DOCUMENTATION MATRIX FOR PRIOR APPROVAL REQUESTS: CATEGORY I AND EXCEEDING ANNUAL EARNINGS LIMITS

This document describes the required documentation to request prior approval for Category I Outside Professional Activities (OPA) and to exceed annual OPA earnings limits for Health Sciences faculty pursuant to <u>APM-671</u>. For a description of OPA workflow, please see: https://bit.ly/44ucwMS. For directions on uploading documents to OATS, please see https://info.ucoats.org/pages/faculty-addnotes-671.

Type of Prior Approval Request	Activity	Required Documentation*
Category I		
	All Category I Requests	APM-671 Form
	All Non-Teaching Category I	Innovation Access consultation **
	Requests	
	All Non-Teaching Category I	Conflict of interest consultation***
	Requests	
	Teaching	Signed appointment letter or contract
	Research	Signed appointment letter or contract
	Administration of a Grant	Signed appointment letter or contract
	Employment	Signed employment agreement
	Executive or Managerial Role	Signed position description,
		compensation agreement, or contract
	Founding or Co-Founding	See below
	Company	
Exceeding Annual Earnings Limit		
	Category I Activities	See above
	Consulting	Signed consulting agreement
	Expert Witness	Signed expert witness agreement
	Serving on Board of Directors	Signed appointment letter
	Presenting at Industry Workshop	Signed engagement contract

Documentation for Founding or Co-Founding Company (Category I)

- 1. Submit prior approval request with description of activity, APM-671 form, Innovation Access consultation, and Conflict of Interest consultation.
- 2. After formation of the company, upload the foundational documents (e.g., articles of incorporation, partnership agreement, etc.).
 - a. NOTE: some non-public foundational documents may include trade secrets or other confidential/non-public information. Contact Academic Personnel for consultation on appropriate documentation.

* - Documentation from Outside Entities

The required documentation from outside entities must include:

- 1. A detailed description of the scope of work or service to be performed;
- 2. The anticipated time in hours;
- 3. The anticipated earnings or hourly rate; and
- 4. The outside entity contact information, including
 - a. Contact name
 - b. Contact phone number
 - c. Contact email address

Effective: 07/01/23

^{**} To schedule an intellectual property consultation with InnovationAccess, email innovationaccess@ucdavis.edu

^{***} To schedule a conflict of interest consultation with Research Compliance and Integrity, email Denise Ehlen at dmehlen@ucdavis.edu