

OATS Approvers 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

Conflict of Commitment and Outside Activities APM 025

May 2019

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

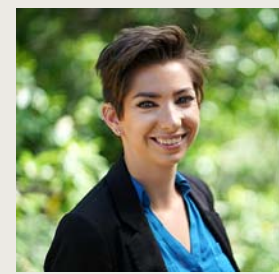
UC OATS Team



Angelique Juarez,
Training Specialist



Buddy Dennis, PhD
Technical Director



Christy Forte,
Program Manager

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.



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

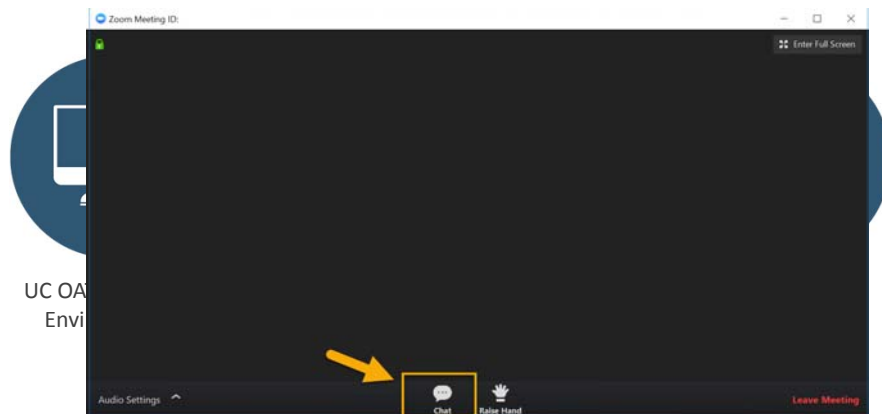
- Responsible for the build, development, maintenance, and implementation of UC OATS
- 4 developers, 3 directors, 1 business analyst, 1 trainer, and 1 project manager



Outside Activity Tracking System

Approver Training APM 025

Disclaimers



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

UC OATS Roles

UC OATS is a role-based system. In UC OATS you can,

- Approve prior approval forms
- Approve annual certification reports

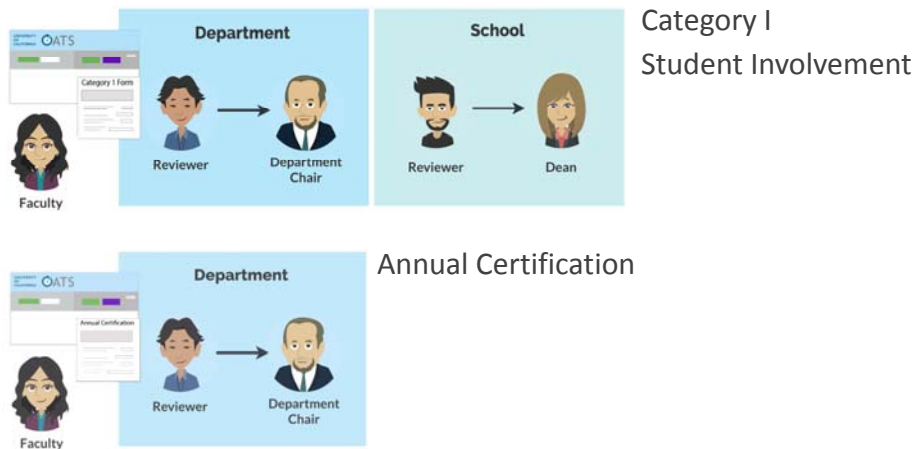
Prior Approval Forms

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



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DEMO

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Learn more at <http://info.ucoats.org>

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.

DGIT | Digital Technology

Learn more at <http://info.ucoats.org>

Resources

UCSB OATS Website

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

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UC Outside Activity Tracking System (OATS)

The **Outside Activities Tracking System (OATS)** is a multi-campus collaboration intended to facilitate the collection, review, and reporting of faculty outside professional activities that are subject to the University of California's Conflict of Commitment policies: APM 025, APM 240, APM 246.

OATS replaces the current online AP Folio Conflict of Commitment and Outside Professional Activities reporting and prior approval request system. OATS is a comprehensive system that we expect will simplify the annual reporting process, requests for Category I prior approval, and involvement of students in outside activities.

OATS is scheduled to go live at UCSB in June of 2019. Accounts will be automatically generated and campus users will login via the UCSB OATS portal at <https://aait.ucsb.edu/oats> using their UCSBnetID credentials. More information and resources for users will be announced soon.

For Non-Technical Inquiries:	jane.betanacourt@ucsb.edu (805) 893-5728
For Technical Inquiries:	info@aait.ucsb.edu (805) 893-2495

OATS is a role-based system where access and functionality is assigned as follows:

- Faculty** - faculty who are subject to the policies noted above
- Reviewers** - administrative and departmental staff responsible for reviewing APM 025 prior approval Category I and student involvement requests, and annual certifications.
- Approvers** - department chairs and deans responsible for approving APM 025 prior approval Category I and student involvement requests, and annual certifications.

Once the system is active, the following requests and reporting will be routed through OATS for review and approval:

- Prior approval requests to engage in an APM 025 Category I activity
- Requests to involve students in an outside professional activity
- Report and record time for APM 025 Category I and II activities
- Annually certify outside professional activities that are subject to APM 025

For more information about the initiative and project, visit the [UC OATS website](#). You can also watch the [introductory UC OATS introduction video](#).

[Click here to access the UC OATS Site](#)

UC OATS Training Website

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

O25 Faculty Training

UC OATS is an interactive web-based system that facilitates the reporting of outside professional activities and determines appropriate review and approval requirements, enabling you to easily comply with the University of California Conflict of Commitment policies. This training is specific to general campus faculty. Faculty participating in the Health Sciences Compensation Plan may click [here](#).

Tutorials

View our short video series for a quick overview of UC OATS.

- UC OATS Workspace Overview
- Reporting and Tracking Outside Professional Activities
- Annual Certification (COMING SOON)
- Summer Outside Professional Activities (COMING SOON)



UC OATS Workspace Overview



Reporting & Tracking Outside Professional Activities

User Guides

The user guide below shows all current system functionality available in UC OATS. Some features of the application may not be in use at your campus. Please consult with your local campus contacts for additional questions.

The following user guides are for General Campus Faculty, Deans, and 100% Faculty Administrators.

- UC OATS Faculty User Guide
- UC OATS Faculty Annual Certification User Guide