

APM 025/671 Checklist

To be completed in the [UC Outside Activities Tracking System \(UC OATS\)](#)

Updated June 2023

Recommendation: All academic appointees who engage in outside professional activities should be having documented conversations with their academic leaders, e.g., faculty discussing with their department chairs, chairs discussing with their dean, etc., about the specifics of the outside engagement. This type of discussion can help minimize future concerns about things like inventions being within the scope of permissible consulting.

Entering Category I prior approval requests

- ☐ **Be sure to submit the request ahead of when the activity is scheduled to begin**, e.g., at least six (6) weeks before the activity will commence.
- ☐ **Choose the correct fiscal year** based on the expected start/begin date of the activity
For example: activity start date of 9/25/2022 = fiscal year 2022-2023
- ☐ **Select the most appropriate activity type**: Policy indicates that, “When an activity falls into more than one category, it should be assigned to the category that requires more stringent reporting and prior approval, as applicable.” ([APM 025-10](#); [APM 671-10](#))
- ☐ **Answer intellectual property questions**
- ☐ **Provide full details** in the description of the nature of your participation field in the request form; more information can be included in the “Additional Information Requirements” form. *Links to the form can be found under the “complete and attach required documents” below.*
- ☐ **Start date**: Enter the date you are requesting approval to start engaging in the activity. Insure that the activity is being entered in the correct fiscal year.
- ☐ **End date**: Enter the date the activity will conclude (generally granted for 1 year, but may be up to 3 years); confirm that the end date is entered as intended. Note, if date range does not match the number of estimated hours the request may be delayed until clarification or the request is corrected.
- ☐ **Estimated hours**
APM 025: The number of hours cannot exceed the system-wide annual time limits (academic-year appointees = 312 hours; fiscal-year appointees = 384 hours). If engaging in an activity that will exceed allowable time limits, a leave without pay may be required. Please consult with your department and/or dean’s office for guidance.
APM 671: The Schools of Health (SOH) have a stricter time limit (168 hours); however, with prior approval, time limits can exceed up to the system-wide limit (384 hours). If engaging in an activity that will exceed system-wide time limits, please consult with the SOH Academic Personnel Office for guidance.
- ☐ **Leave question**: Answering this question does not constitute an approved leave request. If you will be away from campus ***you might also need to submit a leave request*** in compliance with the “[Delegation of Authority for Leaves of Absence](#)”.
- ☐ **Permission question**: Submitting a prior approval request *after the start date* = “YES” to the permission question because the request was *not approved* prior to the start date of the activity.
Note: The Provost has the final approval authority which is required before engaging in a Category I activity per APM 025 and APM 671. UC OATS will generate and send an approval notification once the activity has been approved.
- ☐ **Complete and attach required documents**
APM 025 Additional Information Requirements: <https://aadocs.ucdavis.edu/tools/oats/apm-025-category-i-activities-additional-information-requirements.pdf>
 - Complete and attach “Additional Information Requirements” form
 - Follow the directions outlined at the top of the form.

- *Missing fields and/or missing additional attachments/documentation will delay approval.*
- *Complete and attach required consultation(s) based on details found in Sections 2 or 3.*
- *Make sure there are no discrepancies or conflicting details between the form and the information provided in the UC OATS prior approval request.*

APM 671 Additional Information Requirements: <https://aadocs.ucdavis.edu/tools/oats/apm-671-category-i-activities-additional-information-requirements.pdf>

- *Complete and attach “Additional Information Requirements” form*
 - *Follow the directions outlined at the top of the form.*
 - *Missing fields and/or missing additional attachments/documentation will delay approval.*
- *Complete and attach required consultation(s) based on details found in Sections 2 or 3.*
- *Make sure there are no discrepancies or conflicting details between the form and the information provided in the UC OATS prior approval request.*
- *Attach documentation from the outside entity detailing the scope of activity, the estimated hours to be committed to the activity, the estimated earnings to be received from the activity, and the name, phone number, and email address for the outside entity’s primary point of contact.*

Details required when involving Students

Do you plan to involve students whom you have or expect to have academic responsibility (instructional, evaluative, and/or supervisory) for in any substantive way (whether the students are compensated or uncompensated)?

If yes, then provide the following details for each student:

- student’s full name
- category of student (e.g., undergraduate, graduate, professional degree student)
- description of work the student(s) will be doing
- educational benefit to the student
- possible beneficial outcomes to research, industry, and the public
- the number of hours anticipated the student will work at the outside activity
- any potential conflicts of commitment for the student with respect to the student’s university employment/funding
- and, if appropriate, what arrangements will be put in place to ensure that the student continues to make adequate progress on their degree work

Best Practices

Categories

- if you are unsure of which is the correct category, turn help text ON to get additional background information on each category
 - don’t forget to turn help text OFF when not needed

Attachments

- confirm they are uploaded and are viewable
- any that are in a foreign language must be translated and provided in English

Completing Annual Certification Report for the Preceding Fiscal Year

- ☐ **All faculty must complete this document whether they engaged in outside activities or not.**
- ☐ **Add information to UC OATS as the activities occur throughout the year** instead of waiting to complete it all when the call comes out each fall quarter.