

Additional Information Requirements –APM 671
Complete and attach this form as a "NOTE" to your
Category I prior approval request in UC OATS

Name:

Organization Name:

*****Failure to complete the required sections as described below may result in your request being returned.*****

Section 1 must be completed for all Category I prior approval requests.

Section 2 must be completed when “Teaching outside the University” is selected.

Section 3 must be completed for all other Category I prior approval requests.

SECTION 1 – ALL Category I prior approval requests:

1. Please explain how the activity will not cause real or apparent conflict or interference with the fulfillment of your faculty obligations.

2. Please explain how this activity enhances the mission of the University.

SECTION 2 – “Teaching outside the University” Category I prior approval requests

Skip this section if your prior approval request does not involve this type of activity.

1. You must contact Research Compliance and Integrity (Denise Ehlen dmehlen@ucdavis.edu) to consult regarding potential Conflicts of Interest (COI) matters and attach consultation confirmation to your Category I prior approval request **when teaching at a foreign institution/organization:**

I have attached my consultation with Research Compliance and Integrity regarding Conflict of Interest (COI).

I attest that my activity does not require consultation with Research Compliance and Integrity based on my understanding of the above criteria.

2. **Disclose if you will be compensated or not for this activity.** If receiving compensation, please disclose the expected amount. *Excluding customary honoraria, reimbursement for reasonable travel expenses, and per diem expenses.

- I will be compensated. \$
- I will not be compensated.

3. **Indicate whether or not you will receive a formal academic appointment** at the outside institution. **Attach documentation** of any contract, letter of agreement or letter of appointment for the work to be performed, if one exists, in the “Notes” tab of your Prior Approval Request in UCOATS.

- I will receive a formal academic appointment.
- I have attached the required documentation associated with the formal academic appointment. **If an original document is in a foreign language, then a translated version in English must also be provided.*
- I will not receive a formal academic appointment.

SECTION 3 - all other Category I prior approval activity requests (e.g., Assuming an executive or managerial position outside of the University; Assuming founding or co-founding role of company; Employment outside the University; Administration of a grant outside the University, Research outside the University)

1. **You must contact InnovationAccess (Denise Ehlen dmehlen@ucdavis.edu)** to consult regarding potential Intellectual Property concerns and attach consultation confirmation to your Category I prior approval request **when any of the following criteria apply:**
- You are involved with a startup, founding/co-founding a company, commercial implementation of research, data, know-how, inventions, or materials developed at UCD; **or**
 - The activity will potentially involve use of research, data, know-how, inventions, or materials associated with any UCD-managed grants or contracts.
- I have attached correspondence confirming my consultation with InnovationAccess regarding Intellectual Property.
- I attest that my activity does not require consultation with InnovationAccess based on my understanding of the above criteria.
2. **You must contact Research Compliance and Integrity (Denise Ehlen dmehlen@ucdavis.edu)** to consult regarding potential Conflicts of Interest (COI) matters and attach consultation confirmation to your Category I request **when any of the following criteria apply:**
- You are involved with a startup, or founding/co-founding a company; **or**
 - You have any outside financial interests; **or**
 - You are working or engaged in research at a foreign institution; **or**
 - You have any active grants where you are a PI or Co-PI.
- I have attached my consultation with Research Compliance and Integrity regarding Conflict of Interest (COI).
- I attest that my activity does not require consultation with Research Compliance and Integrity based on my understanding of the above criteria.
3. **Disclose if you will be compensated or not for this activity.** If receiving compensation, please disclose the expected amount. *Excluding customary honoraria, reimbursement for reasonable travel expenses, and per diem expenses.
- I will be compensated. \$
- I will not be compensated.

4. Indicate whether or not you will receive a formal appointment (academic or otherwise) at the outside institution/company. **Attach documentation** of any grant contract, MOU or other related documentation explaining the nature of your involvement in the activity, if one exists (even in draft form), to the “Notes” tab of your Category I prior approval request in UC OATS.

- I will receive a formal appointment (academic or otherwise).
- I have attached the required documentation associated with the formal appointment.
- I will not receive a formal appointment (academic or otherwise).

For questions about FCOI, please contact Research Compliance and Integrity: Denise Ehlen dmehlen@ucdavis.edu

For questions about Intellectual Property, please contact InnovationAccess: Denise Ehlen dmehlen@ucdavis.edu

Reminders:

Category I activities most likely to create a conflict of commitment because:

- 1) They are activities related to the training and expertise which is an individual’s qualification for University appointment, but performance for a third party, and/or
- 2) They require significant professional commitment.

Outside Professional Activities must not interfere with obligations to the University and “it is expected that the use of days will be allocated evenly across service periods” and “if ...receives summer compensation...the limit on compensated outside professional activities is the equivalent to one day per week, during the period such compensation is received.” (See [APM 025-8-b-\(1\)](#) and [APM 025-8.c](#))

[APM 025-2-a](#) states, “Faculty members who are employed by the University of California owe their primary professional allegiance to the University and accept as their own the University’s responsibilities to advance and communicate knowledge. Teaching, research or other creative activities, and the cultivation of scholarly or creative competence, are their primary activities and should receive the largest commitment of time and energy; the same expectation exists for part-time faculty to the extent of their faculty appointment....”

[APM 600-4-c](#) states, “An academic-year appointment... refers to the period in which an academic appointee renders services, i.e., the academic year, from the beginning of the fall term through the end of the spring term, including periods of intersession.”

Time Limits allowed for Outside Professional Activities are converted from days to hours in UC OATS:

AY appointees: 39 days = 312 hours

FY appointees: 48 days = 384 hours

Leaves:

A leave should be requested for activities that require time away from the campus, per the specified leave requirements, e.g., 7 days or less approval required by Chair, 7-30 days’ approval required by the Dean, and greater than 30 days’, approval required by Vice Provost. Leave requests shall be submitted through the normal leave process.