



UCI

University of
California, Irvine

**APM 671: Conflict of Commitment & Outside Activities
Health Sciences Compensation Plan**

Health Sciences Compensation Plan (APM 671)

Allegiance

- Faculty owe their primary professional allegiance to the University of California
- Primary Activities: Clinical care, teaching, research or other creative activities, and the cultivation of scholarly or creative competence
- These activities should receive the majority of time and energy

Health Sciences Compensation Plan Outside Professional Activities

Outside professional activities

- Within a faculty member's area of professional academic expertise and that advance or communicate that expertise through interaction with industry, the community, or the public
- May be compensated or uncompensated

Clinical work cannot be provided as outside activity

- Must be done within course and scope of University employment, provided through a formal Affiliation Agreement

Non-professional activities

- Are part of the faculty member's private life and are *not expressly governed* by University regulations or by the guidelines on outside professional activities

Health Sciences Compensation Plan Outside Professional Activities

Plan Participants may

- Engage in outside professional activities (excluding patient care)
- Retain income from outside professional activities
 - only in accordance with the terms of APM 671, the Compensation Plan and the School's Implementing Procedures

Conflict of Commitment

Conflict of Commitment (COC)

- Occurs when a faculty member's outside activities interfere with their professional obligations to the University of California

Outside professional activities are categorized:

- **Category I** – most likely to create a conflict of commitment
- **Category II** – typically shorter and lower risk activities
- **Category III** – generally within course and scope of University employment

When an activity falls into more than one category, it should be assigned to the category that *requires more stringent reporting and prior approval*, if applicable

Policy Applicability

Faculty subject to APM 671

- Applies to ***all*** faculty participants in the Health Sciences Compensation Plan

Recalled Faculty

- Includes Recalled Faculty who are participants in the Health Sciences Compensation Plan

Faculty Administrators

- At UCI, Deans (APM 240) and Faculty Administrators 100% time (APM 246) are subject to those specific APM provisions
- Routed directly to the Office of Academic Personnel for review and approval by the Vice Provost

Policy Applicability (cont.)

Faculty on Leave		
If you are participating in outside activities while on	Leave without Pay	Sabbatical/Other Leave with Pay (including Vacation)
Advance approval required by Vice Provost for Academic Personnel	Yes	Yes, regardless of the salary funding source
Counts toward annual time limit?	No	Yes, regardless of the salary funding source
Annual disclosure	Yes	Yes, regardless of the salary funding source

Responsibility

Comply with the conditions of the Health Sciences Compensation Plan, APM 671, and the School's Implementing Procedures, including:

- Being “in good standing”
- Adhering to time and income thresholds
- Disclosing income which includes cash, stock and stock options
 - If stock/options are received in lieu of income, must be disclosed to the Dean's office within 30 days of receipt or signing of agreement
- Seeking pre-approval for activities as required

Outside Professional Activities

Employment Agreement

- Personal agreements between the faculty member and the outside organization
- The Regents are not a party to the agreement
- Income related to outside professional activity must be paid to the faculty member directly
- Subject to review to ensure compliance with University policies, responsibilities and rights of the faculty member

Conflict of Commitment or Conflict of Interest

Conflict of Commitment (COC)	Reporting	Conflict of Interest in Research (COI)
Faculty who engage in outside professional activities	Who files?	Researchers with extramural funding and human subjects research
Prior approval requests for new Category I activities; annual COC disclosures (each fiscal year) detailing how many days spent on each outside professional activity	What is filed?	Depends on funding type; generally file annual disclosures and grant-specific disclosures (Form 700U) detailing income, equity, and other financial interest amounts
APM 025 (non-HSCP) and APM 671 (HSCP)	Authority	Funding agency (PHS/NIH, NSF); California Political Reform Act
Identify and manage outside professional activities to avoid conflicts of commitment	Purpose	Protect the objectivity of the research and comply with policies and regulations
Office of Academic Personnel	Responsible office	Office of Research

Conflict of Commitment

Category I

- **Most likely to create a conflict of commitment**
 - Training and expertise for which the individual has a University appointment, but are performed on behalf of a third party and/or
 - Require significant professional commitment
- **Requires**
 - Prior approval by the Vice Provost for Academic Personnel
 - Annual Disclosure through the OATS system
- **Time limit**
 - May not exceed 21 days
- **Earning threshold**
 - Up to \$40,000 or 40% of the fiscal-year base salary scale (scale 0), whichever is greater based on faculty member's rank and step

Category I

Examples

- Teaching, research, or administration of a grant at an educational institution, trust, organization, government agency, foundation, or other entity outside of the University
 - Grants submitted on behalf of a professional society are not considered Category I activities
- Employment outside of the University
- Assuming a founding/co-founding role of a company
- Assuming an executive or managerial position outside of the University

Conflict of Commitment

Category II

- Typically a shorter term activity outside of the course and scope of University employment
- Lower risk of conflict than Category I activities
- Does not require prior approval for the activity, UNLESS exceeds time limit or earnings threshold
- Time limits
 - May not exceed 21 days
- Earning threshold
 - Up to \$40,000 or 40% of the fiscal-year base salary scale (scale 0), whichever is greater based on faculty member's rank and step
- Requires Annual Disclosure through the OATS system

Category II *Examples*

- Additional University compensated teaching including UNEX courses/program and self-supporting degree programs
- Consulting or testifying as an expert or professional witness
- Consulting for for-profit or non-profit entities
- Consulting for government agencies
- Serving on a board of directors outside of the University
- Providing or presenting a workshop at a for-profit company

Refer to your compensation plan for additional examples

Conflict of Commitment

Category III

- Generally within course and scope of University employment
- Unlikely to raise conflict of commitment concerns
- Must not interfere with obligations to University
- Even if compensated, Category III activities do **not**:
 - require prior approval
 - require Annual Disclosure
 - count toward the time or earnings thresholds

Category III

Examples

- Serving on government or professional panel or committee
- Serving as an officer or board member of a professional or scholarly society;
- Reviewing manuscripts; acting in an editorial capacity;
- Attending and presenting talks at university or academic colloquia and conferences

Please refer to your compensation plan for additional examples

Conflict of Commitment Prior Approval

Prior approval is required at least 30 days before engaging in:

- Category I activities, includes exceeding the time limit
- Category II activities that exceed the time limit
- Final authority for prior approval is the Vice Provost for Academic Personnel
- Activity in any Category that involves students for whom you have or expect to have academic responsibility
 - Requires prior approval of Department Chair

Conflict of Commitment

Annual Disclosure

- Must report all Category I and II outside professional activities
- If no outside professional activities were performed the previous year, annual disclosure via certification of non-participation in any outside professional activities will still be required

*Annual Disclosure are due on **January 15** to the Office of Academic Personnel and should be submitted through the OATS system*

Compensation Plan Thresholds

Time Threshold

- UCI Compensation Plans has a maximum threshold of 21 days per fiscal year

Earnings Threshold

- Maximum annual threshold up to \$40,000 or 40% of the fiscal year base salary (scale 0), whichever is greater based on individual faculty member's rank and step

Exceeding the Time or Earnings Threshold

- Prior approval is required before exceeding the time or earnings threshold(s)
- After a Plan Participant has received approval to engage in an activity that may cause their time and/or earnings to exceed the approval threshold, they must request approval for all subsequent engagements
- Final approval authority is the Vice Provost for Academic Personnel

Retaining Earnings Exceeding Maximum Threshold

- Request to retain earnings from activities that exceed the time or earnings threshold requires approval as an exception
- Plan participants should notify their Chair immediately if they inadvertently exceed either the time or earnings threshold, and report it in the OATS system
- Final approval authority is the Vice Provost for Academic Personnel

Definition of a Day

OATS System will be tracking hours instead of days

- A day = 8 hours
- When teaching, every 6 contact or “podium” hours spent with students is equivalent of one day (APM 662-1-b-(1))

Student Involvement in Outside Professional Activities

- **For the purpose of this policy, “student” includes:**
 - Undergraduate and graduate students, professional students, residents
- **Prior approval is required when:**
 - The faculty member has, or expects to have instructional, evaluative or supervisory responsibility for the student
 - The student’s participation in the activity is substantive, whether compensated or uncompensated
 - It is the faculty member’s responsibility to determine if student involvement is substantive

Additional Resources

Policies and Guidelines:

- [APM 671](#) and [APP 1-15](#)
- Your Health Sciences Compensation Plan
- School of Medicine FAQs, as available

For policy questions, please contact:

- Your Department Chair or Chief Administrative Officer
- SOM Dean's Analyst
- oats@uci.edu

OATS training and additional resources:

- [UCI OATS](#)

UNIVERSITY
OF
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Outside Activity Tracking System

APM 671 Training

UC OATS Team



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Senior Training Specialist



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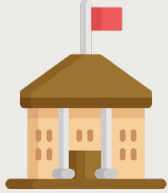
Project Overview

The UC Outside Activity Tracking System is a multi-campus collaboration used by faculty, deans, and faculty administrators to report and track Outside Professional Activities. The UC OATS application is based on an application of the same name that was developed for the DGSOM in 2016.

There are nine campuses currently engaged in the UC OATS initiative.



Project Team and Governance



Governance Board

- Provides UC-oriented support structure
- 2 representatives per campus
- 1 vote per campus
- Approves scope, budget, and timeline



Working Group

- Defines requirements and performs user acceptance testing
- 1-2 representatives per campus
- Serves as the partner for implementation



Technical Partner

- Responsible for the build, development, maintenance, and implementation of UC OATS
- 4 developers, 3 directors, 1 business analyst, 1 trainer, and 1 project manager

Learning Objectives

At the end of this training, you will be able to,

1

Describe how UC OATS determines the category type and prior approval requirement(s) of an activity.

2

Describe the approval workflow for prior approval forms and annual certification reports.

3

Demonstrate how to report an outside professional activity in UC OATS.

4

Demonstrate how to track the status of a prior approval form in UC OATS.

UC OATS Roles

UC OATS is a role-based system. In UC OATS,

Faculty can:

- Report and manage outside professional activities
- Submit and view the status of prior approval forms
- Track time spent on outside professional activities
- Complete annual disclosures

Reviewers/Approvers can:

- Review/Approve prior approval forms
- Review/Approve annual certification reports

Prior Approval Forms

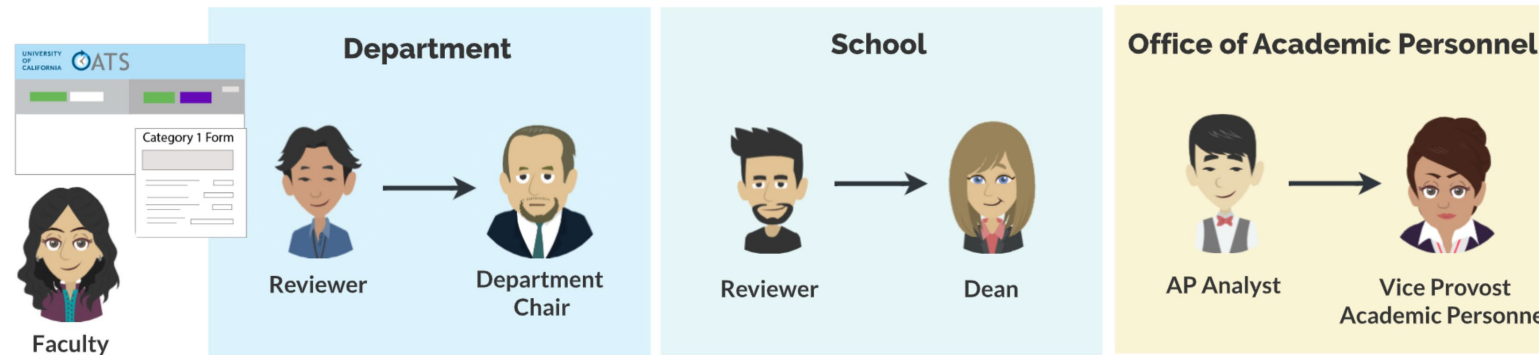
There are 6 forms available in UC OATS:

1. Category 1
2. Student Involvement
3. Request to Exceed Time Threshold
4. Request to Exceed Earnings Threshold
5. Request to Retain Earnings
6. Annual Certification

The faculty's title will determine the routing for each request.

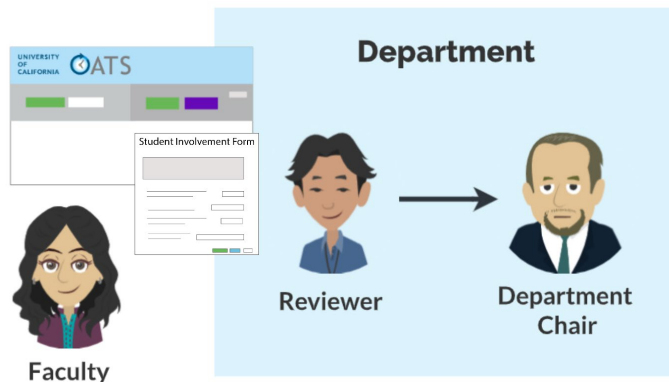
Prior Approval Workflows

Category I Forms:



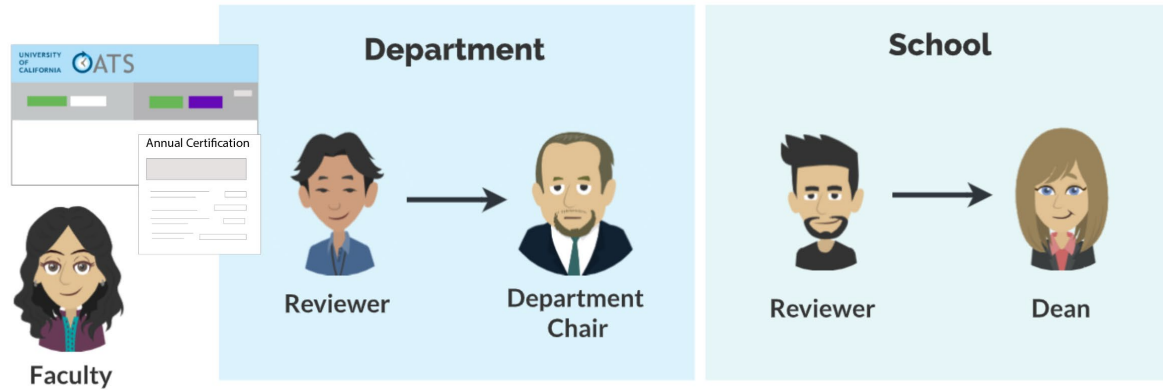
- Request to Exceed Time Threshold
- Request to Exceed Earnings Threshold
- Request to Retain Earnings Threshold

Student Involvement Forms:



Prior Approval Workflows

Annual Certification Reports:



Resources

UCI OATS Website

<https://ap.uci.edu/apsystems/ucoats/>

UCI Office of Academic Personnel

Google Custom Search

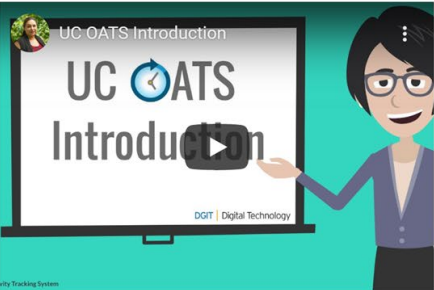
POLICIES & PROCEDURES • COMPENSATION & BENEFITS • LISTS & FORMS • AP SYSTEMS • PROGRAMS & INITIATIVES • RESOURCES •

> AP Systems > UC Outside Activity Tracking System (OATS)

UC Outside Activity Tracking System (OATS)

The UC Outside Activity Tracking System (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.

UC OATS Introduction Video



In UC OATS you can easily comply with policy. Report and manage your outside professional activities, submit and view your forms online, and track your total time. For Health Sciences Compensated faculty, Deans and Faculty Administrators, you can also track your earnings. Additionally, UC OATS will generate an automatic report for you to certify your annual activities at the end of the year. Click the video for a step-by-step guide on how to use UC OATS.

Training Schedule

For the Faculty and Approver/Reviewer training schedule please [click here](#).

Training Resources

Training Resources		
Faculty	Training materials for faculty	https://info.ucoats.org/pages/training-faculty

Policies

APP 1-15
APM 025- Conflict of Commitment and Outside Activities of Faculty Members
APM 671 – Conflict of Commitment and Outside Activities of Health Sciences Compensation Plan Participants
APM 240- Deans
APM 246- Faculty Administrators – 100%

Resources

Training Overview
FAQs

UC OATS Training Website

<https://info.ucoats.org/pages/training>

671 Faculty Training: Health Science Compensation Plan Participants

UC OATS is an interactive web-based system that facilitates the reporting of outside professional activities and determines appropriate review and approval requirements, enabling you to easily comply with the University of California Conflict of Commitment policies. This training is specific to faculty participating in the Health Sciences Compensation Plan. General campus faculty may [click here](#).

Tutorials

View our short video series to get started with UC OATS.

- [UC OATS Workspace Overview](#)
- [Reporting and Tracking Outside Professional Activities](#)
- [Annual Certification](#)



UC OATS Workspace Overview



Reporting and Tracking Outside Professional Activities



Annual Certification

User Guides

The user guide below shows all current system functionality available in UC OATS. Some features of the application may not be in use at your campus. Please consult with your local campus contacts for additional questions.

The following user guides are for Health Science Compensation Plan Participants (APM 671 policy) Faculty, Deans, and 100% Faculty Administrators.

- [UC OATS Faculty User Guide](#)
- [UC OATS Faculty Annual Certification User Guide](#)
- [Tip Sheet - How to Add Notes and Attachments to an Activity](#)
- [Tip Sheet - How to Add Student Involvement to an Activity](#)