

July 25, 2023

**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: EARLY START FOR OUTSIDE PROFESSIONAL ACTIVITIES (OPA) ANNUAL CERTIFICATION REPORTING FOR  
ACADEMIC YEAR/FISCAL YEAR 2022-2023**

Dear Colleagues,

Because a significant number of 2021-2022 annual reports were turned in late, I am writing to ask that you start now by entering your Category I and II outside professional activities (OPA) and effort in UC OATS for the academic year/fiscal year (AY/FY) 2022-2023. In accordance with our UC system-wide policies concerning Conflict of Commitment and Outside Activities, general campus faculty<sup>1</sup> 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 APM 671 prior approval requests and annual reports are completed through the [UC Outside Activities Tracking System](#) (UC OATS).

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 waiting until the Annual Certification Report is due each fall. The University fully expects that there will be no *retroactive* requests for prior approval due to the accessibility of UC OATS, and that academics 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.

I strongly encourage reviewing this document in its entirety because it contains important information and details about OPA reporting and deadlines must be adhered to and can be found in Section IV.

**I. Compliance Reminder: Help UC Davis reach 100% compliance by the deadline**

To be considered “in compliance” faculty are required to: (1) obtain prior approval before engaging in OPA, (2) obtain prior approval for engaging students in any category of OPA, (3) comply with time limits, and (4) accurately disclose their activities. All faculty are required to complete and submit an annual certification, even if they do not engage in outside activities.

If faculty do not complete all of these requirements, they may be considered out of compliance and reviewed for possible University policy violations per APM 015, the Faculty Code of Conduct. If substantiated, the matter could result in discipline.

**II. Reminder: Faculty and Specialists in CE who are retiring or separating must also complete annual certification reports**

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<sup>1</sup> 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.

Faculty and Specialists in CE who are retiring or separating from the University are expected to submit an annual certification report before their last day. For those faculty who retire from the University and do not complete their report, please know that it may impact your ability to be recalled. 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](mailto: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.

### III. Deans' Responsibility

As a reminder, deans remain fully responsible for ensuring their academics submit their annual certification reports, as well as, reviewing and accepting annual certification reports that meet the standards set forth in APM 025 and APM 671.

### IV. Annual Certification Reporting Deadline and Requirements

#### Reporting Deadline:

***Please note the Annual Certification reporting period covers July 1, 2022 through June 30, 2023, and must be completed in UC OATS and received by the deans' offices no later than November 15, 2023.***

- Faculty, who have nine-month appointments, are required to answer the questions associated with the "Enter My Summer Info" part of UC OATS. Responding to the questions helps UC OATS determine if there will be any OPA time limits associated with the summer period. OPA time limits of eight (8) hours per week apply during the summer period when faculty receive University summer compensation.
- 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.
- All faculty who are members of the Health Sciences Compensation Plan (e.g., are in the Schools of Human 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.
- All 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 15, 2023.**

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.*** **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](mailto:kcpoole@ucdavis.edu)) in Academic Affairs **before** submitting their annual certification reports.

### V. 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 have received final approval from the Provost. Once approved, effort (APM 025) or earnings/effort (APM 671) reporting must also be completed. Please consider referring to and utilizing the “[Checklist – Category I](#)” now available on the Academic Affairs UC OATS web page. This new tool was created as a resource concerning requirements and processes when submitting a Category I prior approval request.

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](mailto: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.

If **Deans and 100% faculty administrators** have questions related to policy or questions regarding additional OPA reporting required by the UC Regents, please contact Kimberly DeLaughder ([kdelaughder@ucdavis.edu](mailto:kdelaughder@ucdavis.edu)) or Kim Poole ([kcpoole@ucdavis.edu](mailto:kcpoole@ucdavis.edu)).

Sincerely,



Philip H. Kass  
 Vice Provost—Academic Affairs  
 Distinguished Professor of Analytic Epidemiology,  
 Population Health and Reproduction (Veterinary Medicine),  
 and Public Health