

2020-2021 ANNUAL CERTIFICATION INSTRUCTIONS
UC OUTSIDE ACTIVITY TRACKING SYSTEM (UC OATS)
Reporting Category II and III Outside Professional Activities (OPA)

- Go to: <https://ucdavis.ucoats.org/>

- Click on “Log in to OATS.”



- Sign in using your campus Username and Passphrase.



Central Authentication Service (CAS)

Username:

Passphrase:

LOGIN

- To report Category II or III activities toggle back to Fiscal Year **2020-2021**.



- Make sure that the start date of your activity is entered in the correct fiscal year. For example, if your activity starts 9/20/2020, then the entry belongs in FY 2020-2021 (7/1/2020—6/30/2022). Differently, if your activity starts 9/20/2021, then the entry belongs in FY 2021-2022 (7/1/2021—6/30/2022).

- Choose one of the following links for next steps:

[**ENTER CATEGORY II or III ACTIVITIES INTO UC OATS**](#) *(applies to all faculty subject to APM 025 or APM 671)*

[**APM 025 – EFFORT REPORTING**](#) *(applies to all AY and FY faculty subject to APM 025)*

***SUMMER HOURS INFO** *(applies only to AY faculty subject to APM 025)*

**requires completion of Summer Hours Interface in order for report to be accessible.*

[**APM 671 – EARNINGS/EFFORT REPORTING**](#) *(applies only to faculty subject to APM 671)*

[**COMPLETE ANNUAL CERTIFICATION REPORT**](#)

ENTER CATEGORY II or III ACTIVITIES INTO UC OATS

1. If you have not entered any outside professional activities in UC OATS, then click on “**Enter an Activity.**”

Enter an Activity

2. There is a “Help Text” tutorial feature that is automatically enabled. The purpose of this feature is to provide information and education about UC OATS. It is possible to turn the feature off and on by selecting the blue button in the bottom left screen:

Turn help text OFF

3. Proceed by completing the following fields on the form:

- Organization Name
- Type (for profit, non-profit, or unknown)
- Activities are organized by Category type (I, II, or III). Click the appropriate Activity Type(s)/Role(s) from the list (may choose multiple).
- Answer student involvement question. (If you select “Yes,” once you click “enter” a window will pop open for a student involvement request form. You will need to complete the form that will then route through your department for Chair approval.)
- Name this Activity – this is a user-defined label to distinguish between your activities.
- Certain activities will trigger Intellectual Property (IP) question(s) that require answers.
- Click “**Enter.**”

Enter

Cat I Approval: **Not Submitted**

TIP: If the activity request shows “**Not Submitted**” that means the request is waiting for you to take action. You must click on the “**Not Submitted**” form to open, complete any outstanding required items to finalize for submission, then click on “**Request Approval**” for the activity to be submitted. You can tell a request is submitted when the location is identified (e.g., Dept. Reviewer).

4. Ready to report your effort?

APM 025 – EFFORT REPORTING *(applies to all AY and FY faculty subject to APM 025)*

***SUMMER HOURS INFO** *(applies only to AY faculty subject to APM 025)*

***requires completion of Summer Hours Interface in order for report to be accessible.**

APM 671 – EARNINGS/EFFORT REPORTING *(applies only to faculty subject to APM 671)*

5. Are you ready to complete your annual certification report?

COMPLETE ANNUAL CERTIFICATION REPORT

or...

[Take me back to the links near the top of this document.](#)

EFFORT REPORTING – APM 025

1. To report time spent on an activity (e.g., approved Category I or Category II) locate the activity on your UC OATS dashboard and click on the “**Report Effort**” button found in the Actions column.

Report Effort

2. A form will pop up where you will need to complete the following fields:

- **Podium Hours:**
 - ✓ Select “Yes” only when your activity truly involves teaching. When you enter the hours UC OATS will automatically calculate preparation time in accordance with [APM 662-17](#).
 - ✓ Select “No” if your activity is anything other than teaching.
- **# of Hours:** enter the number of hours engaged in the activity.
 - ✓ A day is 8 hours. If you engaged in the activity for 3 hours in one day, report 3 hours. If you engaged in the activity for 10 hours in one day, only report 8 hours.
- **Notes:** This field is optional. The size of the text box can be increased by placing your mouse over the corner and dragging it outwards.

Notes:



- Select the start and end dates that you engaged in this activity. **NOTE:** For academic-year (AY) faculty, the start and end dates entered cannot overlap academic and summer periods. **TIP:** Effort can be entered more than once for an activity (e.g., 5 hours on 10/1/2020, 5 hours on 11/1/2020, etc.).
3. **Academic-Year (AY) faculty**, service dates for the **2020-2021** academic year are **9/28/2020 through 6/10/2021**. Effort reporting within the academic year must fall within these dates.
 - To support accurate reporting, faculty should report each instance they spent time on a specific Category I or Category II activity during the reporting period.
 - It is possible to report effort multiple times for one activity.
 - Activities engaged during the summer period require separate effort reporting.
 - For Academic-Year faculty summer reporting requirements, please refer to instructions included in the “[APM 025 Tips for Reporting Effort in UC OATS](#)” also located under the “Helpful Tips” section of the [Annual Certification](#) webpage.
 4. **Fiscal-Year (FY) faculty**, you do not have the service date limitations since you do not have summer hour reporting.
 - To support accurate reporting, faculty should report each instance they spent time on a specific Category I or Category II activity during the reporting period.
 - It is possible to report effort multiple times for one activity.
 5. Are you ready to complete your annual certification report?

COMPLETE ANNUAL CERTIFICATION REPORT

or...

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***SUMMER HOURS INFO (applies only to AY faculty subject to APM 025)**

***requires completion of Summer Hours Interface in order for report to be accessible.**

AY faculty must click on the “**Summer Hours Info**” button and enter details before their annual certification report will become accessible.

UNIVERSITY OF CALIFORNIA OATS WELCOME, [User Name]

TIME
0 hr 0 hr
Time Threshold: ↑312 hr

SUMMER TIME
The number of hours that you can devote to outside professional activities is dependent on your summer salary draw. Please click on the Info button below to set up.
Summer Hours Info

The following popup window will open because faculty are subject to time limits for OPA when they receive University summer compensation. Please answer the question based on your circumstances. In other words, answer “**Yes**” if you will receive summer compensation and engage in OPA during this period. Or, answer “**No**” if you will not receive any summer compensation. However, you are still required to get prior approval for any Category I activity that occurs during the summer period.

Summer Salary

Please indicate the number of days each month over the summer term that you will draw University salary. The UC policies regarding conflict of commitment allow 8 hours of professional activity for each 1 week that you will receive salary during the summer. If your summer salary is coming in part from an external funding agency, please check with that agency regarding their policy in conflict of commitment. The information reported below will determine the allowable hours of outside professional activities between the July 1st-June 30 of the reporting period.

< Summer 2019 SUMMER 2020 Summer 2021 >

Are you drawing salary for summer? No Yes

According to UC policy you are allowed to work 8 hours for each week that you draw summer salary. Your academic year effort threshold may not be averaged into the summer service period. (APM 025-8c)

Exit Update Summer Salary

Answering “**Yes**” requires additional information. Each month already has the number of “**work days available**” identified based on the summer period. On the “**Days receiving salary**” line, please enter the number of work days in each month’s box that you did or will receive summer compensation.

Summer Salary

Please indicate the number of days each month over the summer term that you will draw University salary. The UC policies regarding conflict of commitment allow 8 hours of professional activity for each 1 week that you will receive salary during the summer. If your summer salary is coming in part from an external funding agency, please check with that agency regarding their policy in conflict of commitment. The information reported below will determine the allowable hours of outside professional activities between the July 1st-June 30 of the reporting period.

< Summer 2019 SUMMER 2020 Summer 2021 >

Are you drawing salary for summer? No Yes

	Jun 12-30 2020	Jul 01-31 2020	Aug 01-31 2020	Sep 01-27 2020
Work days available	13	23	21	19
Days receiving salary (required):	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Hours available for OPA while receiving salary	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

According to UC policy you are allowed to work 8 hours for each week that you draw summer salary. Your academic year effort threshold may not be averaged into the summer service period. (APM 025-8c)

Exit Update Summer Salary

In accordance with APM 025, and based on the details entered (see image on next page), UC OATS will automatically calculate the number of allowable hours (by month) for engaging in OPA while summer compensation was or will be received. It can be slightly confusing because the summer period encompasses the calendar year when entering the days; however, the months are then attached to the correct reporting period. For example, the summer period includes June, July, August, and September of the same calendar year (2020). Yet, hours reported in June 2020 will actually be

tied to fiscal year 2019-2020 since it is included in the reporting period of fiscal-year (July 1, 2019 to June 30, 2020). Differently, the months of July, August, September (while part of calendar year of 2020) will be tied to fiscal year 2020-2021 since they are included in the reporting period of fiscal-year (July 1, 2020 through June 30, 2021).

Here’s an example for the current FY 2020-2021 annual reporting period. Professor Remarkable engaged in a Category I activity in June 2020 (already approved in the last FY) and received summer compensation for that same last 2 weeks of June 2020 (13 work days available). Differently, Professor Remarkable will engage in a Category II activity in August and September, but will only receive summer compensation the first 2 weeks of September 2020 (19 work days available). Combined, this equals a total 1/9th of the 3/9^{ths} maximum allowed for summer compensation.

What does Professor Remarkable need to report?

- A. Professor Remarkable needs to report the number of days they received summer compensation in June and September 2020 because there was engagement in OPA (Cat I and II) during that same time period. There is no need to report summer compensation in July and August since there was no summer salary received. Additionally, since the activity engaged in August was Category II, Professor Remarkable does not need prior approval and does not have to disclose the OPA.

Clicking the blue “Update Summer Salary” button will close the window.

Summer Salary

Please indicate the number of days each month over the summer term that you will draw University salary. The UC policies regarding conflict of commitment allow 8 hours of professional activity for each 1 week that you will receive salary during the summer. If your summer salary is coming in part from an external funding agency, please check with that agency regarding their policy in conflict of commitment. The information reported below will determine the allowable hours of outside professional activities between the July 1st-June 30 of the reporting period.

< Summer 2019
Summer 2021 >

SUMMER 2020

Are you drawing salary for summer? No Yes

	Jun 12-30 2020	Jul 01-31 2020	Aug 01-31 2020	Sep 01-27 2020
Work days available	13	23	21	19
Days receiving salary <i>(required):</i>	<input type="text" value="13"/>	<input type="text" value="0"/>	<input type="text" value="0"/>	<input type="text" value="19"/>
Hours available for OPA while receiving salary	20.8	0	0	30.4

According to UC policy you are allowed to work 8 hours for each week that you draw summer salary. Your academic year effort threshold may not be averaged into the summer service period. (APM 025-8c)

Exit
Update Summer Salary

A window will pop open reiterating policy about time limits. After reading the reminder, please click the “Close” button.

Complete Summer Salary

Reminder: according to UC policy, you are allowed to work 1 day (8 hours) on outside professional activities for each week that you are receiving University summer compensation. You are not required to report effort on activities when you are not actively receiving University summer compensation.

Close

Your dashboard will now display the “Summer Time” threshold. Notice that the 13 days entered for June 2020 do not appear. The reason is that June 2020 is tied to the previous fiscal year (2019-2020). Also, notice that June 2021 does not show anything. The reason is that Professor Remarkable did not enter details for June 2021. In order to add June 2021, click the blue “pencil icon” button, click the orange “Summer 2021” button, and follow similar steps already provided.

SUMMER TIME

	July (01-31) 2020	August (01-31) 2020	September (01-27) 2020	June (11-30) 2021
Hours Reported / Available :	0 of 0.0	0 of 0.0	0 of 30.4	Update

✎

During the summer period, if receiving summer compensation you are required to report effort during the period you receive summer salary. While effort can be entered more than once for an activity, it is important to note that the system requires the effort to be entered by the month (or days within the same month). AY faculty cannot report time for the whole summer in one chunk. The example below shows that 8 hours are being reported for September 2021. The system identified an error with the “Start Date, End Date” because the September date is not within the summer period which is in September 2020. I corrected the year to reflect 2020 and clicked the “Report” button. **Note:** the summer period is included in the bottom left corner.

Add Hours Pertaining to this Activity: consulting example for work during fiscal year 2020 - 2021

The following field(s) are required: Start Date, End Date

Podium Hours:* Yes No

of Hours:*
Enter hours performed for this activity.

Notes:

Start Date:* The dates can not overlap academic and summer periods.

End Date:* Dates must fall within the current fiscal year. If needed, revise dates that apply to this activity. End date must not be higher than 2021-06-30

Summer Information

Jul 01 - 31 2020
 Aug 01 - 31 2020
 Sep 01 - 27 2020
 Jun 11 - 30 2021

Turn Help Text On
Report
Close

Based on the above entry, here is how to confirm the effort is reported.

Activity ID	Activity Label	Org. Type	Org. Name	Activity Types / Roles	Current Hrs	Student Involvement	Actions	Form
737850	consulting example	For Profit	Consultants, Inc.	Consulting or testifying as an expert or professional witness (Cat. 2)	40.00 hr	No	Edit Activity Report Effort	Exceed TH Prior Approval Request

Actions	Effort ID	# of Hours Against Threshold	# of Reported Hours	Start Date	End Date
Edit Effort Delete	1322182	8.00	8.00	09/01/2020	09/01/2020

The “Summer Time” threshold will automatically adjust based on the reported effort.

SUMMER TIME

	July	August	September	June	
	(01-31)	(01-31)	(01-27)	(11-30)	
Hours Reported	2020	2020	2020	2021	Update
/ Available :	0 of 0.0	0 of 0.0	8.00 of 30.4		

Effort can be reported multiple times for the same activity over the course of the reporting period (July 1, 2020 – June 30, 2021). Here’s how a second entry for the summer period.

Activity ID	Activity Label	Org. Type	Org. Name	Activity Types / Roles	Current Hrs	Student Involvement	Actions	Form
737850	consulting example	For Profit	Consultants, Inc.	Consulting or testifying as an expert or professional witness (Cat. 2)	40.00 hr	No	Edit Activity Report Effort	Exceed TH Prior Approval Request

Actions	Effort ID	# of Hours Against Threshold	# of Reported Hours	Start Date	End Date
Edit Effort Delete	1322182	8.00	8.00	09/01/2020	09/01/2020
Edit Effort Delete	1322185	32.00	32.00	09/08/2020	09/11/2020

Notice the “**Summer Time**” threshold updated. Not only are the hours in red, but there is also a red warning sign. Basically, the hours reported for September are more than what is allowable per policy.

SUMMER TIME				
	July (01-31)	August (01-31)	September (01-27)	June (11-30)
Hours Reported / Available :	2020 0 of 0.0	2020 0 of 0.0	2020 40.00 of 30.4	2021
				<input type="button" value="Update"/>  

Clicking on the red warning sign will open a popup window with the following message:

Summer Salary

UC APM encourages even distribution of outside effort. You have reported more hours in a summer month than you are allowed according to the formula of 8 hours for each week that you received additional University summer compensation. Please see APM 025.8c

Close

If you will not or did not receive any summer compensation, then answer “**No.**” No other information is required. There are no time limits during the summer period when summer compensation is not received. Click the blue “**Update Summer Salary**” button to close the window.

Summer Salary

Please indicate the number of days each month over the summer term that you will draw University salary. The UC policies regarding conflict of commitment allow 8 hours of professional activity for each 1 week that you will receive salary during the summer. If your summer salary is coming in part from an external funding agency, please check with that agency regarding their policy in conflict of commitment. The information reported below will determine the allowable hours of outside professional activities between the July 1st-June 30 of the reporting period.

< Summer 2020

SUMMER 2021

Are you drawing salary for summer? No Yes

Summer 2022 >

According to UC policy you are allowed to work 8 hours for each week that you draw summer salary. Your academic year effort threshold may not be averaged into the summer service period. (APM 025-8c)

Exit

Are you ready to complete your annual certification report?

[COMPLETE ANNUAL CERTIFICATION REPORT](#)

or...

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EARNINGS/EFFORT REPORTING – APM 671

6. To report time spent on an activity (e.g., approved Category II or Category III) locate the activity on your UC OATS dashboard and click on the “**Report Earnings/Effort**” button found in the Actions column.

Report Earnings / Effort

7. A form will pop up where you will need to complete the following fields:

- Remuneration Type:
 - ✓ Select the appropriate category from the drop down menu.
- # of Hours: enter the number of hours engaged in the activity.
 - ✓ A day is 8 hours. If you engaged in the activity for 3 hours in one day, report 3 hours. If you engaged in the activity for 10 hours in one day, only report 8 hours.
 - ✓ Pursuant to [APM 671-14-c](#) “...professional activities performed during the evenings and weekends, count toward the annual time limits and earnings approval threshold.”
- Notes: This field is optional. The size of the text box can be increased by placing your mouse over the corner and dragging it outwards.

Notes:



- Select the start and end dates that you engaged in this activity.
 - Faculty subject to APM 671 should enter effort for each instance that time is spent and/or compensation is received for the activity.
 - It is possible to enter effort (time and/or compensation) more than once for an activity.
8. Are you ready to complete your annual certification report?

[COMPLETE ANNUAL CERTIFICATION REPORT](#)

or...

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COMPLETE ANNUAL CERTIFICATION REPORT

Prior approvals for Category I activities that were requested and approved in UC OATS will be included in your activities list. Remember to report effort ([APM 025](#)) or earnings/effort ([APM 671](#)) for those activities.

1. When you have entered and reported on all of your outside professional activities for **FY 2020-2021**, then proceed with completing your Annual Certification. Click on the purple button labeled **“Annual Certification 2020-2021.”**

Annual Certification 2020 - 2021

2. An “Annual Certification Summary” window opens. Find the row for FY 2020-2021 and click the orange button **“Not Submitted.”**

Annual Certification Summary

Fiscal Year	Submitted Date	Approved Date	Status
2018 - 2019	02/28/2020	04/01/2020	Accepted
2019 - 2020			Not Submitted 
2020 - 2021			Not Submitted 
2021 - 2022			Forthcoming

 **Note:** previous annual certification reports are finalized when they show as “Accepted” in your summary page. You are considered out of compliance with conflict of commitment policy for any reports that are not finalized. Please consult with your department chair for guidance if you are in this situation.

FY 2018-2019 – was due November 2019

FY 2019-2020 – was due November 2020

3. Click on **“Certify Activities.”**

Certify Activities

4. Review the certification statement, then enter your initials in the text box.

Enter your initials to certify: *

5. Click on **“Submit.”**

Submit

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