

Additional Information Requirements – [APM 671](#)
Complete and attach this form as a "NOTE" to your
Outside Professional Activity (OPA) Category I prior approval request in UC OATS

Your Name:

Organization Name you are requesting to engage in OPA:

*****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 for all Category I prior approval requests.

Section 3 identifies when you are required to consult with Technology Transfer and/or Research Compliance Offices. **Required consultations must be obtained.**

SECTION 1 – ALL Category I prior approval requests:

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

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

SECTION 2 – YOU MUST COMPLETE THE CHOICES BELOW, OR YOUR FORM WILL BE CONSIDERED INCOMPLETE:

- **Indicate whether you will receive a formal appointment (academic or otherwise)** at the outside institution/company for your engagement in the OPA. **Attach documentation** of any contract, MOU, letter of agreement or letter of appointment for the work to be performed, or other related documentation that explains the nature of your involvement in the activity (including hours), 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, to my Category I prior approval request, the required documentation associated with the 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 appointment (academic or otherwise).
- **Consultation(s) for my Category I prior approval request**
 I have attached **all** required consultation(s) based on the chart located on the next page of this document.
I attest that my Category I prior approval request **does not** require consultation(s) based on the chart located on the next page of this document.
- **Disclose if you will be compensated or not for this activity** (amount of compensation is not required for faculty who fall under [APM 671](#)). *Excluding customary honoraria, reimbursement for reasonable travel expenses, and per diem expenses.
will be compensated. \$
will not be compensated.

SECTION 3 – FACULTY MUST SEEK CONSULTATION AS NOTED ON THE CHART (located on the next page of this document). REQUEST(S) SHOULD BE SOUGHT WELL IN ADVANCE OF THE ACTIVITY START DATE:

- **First**, review the column labeled “Category I activities include...” to determine which ones apply to the outside professional activity you will be requesting prior approval for.
- **Second**, send an email request for consultation to the appropriate contact(s) identified in **red text** (columns 3 & 4 of the chart located on the next page of this document), including all pertinent details about your proposed activity. If you are required to consult with both offices, then you may send one email to both offices simultaneously and include this form with the email and answers to the questions below.

To expedite the process, faculty must include answers to the following questions when emailing a consultation request:

1. Does this project involve engagement with foreign partners and/or a foreign organization?
2. Does the outside activity involve UC Davis students?
3. Does the outside activity intersect and/or overlap with any UC Davis sponsored projects or non-monetary research agreements where you are the PI or key personnel?
4. Does the outside activity involve any UC Davis intellectual property?
5. Do you have a management role or financial interest in the organization?
6. Could you confirm that this is a paid appointment while you are on unpaid leave from UC Davis?
7. Could you confirm that the outside activity does not involve a start-up company that you founded or in which you have a management role?

NOTE: Obtaining a consultation can take several weeks. We strongly recommend reaching out as far in advance as possible. Consultation response(s) from Technology Transfer and/or Research Compliance must be uploaded to the Notes tab for the Category I prior approval request in UC OATS.

APM 671 Category I activities include, but are not limited to:	Upload Additional Documents	Technology Transfer techtransfer@ucdavis.edu	Research Compliance dmehlen@ucdavis.edu
Research, or administration of a grant* at an educational institution, trust, organization, government agency, foundation, or other entity outside of the University. <i>For example: An activity that may use research, data, know-how, inventions, or materials associated with any UC Davis-managed grants or contracts.</i>	1. This APM 671 Additional Information Requirements Form. 2. Any contract, MOU, letter of agreement or letter of appointment for the work to be performed, or other related documents explaining the nature of your involvement in the activity, if one exists (even in draft form)***	Requires consultation	Requires consultation
Teaching...outside of the University →When the activity will occur at a foreign institution/organization outside of the U.S.		Requires consultation	Requires consultation
Teaching...outside of the University →When the activity will occur within the U.S.		NA	Requires consultation when research is also expected.
Employment outside of the University		NA	Requires consultation
Assuming a founding or a co-founding role of a company		Requires consultation	Requires consultation
Assuming an executive or managerial position outside of the University**		NA	Requires consultation
Current or pending acceptance of an honorary, visiting, adjunct, or other institutional appointment (either compensated or uncompensated) at an outside institution of higher education, research institute, or medical center affiliated with an outside institution of higher education, non-U.S. government, or other entity.		NA	Requires consultation
Current or pending participation in, or application to, talent recruitment programs (specifically designed to recruit science and technology professionals or students) sponsored by a government agency of a nation other than the United States ("non-U.S. government").		NA	Requires consultation

*Grants submitted on behalf of a professional society are exempt from this restriction, i.e., are not considered Category I activities.

**This does not include positions with professional societies.

***If an original document is in a foreign language, then a translated version in English must also be provided.

For questions about Conflicts of Interest (COI), please contact Research Compliance and Integrity: Denise Ehlen dmehlen@ucdavis.edu
[Review the chart above that identifies when consultation is required.](#)

For questions about Intellectual Property, please contact Technology Transfer: techtransfer@ucdavis.edu
[Review the chart above that identifies when consultation is required.](#)

The School of Medicine Academic Personnel Office offers additional resources:

<https://health.ucdavis.edu/academic-personnel/administrative-resources/administrators-managers/conflict-commitment/>
<https://health.ucdavis.edu/academic-personnel/administrative-resources/administrators-managers/conflict-commitment/#toolkit>

Important 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. (See [APM 6714-a](#))

[APM 671-2-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, clinical care, 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-f](#) states, "A fiscal-year appointment is an appointment for service throughout the fiscal year, July 1 through June 30 (12 months) as opposed to the academic year (nine months)."

The [UC Davis School of Medicine and School of Nursing Health Sciences Compensation Plan Implementation Procedures](#) limits Outside Professional Activity hours. Additionally, time Limits allowed for OPA are converted from days to hours in UC OATS:

FY appointees: 21 days = 168 hours

Leaves (Refer to the Academic Affairs "[Leaves](#)" webpage and the [Delegation of Authority for Leaves of Absences](#)):

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.

Policy Questions:

For questions regarding APM 025 or APM 671 policies, please begin by contacting the individuals listed for the department. If they are unable to assist, they are encouraged to reach out to the dean's office for guidance. If a dean's office reviewer or approver is unable to provide guidance, they are encouraged to reach out to the Academic Affairs Principal Analyst. Contacts are identified by school/college here:

<https://academicaffairs.ucdavis.edu/oats-contacts>

UC OATS Technical Issues:

Please send an email describing the UC OATS technical issue(s) you are experiencing to: oats-help@ucdavis.edu