



**APM 025:
Conflict of Commitment and
Outside Professional Activities**

Outside Professional Activities (APM 025)

Allegiance

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

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

Non-Professional activities

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

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 025

- applies to appointments in the following title series at **50% time or more**:
 1. Professor, including Acting titles
 2. Professor in Residence
 3. Adjunct Professor
 4. Lecturer with Security of Employment (also known as Professor of Teaching Series)

Faculty holding titles in these series are subject to APM – 025 if not participating in the Health Sciences Compensation Plan

Recalled Faculty

- not subject to this policy

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 <i>(other than vacation)</i>	Vacation <i>(applicable for only those who accrue)</i>
Advance approval required by Vice Provost for Academic Personnel	Yes	Yes, regardless of the salary funding source	No
Counts toward annual time limit?	No	Yes, regardless of the salary funding source	No
Annual disclosure	Yes	Yes, regardless of the salary funding source	No

Outside Professional Activities

Employment Agreement

- Personal agreements between the faculty member and the outside organization
- The Regents are not a party to the agreement
- Subject to review to ensure compliance with University policy, 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 through the OATS system
- Annual Disclosure through the OATS system

Time Limits

- Full-time Academic-Year Faculty: limited to 39 days
- Full-time Fiscal-Year Faculty: limited to 48 days

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 the time limit
- Time Limits:
 - Full-time Academic-year Faculty: limited to 39 days
 - Full-time Fiscal-year Faculty: limited to 48 days
- Requires Annual Disclosure through the OATS system

Category *II*

Examples

- Additional University compensation teaching including UNEX courses/program and self-supporting degree programs
- Consulting or testifying as an expert or professional witness
- Providing consulting services for outside organizations
- Serving on a board of directors outside of the University
- Providing or presenting a workshop for industry

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
 - require time limits

Category *III*

Examples

- Serving on government or professional panel or committee
- Developing scholarly or creative works
- Reviewing manuscripts; acting in an editorial capacity
- Attending and presenting talks at university or academic colloquia and conferences
- Accepting honoraria for scholarly, intellectual, educational, outreach work within the course and scope of employment

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 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*

Time Limits

Category I and II

- Full-time Academic-year Faculty: limited to 39 days
- Full-time Fiscal-year Faculty: limited to 48 days

Category III

- Even if compensated, ***are not subject to time limits***

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 662-17-b-(1))

Student Involvement in Outside Professional Activities

For the purpose of this policy, “student” includes:

- undergraduate and graduate students, trainees professional students, and medical 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

Conflict of Commitment Summer Months

Academic Year Faculty

- No restrictions on number of days of Category I and II activity

UNLESS

- Faculty receives **additional summer compensation**, then the following limits apply:
 - 1 day a week during the period in which they are compensated
 - This is distinct and separate from the regular academic year time limit of 39 days

Additional Resources

Policies and Guidelines:

- [APM 025](#) and [APP 1-15](#)

For policy questions, please contact:

- Your Department Chair or Department Manager
- Your School's Chief Personnel Officer
- oats@uci.edu

OATS training and additional resources:

- [UCI OATS](#)

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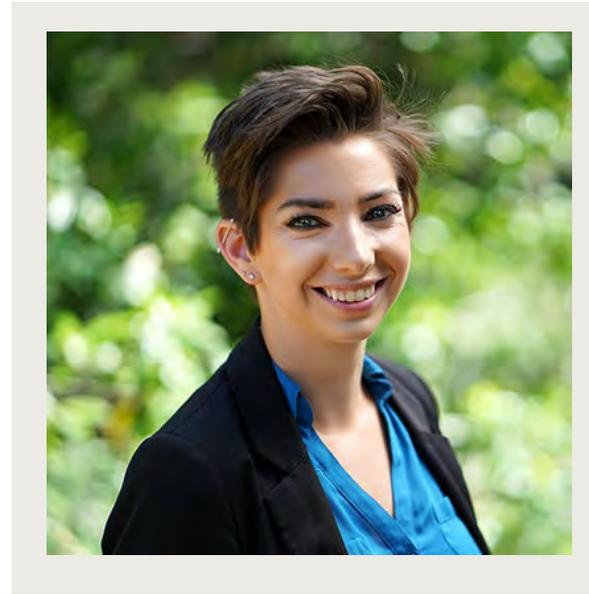
Outside Activity Tracking System

APM 025 Training

UC OATS Team



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Senior Training Specialist



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Program Manager

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

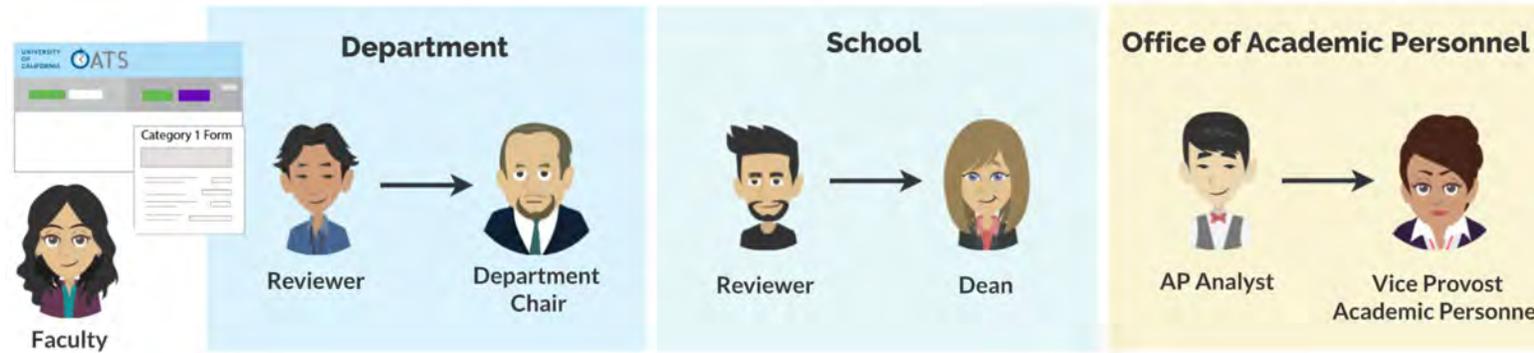
There are 6 forms available in UC OATS:

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.

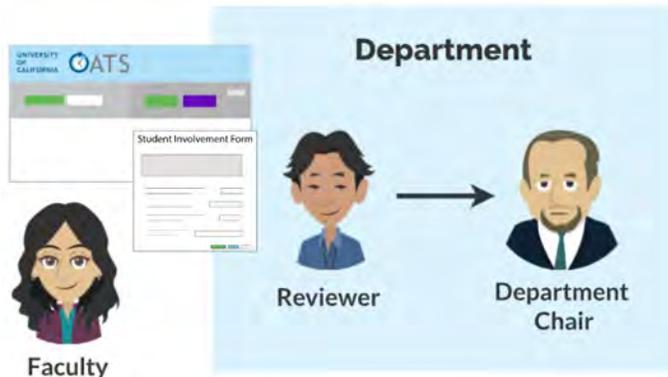
Prior Approval Workflows

Category I Forms:



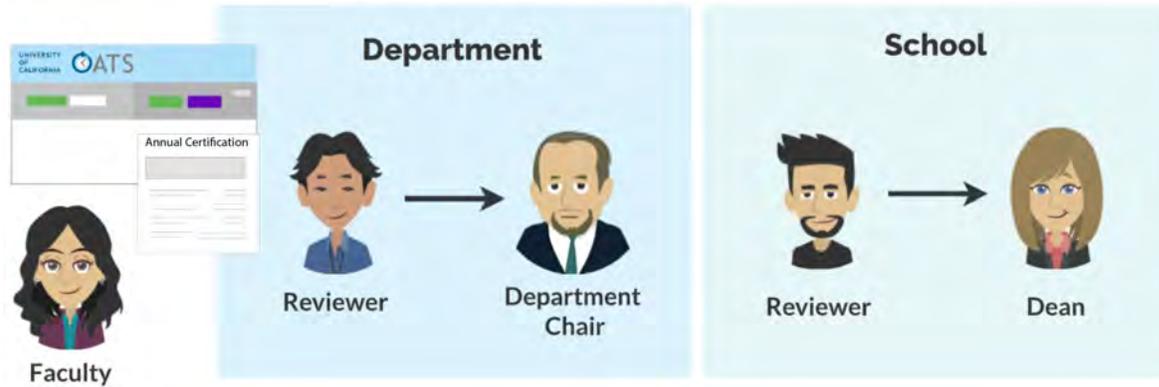
- Request to Exceed Time Threshold
- Request to Exceed Earnings Threshold
- Request to Retain Earnings Threshold

Student Involvement Forms:



Prior Approval Workflows

Annual Certification Reports:



Resources

UCI OATS Website

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

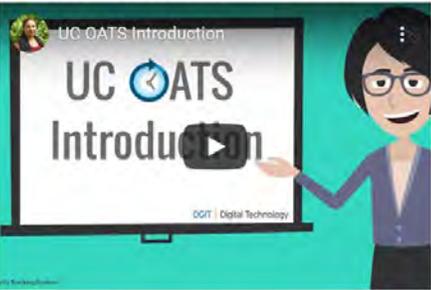


The screenshot shows the UCI Office of Academic Personnel website. The main navigation bar includes: POLICIES & PROCEDURES, COMPENSATION & BENEFITS, LISTS & FORMS, AP SYSTEMS, PROGRAMS & INITIATIVES, and RESOURCES. The breadcrumb trail is: AP Systems > UC Outside Activity Tracking System (OATS). The page title is "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

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

Policies

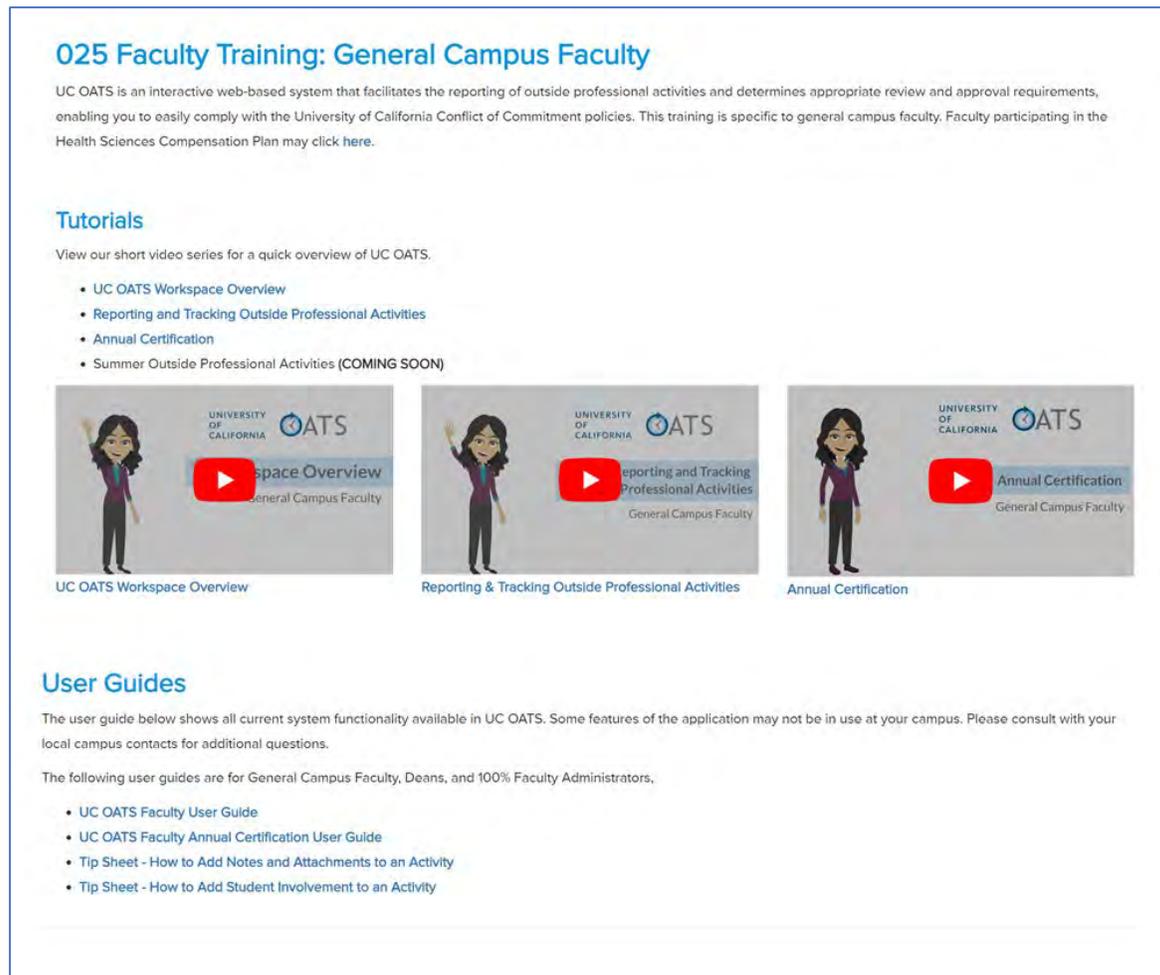
- APP 1-15
- APM 025- Conflict of Commitment and Outside Activities of Faculty Members
- APM 671 - Conflict of Commitment and Outside Activities of Health Sciences Compensation Plan Participants
- APM 240- Deans
- APM 246- Faculty Administrators - 100%

Resources

- Training Overview
- FAQs

UC OATS Training Website

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



The screenshot shows the UC OATS Training Website. The main heading is "025 Faculty Training: General Campus Faculty".

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 general campus faculty. Faculty participating in the Health Sciences Compensation Plan may click here.

Tutorials

View our short video series for a quick overview of UC OATS.

- UC OATS Workspace Overview
- Reporting and Tracking Outside Professional Activities
- Annual Certification
- Summer Outside Professional Activities (COMING SOON)



UC OATS Workspace Overview

Reporting & 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 General Campus 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