

These are general system and policy guidelines. This document is not intended to replace policy. Please refer to the Academic Personnel Manual (APM) for the most current policy information on Conflict of Commitment: [APM 025](#), [APM 671](#), [APM 240](#), [APM 246](#).

For **system user guides**, please refer to the UCR-UC OATS information website: <https://academicpersonnel.ucr.edu/conflict-commitment>.

For **policy questions**, please consult with the academic personnel expert in your department or Dean’s office. If further assistance is needed, please contact [apomail@ucr.edu](mailto:apomail@ucr.edu).

For technical questions or feedback about using UC OATS, please contact the [Subject Matter Expert](#) (SME) for your unit or [oats@ucr.edu](mailto:oats@ucr.edu).

## Frequently Asked Questions (FAQs)

### 1. What is UC OATS?

UC OATS is a web-based application through which university faculty members can report outside professional activities (OPA) and income, in accordance with UCOP conflict of commitment policies.

### 2. How do I know I have an account in UC OATS?

If you are a senate faculty member with a current appointment of at least 50%, you should already have an account and you can log in to <https://ucr.ucoats.org/> with your UCR NetID and Password. If you cannot log in, please contact [oats@ucr.edu](mailto:oats@ucr.edu) for assistance.

### 3. How do I use UC OATS?

The system role that a user has in UC OATS determines the workspaces and features they can access. Below are links to user guides and video tutorials based on system roles.

System Roles	User Guides/Tutorials
Faculty	<a href="https://info.ucoats.org/pages/training-faculty-025-">General Campus Faculty (APM 025): https://info.ucoats.org/pages/training-faculty-025-</a>
	<a href="https://info.ucoats.org/pages/training-faculty-671-">Health Sciences Faculty (APM 671) https://info.ucoats.org/pages/training-faculty-671-</a>
Reviewer	<a href="https://info.ucoats.org/pages/training-reviewer-025-">General Campus Reviewers (APM 025) https://info.ucoats.org/pages/training-reviewer-025-</a>
	<a href="https://info.ucoats.org/pages/training-reviewer-671-">Health Sciences Reviewers (APM 671) https://info.ucoats.org/pages/training-reviewer-671-</a>
Approver	<a href="https://info.ucoats.org/pages/training-approver-025-">General Campus Reviewers (APM 025) https://info.ucoats.org/pages/training-approver-025-</a>
	<a href="https://info.ucoats.org/pages/training-approver-671-">Health Sciences Reviewers (APM 671) https://info.ucoats.org/pages/training-approver-671-</a>
Auditor	<a href="https://info.ucoats.org/pages/training-auditor-">https://info.ucoats.org/pages/training-auditor-</a>

#### 4. What is Conflict of Commitment?

A conflict of commitment (CoC) occurs when a faculty member's outside activities interfere with the faculty member's professional obligations to the University of California.

#### 5. What are Outside Professional Activities (OPAs)?

OPAs, compensated or uncompensated, and regardless of financial interest, are defined as those activities that are within a faculty member's area of professional academic expertise, and that advance or communicate that expertise through interaction within the industry or community, or with the public.

OPAs are distinct from non-professional activities, i.e., activities that 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. Outside professional activities must not interfere with a faculty member's obligations to the University.

#### 6. What is a Faculty Member's Obligation to the University?

Outside professional activities must be undertaken in a manner consistent with the faculty member's professional obligations to the University. Outside activities must not conflict with the faculty member's obligations to students, colleagues, or to the University as a whole. In order to fulfill those obligations, faculty members must maintain a significant presence on campus, meet with classes, keep office hours, hold examinations as scheduled, be accessible to students and staff, be available to interact with University colleagues, and share service responsibilities throughout every quarter or semester of active service.

#### 7. What Conflict of Commitment Policies are covered by UC OATS?

The conflict of commitment policies covered by UC OATS are [APM 025](#), [APM 671](#), [APM 240](#), [APM 246](#).

**APM 025:** This policy defines which outside professional activities must be disclosed to the University, approved prior to engagement, and/or reported annually. This policy limits the amount of time a faculty member may devote to outside professional activities and describes the requirements when involving a student in outside professional activities. It defines activities as Category I, II, or III, and includes a Prior Approval form as well as an Annual reporting form. All faculty who are not members of a Health Sciences Compensation Plan (HSCP) are subject to this policy; however, faculty holding appointments of less than 50 percent time are not subject to the annual reporting and prior approval requirements.

**APM 240:** This policy is specific to **academic deans**, defined as a head of a division, college, school, or other similar academic unit, with administrative responsibility for that unit. APM 240-20c outlines additional restrictions on outside professional activities for Deans beyond the requirements of APM 025/671.

**APM 246: Faculty Administrators who are appointed at 100% time** are primarily responsible for administrative duties, but maintain their underlying faculty appointment. A Faculty Administrator holds a concurrent University faculty appointment. APM 246-20c outlines additional restrictions on outside professional activities for Faculty Administrators beyond the requirements of APM 025/671.

**APM 671:** Faculty who are **members of a Health Sciences Compensation Plan (HSCP)** have additional requirements related to Outside Professional Activities, specific to income earned while engaged in outside professional activities. This policy also defines monitoring, compliance, and consequences for non-compliance. Faculty members appointed in Health Sciences schools that are not participants in the Health Sciences Compensation Plan are subject to APM-025.

## 8. Who is Subject to this Policy?

All faculty holding appointments of 50% time or more time in the following series are subject to APM policy 025 and 671:

- Professor, including Acting titles
- Professor-in-Residence
- Professor of Clinical (e.g. Medicine)
- Health Sciences Clinical Professor
- Adjunct Professor
- Lecturer or Senior Lecturer with Security of Employment
- Lecturer with Potential Security of Employment

The following are also subject to APM 025/APM 671:

- Deans (APM 240)
- Full time faculty Administrators (APM 246)
- Faculty members on approved leaves or Sabbaticals

Recalled faculty at or less than 43% time are NOT subject to this policy with the exception of recalled faculty who are participants in the Health Sciences Compensation Plan.

Unit 18 Faculty Members, such as Lecturers, Continuing Lecturers, and Supervisors of Teacher Ed are also NOT subject to this policy.

## 9. Are both domestic and foreign engagements subject to Conflict of Commitment reporting?

Outside professional activities, as outlined in the category definitions in APM policies, include both domestic and foreign activities. As there has been increased scrutiny from the federal government regarding the appropriate disclosure of foreign engagements, it is critical that you report both your domestic and foreign engagements while completing the UC OATS forms. Such engagements include, but are not limited to, visiting professorial or research appointments and directorship of labs or programs, whether compensated or not.

**10. What is the difference between Conflict of Commitment and Conflict of Interest?**

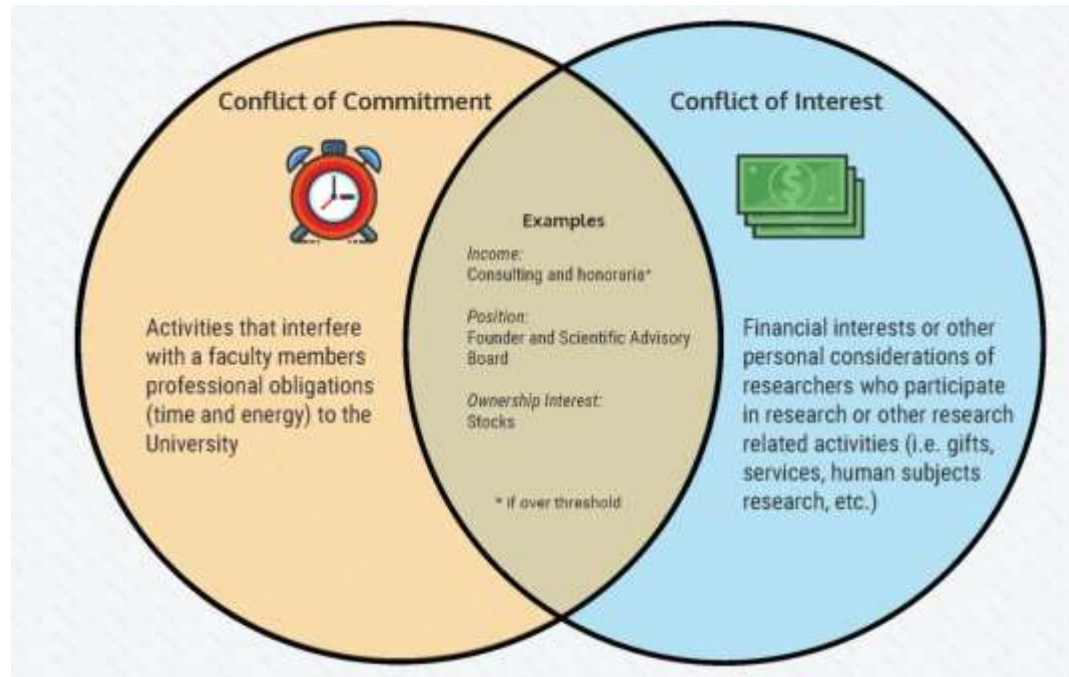


Image credit: UC San Diego

**11. I do not have any outside professional activity (OPA) to report, do I still need to complete the Annual Certification Report?**

Yes. To comply with APM policy, UCR faculty must submit an Annual Report each fiscal year for Category I and/or Category II activities or confirm that they have no activity to report.

**12. Is there a limit to compensation under APM 025 as under APM 671?**

There is no limit to compensation under APM 025. For faculty who are subject to APM 671, refer to the Annual Outside Professional Activities Earnings Approval Threshold under [APM 671-8-c](#).

**13. If a faculty member is not compensated for Cat I, Cat II or Cat III is reporting still necessary?**

Yes. Per policy, outside professional activities whether compensated or uncompensated must be reported.

**14. Why are there Category III activities, such as, "reviewing manuscripts" and "acting in an editorial capacity" listed on the "enter an activity" form?**

Faculty are not required to report their Category III activities. The Category III choices are included to help faculty members determine the category of their activity and also to support a request to involve a student in a Category III activity. If a faculty member enters a Category III activity, the following alert will appear "Category 3: Activity Reporting Exemption-You are exempt from having to report this activity." The activity will be documented in the current reporting period but the system will not record time engaged in the activity.

**15. If an academic year faculty member receives University salary during the summer but off during the summer, can the faculty member engage in outside professional activity and does it need to be reported? If the activity falls under Category I, does the activity require prior approval? What are time limits?**

During the summer months, all Category I activities still require prior approval, regardless of summer-salary status. There are no restrictions on the number of days of Category I and II activity for academic-year faculty during the summer months, unless an academic-year faculty member receives additional University compensation for the summer. If an academic-year faculty member receives additional University summer compensation, the time limit on compensated and uncompensated outside professional activities is the equivalent of one day per week during the period in which University summer compensation is received. (The 39-day maximum during the academic year is distinct and separate from this, and nor can the 39 days cannot be averaged into the summer service period.)

**16. If outside professional activity occurs on weekends, nights, national holiday or vacation, does it need to be reported? Are those activities counted towards the time limits permitted?**

Yes. Outside activities occurring on weekends, nights, national holiday or vacation still fall under the Conflict of Commitment policies and may require prior approval and/or annual reporting, as well as count towards time limits, as applicable.

**17. When should I consult [Office of Research and Economic Development \(RED\)](#) about my outside activity?**

Faculty should consult the Office of Research and Economic Development (RED) early and often about outside activities that involve matters of intellectual property:

- Whenever the activity involves the use or proposes the use of Intellectual Property (IP) developed at the University of California (i.e. using University resources);
- If the activity did or plan on creating any IP in your outside activity, (and assign your rights to the entity); and/or
- If the faculty member makes any invention and/or creates any non-scholarly/non-aesthetic copyright materials (e.g. software) in the course of the activity.

Additionally, faculty are advised to consult with RED when their activities involve research at other institutions in general, or if their activity relates to the creation of a start-up company.

**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

Within UC OATS, faculty are prompted to answer three questions about the IP matters listed above as part of the activity submission. It is the faculty member's responsibility to have established with RED any required intellectual property agreements between the University and

outside entities. APO is not the responsible office for intellectual property issues. Please contact [RED](#) for further information and resources on this matter.

**18. When should I consult the [Office of International Affairs](#) about my outside activity?**

International activities provide great opportunity for faculty and the University to expand its connections to researchers and institutions abroad. However, traveling internationally may have additional complications around visa status and employment in that country. If an international activity is being proposed, consult with VP of International Affairs at [vpia@ucr.edu](mailto:vpia@ucr.edu) for support while abroad and to determine how the activity can promote UCR abroad.

**19. I am a faculty in a department where the regular research activities in my discipline often involve outside entities, which may or may not include outside compensation (e.g. Theatre, Film, and Digital Production). Do I need to report these activities?**

Generally, yes. Each case may be unique and it is advised that faculty consult with their Academic Personnel staff in their Dean's Office or central APO. Factors that may impact whether the activity will be a Category I, Category II, or Category III include:

- Time commitment of the activity
- Pay structure for the activity (if compensated)
- Employment status with the outside entity

**20. If I write a book as part of a compensated publishing agreement, do I need to report the activity or receive prior approval?**

Traditionally, book publishing has been considered a Category III activity, and no reporting or prior approval is required. However, certain aspects of a publishing agreement may require reporting and/or prior approval, depending on the nature of the commitment(s). For example, if as a part of the publishing agreement you are required to go on a long book tour that impacts your time here at the University, then it may be considered a Category I, to which you would need to receive prior approval. *(Added 09-2021)*