OATS Reviewers Demo

Training Agenda

1. APM 025 policy review
2. Introduction to UC OATS
3. UC OATS roles
4. Prior approval workflows
5. UC OATS live demo
6. Training resources

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Conflict of Commitment and Outside Activities
APM 025

May 2019

UC **SANTA BARBARA**

APM 025 *Conflict of Commitment and Outside Activities Reporting*

- ▶ Policy governs conflicts of time and effort that may interfere with the faculty member's primary professional obligations to UC
- ▶ Applies to titles at 50% time or more:
  - ▶ Assistant, Associate, full Professors
  - ▶ Lecturer PSOE, Lecturer SOE, Sr. Lecturer SOE
  - ▶ Above titles when used with Acting or Adjunct pre-fix
  - ▶ Faculty administrators
- ▶ Additional Reporting requirements & restrictions apply for full-time faculty administrators
  - ▶ Deans (APM 240)
  - ▶ Associate Vice Chancellor (APM 246)

APM 025 *Requirements*

- ▶ Prior approval
  - ▶ for Category I activities
  - ▶ for activities involving students
- ▶ Annual reporting
  - ▶ of Category I or Category II activities, or certification of no activity
- ▶ 39 day (312 hour) limit during academic year, even with prior approval
- ▶ Compensated *or* uncompensated activity
- ▶ During periods of leave
  - ▶ Unpaid leave: no time limits or effort reporting
  - ▶ Paid leave (e.g. sabbatical): requires activity & time reporting

APM 025 *Summer Policies*

- ► Conflict of Commitment, but no time limits during summer unless receiving additional University summer compensation
    - ► e.g. Research compensation, Summer Session teaching
- ► Prior approval required for Category I activities or student involvement
- ► Limit of one day (8 hrs) per week during periods when University summer compensation is received
    - ► Separate from 39 days during academic year
    - ► Funding agencies may have restrictions

APM 025 *Categories of Outside Activity*

- ► Category I examples:
    - ► Assuming an executive or managerial position in a for-profit or non-profit business
    - ► Assuming a founding or co-founding role of a company
    - ► Administering a grant outside of UC
    - ► Establishing a relationship as salaried employee outside the University, incl. teaching or research at another institution
- ► Category II examples:
    - ► Teaching for Prof. and Continuing Education (formerly Extension)
    - ► Providing consulting services
    - ► Serving on a board of directors of an outside entity
    - ► Providing workshops for outside industry

APM 025 *What's changing?*

- ▶ System is changing, policy *is not* changing
  - ▶ OATS replaces AP Folio for reporting year 2018-19 forward
- ▶ Activity reported in hours not days (312 hours = 39 days)
- ▶ Activity entries may be made throughout the year
- ▶ User roles in OATS:
  1. Faculty
  2. Reviewers (administrative staff)
  3. Approvers
- ▶ Deans review and approve or deny prior approval requests

Resources

- ▶ Campus APM 025 policy *(now under revision to reflect changes):*
  - ▶ Red Binder I-29: Conflict of Commitment and Outside Professional Activities https://ap.ucsb.edu/policies.and.procedures/red.binder/
- ▶ System-wide APM 025 policy:
  - ▶ APM-025: Conflict of Commitment and Outside Activities of Faculty Members https://www.ucop.edu/academic-personnel-programs/_files/apm/apm-025-07-01.pdf
- ▶ System-wide UC OATS information:
  - ▶ https://info.ucoats.org/pages/training
- ▶ UCSB OATS project page:
  - ▶ https://aait.ucsb.edu/projects/oats/

Resources

▶ Academic Personnel

  ▶ Helly Kwee – MLPS, Engineering, ORUs, Bren

    ▶ x5428, helly.kwee@ucsb.edu

  ▶ Lia Cabello – Soc Sci, Acad Programs, Creative Studies, Educ, HFA

    ▶ x5979, lia.cabello@ucsb.edu

  ▶ June Betancourt – Assoc. Director

    ▶ x5728, june.betancourt@ucsb.edu

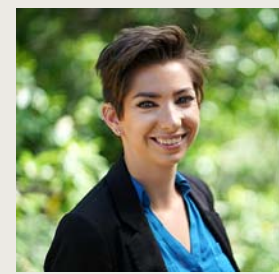 ▶ Cindy Doherty – Director

    ▶ x8332, cindy.doherty@ucsb.edu

UC OATS Team

Angelique Juarez,
Training Specialist

Buddy Dennis, PhD
Technical Director

Christy Forte,
Program Manager

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Project Overview

The UC Outside Activity Tracking System is a multi-campus collaboration used by faculty, deans, and faculty administrators to report and track Outside Professional Activities. The UC OATS application is based on an application of the same name that was developed for the DGSOM in 2016.

There are eight campuses currently engaged in the UC OATS initiative.

Berkeley UC**DAVIS** UCIrvine Ucla UCSB UNIVERSITY OF CALIFORNIA SANTA CRUZ UCSanDiego UCSF

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Project Team and Governance

Governance Board

- Provides UC-oriented support structure
- 2 representatives per campus
- 1 vote per campus
- Approves scope, budget, and timeline

Working Group

- Defines requirements and performs user acceptance testing
- 1-2 representatives per campus
- Serves as the partner for implementation

Technical Partner

- Responsible for the build, development, maintenance, and implementation of UC OATS
- 4 developers, 3 directors, 1 business analyst, 1 trainer, and 1 project manager

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UNIVERSITY OF CALIFORNIA
OATS

Outside Activity Tracking System

Reviewer Training
APM 025

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Disclaimers

UC OATS Train
Environmen

OATS
8 hours

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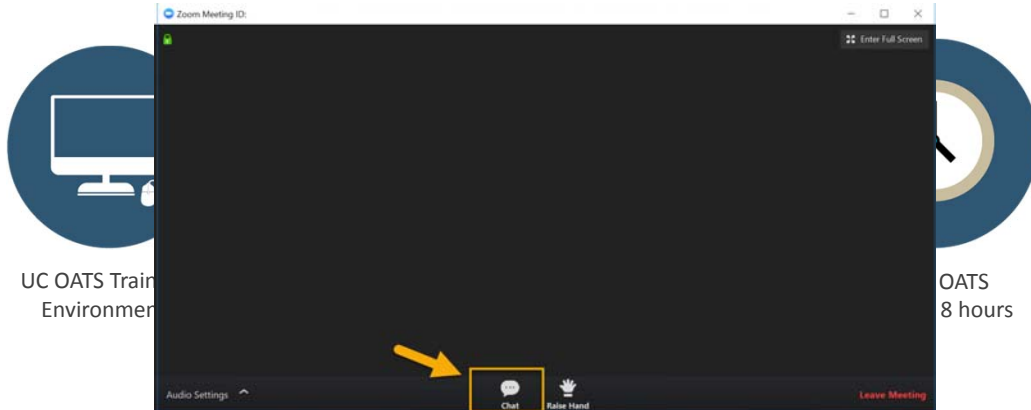
Learning Objectives

At the end of this training, you will be able to,

1 Describe how UC OATS determines the category type and prior approval requirement(s) of an activity

2 Describe the approval workflow for prior approval forms and annual certification reports

3 Demonstrate how to review a prior approval form

4 Demonstrate how to track the status of a prior approval form in UC OATS

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UC OATS Roles

UC OATS is a role-based system. In UC OATS you can,
- Review prior approval forms
- Review annual certification reports

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Prior Approval Forms

There are 4 forms available in UC OATS:
1. Category 1
2. Student Involvement
3. Request to Exceed Threshold
4. Annual Certification

The faculty's title will determine the routing for each request.

Prior Approval Workflows

Category I
Student Involvement

Annual Certification
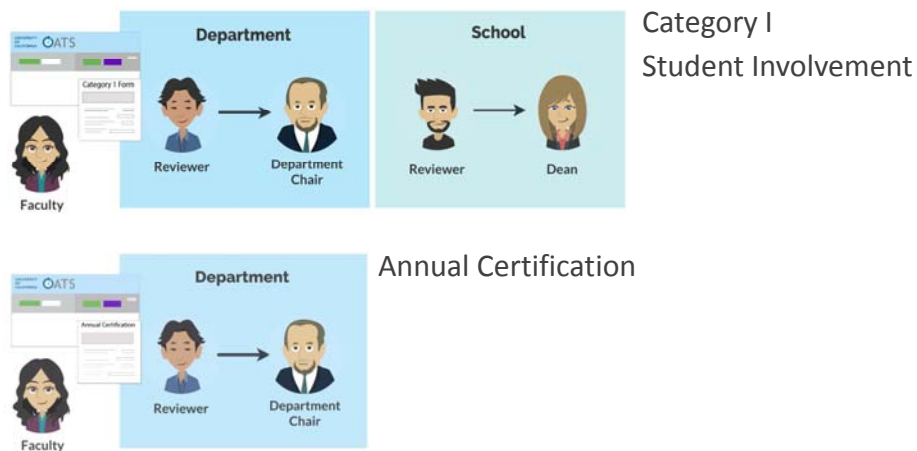
UNIVERSITY
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CALIFORNIA **OATS**

DEMO

Scenario: Founding a Company

Professor Clara Barton will be founding a start-up biotech company, SanguiLux, aimed at commercializing new technology based on research she has conducted at UCSB. One of her grad students will be working part-time at the company. The technology offers an innovative, non-invasive way to continuously monitor blood glucose levels in diabetes patients. Prof. Barton plans to take leave during AY 2019-20. Fall and winter quarters she will request leave without salary. Spring quarter she will request a full sabbatical, returning to regular service in 2020-21. The company will have a board of directors and will hire a CEO to oversee the operation. Her longer term role will be to serve on the BOD and work for SanguiLux as a consultant.

In fall and winter quarters she will spend full time on the company while in spring quarter, she anticipates spending time consulting. After the first year, she anticipates that her BOD and consulting work will require 2 days per month.

Resources

UCSB OATS Website

https://aait.ucsb.edu/projects/oats/

UC OATS Training Website

https://info.ucoats.org/pages/training