

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 [APM-671](#). For a description of OPA workflow, please see [OPA flowchart](#). 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 Requests	UC Oats Category I guidance**
	All Non-Teaching Category I Requests	Conflict of interest consultation***
	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 Company	<i>See below</i>
Exceeding Annual Earnings Limit		
	Category I Activities	<i>See above</i>
	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, OATs 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.

3. – 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

** For UC Oats Category I guidance, please visit <https://academicaffairs.ucdavis.edu/uc-oats-category-1-guidance>

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