

September 21, 2022

**DEANS, EXECUTIVE ASSOCIATE DEANS, ASSOCIATE DEANS, ASSISTANT DEANS, DEPARTMENT CHAIRS,
AND ACADEMIC PERSONNEL ANALYSTS**

**FACULTY AND SPECIALISTS IN COOPERATIVE EXTENSION (CE) SUBJECT TO REPORTING OUTSIDE
PROFESSIONAL ACTIVITIES IN UC OATS**

Re: **OUTSIDE PROFESSIONAL ACTIVITIES (OPA) ANNUAL CERTIFICATION REPORTING FOR ACADEMIC
YEAR/FISCAL YEAR 2021-2022**

Dear Colleagues,

I write to remind you that in accordance with our UC systemwide policies concerning Conflict of Commitment and Outside Activities, general campus faculty^{1†} and Specialists in Cooperative Extension (CE) in the School of Veterinary Medicine (SOVM) and College of Agricultural and Environmental Sciences (CAES) (governed by Academic Personnel Manual (APM) [025](#)) and faculty in the Health Sciences Compensation Plan (HSCP) (governed by APM [671](#)) are required to document all outside professional activities (OPA) in an Annual Certification Report. All APM 025 and 671 prior approval requests and annual reports are completed through the [UC Outside Activities Tracking System](#) (UC OATS), ***and this year must be received by the deans' offices no later than November 16, 2022.*** (See Section VI. below for detailed instructions on completing the annual report.) ***Deans' offices must complete their review and approval no later than December 16, 2022.***

Please see below for detailed information about reporting obligations, timing, and other important related matters.

I. REMINDER: Faculty and Specialists in CE who are retiring or separating must also complete annual certification reports

Faculty and Specialists in CE who are retiring or separating from the University are now expected to submit an annual certification report before they retire or separate. Department staff/managers who are informed about an impending retirement or separation must immediately send an email to the UC OATS help desk (oats-help@ucdavis.edu). Please include: the name, department, and effective date of the separation/retirement. The Help Desk will update UC OATS, which will trigger an email to the academic notifying them that their annual certification report has been enabled. They will be expected to complete and submit their report. We ask that departments follow up with them to ensure this occurs. Please ask departments to add this step to their off-boarding process.

II. Category I activity requests for prior approval

As a reminder, all faculty (whether paid or unpaid) must disclose all Category I and II OPA. ***Faculty and Specialists in CE are required to obtain approval before engaging in Category I Activities. Therefore, requests for approval must be submitted well in advance of the planned commencement of the activity to ensure adequate time for approval. Note that these requests go through multiple approval steps, i.e., department staff reviewer, chair, dean's office staff, dean, Vice Provost, and Provost, and can take up to***

^{1†} The following title series are covered by APM 025: Professor (including Acting), Professor in Residence, Professor of Clinical X (except for faculty in the Health Sciences Compensation Plan), Adjunct Professor, Health Sciences Clinical Professor (except for faculty in the Health Sciences Compensation Plan), Lecturer with Security of Employment, and Supervisor of Physical Education.

a month or longer to approve if the request requires review by more than one department and dean's office, or requires additional follow-up or documentation, as described below.

Faculty must use [UC OATS](#) for obtaining prior approval and for including details or uploading documents containing UC Davis supplementary required information as specified in either [APM 025 – Additional Information Requirements for Category I Prior Approval Requests](#) or [APM 671 – Additional Information Requirements for Category I Prior Approval Requests](#). Failure to include the supplementary required details for review may result in the request being returned, leading to a delay in the review process.

Approval of Category I activities is not guaranteed. Final approval from the Provost is mandatory, and must be provided prior to commencement of the activity to avoid potential violation of [APM 015: The Faculty Code of Conduct](#).

As a reminder, UC OATS is available for use at any time [at this website](#). Academic Affairs strongly encourages entering your outside activities throughout the year, rather than wait until the Annual Certification Report is due each fall. The University fully expects that there will be few or no *retroactive* requests for prior approval due to the accessibility of UC OATS, to be compliant with UC Davis policy. In general, UC Davis typically supports approval of Category I activities for one to three years, depending on the activity request.

III. Financial Disclosures for Conflict of Interest (COI)

In addition, there are financial conflict of interest (COI) disclosure requirements that research faculty must observe to ensure that all Federal, State, and UCD Policy COI disclosure rules and regulations are satisfied. For more information, faculty should access the following webpage: <https://research.ucdavis.edu/policiescompliance/coi/>. Also, if faculty are involved in international research, collaborations with researchers outside of the United States, or other international activities, there are COI disclosure rules, grant reporting obligations, and/or export control licensing requirements that may be triggered by these activities. For complete details and guidance, faculty should access the following website: <https://research.ucdavis.edu/policiescompliance/international-relationships-and-activities/>.

IV. Deans' Responsibility

As a reminder, deans remain fully responsible for verifying that all approved requests for Category I activities (and approved requests for any other outside activities that may create a question of perceived or real conflict of commitment) meet the standards set forth in APM 025 and APM 671.

NOTE: Executive Associate Deans and Associate Deans who serve in an approver role for UC OATS will need to reach out directly to Kim Poole (kcpoole@ucdavis.edu) in Academic Affairs **before** submitting their annual certification reports.

V. Annual Certification Reporting Requirements

Faculty/Specialists in CE who engaged in outside activities and are governed by APM 025

- All general campus faculty (not members of the HSCP), Sacramento campus faculty who are not members of the HSCP, and Specialists in CE (in SOVM and CAES) are required to enter their outside professional activities per the annual certification requirements under [APM 025](#) in UC OATS.

Please note the Annual Certification for the APM 025 reporting period covers July 1, 2021 through June 30, 2022, and must be completed and received by the deans' offices in UC OATS no later than November 16, 2022.

Faculty who engaged in outside activities and are governed by APM 671

- All faculty who are members of the Health Sciences Compensation Plan (e.g., are in the Schools of Health) are required to enter their outside professional activities, as well as corresponding earnings/efforts per the annual certification requirements under [APM 671](#), in UC OATS.

Please note the Annual Certification for the APM 671 reporting period covers July 1, 2021 through June 30, 2022, and must be completed in UC OATS and received by the deans' office no later than September 30, 2022 as already communicated out by the Schools of Health Academic Personnel Office.

All Faculty/Specialists in CE who **did not engage** in outside activities:

- Faculty and Specialists in CE (in SOVM and CAES) who did not engage in Category I or Category II activities and who did not perform any other additional teaching as defined in [APM 662](#) **must still submit** an Annual Certification Report in UC OATS verifying they did not engage in outside activities, which must be completed and received by the dean's office no later than November 16, 2022.

Annual certification reporting that is not fully complete when reaching the deans' office level by the deadline could result in those faculty being found to have violated university policies governing Conflict of Commitment. ***This underscores the importance of submitting annual certification reports in UC OATS well in advance of the deadline.***

VI. Guidance for Faculty and Specialists in CE about how to certify and submit their annual certification report

Before submitting an Annual Certification Report, all Category I Activity requests must receive final approval by the Provost. Once approved, effort (APM 025) or earnings/effort (APM 671) reporting must also be completed.

The Academic Affairs "Annual Certification Information" web page with details about annual certification reporting is located at: <https://academicaffairs.ucdavis.edu/annual-certification>. After navigating to this web page, click on the block that applies specifically to your academic appointment type. The block will open and includes links to helpful instructions as well as short videos (when available):

> **ACADEMIC YEAR (AY) FACULTY – SUBJECT TO APM 025**

> **FISCAL YEAR (FY) FACULTY and FY SPECIALISTS IN COOPERATIVE EXTENSION (CE) – SUBJECT TO APM 025**

> **HEALTH SCIENCES COMPENSATION PLAN FACULTY – SUBJECT TO APM 671**

> **DEPARTMENT CHAIRS and ASSOCIATE DEANS**

> **DEANS and FULL-TIME FACULTY ADMINISTRATORS**

> **INSTRUCTIONS FOR REVIEWERS and APPROVERS**

As an example, here is a partial snapshot from the first block:

▼ ACADEMIC YEAR (AY) FACULTY – SUBJECT TO APM 025

- ◆ [Reporting NO Outside Professional Activities \(OPA\)](#) – If you did *not* engage in OPA
- ◆ [Reporting Outside Professional Activities \(OPA\)](#) – If you did engage in OPA, make sure to enter those activities first (refer to "Entering a New Activity" below)

For **technical questions** about accessing and/or using UC OATS, please submit an email to the UC OATS Help Desk at: oats-help@ucdavis.edu. For **policy questions**, please contact your department reviewer or dean's office for guidance. Contacts for departments and deans' offices are listed by school or college on the Academic Affairs "[Contacts for UC OATS](#)" webpage.

Please contact Kimberly DeLaughter (kdelaughter@ucdavis.edu) or Kim Poole (kcpoole@ucdavis.edu) if you have questions related to policy or questions regarding additional OPA reporting required by the UC Regents for deans and 100% faculty administrators.

Sincerely,



Philip H. Kass

Vice Provost—Academic Affairs

Distinguished Professor of Analytic Epidemiology,

Population Health and Reproduction (Veterinary Medicine),

and Public Health