

**PRIOR APPROVAL OR DISCLOSURE  
FOR COMPENSATED OUTSIDE PROFESSIONAL ACTIVITIES (CATEGORY I) OR  
FOR INVOLVING STUDENTS IN OUTSIDE PROFESSIONAL ACTIVITIES  
(Submit to Department Chair)**

Name \_\_\_\_\_ Academic Title \_\_\_\_\_  
Last First

Department \_\_\_\_\_ Division/School \_\_\_\_\_

For each Category I compensated outside professional activity in which you wish to engage or for involving students in outside professional activities in which you have a financial interest, answer the following questions. You may attach separate sheets, if necessary.

1. General description of the Business/agency/organization/group/individual:  
 \_\_\_\_\_
2. Activities/products/services of entity described in 1 above: \_\_\_\_\_
3. Nature of your relationship to entity named in #1 (check all that apply—point and click with mouse):  
 Owner                       Consultant                       Stockholder/partnership interest  
 Board member                       Equity/royalty interest                       Salaried employee  
 Other, please explain: \_\_\_\_\_
4. Category and type of activity in which you will be involved:  

<u>Category I Activities</u> <input type="checkbox"/> Executive/managerial role <input type="checkbox"/> Outside teaching or grant activity <input type="checkbox"/> Salaried employee <input type="checkbox"/> Other potential conflict of commitment	<u>Other Activity Requiring Approval</u> <input type="checkbox"/> Involving students in outside activities in which you have a financial interest
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5. Description of the nature of your (or your student's) participation in this activity, including, if you wish, possible beneficial outcomes to areas of research, industry, and public service (or to your student's education):  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_
6. Beginning/ending month/year you could be involved in this activity: \_\_\_\_\_
7. Fiscal year for which seeking approval: \* \_\_\_\_\_
8. Estimated number of days' involvement during academic or fiscal-year appointment: \_\_\_\_\_
9. Do you wish to take a full- or part-time leave while engaged in this activity? \_\_\_\_\_

\_\_\_\_\_  
 Faculty Member Signature                      Date                      Chair                      Date

\_\_\_\_\_  
 Dean                      Date                      Campus Provost                      Date

\_\_\_\_\_ Approval granted through fiscal year ending June 30, \_\_\_\_\_                      \_\_\_\_\_ Request denied

\*Note: Approvals are generally for one fiscal year, but may be granted for a longer term, not to exceed five years.

## EXPLANATIONS FOR INFORMATION REQUESTED

Compensated Outside Professional Activities: *Compensation* is defined as income, assets, or capital, realized or having the potential to become realized. *Outside Professional Activities* are defined as those activities that are within a faculty member's area of professional, academic expertise and that advance or communicate that expertise through interaction with industry, the community, or the public, and through consulting or professional opportunities.

Academic/Fiscal-Year Faculty Appointment: Enter whether you held an academic- or fiscal-year appointment. An *Academic-Year Appointment* is an appointment in which the faculty member renders services to the University during the academic year, from the beginning of the fall term through the end of the spring term (APM - 600-4-d), or the equivalent of an academic year should the campus operate year-round.

- A full-time faculty member on an academic-year appointment normally may engage in compensated outside professional activities for up to 39 days from the start of the fall term through the end of the spring term (including intersession). There are no restrictions on the number of days of compensated outside professional activity for academic-year faculty during the summer months unless an academic-year faculty member is receiving University compensation for the summer. If an academic-year faculty member is receiving University summer compensation, then the applicable limit on compensated outside professional activities is the equivalent of one day per week during the period in which compensation is received.

A *Fiscal-Year Appointment* is an appointment in which the faculty member renders service to the University throughout the calendar year as opposed to the academic year. Fiscal-year faculty accrue vacation time in accordance with APM - 730.

- A fiscal-year faculty member is permitted a maximum of 48 days during the months of active service.

Terms of Leave, If Any: A faculty member may be permitted to go on full- or part-time leave in order to pursue certain compensated outside professional activities. If you were on such leave during any part of the pertinent fiscal year, provide information here about the percentage of time and inclusive months.

Category: For each activity, enter I, II or AT (for additional teaching as defined in APM-662).

*Category I activities include:*

assuming an executive or managerial position (which for purposes of this policy does not include (1) serving on a board of directors of an outside entity or (2) providing consulting services or engaging in professional practice through the faculty member's single

member professional corporation or sole proprietorship); administering, outside of the University, a grant that would ordinarily be conducted under the auspices of the University; establishing an employment relationship as a salaried employee outside of the University; compensated teaching or research at another institution; and other activities which common sense and good judgement would indicate are likely to raise issues of conflict of commitment. You must receive prior approval to engage in Category I activities, which always count in the 39/48-day limit and must be reported annually.

*Category II activities include:*

providing expert testimony in administrative, legislative, or judicial proceedings; providing occasional professional consulting services or referrals or engaging in professional practice where such activities are provided by the faculty member acting as an individual or are provided by the faculty member through his or her single member professional corporation or sole proprietorship; and undertaking compensated outside professional activity not mentioned in Categories I or III (see APM – 025 for description of Category III activities which do not need to be reported).

Category II activities are counted within the 39/48-day limit and must be reported annually. Note that, in accordance with APM - 662, faculty members may receive additional compensation for specified additional University teaching activities (i.e., UNEX courses and programs, other continuing education programs which are run by the University, and self-supporting UC degree programs) and that these activities are also reportable and counted within the 39/48-day limit.

# Days: Enter the approximate number of days you worked on this activity during your period of active service to the University. For compensated outside professional activities *Day* is defined on a case by case basis, using

common sense and customary practice. The University recognizes and supports the diverse hours and schedules devised by faculty members and department chairs to accommodate teaching, research and creative work activity, University service, and University-related public service. You should exercise sound professional judgment, taking into account reasonable work schedules, when determining what constitutes a day of outside activity and be prepared to provide, upon request from the responsible University official, an explanation of the definition of “day” you used. For additional teaching activities, the general rule is that every six contact or “podium” hours spent with students equals one day. See APM - 662 for further information.

Description of Activity: Briefly describe the work you did.

Nature of Relationship: Use one or more of the following terms to describe your relationship to the entity identified in the last column, the one for whom you performed the compensated outside professional activity: owner, board member, consultant, equity or royalty interest, stockholder or partnership interest, salaried employee, or other (explain).