikely to raise issues of conflict of commitment. They are allowed without prior approval up to the 39-day limit and must be reported on an annual basis. Such activities include:

- Teaching for Professional and Continuing Education.
- Testifying as an expert in administrative, legislative, or judicial hearings.
- Providing consulting services or engaging in professional practice as an individual, single- member professional corporation or sole proprietorship.
- Serving on the board of directors of an outside entity.

- Providing workshops for industry.
- Other outside professional activity not mentioned in Category I or III that common sense and good judgment indicate are not likely to raise issues of conflict of commitment.

Category III activities are accepted as part of a faculty member's scholarly and creative work. Even if compensated they are allowed, and do not count towards the 39-day limit. Category III activities include:

- Serving on a committee, panel, or commission established by a governmental agency.
- Acting as a reviewer or editor for journal or book manuscripts.
- Serving as a committee member or an officer of a professional or scholarly society, or providing professional services to such societies.
- Participating in or accepting a commission for an artistic performance or event not sponsored by the University.
- Presenting an invited lecture or paper at a meeting.
- Developing scholarly communications, even when such activities result in financial gain.
- Accepting honoraria (other than those received for Category II activities) and prizes.

### **Prior approval requirements**

Request for approval to: (1) engage in Category I activities, or (2) involve a graduate student in outside professional activity (see the campus [Policy on Conflict of Interest in Graduate Education](#) for guidelines for such activity) must be submitted to the Department Chair by **June 30** for the upcoming academic year. Prior approval requests are submitted via OATS which may be accessed through the Academic Personnel web site. The Department Chair will review the request within the context of departmental teaching demands, sabbatical leaves, other leaves, etc., and endorse or deny each request. The request will then be forwarded to the appropriate Dean for approval.

### **Reporting requirements**

All category I and category II activity must be reported on an annual basis. The annual report period is from July 1st to June 30th of each year. Reporting is done via OATS. This report must be completed annually by each faculty member by September 15 of the calendar year. Faculty may access OATS via the Academic Personnel website to complete the report. The Chair must review and approve each report. The Dean will review and approve the report of the Chair. The reports are considered to be non-confidential in nature and are subject to public inspection.