

## Reviewing Student Involvement and Category I Outside Activity Requests

- Department chairs review and move forward Student Involvement and Category I prior approval requests.
- Academic deans review and approve or deny Student Involvement and Category I activity prior approval requests.

See also:

UC system-wide resources: <https://info.ucoats.org/pages/approver-CatI-025>

UC system-wide policy: [APM 025](#)

Campus policy: [Red Binder I-29](#)

Steps in reviewing prior approval I forms:

1. Log into OATS at <https://ucsb.ucoats.org/>
2. Click to Fiscal Year—Faculty can submit prior approval forms for different fiscal years, so you may need to toggle between fiscal years to view all forms in your queue.
3. Click on the "Review/Approval" button and the "Forms Approval Pending" tab.  
The "Forms Approval Pending" tab is your queue. All prior approval forms awaiting your approval within the selected fiscal year will be displayed.

UNIVERSITY OF CALIFORNIA OATS WELCOME, P

Became 68469

Fiscal Year: < 2020 - 2021 > REVIEW/APPROVAL ANNUAL CERTIFICATIONS FACULTY'S VIEW Status Legend

Search by UID or name: Filter by date: From: To: Clear

FORMS APPROVAL PENDING FORMS APPROVED ALL ACTIVITIES

Form Type  Category I  Student Involvement  Exceed Threshold  Retain  
Filter: Earnings

Update

FORMS: APPROVAL PENDING

Export current data

Show 100 entries

Request Approval Type	Faculty	Activity Types / Roles	Label	Submission Date	Primary U
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4. Click on the prior approval form in the blue/yellow field:

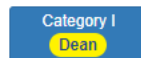
FORMS: APPROVAL PENDING

Export current data

Show 100 entries

Request Approval Type	Faculty	Activity Types / Roles	Label	Submission Date	Primary Unit	Item
Category I	Marshall, Thurgood	Providing outside consulting services or referrals or engaging in professional practice as an individual or through a single-member professional corporation or sole proprietorship (Cat. 2) Assuming founding or co-founding role of a company (Cat. 1)	Founding of Cryptcorps	01/13/2020	999991 - Dept of Redundancy Department	Category I Chair
Student Involvement	Blackwell, Elizabeth	Providing or presenting a workshop for industry (Cat. 2) Consulting for for-profit entity (Cat. 2)	MED Corp. Workshop	10/22/2019	999991 - Dept of Redundancy Department	Student Involvement Chair

Deans' view:



5. Review the form to verify that information provided is adequate to make a decision. Check the Notes field for additional information.

Category I

FORM DETAILS NOTES

Organization Name: Cryptcorps  
 Activity Type(s)/Role(s): Providing outside consulting services or referrals or engaging in professional practice as an individual or through a single-member professional corporation or sole proprietorship (Cat. 2)  
 Assuming founding or co-founding role of a company (Cat. 1)  
 Student Involvement: Yes

Type: For Profit  
 Activity Label: Founding of Cryptcorps

Name: Marshall, Thurgood  
 Dept: 999991 Dept of Redundancy Department  
 School: UCI

Type of Category I Activity in which you will be involved: Assuming founding or co-founding role of a company

Organization name: Cryptcorps  
 General description of the business / agency / organization / group / individual: Start-up company that seeks to develop cell-based therapies for cancer

Please list the web address of the company:

Nature of your relationship to entity named above (check all that apply):\*

Board Member  
 Equity/Royalty Interest  
 Owner  
 Stockholder/Partnership Interest

Consultant (1099)  
 Founder/Co-Founder  
 Salaried Employee (W-2)  
 Other, please explain:

6a. Scroll down to see available actions (Dept Chair):

**Approver Options:**

- **Mark As: Approved** - Selecting "Approved" will move the form forward to the next level of review and approval (if necessary).
- **Mark As: Acknowledged\*\*** - Selecting "Acknowledged" will move the form forward to the next level of review and approval (if necessary).
- **Return To: Reviewer** - Selecting this option will return the form one step back to the reviewer. In the space provided, enter a detailed reason why the form is being returned to the reviewer.

- **Return To: Faculty** - Select this option if further information is needed from the faculty member. When this option is selected, a "Note" field will appear. Enter details about the reason the form is being returned.
  - If the faculty member selected the wrong activity type(s), they will need to delete the activity from their workspace and resubmit the form with the correct activity. Once the faculty member makes the corrections and resubmits the form, it will process through the approval workflow again.

**Has the faculty engaged in the activity before receiving permission?** - Faculty answer this question when filling out the Category I form, however, if you know the faculty member has engaged in the activity before they received permission, you can select "Yes". This field is for information purposes. **\*\*You may opt to select Mark As: Acknowledged based on this field.**

6b. Scroll down to see available actions (Dean):

**Final Approver Options:**

- **Mark As: Approved** - Selecting "Approved" will finalize the form. Enter the Category I form expiration date in the space provided.
  - Enter an Expiration Date—you may choose to approve the date as requested or you may enter an earlier date
- **Mark As: Acknowledged\*\*** - Selecting "Acknowledged" finalize the form. Enter the Category I form expiration date in the space provided.
- **Mark As: Denied** - Select this option if the category one form is not approved along with a reason for the denial in the space provided.
- **Return To: Reviewer, Department, Faculty** - Selecting this option will return the selected location. Enter a detailed reason why the form is being returned in the space provided.

**Has the faculty engaged in the activity before receiving permission?** - Faculty answer this question when filling out the category I form, however, if you know the faculty member has engaged in the activity before they received permission, you can select "Yes". This field is for information purposes. **\*\*You may opt to select Mark As: Acknowledged based on this field.**

The screenshot shows a form with three sections:

- Mark As:** Three green buttons labeled "Approved", "Acknowledged", and "Denied". To the right is an "Expiration Date" field with an asterisk and a calendar icon.
- Return To:** Three orange buttons labeled "Reviewer", "Department", and "Faculty".
- Has the faculty engaged in the activity before receiving permission?** A radio button question with "Yes" and "No" options. The "No" option is selected.

7. Click the "Submit Action" button