



# Academic Personnel Monthly Information Session

OATS Annual Certification & International  
Programs  
By Andrea S. Young, CMP, HMCC

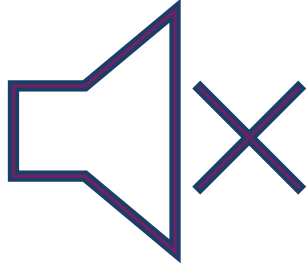
Presented by the Office of Academic Personnel

August 26, 2025

# Agenda

- What is the goal of the Annual Certification (AC)
- Policy Requirements & Updates for this Year
  - Who needs to complete
  - Submission deadline
  - Required steps to complete
- Common mistakes
- Tips
- International Affiliations & Activities
- Questions & Answers

# Housekeeping



Please keep yourself muted during the presentation



Ask questions in chat



Please keep your camera on during the presentation

# Annual Certification – Primary Goal

- The **primary goal** of the Annual Certification in UC OATS is to ensure compliance with UC Academic Personnel Manual (APM) policies, particularly APM 025 (General Campus) and APM 671 (Health Sciences Compensation Plan).
  - **Identifies and manages potential Conflicts of Commitment**
  - **Provides transparency and disclosure of outside activities**
  - **Provides accountability**
  - **Provides data collection**

Annual Certification due date is: September 15, 2025\*

\* Departments may set their own submission due date to allow for review and any needed changes/corrections

# ANNUAL CERTIFICATION – Policy Requirements

- Mandatory Annual Certification - All faculty members are required to complete an annual certification in UC OATS.
- Faculty members without OPA must still attest, in OATS, to having no outside activities
- Reporting period is for the previous fiscal year – July 1, 2024 – June 30, 2025
  - Any CAT I or CAT II OPA with a *START date* which falls within this timeframe needs to be reflected in your Annual Certification
- All records are expected to be complete with supplemental documentation per policy
  - This includes renewals and over-the-threshold requests which now require additional documentation
  - Renewals must also include an attestation statement of “no significant changes”
  - If there are significant changes the OPA may require an updated consultation with OR\_COI and Tech Transfer

# ANNUAL CERTIFICATION

- Category I **renewals** must now include:
  - additional documentation (e.g. Articles of Incorporation, working agreement, etc.)
  - a statement attesting to “no significant changes to the existing record”
  - Updated consultations from OR\_COI and Tech Transfer if any significant changes include any of the following:
    - The activity involves a foreign country
    - Compensation changed from uncompensated to compensated
    - Your role has changed with the company
    - Private investors have been obtained and/or Series A funding has been secured for the company
    - Student involvement changes (e.g. students were not involved previously but will be involved with the renewal)
    - Previously reported as not having grants in the initial Cat I request but have now secured funding

# Reporting in the UC Outside Activity Tracking System (OATS)

## UC DAVIS

Please begin by clicking the button below.

Click on the dark blue  
“Log in to OATS” button



Log in to OATS

Be sure to check out the boxes below for campus and systemwide links for COC and OPA resources.

### Disclosure requirements:

1. Faculty and Specialists in Cooperative Extension (CE) must obtain prior approval for all **\*\*Category I** activities, Student Involvement, and **\*\*Requests to Exceed Thresholds**. **We strongly encourage submitting prior approval requests as soon as faculty become aware of the potential engagement. Delays with review and approval may occur if details, required consultation(s), and required documents are missing. Full and complete requests should route routinely with less chance of delays when all involved in the review and approval process engage as timely as possible. However, complex requests may take six weeks or longer.** **\*\*Note:** The final decision rests with the Provost.
2. Faculty and Specialists in CE must disclose all OPA in UC OATS as well as address potential conflicts of interest (COI) or intellectual property (IP) issues with the appropriate offices.
3. Category I and II OPA, whether compensated or uncompensated, must be disclosed in UC OATS every year.
4. Faculty and Specialists in CE **who did not engage** in OPA **must still submit** an Annual Certification Report in UC OATS.

### Conflicts of interest (COI) and Intellectual Property (IP)

- Although COI and IP concerns are not managed through UC OATS, faculty are required to attach proof of consultation with the appropriate offices to ensure that they are being addressed.
- **Conflict of Interest (COI):** Please contact Executive Associate Vice Chancellor [Denise Ehlen](#) to discuss COI for OPA related questions.

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

# Annual Certification – New User Interface

My Activities and Forms

My Annual Certifications

Fiscal Year:



2024 - 2025



Enter an Activity

Copy Activity

## SUMMARY: FY 2024 - 2025

You have **0** Unsubmitted Form(s):

You need to submit your Annual Certification for 2024 - 2025

## Reported Time

Time Threshold: 168 hr

Exceeded Time

163 hr

0 hr

# Annual Certification: Summary page

My Activities and Forms		My Annual Certifications			
Fiscal Year	Submitted Date	Approved Date	Status	Summary	Actions
2026 - 2027			Forthcoming	Annual Certification will be available in the fall.	
2025 - 2026			Forthcoming	Annual Certification will be available in the fall.	
2024 - 2025			Not Submitted	There are activities with no effort/earnings reported. If you have effort/earnings to report, click <a href="#">here</a> . If you have no effort/earnings to report we recommend adding a note 🗨️ to your department. Otherwise, you can proceed to certification.	<a href="#">Proceed to Certification</a>
2023 - 2024	07/29/2024	09/26/2024	Accepted	Completed	<a href="#">View</a>
2022 - 2023	08/01/2023	01/16/2024	Accepted	Completed	<a href="#">View</a>
2021 - 2022	07/12/2022	09/10/2022	Accepted	Completed	<a href="#">View</a>
2020 - 2021	07/25/2021	08/16/2021	Accepted	Completed	<a href="#">View</a>

# Annual Certification: **With Activities**

**My Activities and Forms**

**My Annual Certifications**

## Annual Certification: Details and Confirmation for Fiscal Year 2024 - 2025

Review your Annual Certification details below. If needed, click 'My Activities and Forms' 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**

Your Activities and Hours / Effort Reported:

# Annual Certification: Without activities

**My Activities and Forms** | **My Annual Certifications**

Fiscal Year: < 2024 - 2025 > [Enter an Activity](#) [Copy Activity](#)

**SUMMARY: FY 2024 - 2025**  
You have **0** Unsubmitted Form(s):  
You need to submit your Annual Certification for 2024 - 2025

**Reported Time**

Time Threshold: 168 hr	Exceeded Time
0 hr	0 hr

**Reported Earnings**

Earnings Threshold:	Exceeded Earnings
\$42,400.00	\$0

Paid/Owed to Plan: \$0 / \$0

[Export current data](#)

Activity ID	Activity Label	Org. Type	Org. Name	Student Involvement	Activity Type(s)	Reported Date	Current Hrs / Earnings
No data available in table							

Your Annual Certification is due for 2024 - 2025. If you have no activities to report, click on this button: [No Activity for 2024 - 2025](#)

# ANNUAL CERTIFICATION: ATTESTATION

Certify no Activity for Fiscal Year 2024 - 2025



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.

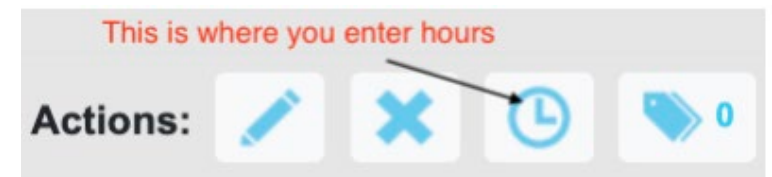
Enter your initials to certify: \*

Enter

Close

# ANNUAL CERTIFICATION – COMMON MISTAKES

- Missing documentation:
  - CAT I
    - APM 671
    - OR\_COI and Tech Transfer Consultations
    - Foundational documents or legal/working contract
  - Renewals, CAT 1 and 2 Over-the-Threshold
    - Additional supplemental document (e.g consulting agreement, Articles of Incorporation)
    - Renewal attestation statement if no significant changes
- Forgetting to update records with actual effort (hours) and/or earnings
  - Log into your OATS account
  - Toggle back to Fiscal Year 2024-2025
  - Find the record you want to update and click the clock



# ANNUAL CERTIFICATION – TIPS

- Submit Annual Certifications now as the submission window opened on July 1<sup>st</sup> of this new fiscal year
- Take a few minutes to review each OPA:
  - Has the OPA been entered in the correct reporting period? Remember FY 24-25 OPA should have a start date between July 1, 2024 and June 30, 2025
  - Have all required documents been uploaded ?
  - Have all OPA record(s) been updated with actual effort/hours and earnings? (AC cannot be processed without actual hours or an explanation in the Notes section if the effort is 0 and OPA is ongoing)
- Contact me, Andrea Young, if you have questions or need assistance. I am here to help!
  - [asyoung@health.ucdavis.edu](mailto:asyoung@health.ucdavis.edu)

# A Little About International Affiliations /Activities

- Along with OATS I manage International Affiliations for the Schools of Health.
- What does International Affiliations do?
  - Manages the International Visiting Scholars Observership program
  - Acts as a repository for international activities (UC Davis needs to track/register all international engagements as well as for liability issues)
  - Provide guidance for international engagements:
    - Observerships (fee-based\*)
    - Collaboration/Partnerships with foreign institutions/organizations
    - Compliance process for international activity
  - Assistance with observership and delegation opportunities (fee based\*)
    - Administrative and compliance processes
    - Program management/scheduled check-ins
    - Visa assistance for J-1 opportunities

\*. Fee based services cover the administrative efforts as well as management of international engagements

# Observers, Visiting Scholars and Delegations

If your department hosts or entertains international visitors (whether for a few hours, a few days, months, or several years) are you following the necessary protocol?

1. Visual compliance screening (this is the very first step if entertaining the idea of inviting/hosting a visiting international scholar/delegation)
  - Background check, required if stay is over 30 days
2. Registering the international visitor with the University?
  - Global Affairs/SISS/International Affiliations
3. Have they provided the required documentation?
  - Copy of passport and visas
  - Health clearance form
  - Proof of medical insurance
  - Income for stays 3 months or greater
  - HIPAA Compliance form and Privacy Training certification
4. Have they been provided a formal invitation letter?
5. Has the visit been approved through the proper channels?

## Resource:

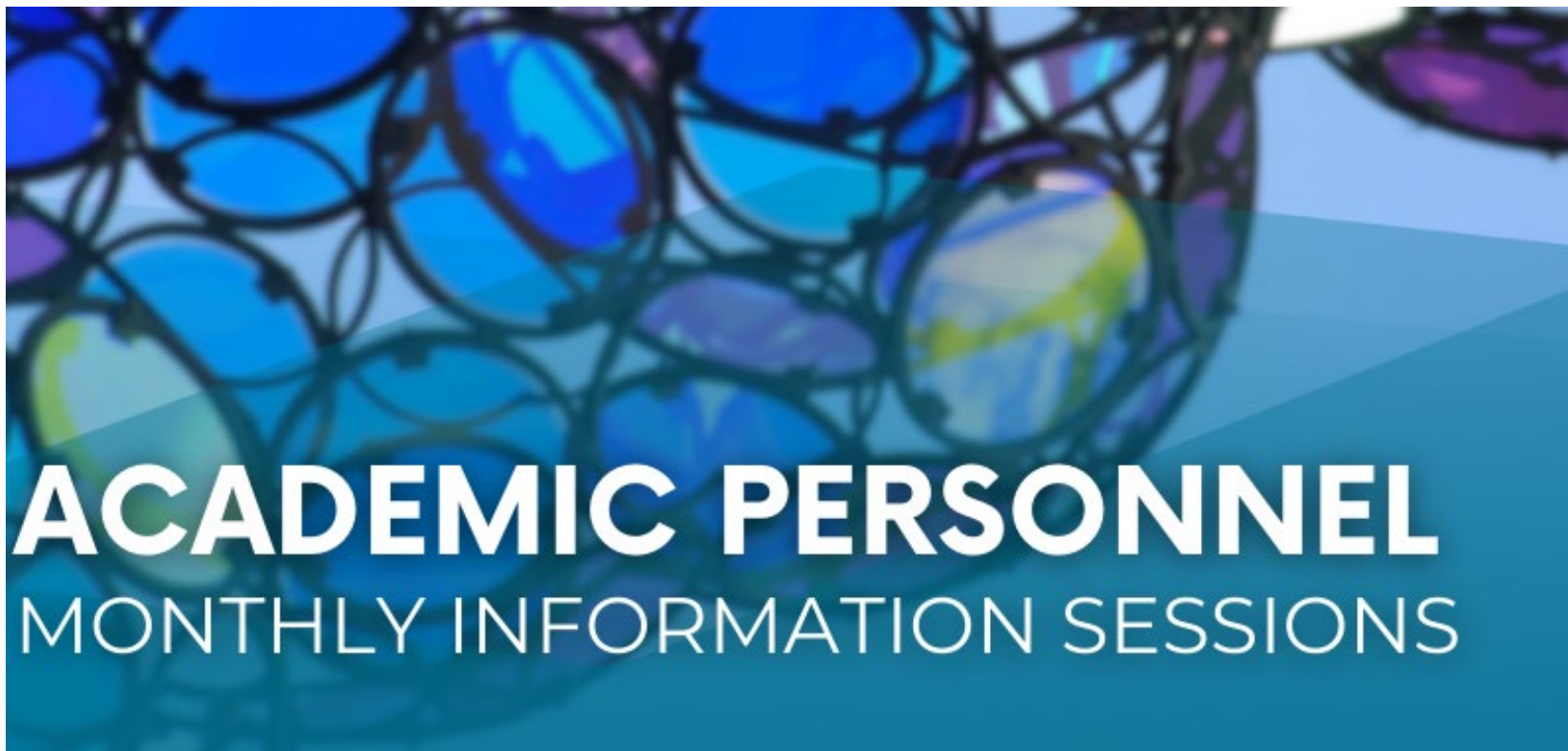
If your department is uncertain about any process, would like to host international scholars or events, or if there are questions about where to start when it comes to these activities, allow International Affiliations to be your resources on the Schools of Health campus. We are here to assist in steering you in the right direction, guiding you through the process or take on the administrative needs to be compliant with the University's requirements.

- Contact International Affiliations at: [ivisitors@health.ucdavis.edu](mailto:ivisitors@health.ucdavis.edu)
- Or contact Andrea Young, CMP, HMCC at: [asyoung@health.ucdavis.edu](mailto:asyoung@health.ucdavis.edu)

# Questions



Upcoming Session-Tuesday September 30<sup>th</sup> – Annual Call



Thank you for your attendance today!!!