University of California, Riverside – Conflict of Commitment & Compensated Outside Activities
https://conflictofcommitment.ucr.edu
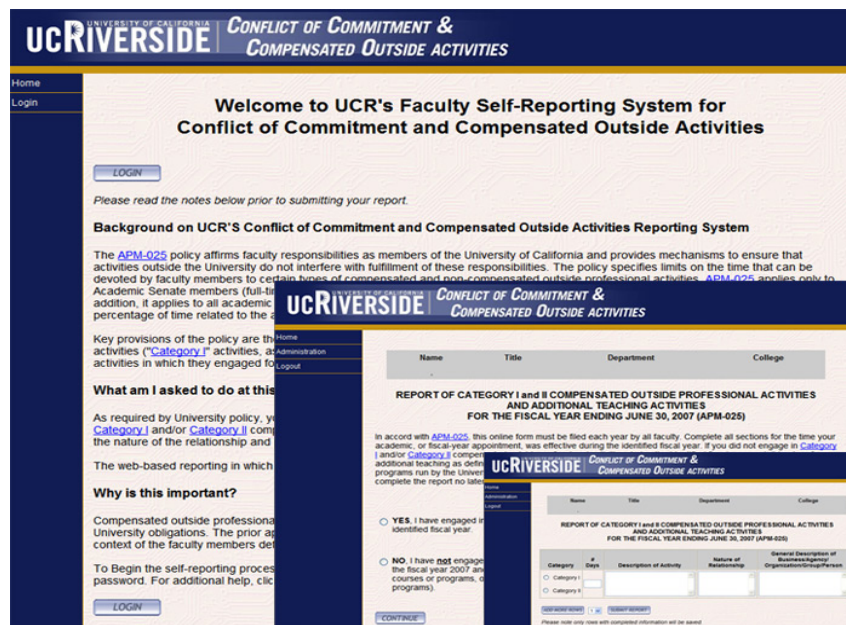
Overview:

In a recent audit, the University of California, Riverside was challenged to enhance its reporting of faculty compliance with UC policy APM-025, Conflict of Commitment and Outside Activities of Faculty Members. In response to this audit, Computing & Communications (C&C), in collaboration with the Office of Research, developed an online self-service system that is available 24/7 for faculty to provide APM-025 reporting. Department administrators can view or print reports as needed for audit purposes, and the system generates both scheduled and ad hoc e-mails reminding faculty of their APM-025 reporting responsibilities. As a result of this application, UCR has received an unprecedented number of requests for access to the code, database, business rules, and web pages that enable this online process. In the spirit of collegiality, C&C created a web site for other UC campuses to obtain more information about the application and to download the source code if desired.

"I am very glad to write in praise of the outstanding Web-based system for documenting the annual reporting of conflict of commitment that was developed by the Computing and Communication at UC Riverside. Working closely with the Research Integrity staff in the Office of Research, the staff of Computing and Communication developed a system that is the first in the University of California that has the capacity to record this annually required information on-line. In the first year of use, the percentage of the campus conflict of commitment reporting jumped from less than 11% of the faculty to over 70% of the faculty. Indeed, so successful has this system been that several other UC campuses have now adopted our system and are planning to use it on their campuses."

Charles Louis
Professor and Vice Chancellor of Research
University of California, Riverside

Project Summary:

The University of California requires its faculty to submit an annual report indicating whether or not they have engaged in outside compensated activities during the fiscal year. Those faculty that have engaged in this type of activity are asked to provide information to the University about the activity and any related compensation. UCR's online Conflict of Commitment system provides a simple, web based self-service tool for faculty to meet their APM-025 obligation.

Project Team Members:

David Gracey
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Conflict of Commitment Project Highlights

Easy to Use System for Reporting

UC Riverside's Conflict of Commitment (COC) system provides an easy to use, online system for reporting this information on an annual basis. Faculty at UC Riverside can log on to COC and enter all pertinent information relating to outside compensated activities, which is then electronically routed to appropriate (Office of Research) administrative personnel.

Roles

The Conflict of Commitment application has two major roles as follow:

Administrator: The administrator can run reports and queries as needed. They can view who has reported from the faculty side.

Faculty: All faculties are imported from the payroll database to have their preliminary information already populated. The faculty use their current UCR NET ID to login and can view what they have submitted and the system keeps a history.

Technical and System Overview

A complete technical overview of the systems is available at the following URL:

http://cnc.ucr.edu/coc/

The web site contains an Entity Relationship Diagram, Table/View Definitions, Database Packages & Procedures, Create Table SQL scripts, Create Sequence SQL Scripts, and a Source Code Download link.

Population of Eligible Faculty

The list of faculty is populated by a program that retrieves the data from the academic personnel database before the start of the next fiscal year. The program only retrieves faculty that match the following criteria:

- Faculty that are employed between July 1st and June 30th of the year in question...
- Faculty that have a CTO code in 010, 011, 012, 114, and 341 (representing Academic Senate faculty).
- UC Riverside does not include individuals from CTO Codes 210, 212, and 216 (Lecturers with Security of Employment), though other campuses may wish to do so.

Authentication

The campus Central Authentication Service (CAS) provides single sign-on access to the Conflict of Commitment system. The freely available Central Authentication Service was originally developed by Yale University and has since become a JA-SIG project.

Importantly, CAS utilizes UCR's identity management systems to authenticate users (via LDAP). For more information on UCR's identity management solutions, please visit the following URL: http://www.cnc.ucr.edu/iviews/enterprise_dir/

Timeframe of Implementation

May 2005 - Computing and Communications began to meet with the Office of Research Affairs to discuss the current manual process and to create a digital solution.

June 2005 – Programming of the project got started.

October 2006 – Testing and final deployment completed.

Objective Customer Satisfaction Data

"The APM-025 application has allowed for the more efficient collection of the mandated Annual Reports from faculty real ted to their compensated outside activities. The system has not only made it much easier for faculty to file these reports but allows the administrative staff in the Office of Research the ability to 1) track non-reporters for follow up reminders, 2) run reports on the categories of compensated outside activities reported and 3) review the details of an individual report. The proof of the effectiveness of the system is in the numbers: before the system was in place the campus was lucky to collect 30% of the mandated reports; after the system was in place that number jumped to 70% and we expect a higher percentage this coming year."

Bill Schmechel, Director of Research Integrity – Office of Research Affairs

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the University of California that has the capacity to record this annually required information on-line. In the first year of use, the percentage of the campus conflict of commitment reporting jumped from less than 11% of the faculty to over 70% of the faculty. Indeed, so successful has this system been that several other UC campuses have now adopted our system and are planning to use it on their campuses. It is a real pleasure to work with Computing and Communication who have now developed not only this outstanding conflict of commitment Web-based system, but also the online submission of proposals to our Office of Sponsored Programs Administration, and are nearly completed with an on-line Intuitional Review Board protocol submission system. These are huge accomplishments that significantly assist the research enterprise at UC Riverside."
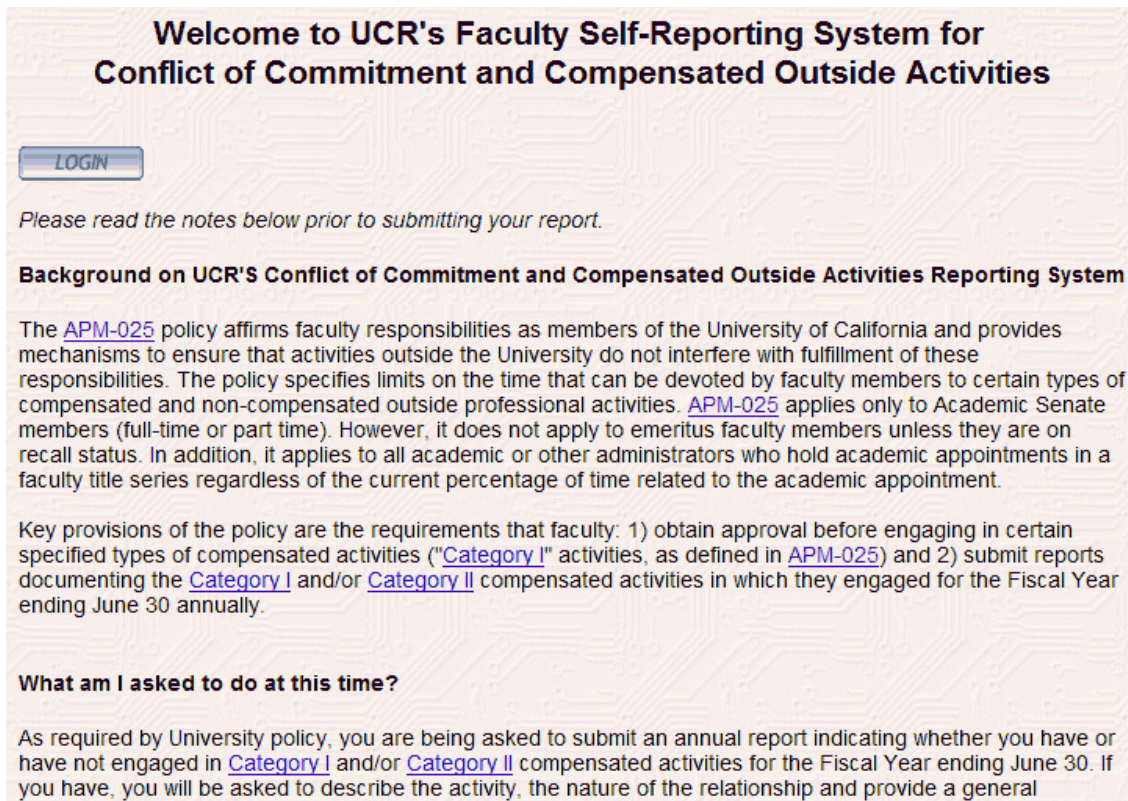
Charles Louis, Vice Chancellor of Research – Office of Research Affairs

Submitted by

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Selected Screen Shots

<u>*Main Page*</u> *– The Conflict of Commitment login page:*

Welcome to UCR's Faculty Self-Reporting System for Conflict of Commitment and Compensated Outside Activities

LOGIN

Please read the notes below prior to submitting your report.

Background on UCR'S Conflict of Commitment and Compensated Outside Activities Reporting System

The APM-025 policy affirms faculty responsibilities as members of the University of California and provides mechanisms to ensure that activities outside the University do not interfere with fulfillment of these responsibilities. The policy specifies limits on the time that can be devoted by faculty members to certain types of compensated and non-compensated outside professional activities. APM-025 applies only to Academic Senate members (full-time or part time). However, it does not apply to emeritus faculty members unless they are on recall status. In addition, it applies to all academic or other administrators who hold academic appointments in a faculty title series regardless of the current percentage of time related to the academic appointment.

Key provisions of the policy are the requirements that faculty: 1) obtain approval before engaging in certain specified types of compensated activities ("Category I" activities, as defined in APM-025) and 2) submit reports documenting the Category I and/or Category II compensated activities in which they engaged for the Fiscal Year ending June 30 annually.

What am I asked to do at this time?

As required by University policy, you are being asked to submit an annual report indicating whether you have or have not engaged in Category I and/or Category II compensated activities for the Fiscal Year ending June 30. If you have, you will be asked to describe the activity, the nature of the relationship and provide a general

Activity Reports Page – The user completes a report regarding any compensated outside professional activity using this form.

Name	Title	Department	College
Doe, John	Professor	History	Coll of Hum, Arts & Socia

**REPORT OF CATEGORY I and II COMPENSATED OUTSIDE PROFESSIONAL ACTIVITIE:
AND ADDITIONAL TEACHING ACTIVITIES
FOR THE FISCAL YEAR ENDING JUNE 30, 2007 (APM-025)**

Category	# Days	Description of Activity	Nature of Relationship	General Descripti Business/Agen Organization/Group
○ Category I ● Category II	5	Consulting	expert witness	Riverside Public De
○ Category I ○ Category II				

[ADD MORE ROWS] [1 ▼] [SUBMIT REPORT]

Please note only rows with completed information will be saved.

Final Confirmation Page – Before submission, the user must confirm all entered data. If there are any errors, the user may hit cancel to update any changes.

Name	Title	Department	College
Doe, John	Professor	History	Coll of Hum, Arts & Social Sci

**REPORT OF CATEGORY I and II COMPENSATED OUTSIDE PROFESSIONAL ACTIVITIES
AND ADDITIONAL TEACHING ACTIVITIES
FOR THE FISCAL YEAR ENDING JUNE 30, 2007 (APM-025)**

Category	# Days	Description of Activity	Nature of Relationship	General Description of Business/Agency/ Organization/Group/Person
I	5	Consulting	expert witness	Riverside Public Defender

Do you wish to submit the following report for the academic year 2007?
If this is correct click on "SUBMIT" to continue, otherwise click on "CANCEL" to return to the previous screen.

[SUBMIT] [CANCEL]

Engagement Verification Page – The final confirmation page will display again to verify whether or not the user has engaged in Category I and/or Category II compensated outside professional activities during the prior fiscal year.

Name	Title	Department	College
Doe, John	Professor	History	Coll of Hum, Arts & Social Sci

**REPORT OF CATEGORY I and II COMPENSATED OUTSIDE PROFESSIONAL ACTIVITIES
AND ADDITIONAL TEACHING ACTIVITIES
FOR THE FISCAL YEAR ENDING JUNE 30, 2007 (APM-025)**

You have indicated that you have **not** engaged in Category I and/or Category II compensated outside profession during the fiscal year 2007 and did **not** perform additional teaching as defined in APM-662 (i.e., teaching in UNEX programs, other continuing education programs run by the University, or self-supporting UC degree programs). If this is correct click on "SUBMIT" to continue, otherwise click on "CANCEL" to return to the previous screen.

SUBMIT   CANCEL