

2020-2021 ANNUAL CERTIFICATION INSTRUCTIONS UC OUTSIDE ACTIVITY TRACKING SYSTEM (UC OATS)

Reviewing Annual Certifications as a Dept. Reviewer or Dean Reviewer

Review instructions vary slightly for Department Approvers (Chairs) and Dean Approvers (Associate Dean or Dean). Their instructions are available at: <https://aadocs.ucdavis.edu/tools/oats/annual-certification-review-dept.-approver-and-dean-approver-roles.pdf>

1. Go to: <https://ucdavis.ucoats.org/>
2. Click on “Log in to OATS”.

Log in to OATS

3. Sign in using your campus Username and Passphrase.

UCDAVIS
UNIVERSITY OF CALIFORNIA
Central Authentication Service (CAS)

Username:

Passphrase:

LOGIN

To review and approve annual certification reports:

Form ID	UCPath ID	Faculty	Department	Signed Date	# Activities	Total Hours	Total Earnings	Due To Plan	Primary Unit	Actions
4740	1234587	Anthony, Susan B	99991 - Department of Redundancy Department	07/22/2021	1	80.00	4,000.00	0.00	99991 - Department of Redundancy Department	Annual Certification Department Reviewer
4732		Ochoa, Elean	99991 - Department of Redundancy Department	07/20/2021	1	80.00	0.00	0.00	99991 - Department of Redundancy Department	Annual Certification Department Reviewer

1. Go to the "Fiscal Year" indicator and toggle the back arrow to go to the previous fiscal year.
2. Click on the "AP Review" button and then the “Annual Certifications” tab.
3. Annual certification reports are divided into two queues: "Without Activities" and "With Activities." Select a queue.

“**Without activities**” queue: you have the ability to [025 – bulk review annual certification reports](#) or [671 – bulk review annual certification reports](#). As a “Reviewer,” if you notice that someone is reporting they did not engage in outside professional activities, but you recall differently, do not move their Annual Certification forward. Please follow up/check in with the person to see if perhaps this was an oversight. Based on what you find out, either return the report or move it forward.

“**With activities**” queue:

4. Click on each annual certification report (blue box with yellow highlighted “Department or Dean Reviewer”).

5. Review the annual certification report:

Annual Certification 2020 - 2021: Anthony, Susan B (Department Reviewer)

Name: Anthony, Susan B Department: 99991 Department of Redundancy Department School: UCLA
 Appointment: Fiscal-year Terms of leave, if any:

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ANNUAL CERTIFICATION DETAILS **NOTES** SIGNED VERSION

Activity Label	Organization Type	Organization Name	Activity Type(s) / Role(s)	Student Involvement	Current Hrs / Earnings
Consulting	For Profit	Johnson & Co.	Consulting or testifying as an expert or professional witness (Cat. 2)	No	80.00 / \$4,000.00

Income #	Type	Check/Transaction #	Number of Shares	# of Reported Hours	\$ Amount Threshold	Date(s) Worked
741345	Cash (Check/EFT)			80.00	\$4,000.00	2020-08-03 / 2020-08-24

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Total # Hours: 80.0 Total Income Earned: \$4,000.0

I certify that I have complied with the provisions of the University of California Health Sciences Compensation Plan, my School's Health Science Compensation Plan Implementing Procedures, and my departmental guidelines for the Plan regarding limitations on the retention of earnings and the time spent in outside professional activities.

Faculty member: Susan B Anthony Date: 07/22/2021 11:56:13 The approver's signature affirms the form was received and reviewed. Corrective actions should be implemented for time reports (days) that are above the annual limit and for unapproved Category I activities.

Approver: Date:

N.B.: Information disclosed herein is a public record under the California Public Records Act Rev. 7/1/14

Mark As: Reviewed 7

Return To: Faculty

Alternate Approver(s) Add Alternate Approver

None assigned

Historical Actions

07/22/2021 11:56:13 Submit Susan B Anthony (susan.anthony@ucla.net)

8 Submit Action Print Close

6. Check the "Notes" tab for additional information and attachments.

7. Scroll to the bottom of the form to see available actions.

Actions:

- ✓ **Reviewed** – Select "Reviewed" if the report is ready to be sent to the approver (Department Chair, Dean, etc.).
- ✓ **Send Back to Faculty** – Select this option if further information is needed by the faculty member in order for approver to make a decision.
 - ◆ When this option is selected, a "Note" field will appear. Enter a detailed reason why the report is being returned to the faculty member and what you would like that faculty member to do. **Include your name in the comment box so the faculty member will know who returned the form.** Once the faculty member makes the corrections and resubmits the form, it will process through the approval workflow again.
- ✓ **Add Alternate Approver** – If there is a conflict of interest between the faculty member and the approver (e.g., they are married, family, formed a company together, etc.), you should select an alternate approver. To add an alternate approver, click the "Add Alternate Approver" button and select a person from the drop-down menu. If there is no alternate approver available in the system, then send an email to the UC OATS Help Desk (oats-help@ucdavis.edu) identifying who should be added as an alternate approver. If the department is sending the help desk ticket, please copy your dean's office analyst. This will need to be resolved before you can select an alternate approver.

8. Click the green "Submit Action" button.

How do I check to make sure all of our department/unit faculty submitted their annual certification reports? How do I confirm the status of their annual reports?

Toggle to fiscal year 2020-2021 and make sure you're on the "AP Review" tab:

Fiscal Year: < 2020 - 2021 > FACULTY AP REVIEW

Click the "Annual Certifications" tab and check out the filters in the "READ ONLY" section where you can choose different reports:

★ FORMS NEEDS MY REVIEW ✳ FORMS IN PROCESS ✓ FORMS APPROVED ▲ STOCK VALUATION 📅 ANNUAL CERTIFICATIONS 🏠 ALL ACTIVITIES
✗ DELETED ACTIVITIES

FACULTY: ANNUAL CERTIFICATIONS [IN QUEUE:] Without activities With activities [READ ONLY:] Forms not submitted Returned Reports Forms in process Forms accepted All

Export current data

Notice, there is also an "Export current data" button that can be used with any of the filtered reports.

Forms not submitted – This report displays a list of faculty members who have not submitted their annual certification report.

Returned Reports – This report shows all annual certification reports that have been returned to faculty members by a reviewer or approver. To view the return reason:

1. Click on the faculty member's name to view the faculty details page.

Search by UID or name: _____ Filter by date: From: _____ To: _____ Clear Filter by division: -- Select a division --

★ FORMS NEEDS MY REVIEW ✳ FORMS IN PROCESS ✓ FORMS APPROVED 📅 ANNUAL CERTIFICATIONS 🏠 ALL ACTIVITIES ✗ DELETED ACTIVITIES

FACULTY: ANNUAL CERTIFICATIONS [IN QUEUE:] Without activities With activities [READ ONLY:] Forms not submitted Returned Reports Forms in process Forms accepted All

Export current data

Show 100 entries

UID	Faculty	Department	Signed Date	# Activities	Total Hours	Total Earnings	Due To Plan	Primary Unit	Actions
788288874	Ochoa, Ellen	99991 - Department of Redundancy Department	09/01/2020	1	50.00	0.00	0.00	99991 - Department of Redundancy Department	Annual Certification Not Submitted
788288858	Robinson, Jackie	99991 - Department of Redundancy Department	08/26/2020	0	0.00	0.00	0.00	99991 - Department of Redundancy Department	Annual Certification Not Submitted
788278823	Wu, Chien-Shiung S	99991 - Department of Redundancy Department	09/08/2020	1	0.00	0.00	0.00	99991 - Department of Redundancy Department	Annual Certification Not Submitted

Showing 1 to 3 of 3 entries

Previous 1 Next

2. Click on the purple "Annual Certification" button.

< Back to faculty list

Ochoa, Ellen APM Policy: 025 99991 - Department of Redundancy Department (Primary, Routing):

TIME: 50 hr Time Threshold: ↑ 384 hr

Faculty Status: Leave to engage in outside activity Override time threshold

Fiscal Status: Include in 240-246 report Separated

ACTIONS: Manage Notifications Enter an Activity Annual Certification Not Submitted

ACTIVITIES EMAILS SYSTEM MESSAGES

3. Click on the "Notes" tab, where comments and any attachments can be found.

Annual Certification 2019: Ochoa, Ellen (Not Submitted)

Name: Ochoa, Ellen Department: 99991 Department of Redundancy Department School: UCLA

Appointment: Fiscal-year

Terms of leave, if any:

ANNUAL CERTIFICATION DETAILS NOTES 1 SIGNED VERSION

Add Note

Show 25 entries Search: _____

Message	File	Author	Created Date	Actions
Please confirm all hours were reported. - JP		Patterson, James	09/08/2020 09:59 am	

Showing 1 to 1 of 1 entries

Previous 1 Next

Print Close

Forms in process – This report displays a list of annual certification reports that have been submitted and are processing through the approval workflow.

Forms accepted – This report displays annual certification reports that have received final acceptance. To view or download a PDF version of the annual certification report:

1. Click on the faculty member's name to view the faculty details page.

The screenshot shows the OATS search interface. At the top, there are search filters for 'Search by UID or name', 'Filter by date', and 'Filter by division'. Below these are navigation tabs: 'FORMS NEEDS MY REVIEW', 'FORMS IN PROCESS', 'FORMS APPROVED', 'ANNUAL CERTIFICATIONS', 'ALL ACTIVITIES', and 'DELETED ACTIVITIES'. Under 'ANNUAL CERTIFICATIONS', there are sub-tabs: 'IN QUEUE', 'Without activities', 'With activities', 'READ ONLY', 'Forms not submitted', 'Returned Reports', 'Forms in process', and 'Forms accepted' (which is highlighted with a red box). Below the sub-tabs is an 'Export current data' button and a 'Show 100 entries' dropdown. A table lists search results with columns: UID, Faculty, Department, Signed Date, # Activities, Total Hours, Total Earnings, Due To Plan, Primary Unit, and Actions. The first row shows 'Salk, Jonas' with a red circle '1' next to the name. An 'Annual Certification Accepted' button is visible in the Actions column for this entry.

2. Click on the purple “Annual Certification” button.

The screenshot shows the OATS faculty details page for 'Salk, Jonas'. At the top, there is a header with the University of California OATS logo and 'WELCOME, TOM CRUZ'. Below the header is a red banner stating 'This is NOT your live site. This is for TRAINING, TESTING, AND DEMONSTRATION PURPOSES only. UCOATS Release: 4.57.8'. The page has tabs for 'FACULTY', 'AP REVIEW', and 'FISCAL REVIEW'. A purple button labeled '< Back to faculty list' is on the left. The main content area shows 'Salk, Jonas', 'APM Policy: 025', and '9991 - Department of Redundancy Department (Primary,Routing)'. There are sections for 'TIME' (80 hr), 'Faculty Status' (Leave to engage in outside activity, Override time threshold), and 'Fiscal Status' (Include in 240-246 report, Separated). Below these is an 'ACTIONS' section with 'Manage Notifications' and 'Annual Certification Accepted' (highlighted with a red box and a red circle '2'). There are also tabs for 'ACTIVITIES', 'EMAILS', and 'SYSTEM MESSAGES'. At the bottom, there is an 'Export current data' button and a table with columns: Activity Label, Org. Type, Org. Name, Activity Types / Roles, Current Hrs, Student Involvement, Actions, and Form. The table shows one activity: 'Founding of CitiCorp' with 80.00 hr. Below the table is another table with columns: Actions, Check/Transaction #, # of Hours Against Threshold, # of Reported Hours, Start Date, and End Date. A red circle '3' is next to the 'Annual Certification Accepted' button.

3. Click on the “Signed Version” tab to view and download the signed annual certification form.

The screenshot shows the 'Signed Version' tab of the annual certification form for 'Salk, Jonas'. At the top, it says 'Annual Certification 2019: Salk, Jonas (Accepted)'. Below this is a summary box with fields: Name (Salk, Jonas), Appointment (Fiscal-year), Department (9991 Department of Redundancy Department), School (UCLA), and Terms of leave, if any. Below the summary box are tabs: 'ANNUAL CERTIFICATION DETAILS', 'NOTES', and 'SIGNED VERSION' (highlighted with a red box). Below the tabs is a message: 'The green highlighted one is the most recently reviewed'. There is a table with columns: Faculty, Date/time, Approved By, Digital Signature, and Actions. The first row shows 'Jonas Salk' with a date of '01/27/2021 14:54:41', approved by 'James Patterson', and a digital signature. A red circle '3' is next to the 'Download PDF' button in the Actions column. At the bottom, there are buttons for 'Submit Action', 'Print', and 'Close'.

All – This report will show the full list of faculty within your unit. You can see who have submitted their annual certification forms and who have not yet submitted (NA status). Selecting the radio button “Forms Not Submitted” will list faculty who have not yet submitted their Annual Certification reports.

What if I notice a faculty member is not listed for our department/unit?

On a monthly basis we import new faculty to UC OATS. However, if you notice someone is missing that should be included, please send an email to the UC OATS Help Desk (oats-help@ucdavis.edu) and include:

- The faculty member's name, email address, and UCPath employee ID.

Additional Resources

- *Please note many step-by-step instructions are provided for entering items in UC OATS and can be found here: <https://academicaffairs.ucdavis.edu/annual-certification>*
- *For questions regarding APM 025 or APM 671 policies, please begin by contacting individuals listed for the department. Not sure who to ask? Check out the "[Contacts for UC OATS](#)" web page. If a department reviewer is unable to assist, please reach out to the dean's office for guidance. If a dean's office reviewer or approver is unable to provide guidance, they are encouraged to reach out to their Academic Affairs Manager.*
- *Technical questions related to UC OATS should be sent to: oats-help@ucdavis.edu*

Faculty and Specialists in Cooperative Extension (CE) are required to have their annual reports submitted and routed to the deans' offices by 11/17/2021. Deans' offices are required to have their review of annual reports completed by 12/17/2021. Based on these deadlines, Deans' offices may implement their own deadlines in order to meet the campus deadlines for completing annual certification reports.