

Checklist for OATS Prior Approvals.

To be used on all prior approval OATS requests prior to routing to your Chair for approval.

- Review process to confirm activity has met all requirements and is ready for routing:
 - **New Cat 1 OPA** (a minimum of 3 attachments)
 - Confirm an actual Cat 1 – often Cat 1 “Teaching Outside the University” or “Employment Outside the University” is selected when the faculty is presenting or giving a talk at a conference or presenting to industry which do not fall under Cat 1
 - Send back to faculty for correction and change to either Cat II or III depending on the audience
 - Check for attachments (“Notes” tab should reflect 3-4 entries)
 - APM671 pre-approval form
 - Confirmation of consultations with both Tech Transfer and OR_COI. AVP Ehlen may issue one confirmation for both consultations; need to check if consultation covers both
 - If faculty attests to not needing consultations (tick box checked on updated APM671 – Category 1 Prior Approval Form), check to confirm consult is not required
 - Articles of Incorporation, Partnership Agreement, Bylaws if OPA is for start-up, founding or co-founding a company; working agreement if involvement is assuming an executive/managerial role, etc.
 - If any are missing, reach out to faculty
 - Provide step-by-step instructions to correct issue
 - Cat 1 renewals and Cat 1 and 2 Over the Threshold (OTH) requests.
 - **Cat 1 renewal:**
 - Check end date from previous fiscal year
 - Check current FY start date – should be the next day after expiration (there should be no gap; renewal is to preserve continuity or initial approval) If there is a gap, return to the faculty to fix the gap. Or explain why there is a gap. If explanation is sufficient VPAA may accept.
 - Check previous FYs for APM671, confirmation of consultation and Articles of Incorporation (if start-up, founder/co-founder) or working agreement
 - Add comment as to where required documentation can be found (e.g. “required documents located if FY22-23”)
 - Check for attestation in “Notes” section, “there have been no significant changes from previous FY(s)” If the note is not there, return to the faculty with an explanation of the missing note.
 - If there are significant changes updated documentation may be required. Role type may need to be updated which would necessitate being returned to faculty.
 - If renewal request is for OPA more than four (4) years old, VPAA now requires updated APM671 form and updated consultations

- Cat 1 and Cat 2 OTH

- Must include working agreement, consulting contract. Document requirements: description of scope of work, approximate hours, rate of pay, and contact information with outside entity if AP needs to contact directly.
- Open attachment and review for:
 - Effective date and duration of contract (may be open-ended). Check the contract term against the dates cited in the OATS entry. If any OATS entry dates fall outside the contract term, email faculty describing the problem and requesting updated documentation.
 - Hourly rate and/or maximum payable per contract period
 - Anticipated hours
- If contract includes maximum number of hours, engagement or earnings cap, verify the amount of anticipated overage matches the hourly rate
 - Contract may include compensation for travel time, expenses, etc., if amount is “within reason” (use IRS guidelines for maximum spend/payable for accommodations, meals, etc.), these amounts do not have to be reported in OATS
 - If any engagement (there should be none at this stage) has been reported, check to verify the amount paid and the hours of engagement match the numbers in the contract
 - **This needs to be a critical review/scrutiny.** We need to look at the number of hours versus the amount of pay and ask ourselves (1) does this make sense, and (2) does it comply with the contract pay terms? If the answer is “no” to either of these questions, we need to seek more information from the faculty. Also, if the request is to significantly exceed the annual monetary threshold, it’s not required but STRONGLY advised that the faculty include a description of how this work benefits UCDH and advances the University’s mission.
 - If numbers do not match, faculty needs to provide clarification for amount received