



Health Sciences Compensation Plan Participants OATS Reporting, Prior Approval Requests, and Annual Certifications

SCHOOLS OF HUMAN HEALTH SCIENCES

Stephen Green, JD, MBA, SPHR
Executive Academic Compliance Director
Office of Academic Personnel
UC Davis, Schools of Human Health Sciences



Agenda

- I. Conflict of Commitment, Generally
 - APM-671 Overview
 - **New Provisions: July 1, 2024**
 - Excluded Activities
 - Prior Approval and Reporting Requirements
 - Compliance and Good Standing
- II. Reporting
 - UC Outside Activity Tracking System (OATS)
 - Entering New Activities
 - Prior Approval Requests and Review Methodology
 - Annual Certification
- III. Tools & Resources
- IV. Questions / Discussion

Overview – APM 671: Conflict of Commitment and Outside Activities of Health Sciences Compensation Plan Participants

- Purpose is to ensure Health Sciences Compensation Plan participants’ (“Comp Plan Participants”) “primary professional allegiance” is to the University, advancing its mission
 - Applies to 51%+ appointees; others governed by APM-025
- Places limits on outside professional activity (OPA) time and earnings
 - 168 hours per fiscal year
 - \$40,000 or 40% of base pay (scale 0), whichever is greater, per fiscal year
- Designates type of activity by Category, I-III
 - Categorized based on the extent to which they are likely to constitute a conflict of commitment
- Defines procedural requirements for engaging in OPA
 - Requires prior approval for Category I activities, over threshold requests, and student involvement
- Defines Comp Plan Participants’ OPA reporting obligations (via OATS)
- Comp Plan Participants must comply with APM-671 to remain in good standing
- Implemented via the UCD Health Sciences Compensation Plan Implementing Procedures

APM-671 Revisions: Effective July 1, 2024

- Clarifies that honorary, visiting, adjunct or other institutional appointments are Category I activities
- Clarifies that participation in talent recruitment programs sponsored by a foreign government agency is a Category I activity
- Expands definition of compensation to include in-kind contributions (office space, equipment, etc.)
 - Already includes cash, check, crypto, stock, founders' stock, stock options
- Establishes requirement to comply with federal funding agency laws and policies governing grant disclosures (e.g., reporting conflicts of commitment, disclosing participation in foreign talent recruitment program, accepting honorary or visiting appointments at other institutions of higher education and research)

Categories of Activities: Excluded Activities

- Conflict of Commitment
 - Comp Plan Participants cannot engage in any outside professional activity that creates a conflict of commitment
- Clinical Activities
 - Comp Plan Participants cannot engage in patient care (clinical) activities for outside entities
 - Any patient care (clinical) activities performed outside the University setting must be pursuant to an approved affiliation or professional service agreement
 - All income from clinical activity conducted pursuant to an approved affiliation or professional service agreement is paid directly to the University. *“In no case will Plan participants be allowed to retain income from patient care (clinical) activities.”*

Prior Approval and Reporting Requirements

- **Prior** Approval Requirements
 - All Category I activity
 - **Must complete Supplemental Category I Request Form**
 - Consultations with Research, Ethics, and Compliance and Innovation *Access*
 - Must provide documentation from outside entity
 - Requests to exceed annual earnings or hours limitations
 - **Must provide documentation from outside entity**
 - Involving students in outside activity (Department Chair)
- Reporting of Activities
 - Annual Disclosure
 - **Fiscal-Year Reporting Period – July 1st through June 30th**
 - Annual Certification
 - **Deadline to report – Sept 15th (subject to change year-to-year)**
 - All reporting must be completed through UC OATS
 - Comp Plan Participants must complete annual certification even not engaging in outside activity
 - Including Comp Plan Participants on leave
 - Including retired Comp Plan Participants recalled into the Comp Plan

Compliance and Good Standing

- Monitoring & Enforcement
 - Chairs have primary responsibility
- Non-Compliance: Informal Resolution
 - Notification to Department Chair and CAO
 - Follow up with Comp Plan Participant
- Non-Compliance: Formal Review
 - 14-day notice of noncompliance
 - Chair / Dean review and written determination
 - Appeal rights
- Non-Compliance – Administrative Actions: “Not in Good Standing”
 - Suspended from engaging in OPA
 - Salary reduction
 - Declination of leaves and/or rescission of approved leaves
 - Possibly subject to APM-015 faculty misconduct review

Reporting in the UC Outside Activity Tracking System (OATS)

UNIVERSITY OF CALIFORNIA OATS

ABOUT UC OATS LOG IN

UC DAVIS

Please begin by clicking the button below.

Log in to OATS

UC OATS is an easy-to-use, web-based application through which university faculty members can report outside activities and income, in accordance with UCOP conflict of commitment policies. It employs a simple, yet interactive format that facilitates the collection of information about outside professional activities, and helps faculty understand the related policies.

The UC-wide Outside Activity Tracking System (OATS) initiative and implementation is a multi-campus Conflict of Commitment system that facilitates the collection, review, approval, and reporting of faculty outside professional activities for the eight adopter campuses.

RESOURCES	POLICIES
<ul style="list-style-type: none">• UC OATS Information Website• UC OATS Online Training• UC Davis Campus Help Page	<ul style="list-style-type: none">• APM-670, UC Health Sciences Compensation Plan• APM-671, Conflict of Commitment and Outside Activities of Health Sciences Compensation Plan Participants• APM-025, UC University Policy Regarding Academic Appointees• APM-240, UC Appointment and Promotion, Deans• APM-246, UC Appointment and Promotion, Faculty Administrators

Click green
“Log in to
OATS” button

<https://ucdavis.ucoats.org/>

Entering New Activities into OATS: Dashboard

The screenshot displays the OATS dashboard for the University of California. At the top, it says "UNIVERSITY OF CALIFORNIA OATS" and "WELCOME, BRENT SEIFERT". A red banner below the header states: "This is NOT your live site. This is for TRAINING, TESTING, AND DEMONSTRATION PURPOSES only. UCOATS Release: 7.77.3".

The dashboard is divided into three main sections:

- SUMMARY:** Shows "Earnings Reported: \$0", "Owed To Plan: \$0", and "Paid To Plan: \$0".
- TIME:** Shows "0 hr" and "0 hr" with a "Time Threshold: ↑168 hr".
- EARNINGS:** Shows "\$0" and "\$0" with an "Earnings Threshold: ↑\$46,200.00".

Below these sections is an "ACTIONS:" bar with several buttons: "Fiscal Year: < 2023 - 2024 >" (yellow), "Enter an Activity" (green), "Copy Activity" (light blue), "Annual Certifications" (purple), and "Reviewer's View" (dark blue). There is also a "Status Legend" button.

Under the actions bar is an "Export current data" button and a table with the following columns: Activity ID, Activity Label, Org. Type, Org. Name, Student Involvement, Activity Type(s), Current Hrs / Earnings, Actions, and Form/Queue. The table currently shows "No data available in table".

At the bottom of the dashboard, it says "Showing 0 to 0 of 0 entries".

- Landing page, after login, is the Comp Plan Participant's OATS dashboard
- Use yellow toggle buttons to choose correct Fiscal Year (reporting period)
- Then click on green "Enter an Activity" button

Entering an Activity into OATS: Description and Category

Enter an Activity

< Fiscal Year: 2023 - 2024

Organization Name:*
Available Characters: 255

Name this Activity:*
Available Characters: 255

Description:*
Available Characters: 4000

Type:*

Activity Type(s) / Role(s):* **Category I**
Most likely to create a conflict of commitment because activities are related to training and expertise for with individuals has a University appointment but are performed on behalf of a third party and/or require significant commitment.

- Administration of a grant outside the University
- Assuming an executive or managerial position outside of the University
- Assuming founding or co-founding role of a company
- Employment outside the University
- Research outside the University
- Teaching outside the University

- Enter the name of the outside organization with whom the Comp Plan Participant is engaged for the activity, the name of the activity, and a brief description of the activity. NOTE: All fields in red or designated with a small red star are mandatory fields.
- Select activity type (for profit, non-profit, unknown) and check the appropriate box for the type of activity in Category I, Category II, or Category III

Entering an Activity into OATS: Category (cont.)

Category II

Typically a shorter term activity outside of the course and scope of University employment and activities related to training and expertise for which the individual has a University appointment are performed on behalf of a third party.

Consulting

- Consulting or testifying as an expert or professional witness
- Consulting for a domestic or foreign government agency
- Consulting for for-profit entity
- Consulting for non-profit entity
- Consulting for non-profit health or education-related organization
- Consulting under the auspices of UC
- Providing outside consulting or compensated professional activities performed for Los Alamos National Security and Lawrence Livermore National Laboratories

- Additional University-compensated teaching (CME & UNEX) or self-supporting UC degree programs
- Other income generating activities specified in approved Implementing Procedures
- Providing or presenting a workshop for industry
- Serving on a board of directors outside the University

Category III

Activities are generally within course and scope of University employment or unrelated to training and expertise for which the individual has a University appointment.

- Attending and presenting talks at university/academic colloquia and conferences
- Developing scholarly or creative works
- Reviewing manuscripts, acting in an editorial capacity
- Serving on government or professional panels or committees or as an officer or board member of a professional or scholarly society

Entering an Activity into OATS: Required Information

Student Involvement

Do you plan to involve student(s) from your campus over whom you have, or expect to have, academic responsibility (instructional, evaluative, and/or supervisory) in any substantive way - whether compensated or uncompensated - in this activity?*

Yes No

Intellectual Property

Does this activity use or propose to use intellectual property (IP) developed at the University of California (using University resources)?*

Yes No I don't know

Did you or do you plan to create any IP in your outside activity (and assign your rights to the entity)?*

Yes No

Did you make any invention and/or create any non-scholarly/non-aesthetic copyright material (e.g. software) in the course of your outside activity?*

Yes No I don't know

[Turn Help Text On](#)


- Scroll down to answer Student Involvement and Intellectual Property questions
 - If left unanswered, the activity entry may be rejected, requiring the activity entry to be restarted from the beginning
 - If answer “Yes” to IP question, a Yes/No prompt appears asking whether the Comp Plan Participant has consulted with the technology management office
 - If answer “Yes”, the follow pop-up question must be answered:

A license agreement is under review or in place.	<input type="radio"/>
UC has released the intellectual property.	<input type="radio"/>
 - If required, an orange notice will appear directing the Comp Plan Participant to consult with the campus technology office and submit documentation in OATS (Note: sometimes this notice does not appear notwithstanding the required consultation)

Please provide documentation of communication with your campus technology management/licensing staff in the NOTES section OR if you have not yet contacted your campus technology management/licensing staff, please disclose immediately such intellectual property to that office.
- Once all required questions are answered, click green “Enter” button to submit. No additional action for Cat II or Cat III activities

Entering an Activity into OATS: Category I **Prior** Approval Form

Prior Approval Form for Outside Activities (Category 1)

FORM DETAILS	 NOTES
---------------------	--

Organization Name:	Full Name of Organization	Activity Label:	define your involvement
Description:	describe what the organization does or will be doing	Type:	For Profit
Activity Type(s)/Role(s):	Assuming founding or co-founding role of a company (Cat. 1)	Student Involvement:	No

Intellectual Properties
NEW: as of Feb 5, 2020

Does this activity use or propose to use intellectual property (IP) developed at the University of California (using University resources)?: No

Did you or do you plan to create any IP in your outside activity (and assign your rights to the entity)?: No

Did you make any invention and/or create any non-scholarly/non-aesthetic copyright material (e.g. software) in the course of your outside activity?: No

Name:	SEIFERT, BRENT		
Dept:	49001 TEST: SOM APO TRAINING UNIT	School:	UCDAVIS

- For Category I activities, the next step is completing the Prior Approval Form, which pops up automatically

Category I **Prior** Approval Form (cont.)

Name: SEIFERT, BRENT

Dept: 49001 TEST: SOM APO TRAINING UNIT

School: UCDAVIS

Type of Category I Activity in which you will be involved:

Assuming founding or co-founding role of a company

Organization name: Full Name of Organization

General description of the business / agency / organization / group / individual:*

describe the nature of the business

Available Characters: 3965

Please list the web address of the company:

enter URL or TBD

Available Characters: 239

Nature of your relationship to entity named above (check all that apply):*

- Board Member
- Equity/Royalty Interest
- Owner
- Stockholder/Partnership Interest

- Consultant (1099)
- Founder/Co-Founder
- Salaried Employee (W-2)
- Other, please explain:

Available Characters: 255

- Complete each fill-in section and select applicable check boxes

Category I Prior Approval Form (cont.)

Description of the nature of your participation in this activity, including, any possible beneficial outcomes to areas of research, industry, and public service:*

founder of organization which will improve healthcare thru collaborative efforts

Available Characters: 3920

Start date for which you are seeking approval: * 2023-07-01

Last date for which you are seeking approval: * 2026-06-30

Please note approvals are granted generally for one Academic/Fiscal Year but may be granted for a longer term, up to three years.

Estimated number of hours during each annual reporting period:*

40

Have you engaged in the activity before receiving permission?*

Yes No

APM 671 requests: Please note approval to engage in this activity does not include approval to exceed the time/earnings threshold, nor to retain earnings above the threshold. If this activity, either alone or in combination with other outside professional activities during the fiscal year causes you to exceed the time or earnings thresholds, you must submit a separate approval request (see Request to Exceed Time and/or Earnings Thresholds).

I attest that my submittal is true

Historical Actions

Turn Help Text On Save Request Approval Print Close

- Select the start and end dates for the requested approval, input **estimated** hours, and whether the Comp Plan Participant engaged in the activity before receiving approval
- Click on the blue “Save” button to save the Prior Approval Request Form
- **DO NOT** click the green “Request Approval” button, as the Prior Approval Request Form is not yet completed

Uploading Documentation in OATS

SUMMARY

Earnings Reported: \$0
Owed To Plan: \$0
Paid To Plan: \$0

TIME

0 hr 0 hr
Time Threshold: ↑168 hr

EARNINGS

\$0 \$0
Earnings Threshold: ↑\$46,200.00




ACTIONS: Fiscal Year: < 2023 - 2024 > Enter an Activity Copy Activity Annual Certifications Reviewer's View Status Legend

Export current data


Activity ID	Activity Label	Org. Type	Org. Name	Student Involvement	Activity Type(s)	Current Hrs / Earnings	Actions	Form/Queue
7217709	define your involvement	For Profit	Full Name of Organization	No	Assuming founding or co-founding role of a company (Cat. 1)	0.00 hr / 0.00	Edit Activity Delete Report Earnings / Effort	Cat I Approval: Dept Reviewer Exceed TH Prior Approval Request

Showing 1 to 1 of 1 entries

Notes Tag

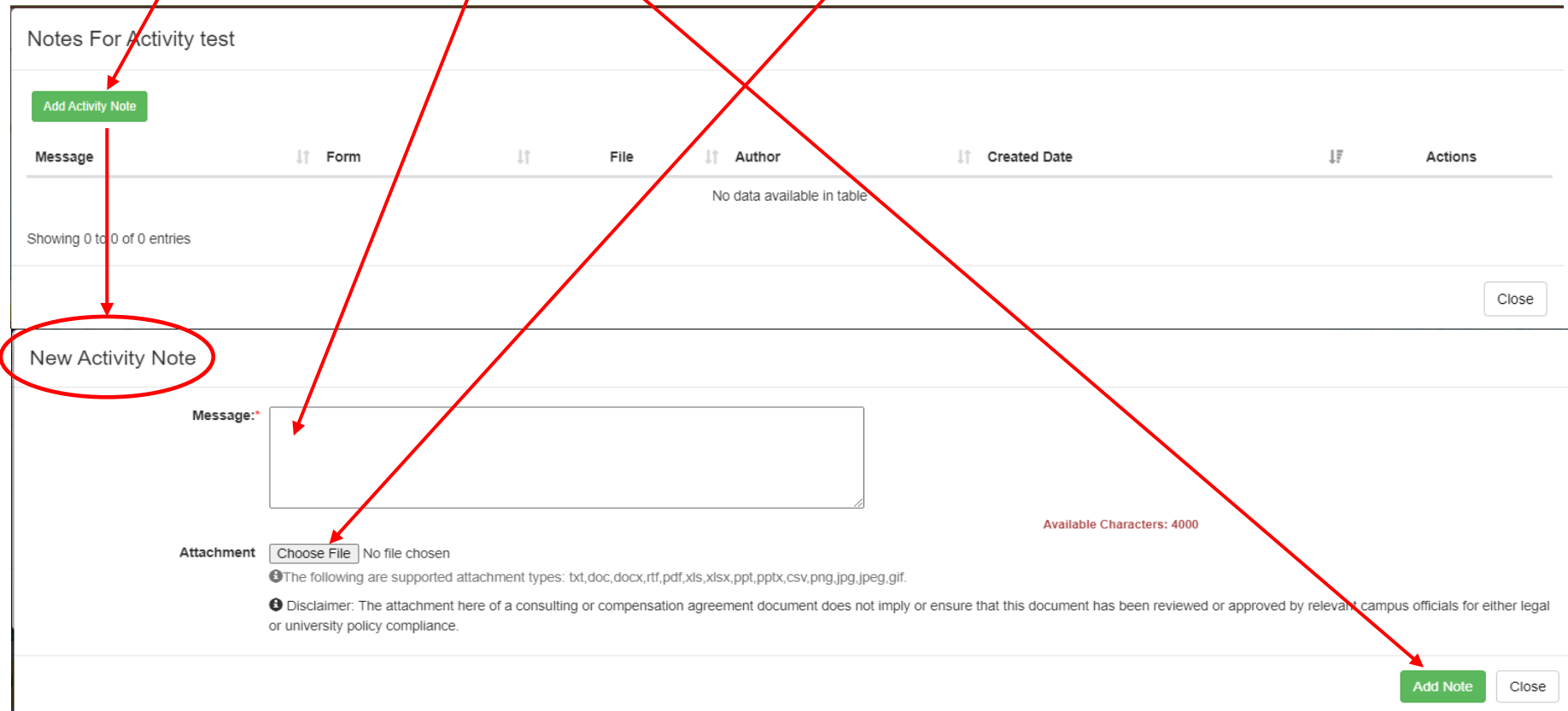
- Once saved, the activity will show on the Comp Plan Participant's dashboard
- Although entered into OATS, **this request is currently incomplete as it still needs the supporting documentation**. Documentation is added via the small tag on the left (which is currently white and has a "0" in it denoting no notes or documents attached: ; after  notes or documents are attached, tag changes color to goldenrod and cites the number of notes: )
- To complete the Category I OATS entry, the Comp Plan Participant must upload the required documents by clicking this tag

Uploading Documentation in OATS

- Clicking on the white tag on the left () brings up the 1st Pop-Up Screen, below
- Clicking on the green “Add Activity Note” brings up “New Activity Note” (2nd Pop-Up Screen) for uploading documents and adding informational items
- Add a brief description of the document in the “Message” section, and then use the “Choose File” button to browse computer to select the appropriate document for upload. Once uploaded and described, click the green “Add Note” button

1st Pop-Up
Screen →

2nd Pop-Up
Screen →



The screenshot displays two overlapping windows. The top window, titled "Notes For Activity test", features a green "Add Activity Note" button. Below it is a table with columns for Message, Form, File, Author, Created Date, and Actions. The table is currently empty, showing "No data available in table" and "Showing 0 to 0 of 0 entries". A "Close" button is in the top right corner. The bottom window, titled "New Activity Note", is a form with a "Message:" label and a text area. Below the text area is an "Attachment" section with a "Choose File" button and a list of supported file types: txt, doc, docx, rtf, pdf, xls, xlsx, ppt, pptx, csv, png, jpg, jpeg, gif. A disclaimer is also present. An "Add Note" button and a "Close" button are at the bottom right. Red arrows point from the "Add Activity Note" button in the top window to the "New Activity Note" form in the bottom window, and from the "Add Note" button in the bottom window back to the "Add Activity Note" button in the top window.

Entering an Activity into OATS: Cat I Required Documentation

Category I prior approval requests usually require the following four (4) documents uploaded as attachments to the OATS entry:

1. **APM-671 Form (Required):** <https://aadoocs.ucdavis.edu/tools/oats/apm-671-category-i-activities-additional-information-requirements.pdf>
2. Proof of Consult with Office of Research on Conflict of Interest (Usually Required, Strongly Advised)
 - Email Denise Ehlen: dmehlen@ucdavis.edu
3. Proof of Consult with Office of Research on Intellectual Property (Usually Required, Strongly Advised)
 - Email InnovationAccess: innovationaccess@ucdavis.edu
4. **Documentation from the Outside Entity (Required):** <https://bit.ly/46yJYDQ>

APM-671 Form

Additional Information Requirements—APM 671 Complete and attach this form as a "NOTE" to your Category I prior approval request in UC OATS

Name:

Organization Name:

Failure to complete the required sections as described below may result in your request being returned.

Section 1 must be completed for all Category I prior approval requests.
Section 2 must be completed when "Teaching outside the University" is selected.
Section 3 must be completed for all other Category I prior approval requests.

SECTION 1 – ALL Category I prior approval requests:

1. Please explain how the activity will not cause real or apparent conflict or interference with the fulfillment of your faculty obligations.

2. Please explain how this activity enhances the mission of the University.

SECTION 2 – "Teaching outside the University" Category I prior approval requests

Skip this section if your prior approval request does not involve this type of activity.

1. You must contact Research Compliance and Integrity (Denise Ehlen dmehlen@ucdavis.edu) to consult regarding potential Conflicts of Interest (COI) matters and attach consultation confirmation to your Category I prior approval request **when teaching at a foreign institution/organization:**

- I have attached my consultation with Research Compliance and Integrity regarding Conflict of Interest (COI).
 I attest that my activity does not require consultation with Research Compliance and Integrity based on my understanding of the above criteria.

2. **Disclose if you will be compensated or not for this activity.** If receiving compensation, please disclose the expected amount. *Excluding customary honoraria, reimbursement for reasonable travel expenses, and per diem expenses.

- I will be compensated. \$
 I will not be compensated.

3. **Indicate whether or not you will receive a formal academic appointment** at the outside institution. **Attach documentation** of any contract, letter of agreement or letter of appointment for the work to be performed, if one exists, in the "Notes" tab of your Prior Approval Request in UC OATS.

- I will receive a formal academic appointment.
 I have attached the required documentation associated with the formal academic appointment. *If an original document is in a foreign language, then a translated version in English must also be provided.
 I will not receive a formal academic appointment.

SECTION 3 - all other Category I prior approval activity requests (e.g., Assuming an executive or managerial position outside of the University; Assuming founding or co-founding role of company; Employment outside the University; Administration of a grant outside the University, Research outside the University)

1. You must contact InnovationAccess (Denise Ehlen dmehlen@ucdavis.edu) to consult regarding potential Intellectual Property concerns and attach consultation confirmation to your Category I prior approval request **when any of the following criteria apply:**

- You are involved with a startup, founding/co-founding a company, commercial implementation of research, data, know-how, inventions, or materials developed at UC Davis; **or**
- The activity will potentially involve use of research, data, know-how, inventions, or materials associated with any UC Davis-managed grants or contracts.

- I have attached correspondence confirming my consultation with InnovationAccess regarding Intellectual Property.
 I attest that my activity does not require consultation with InnovationAccess based on my understanding of the above criteria.

2. You must contact Research Compliance and Integrity (Denise Ehlen dmehlen@ucdavis.edu) to consult regarding potential Conflicts of Interest (COI) matters and attach consultation confirmation to your Category I request **when any of the following criteria apply:**

- You are involved with a startup, or founding/co-founding a company; **or**
- You have any outside financial interests; **or**
- You are working or engaged in research at a foreign institution; **or**
- You have any active grants where you are a PI or Co-PI.

- I have attached my consultation with Research Compliance and Integrity regarding Conflict of Interest (COI).
 I attest that my activity does not require consultation with Research Compliance and Integrity based on my understanding of the above criteria.

3. **Disclose if you will be compensated or not for this activity.** If receiving compensation, please disclose the expected amount. *Excluding customary honoraria, reimbursement for reasonable travel expenses, and per diem expenses.

- I will be compensated. \$
 I will not be compensated.

4. **Indicate whether or not you will receive a formal appointment (academic or otherwise) at the outside institution/company.** **Attach documentation** of any grant contract, MOU or other related documentation explaining the nature of your involvement in the activity, if one exists (even in draft form), to the "Notes" tab of your Category I prior approval request in UC OATS.

- I will receive a formal appointment (academic or otherwise).
 I have attached the required documentation associated with the formal appointment.
 I will not receive a formal appointment (academic or otherwise).

For questions about FCOI, please contact Research Compliance and Integrity: Denise Ehlen dmehlen@ucdavis.edu

For questions about Intellectual Property, please contact InnovationAccess: Denise Ehlen dmehlen@ucdavis.edu

Reminders:

Category I activities most likely to create a conflict of commitment because:

- They are activities related to the training and expertise which is an individual's qualification for University appointment, but performance for a third party, and/or
- They require significant professional commitment.

Outside Professional Activities must not interfere with obligations to the University and "it is expected that the use of days will be allocated evenly across service periods" and "if...receives summer compensation...the limit on compensated outside professional activities is the equivalent to one day per week, during the period such compensation is received." (See [APM 025-8-b-1](#)) and [APM 025-8-c](#))

[APM 025-2-a](#) states, "Faculty members who are employed by the University of California owe their primary professional allegiance to the University and accept as their own the University's responsibilities to advance and communicate knowledge. Teaching, research or other creative activities, and the cultivation of scholarly or creative competence, are their primary activities and should receive the largest commitment of time and energy; the same expectation exists for part-time faculty to the extent of their faculty appointment...."

[APM 600-4-c](#) states, "An academic-year appointment... refers to the period in which an academic appointee renders services, i.e., the academic year, from the beginning of the fall term through the end of the spring term, including periods of intercession."

Time Limits allowed for Outside Professional Activities are converted from days to hours in UC OATS:

AY appointees: 39 days = 312 hours

FY appointees: 48 days = 384 hours

Leaves:

A leave should be requested for activities that require time away from the campus, per the specified leave requirements, e.g., 7 days or less approval required by Chair, 7-30 days' approval required by the Dean, and greater than 30 days', approval required by Vice Provost. Leave requests shall be submitted through the normal leave process.

APM-671 Form (cont.)

- **Comp Plan Participant Name**
- **Name of Outside Entity where Engaging in the Activity**
- **Section 1: All Category I activities required to complete**
 - How the activity will not cause a real or apparent conflict with faculty obligations
 - How the activity enhances the mission of the University
- **Section 2: Teaching**
 - If teaching activity, fill out this section. Otherwise, leave blank
 - 1: Required to either:
 - **Contact Research Compliance (Denise Ehlen)**
 - When teaching at a foreign institution/organization
 - Attach proof of consultation (email)
 - **Attestation that activity does not require consultation**

Additional Information Requirements—APM 671
Complete and attach this form as a "NOTE" to your Category I prior approval request in UC OATS

Name:

Organization Name:

*****Failure to complete the required sections as described below may result in your request being returned.*****

Section 1 must be completed for all Category I prior approval requests.
Section 2 must be completed when "Teaching outside the University" is selected.
Section 3 must be completed for all other Category I prior approval requests.

SECTION 1 – ALL Category I prior approval requests:

1. Please explain how the activity will not cause real or apparent conflict or interference with the fulfillment of your faculty obligations.

2. Please explain how this activity enhances the mission of the University.

SECTION 2 – "Teaching outside the University" Category I prior approval requests
Skip this section if your prior approval request does not involve this type of activity.

1. You must contact Research Compliance and Integrity (Denise Ehlen dmehlen@ucdavis.edu) to consult regarding potential Conflicts of Interest (COI) matters and attach consultation confirmation to your Category I prior approval request **when teaching at a foreign institution/organization:**

I have attached my consultation with Research Compliance and Integrity regarding Conflict of Interest (COI).

I attest that my activity does not require consultation with Research Compliance and Integrity based on my understanding of the above criteria.

2. **Disclose if you will be compensated or not for this activity.** If receiving compensation, please disclose the expected amount. *Excluding customary honoraria, reimbursement for reasonable travel expenses, and per diem expenses.

APM-671 Form (cont.)

- **Section 2: Teaching (cont.)**

- 2: Disclose whether compensated and, if so, amount
- 3: Disclose whether will receive formal appointment
 - Requires upload of documentation

- **Section 3: All other (non-teaching) Category I activities**

- 1: Instruction to contact InnovationAccess
 - When involved in startup company, founding/co-founding a company, or commercial implementation of research, data, know-how, inventions, or materials developed at UC Davis, or
 - The activity will potentially involve use of research, data, know-how, inventions, or materials associated with UC Davis managed grants or contracts
 - Attach proof of consultation (email), or
 - Attestation that does not require consultation

I will be compensated. \$
 I will not be compensated.

3. Indicate whether or not you will receive a formal academic appointment at the outside institution. **Attach documentation** of any contract, letter of agreement or letter of appointment for the work to be performed, if one exists, in the "Notes" tab of your Prior Approval Request in UC OATS.

I will receive a formal academic appointment.
 I have attached the required documentation associated with the formal academic appointment. *If an original document is in a foreign language, then a translated version in English must also be provided.
 I will not receive a formal academic appointment.

SECTION 3 - all other Category I prior approval activity requests (e.g., Assuming an executive or managerial position outside of the University; Assuming founding or co-founding role of company; Employment outside the University; Administration of a grant outside the University, Research outside the University)

1. You must contact InnovationAccess (Denise Ehlen dmehlen@ucdavis.edu) to consult regarding potential Intellectual Property concerns and attach consultation confirmation to your Category I prior approval request **when any of the following criteria apply:**

- You are involved with a startup, founding/co-founding a company, commercial implementation of research, data, know-how, inventions, or materials developed at UC Davis, **or**
- The activity will potentially involve use of research, data, know-how, inventions, or materials associated with any UC Davis managed grants or contracts.

I have attached correspondence confirming my consultation with InnovationAccess regarding Intellectual Property.
 I attest that my activity does not require consultation with InnovationAccess based on my understanding of the above criteria.

2. You must contact Research Compliance and Integrity (Denise Ehlen dmehlen@ucdavis.edu) to consult regarding potential Conflicts of Interest (COI) matters and attach consultation confirmation to your Category I request **when any of the following criteria apply:**

- You are involved with a startup, founding/co-founding a company; **or**
- You have any outside financial interests; **or**
- You are working or engaged in research at a foreign institution; **or**
- You have any active grants where you are a PI or Co-PI.

I have attached my consultation with Research Compliance and Integrity regarding Conflict of Interest (COI).
 I attest that my activity does not require consultation with Research Compliance and Integrity based on my understanding of the above criteria.

3. Disclose if you will be compensated or not for this activity. If receiving compensation, please disclose the expected amount. *Excluding customary honoraria, reimbursement for reasonable travel expenses, and per diem expenses.

I will be compensated. \$
 I will not be compensated.

APM-671 Form (cont.)

- **Section 3: All other (non-teaching) Category I activities (cont.)**

- 2: Instruction to contact Office of Research for conflict of interest consultation
 - When involved with startup, or founding/cofounding company
 - When have any outside financial interests
 - When working or engaging in research at a foreign institution
 - When have any active grants where you are PI or co-PI
 - Attach proof of consultation (email)
 - Attestation that activity does not require consultation
- 3: Disclose whether compensated and, if so, amount
- **Friendly Advice:** simplest to just complete these consultations (5-10 minutes) and attach documentation

I will be compensated. \$
 I will not be compensated.

3. Indicate whether or not you will receive a formal academic appointment at the outside institution. **Attach documentation** of any contract, letter of agreement or letter of appointment for the work to be performed, if one exists, in the "Notes" tab of your Prior Approval Request in UC OATS.

I will receive a formal academic appointment.
 I have attached the required documentation associated with the formal academic appointment. **If an original document is in a foreign language, then a translated version in English must also be provided.*
 I will not receive a formal academic appointment.

SECTION 3 - all other Category I prior approval activity requests (e.g., Assuming an executive or managerial position outside of the University; Assuming founding or co-founding role of company; Employment outside the University; Administration of a grant outside the University; Research outside the University)

1. You must contact InnovationAccess (Denise Ehlen dmehlen@ucdavis.edu) to consult regarding potential Intellectual Property concerns and attach consultation confirmation to your Category I prior approval request **when any of the following criteria apply:**

- You are involved with a startup, founding/co-founding a company, commercial implementation of research, data, know-how, inventions, or materials developed at UCD; **or**
- The activity will potentially involve use of research, data, know-how, inventions, or materials associated with any UCD-managed grants or contracts.

I have attached correspondence confirming my consultation with InnovationAccess regarding Intellectual Property.

I attest that my activity does not require consultation with InnovationAccess based on my understanding of the above criteria.

2. You must contact Research Compliance and Integrity (Denise Ehlen dmehlen@ucdavis.edu) to consult regarding potential Conflicts of Interest (COI) matters and attach consultation confirmation to your Category I request **when any of the following criteria apply:**

- You are involved with a startup, or founding/co-founding a company; **or**
- You have any outside financial interests; **or**
- You are working or engaged in research at a foreign institution; **or**
- You have any active grants where you are a PI or Co-PI.

I have attached my consultation with Research Compliance and Integrity regarding Conflict of Interest (COI).

I attest that my activity does not require consultation with Research Compliance and Integrity based on my understanding of the above criteria.

3. **Disclose if you will be compensated or not for this activity.** If receiving compensation, please disclose the expected amount. *Excluding customary honoraria, reimbursement for reasonable travel expenses, and per diem expenses.

I will be compensated. \$
 I will not be compensated.

APM-671 Form (cont.)

- **Section 4: Whether receiving formal appointment at the outside institution or company**
 - If so, must attach documentation of appointment

4. Indicate whether or not you will receive a formal appointment (academic or otherwise) at the outside institution/company. Attach documentation of any grant contract, MOU or other related documentation explaining the nature of your involvement in the activity, if one exists (even in draft form), to the "Notes" tab of your Category I prior approval request in UC OATS.

- I will receive a formal appointment (academic or otherwise).
- I have attached the required documentation associated with the formal appointment.
- I will not receive a formal appointment (academic or otherwise).

For questions about FCOI, please contact Research Compliance and Integrity: Denise Ehlen dmehlen@ucdavis.edu

For questions about Intellectual Property, please contact InnovationAccess: Denise Ehlen dmehlen@ucdavis.edu

Reminders:

Category I activities most likely to create a conflict of commitment because:

- 1) They are activities related to the training and expertise which is an individual's qualification for University appointment, but performance for a third party, and/or
- 2) They require significant professional commitment.

Outside Professional Activities must not interfere with obligations to the University and "it is expected that the use of days will be allocated evenly across service periods" and "if ...receives summer compensation...the limit on compensated outside professional activities is the equivalent to one day per week, during the period such compensation is received." (See [APM 025-8-b-\(1\)](#) and [APM 025-8.c](#))

[APM 025-2-a](#) states, "Faculty members who are employed by the University of California owe their primary professional allegiance to the University and accept as their own the University's responsibilities to advance and communicate knowledge. Teaching, research or other creative activities, and the cultivation of scholarly or creative competence, are their primary activities and should receive the largest commitment of time and energy; the same expectation exists for part-time faculty to the extent of their faculty appointment...."

[APM 600-4-c](#) states, "An academic-year appointment... refers to the period in which an academic appointee renders services, i.e., the academic year, from the beginning of the fall term through the end of the spring term, including periods of intersession."

Time Limits allowed for Outside Professional Activities are converted from days to hours in UC OATS:

AY appointees: 39 days = 312 hours

FY appointees: 48 days = 384 hours

Leaves:

A leave should be requested for activities that require time away from the campus, per the specified leave requirements, e.g., 7 days or less approval required by Chair, 7-30 days' approval required by the Dean, and greater than 30 days', approval required by Vice Provost. Leave requests shall be submitted through the normal leave process.

Prior Approval Outside Entity Documentation Matrix

Matrix:

<https://bit.ly/46yJYDQ>

Documentation from outside entity must include:

- A detailed description of the scope of work or service to be performed;
- The anticipated time in hours;
- The anticipated earnings or hourly rate; and
- The outside entity contact information, including
 - Contact name
 - Contact phone number
 - Contact email address

DOCUMENTATION MATRIX FOR PRIOR APPROVAL REQUESTS:

CATEGORY I AND EXCEEDING ANNUAL EARNINGS LIMITS

This document describes the required documentation to request prior approval for Category I Outside Professional Activities (OPA) and to exceed annual OPA earnings limits for Health Sciences faculty pursuant to [APM-671](#). For a description of OPA workflow, please see: <https://bit.ly/44ucwMS>. For directions on uploading documents to OATS, please see <https://info.ucoats.org/pages/faculty-addnotes-671>.

Type of Prior Approval Request	Activity	Required Documentation*
Category I		
	All Category I Requests	APM-671 Form
	All Non-Teaching Category I Requests	InnovationAccess consultation**
	All Non-Teaching Category I Requests	Conflict of interest consultation***
	Teaching	Signed appointment letter or contract
	Research	Signed appointment letter or contract
	Administration of a Grant	Signed appointment letter or contract
	Employment	Signed employment agreement
	Executive or Managerial Role	Signed position description, compensation agreement, or contract
	Founding or Co-Founding Company	<i>See below</i>
Exceeding Annual Earnings Limit		
	Category I Activities	<i>See above</i>
	Consulting	Signed consulting agreement
	Expert Witness	Signed expert witness agreement
	Serving on Board of Directors	Signed appointment letter
	Presenting at Industry Workshop	Signed engagement contract

Documentation for Founding or Co-Founding Company (Category I)

1. Submit prior approval request with description of activity, APM-671 form, InnovationAccess consultation, and Conflict of Interest consultation.
2. After formation of the company, upload the foundational documents (e.g., articles of incorporation, partnership agreement, etc.).
 - a. NOTE: some non-public foundational documents may include trade secrets or other confidential/non-public information. Contact Academic Personnel for consultation on appropriate documentation.

* – Documentation from Outside Entities

The required documentation from outside entities must include:






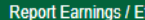
1. A detailed description of the scope of work or service to be performed;
2. The anticipated time in hours;
3. The anticipated earnings or hourly rate; and
4. The outside entity contact information, including
 - a. Contact name
 - b. Contact phone number
 - c. Contact email address


** To schedule an intellectual property consultation with InnovationAccess, email innovationaccess@ucdavis.edu

*** To schedule a conflict of interest consultation with Research Compliance and Integrity, email Denise Ehlen at dmehlen@ucdavis.edu

Effective: 07/01/23


Submitting the Category I **Prior** Approval Request

 CLOSE	8205980	Tester 	For Profit	Test	No	Assuming founding or co-founding role of a company (Cat. 1)	07/26/2024 04:27 pm	0.00 hr/ 0.00	 Edit Activity	Cat I Approval: Not Submitted	
 4										 Delete	Exceed TH Prior Approval Request
 Report Earnings / Effort											
No Incomes Reported											

- Once all documentation is uploaded, **refresh the page** so the note tag reflects the uploaded documentation, colored goldenrod with the number of attached notes:  4
- Click on the blue “Cat I Approval” button, which shows as “Not Submitted”

Submitting the Category I **Prior** Approval Request (cont.)

Prior Approval Form for Outside Activities (Category 1)

FORM DETAILS 

Organization Name:	Test	Activity Label:	Tester
Description:	Testing	Type:	For Profit
Activity Type(s)/Role(s):	Assuming founding or co-founding role of a company (Cat. 1)	Student Involvement:	No

Intellectual Properties
NEW: as of Feb 5, 2020

Does this activity use or propose to use intellectual property (IP) developed at the University of California (using University resources)?: Yes
Have you consulted with your campus technology management office?: No
Did you or do you plan to create any IP in your outside activity (and assign your rights to the entity)?: No
Did you make any invention and/or create any non-scholarly/non-aesthetic copyright material (e.g. software) in the course of your outside activity?: No

Name: TEST ACCT: SEIFERT, BRENT
Dept: 49001 TEST: SOMAPO TRAINING UNIT
School: UCDAVIS

Type of Category I Activity in which you will be involved: Assuming founding or co-founding role of a company

Organization name: Test
General description of the business / agency / organization / group / individual:* Test Case
Available Characters: 4000

Please list the web address of the company: www.testcase.com
Available Characters: 255

Nature of your relationship to entity named above (check all that apply):*

<input type="checkbox"/> Board Member	<input type="checkbox"/> Consultant (1099)	<input type="checkbox"/> Equity/Royalty Interest
<input checked="" type="checkbox"/> Founder/Co-Founder	<input type="checkbox"/> Owner	<input type="checkbox"/> Salaried Employee (W-2)
<input type="checkbox"/> Stockholder/Partnership Interest	<input type="checkbox"/> Other, please explain:	

- Click the green “Request Approval” button to complete the request
- Blue Cat I Approval on dashboard will now show approval process status:

Cat I Approval: **Dept Reviewer**

Entering / Adjusting Hours and Earnings

SUMMARY	TIME	EARNINGS
Earnings Reported: \$0	0 hr	\$0
Owed To Plan: \$0	0 hr	\$0
Paid To Plan: \$0	Time Threshold: ↑168 hr	Earnings Threshold: ↑\$46,200.00

ACTIONS: Fiscal Year: < 2023 - 2024 > [Enter an Activity](#) [Copy Activity](#) [Annual Certifications](#) [Reviewer's View](#) [Status Legend](#)

Export current data

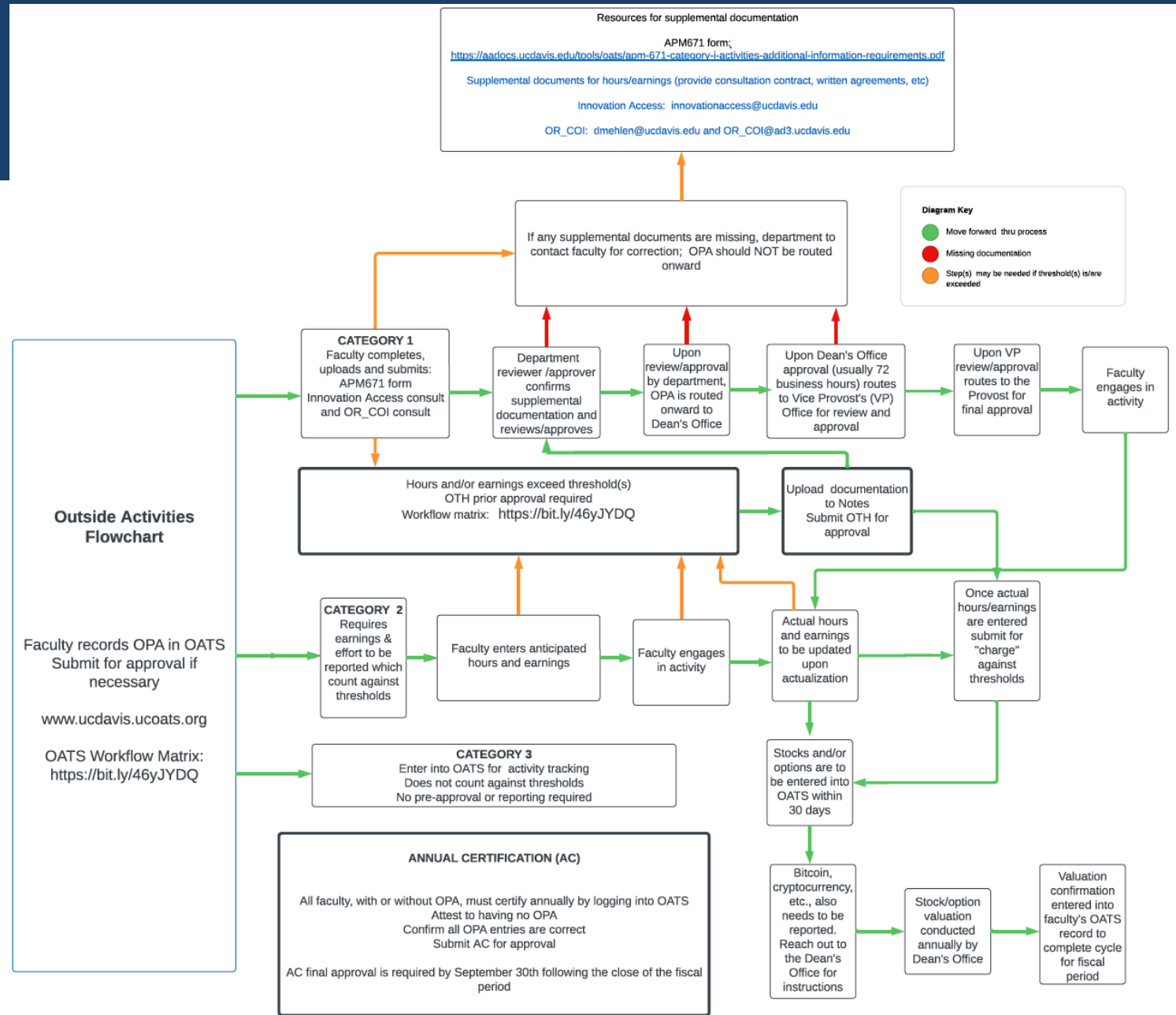
Activity ID	Activity Label	Org. Type	Org. Name	Student Involvement	Activity Type(s)	Current Hrs / Earnings	Actions	Form/Queue
OPEN + 7217709	define your involvement i	For Profit	Full Name of Organization	No	Assuming founding or co-founding role of a company (Cat. 1)	0.00 hr/ 0.00	Edit Activity Delete Report Earnings / Effort	Cat I Approval: Dept Reviewer Exceed TH Prior Approval Request

Showing 1 to 1 of 1 entries

- After activity routes through the approval process and is approved by the Provost, the Comp Plan Participant enters or adjusts hours and earnings by clicking dark green “Report Earnings/Effort” button. Pop-up requests: Remuneration Type, # of Hours, Notes, Start Date, End Date
- Comp Plan Participants must adjust to make accurate the dates, hours, and earnings for any activity (Category I, Category II, or Category III) upon the activity’s completion

OPA Flowchart

Flowchart:
<https://bit.ly/44ucwMS>



Over Threshold **Prior** Approval Requests

SUMMARY Earnings Reported: \$0 Owed To Plan: \$0 Paid To Plan: \$0	TIME 0 hr 0 hr Time Threshold: ↑168 hr	EARNINGS \$0 \$0 Earnings Threshold: ↑\$46,200.00
--	--	---

ACTIONS: Fiscal Year: < 2024 - 2025 > Enter an Activity Copy Activity Annual Certifications Reviewer's View ? Status Legend

Export current data

Activity ID	Activity Label	Org. Type	Org. Name	Students?	Activity Type(s)	Reported Date	Current Hrs / Earnings	Actions	Form/Queue
CLOSE 7507588	test	For Profit	test	No	Consulting or testifying as an expert or professional witness (Cat. 2)	03/11/2024 03:49 pm	0.00 hr / 0.00	Edit Activity Delete Report Earnings / Effort	1 Request to Exceed TH: Dept Reviewer
No Incomes Reported									
CLOSE 7597479	TEST ACTIVITY: founder of ABC Company	For Profit	TEST ACTIVITY: ABC Company	No	Assuming founding or co-founding role of a company (Cat. 1)	03/28/2024 08:55 am	0.00 hr / 0.00	Edit Activity Report Earnings / Effort	Cat I Approval: Expiration Date 06/30/2025 Exceed TH Prior Approval Request
No Incomes Reported									
OPEN 8204321	Tester	For Profit	Test	No	Consulting or testifying as an expert or professional witness (Cat. 2)	07/25/2024 12:16 pm	0.00 hr / 0.00	Edit Activity Delete Report Earnings / Effort	Exceed TH Prior Approval Request

- When an entry exceeds annual thresholds, a blue “Exceed TH Prior Approval Request” automatically pops up.
 - Note: OATS is quirky and sometimes generates this pop-up erroneously. If this happens, contact AP.

Prior Approval Requests: Exceeding Annual Hours Limit

- Annual Days/Hours Limit
 - The Schools of Medicine and Nursing set the maximum number of days which Comp Plan Participants may devote to compensated and uncompensated outside professional activities at 21 days (168 hours)
- May only exceed annual hours limit with prior written approval
 - Requests to exceed hours threshold are closely scrutinized
 - Exceeding annual hours limit raises significant conflict of commitment / “primary professional allegiance” concerns
- Prior approval requests should explain how the activity will advance the University’s mission and not interfere with the Comp Plan Participant’s University obligations

Prior Approval Requests: Exceeding Annual Earnings Limit

- Annual Earnings Limit
 - Maximum earnings limit for engaging in outside professional activities:
 - \$40,000 or 40% of the fiscal-year base salary (scale 0), whichever is greater
- May only exceed annual earnings limit with prior written approval
 - Requests to exceed earnings threshold are closely scrutinized
- Prior approval requests should explain how the activity will advance the University's mission and not interfere with the Comp Plan Participant's University obligations

Prior Approval Request for Over Threshold Activities

Request to Exceed Effort and/or Earnings Threshold(s) for Fiscal Year 2024 - 2025 Activity: test

FORM DETAILS

Organization Name:	test	Activity Label:	test
Description:		Type:	For Profit
Activity Type(s)/Role(s):	Consulting or testifying as an expert or professional witness (Cat. 2)	Student Involvement:	No

Plan participant's name: TEST ACCT. SEIFERT, BRENT

The total estimated number of hours to be devoted to this activity:* hrs

The total expected earnings from this activity:* \$

Person or entity(ies) who will receive and/or pay for the service: test

Activity Date: 7/1/2024 - 6/30/2025

Please note:

- You should not engage in this activity until you have received official notification that your request has been approved.
- Approval is for this specific activity only. Any subsequent activities require separate requests and approvals.
- If this activity is approved, it shall be undertaken with all related earnings accruing to the Plan.**
- If any of the information provided above changes (e.g., if the earnings estimate is understated), an amendment should be submitted.

I attest that my submittal is true

[Turn Help Text On](#) [Request Approval](#) [Close](#)

- Enter estimated hours and earnings; ensure specific activity date(s) are accurate (not just citing the entire reporting period)
- Add required outside entity documentation (see Category I Prior Approval Requests slides, outside entity documentation only); Click “Request Approval”
- Routing: Division Reviewer, Department Reviewer, Department Approver, Dean’s Office Reviewer, Dean’s Office Approver, VC-AA Reviewer, VC-AA Approver, Provost
 - While not always possible, Dean’s Office is committed to two business days review and will monitor progress thereafter
 - May take **up to six weeks or even longer** to receive final approval; enter these requests **as early as possible**

Prior Approval Requests: Review Methodology

- Review reported hours and outside documentation
 - Is the hourly rate identical and consistent (cited in the documentation or calculated)?
 - If not, why not? May require a conversation with the Comp Plan Participant to understand discrepancy
 - Best to catch discrepancies early in the review process to minimize processing delays
 - Are the start and end dates of the activity(ies) accurate?
 - Do the activity dates conflict with known University obligations?
 - If so, speak with the Comp Plan Participant to understand and resolve the conflict.
 - Has the Comp Plan Participant reported travel or per diem reimbursements?
 - If so, these should be deleted to avoid over taxation
 - Note: travel pay is reportable, but not travel reimbursements; if travel pay is reported, travel hours should be reported as well
- Does the activity advance the University's mission?
 - If so, upload attachment explaining benefit to the University

Prior Approval Requests: Review Example

CLOSE 7886885 Speaking/Consulting i For Profit Shionogi No Consulting for for-profit entity (Cat. 2) 05/26/2024 08:27 pm 10.00 hr/26,325.00 1 Request to Exceed TH: Div Reviewer

Actions	Effort ID	Type	Reported Date	# of Hours Against Threshold	# of Reported Hours	\$ Against Threshold	\$ Reported	# of Shares	Start Date	End Date
	7886886	Cash (Check/EFT)	05/26/2024 08:28 pm	2.00	2.00	\$6,075.00	\$6,075.00		07/25/2024	07/25/2024
	7886892	Cash (Check/EFT)	05/26/2024 08:30 pm	2.00	2.00	\$4,050.00	\$4,050.00		07/30/2024	07/30/2024
	7886889	Cash (Check/EFT)	05/26/2024 08:29 pm	2.00	2.00	\$6,075.00	\$6,075.00		08/01/2024	08/01/2024
	8111686	Cash (Check/EFT)	07/09/2024 03:23 pm	2.00	2.00	\$6,075.00	\$6,075.00		11/07/2024	11/07/2024
	8203624	Cash (Check/EFT)	07/24/2024 04:05 pm	2.00	2.00	\$4,050.00	\$4,050.00		12/05/2024	12/05/2024

- Is the hourly rate identical and consistent (cited in the documentation or calculated)?
 - Hourly rate in documentation: \$2,025
 - Entries show inconsistency between time reported and pay rate. Why?
- Are the “Start Date” and “End Date” accurate?
 - They appear to be, because they do not cite a date range
- Do the activity dates conflict with known University obligations?
 - All reported dates are on weekdays, so could be a conflict. Might want to confirm when meeting with the Comp Plan Participant
- Has the Comp Plan Participant reported travel or per diem reimbursements?
- Part of discussion with Comp Plan Participant: Does the activity advance the University’s mission?
 - If so, upload attachment explaining benefit to the University

OATS Annual Certifications

- APM-671 requires Comp Plan Participants to report their outside professional activities annually
- Completed via OATS annual certification
- Each Comp Plan Participant must submit an OATS annual certification, whether or not they have engaged in any outside professional activity(ies), including:
 - Comp Plan Participants on paid or unpaid leave
 - Retired Comp Plan Participants being recalled into the Health Sciences Compensation Plan
 - **Note:** Comp Plan Participant **recall appointments cannot be approved** until meeting this requirement
- **Due date for FY23/24 annual certification: September 15, 2024**
- Once the Comp Plan Participant has entered all outside professional activities into OATS, submitting the annual certification takes **less than 30 seconds**

Annual Certification Steps in OATS

SUMMARY

Earnings Reported: \$0
Owed To Plan: \$0
Paid To Plan: \$0

TIME

0 hr | 0 hr
Time Threshold: ↑168 hr

EARNINGS

\$0 | \$0
Earnings Threshold: ↑\$42,880.00

ACTIONS: Fiscal Year: < 2024 - 2025 > Enter an Activity Copy Activity **Certify No Activity for 2023 - 2024** **Annual Certifications** ? Status Legend

Export current data

Activity ID	Activity Label	Org. Type	Org. Name	Students?	Activity Type(s)	Reported Date	Current Hrs / Earnings	Actions	Form/Queue
No data available in table									

Step 1: Toggle back to correct year / reporting period

Step 2 (No Activity in Reporting Period): Click purple "Certify No Activity for [Fiscal Year]" button

Step 2 (Activity in Reporting Period): Click purple "Annual Certifications" button

Annual Certification: **No Activity in Report Period**

Certify No Activity for Fiscal Year 2023 - 2024

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.

Enter your initials to certify: *

Submit

Close

Step 3 (No Activity in Reporting Period): Enter initials and click green "Submit" button

Annual Certification: Activity in Reporting Period

Annual Certification Summary

Fiscal Year	Submitted Date	Approved Date	Status
2024 - 2025			<input type="button" value="Forthcoming"/>
2023 - 2024			<input type="button" value="Not Submitted"/> <input type="button" value="Certify No Activity"/>
2022 - 2023	10/24/2023	11/14/2023	<input type="button" value="Accepted"/>
2021 - 2022	09/16/2022	11/06/2022	<input type="button" value="Accepted"/>
2020 - 2021	08/18/2021	12/05/2021	<input type="button" value="Accepted"/>
2019 - 2020	09/19/2020	11/17/2020	<input type="button" value="Accepted"/>
2018 - 2019	03/27/2020	12/12/2021	<input type="button" value="Accepted"/>

Step 3 (Activity in Reporting Period): Click purple "Not Submitted" button

Annual Certification: Activity in Reporting Period (cont.)

SUMMARY Earnings Reported: \$0 Owed To Plan: \$0 Paid To Plan: \$0	TIME 0 hr / 0 hr Time Threshold: ↑168 hr	EARNINGS \$0 / \$0 Earnings Threshold: ↑\$50,240.00
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Annual Certification for 2023 - 2024

[← Back to your workspace](#)

Annual Certification: Details and Confirmation for Fiscal Year 2023 - 2024
Review your Annual Certification details below. If needed, click 'Back to your workspace' to make changes.
Otherwise, enter your initials, and click 'Submit Annual Certification' below.
Enter your initials: [Submit Annual Certification](#)

ANNUAL CERTIFICATION DETAILS | [NOTES](#) | [HISTORICAL ACTIONS](#)

Activities

Activity Label	Organization Type	Organization Name	Activity Type(s) / Role(s)	Student Involvement	Current Hrs / Earnings Against Threshold	Current Hrs / Earnings Reported	
No activities reported							
Total Hours against Threshold			0 / 168	Total Income Earned	\$0.00	Total Income against Threshold	\$0.00 / \$50,240.00

- Step 4 (Activity in Reporting Period):** Ensure each outside professional activity is entered as an individual entry
- Step 5 (Activity in Reporting Period):** Enter initials
- Step 6 (Activity in Reporting Period):** Click purple “Submit Annual Certification” button

Tools & Resources

- Academic Affairs UC OATS Resources: <https://academicaffairs.ucdavis.edu/apm-671-resources-faqs>
- APM-671: <https://aadocs.ucdavis.edu/policies/apm/apm-671.pdf>
- APM-671 Form: <https://aadocs.ucdavis.edu/tools/oats/apm-671-category-i-activities-additional-information-requirements.pdf>
- Conflict of Commitment Toolkit: <https://health.ucdavis.edu/academic-personnel/administrative-resources/administrators-managers/conflict-commitment/#toolkit>
- Documentation Matrix for Prior Approval Requests: <https://bit.ly/46yJYDQ>
- Health Sciences Comp Plan Implementing Procedures:
https://health.ucdavis.edu/academicpersonnel/documents/SOM_SON_Comp_Plan_Implementation_Guidelines_2015-Final.pdf
- OATS Login: <https://ucdavis.ucoats.org>
- Outside Professional Activities Flowchart: <https://bit.ly/44ucwMS>

Contacts

Brent Seifert, JD

Assistant Dean, Academic Personnel

(916) 734-4602

bjseifert@ucdavis.edu

Stephen Green, JD, MBA, SPHR

Executive Academic Compliance Director

(530) 304-8254

smgreen@ucdavis.edu

Andrea Young

Project Policy Analyst

(916) 734-2414

asyoung@ucdavis.edu

Questions / Discussion



Thank you

