This guide is for **Category I (Cat I) Prior Approval Workflow**. This is a supplement to the user guides and tutorial videos on how to use the Outside Activity Tracking System (OATS).

UC Outside Activity Tracking System (UC OATS)

UC OATS is a multi-campus collaboration formed to facilitate the reporting and tracking of Outside Professional Activities (OPA) and identify potential cases of Conflict of Commitment (COC).

Policy

UC OATS supports reporting and tracking for faculty, deans, and faculty administrators to comply with the COC policies outlined in the following Academic Personnel Manual (APM) policies:

- APM 025: Conflict of Commitment and Outside Activities of Faculty Members
- APM 671: Conflict of Commitment and Outside Activities of Health Sciences Compensation Plan (HSCP) Participants
- APM 240-20-c: Deans
- APM 246-20-c: Faculty Administrators (100% Time)

System Roles

FACULTY
- Report and manage OPAs
- Submit prior approval requests
- Track time spent on OPAs
- Track earnings from OPAs (APM 671)
- Complete annual certification reports

REVIEWER
- Review prior approval requests
- Review annual certification reports
- Run reports on available data

APPROVER
- Approve prior approval requests
- Approve annual certification reports
- Run reports on available data

In addition to these workflow roles, the following roles are also available:

Auditor
a) View prior approval forms
b) View annual certification reports
c) Run reports on available data

Application Administrator
a) Manage UC OATS application settings
b) Manage UC OATS user accounts
c) Manage data

Process and Routing Instructions

Effective May 4, 2020, all Conflict of Commitment requests must be routed through the Outside Activity Tracking System (OATS): https://ucr.ucoats.org/.

a) APM-025 and APM-671 Cat I prior approval requests are routed through the Department Chair and Dean for review and approval (see system workflow below). It is advised that all faculty consult their Department Chair prior to the submission of a Cat I activity.

b) A **separate request memo** should be included with the request if the Cat I request involves teaching at another university or a similar exception. The memo must be addressed to the Provost and Executive Vice Chancellor (PEVC). The memo must include a justification/rationale for the exception.

c) If the Cat I prior approval form is accompanied by a leave of absence request, please upload the leave request documents along with the supporting documents for the Cat I prior approval request.

d) The VPAP will make a recommendation to the PEVC. The PEVC will make the final decision on the Cat I prior approval request. The VPAP will make the final decision on the leave of absence request.

e) The estimated turnaround time, for the Cat I Prior Approval Request is two (2) weeks for a standard request and up to four (4) weeks for an exception request.

To ensure a quick and timely processing of the request, please make sure the following supporting documents are uploaded:

o Does the request involve teaching at another university or a similar exception?
  If **yes**, upload a request memo addressed to the PEVC with a justification/rationale for the exception.

o Does the request include a full- or part-time leave without pay while engaged in this activity?
  If **yes**, upload a UPAY 573 form.

o Does the activity include student involvement (APM 025-8-d)?
  If **yes**, make sure to complete the information in OATS.

o OATS will request for the following information below:
  Make sure to have it available for ease of data entry
  ✓ General description of the business/agency/organization/group/individual
  ✓ Description of the nature of your participation in this activity, including, if you wish, possible beneficial outcomes to areas of research, industry, and public service
  ✓ Beginning/ending month/year you could be involved in the activity
  ✓ Estimated number of days = involvement during academic- or fiscal-year appointment

Additional Considerations for Activity Submissions:

o If an international activity is being proposed, faculty should make contact with the Vice Provost for International Affairs at vpia@ucr.edu to both be best supported abroad and to determine how the activity can promote UCR abroad.

o If the activity is a research work at another institution, faculty must ensure there is an intellectual property agreement in place between UCR and said institution. For further information on this, please contact RED.
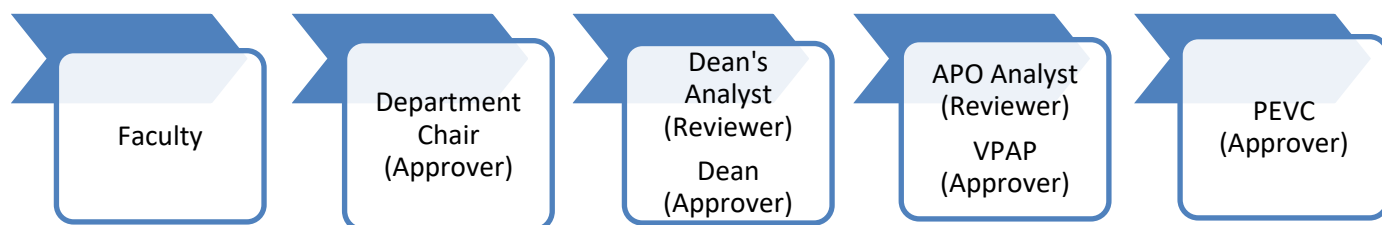
Reviewers and approvers may request for additional information as needed.

How it Works in UC OATS

Below is a high level description of the workflow for processing Category I Prior Approval Requests. For more detailed information on the steps, please contact your Department Chair or the Academic Personnel Office at oats@ucr.edu.

Note:
- o   The system provides automated email notifications.
- o   Notes and Documents are accessible and can be seen by all roles.
- o   To add a comment or upload a document, select the Notes tab.

Faculty	Department Chair (Approver)	Dean's Analyst (Reviewer) Dean (Approver)	APO Analyst (Reviewer) VPAP (Approver)	PEVC (Approver)

Faculty

Step 1

- Enters activity in OATS. The system will alert the faculty member if an activity requires prior approval.
- Upload supporting documentation. This includes UPAY 573 leave of absence request form if the activity includes a leave request. For information on required documentation, please consult with your Department Chair.

NOTE: OATS will only capture the reporting of outside activities and conflict of commitment. Faculty are responsible for complying with all University policies, including:
- Conflict of interest
- Extramural support outside of UCR
- Intellectual property

Department Chair

Step 2

- Resolves all questions related to whether an individual activity constitutes an outside non-professional activity or is an activity within the course and scope of employment, in consultation with the faculty member and Dean. If additional information is required, the Department Chair will reach out to the Faculty member.
- Reviews Category I prior approval/exceeding time limit requests, affirming that the faculty member is in good standing before forwarding the request to the Dean.

Dean's Office

Step 3

- The Dean's Analyst (Reviewer) reviews the request for completion before forwarding the request to the Dean. If additional information is needed, the reviewer will reach out to the Chair.
- The Dean (Approver) reviews the Category I prior approval/exceeding time limit requests, affirming that the faculty member is in good standing before forwarding the request to the VPAP.

Academic Personnel (APO)

Step 4

- The APO Analyst (Reviewer) reviews the request for completion and policy compliance before forwarding the request to the VPAP. If additional information is needed, the reviewer will reach out to the Dean's Office.
- The VPAP (Approver) reviews the Category I prior approval/exceeding time limit requests, affirming that the faculty member is in good standing before forwarding the request and recommendation to the PEVC.

NOTE: Once the final approval from the PEVC is entered in the system, the reviewers, approvers, and faculty member will receive a system-generated email notification. For requests that include special handling (ex. international activity, research at another institution, etc.) the APO Analyst will upload the Cat I approval letter from the PEVC. If there is a leave requested, the approval letter from the VPAP will also be uploaded.

Provost & Executive Vice Chancellor (PEVC)

Step 5

- The PEVC (Approver) reviews the Category I prior approval/exceeding time limit requests, affirming that the faculty member is in good standing before providing a final decision. If additional information is needed, the PEVC will reach out to APO.

Resources

- OATS Information website: https://academicpersonnel.ucr.edu/oats
- User Support & User Guides: https://academicpersonnel.ucr.edu/oats-support
- For policy questions, send an email to apomail@ucr.edu.
- For OATS support, contact your organization's Subject Matter Expert (SME). If additional support is needed, please send an email to oats@ucr.edu.