October 11, 2024

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 2023-2024**

Dear Colleagues,

I wrote to you in July asking that you start early by entering your Category I and II outside professional activities (OPA) and effort in UC OATS for the academic year/fiscal year (AY/FY) 2023-2024. As of today, the campus has reached 56% compliance with annual certification reporting. *I want to thank those of you who have already completed your reporting obligations.*

This message is a follow-up reminder for those of you who still need to complete your OPA reporting and annual certification. In accordance with our UC system-wide 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 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.

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[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), Professor of Teaching, Adjunct Professor, and Health Sciences Clinical Professor (except for faculty who are members of the Health Sciences Compensation Plan).

II. **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 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). 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, 2023 through June 30, 2024, and must be completed in UC OATS and received <u>by the deans' offices no later</u> than November 15, 2024. Departments and Deans' Offices may set earlier deadlines.***

- 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 <u>*did not engage*</u> in Category I or Category II activities <u>and</u> 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, 2024.**

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.***

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. 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.

Sincerely,

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