

## **Procedures for Administering APM 025 & APM 671**

### **Category I Pre-Approval**

Eligible faculty who are covered by APM 025 or APM 671 and who anticipate Category I involvement in the coming academic year must prepare a Request for Approval of Category I Activity form in the UC OATS system. The Category I activity must be approved by the appropriate final authority prior to engaging in the activity.

### **APM025 Policy-Covered Faculty**

1. The Department Chair reviews the Category I request based on the policy requirements and makes a recommendation for either approval or disapproval and forwards the request to the appropriate dean via UC OATS.
2. The Dean reviews the Category I request based on the policy requirements and forwards the request to the Executive Vice Chancellor for Academic Affairs via UC OATS.
3. The Senior Associate Vice Chancellor for Academic Affairs reviews the Category I submission based on the established criteria and either approves or disapproves the request. The faculty member is then notified of the decision in the UC OATS system.
4. Requests to exceed the maximum number of days permitted require prior written approval from the Chancellor in advance of performing the activity. OATS APM 025 submissions in which the activity exceeds the maximum of allowed days will be reviewed by the Sr. Associate Vice Chancellor for Academic Affairs and the Executive Vice Chancellor. If supported, the request will be forwarded to the Chancellor for final approval.

All Category I activities must ensure prior consultation with the Research Compliance and Integrity Office (Conflict of Interest) and indicate such in the notes section in UC OATS. If a request for participating in a Category I activity involves a partial or full leave of absence, the Academic Leave of Absence/Sabbatical form must be submitted along with the request and uploaded into the system. The leave request and request for Category I pre-approval will be processed concurrently. (Review of requests for leaves are conducted outside of UC OATS.)

### **Compliance:**

1. Department Chairs shall monitor compliance with this policy by collecting and reviewing annual reports and shall consult with the Dean about any concerns.
2. The Dean shall review the Department Chairs' annual reports of outside professional activities each year.
3. Failure to comply with this policy may subject a faculty member to discipline, corrective action, or administrative remedies pursuant to APM - 016, University Policy on Faculty Conduct and the Administration of Discipline, and APM - 150, Non-Senate Academic Appointees/Corrective Action and Dismissal.

4. As an administrative remedy, deans may restrict faculty from the following activities within their purview until the faculty member becomes compliant:
  - Taking a sabbatical leave
  - Holding an administrative appointment
  - Eligibility for division matching-fund commitments
  - Nomination by the division for external limited-submission grants/awards
  - Selection by the division for a university award/honor
  - Support from the division to participate in Compensation Plans such as GCCP and course overload programs
  - Support from the division for programs, such as the Faculty Leadership Academy
5. The dean may forward a recommendation to the EVC-AA to initiate discipline as outlined in APM 015/ 016 and/or APM 150 if documented, repeated attempts are unsuccessful.

### **APM 671 Policy-Covered Faculty**

1. The Department Chair reviews the Category I request and based on the policy requirements and makes a recommendation for either approval or disapproval and forwards the request to the AVC-HS via UC OATS.
2. AVC-HS, as a member of the HS Outside Professional Activities Group (OPAG), brings the request before the committee. The committee reviews and provides a recommendation. Then the AVC-HS goes back into UC OATS and determines the outcome on the request.
3. The faculty member is notified of the decision in the UC OATS system.
4. Prior approval is required if the time and/or earnings thresholds are exceeded.

Members of the OPAG committee include representatives from Vice Chancellor for Health Sciences, Academic Affairs leadership, HS Compliance, Research Compliance & Integrity, and HS Business Contracting. If a request for participating in a Category I activity involves a partial or full leave of absence, the Academic Leave of Absence/Sabbatical form must be submitted along with the request and uploaded into the system. The leave request and request for Category I pre-approval will be processed concurrently. (Review of requests for leaves are conducted outside of UC OATS.)

### **Annual Disclosures**

Faculty members are required to complete and submit an annual certification of Category I and II Compensated Outside Professional Activities in UC OATS each year during Fall Quarter. In addition, faculty who participate in Category II activities are advised to enter their activities in the system as they occur. All annual certifications by faculty are due in UC OATS no later than November 1st. Annual disclosures are required even if the faculty member has no outside activities to report. In these cases, the faculty member certifies that they did not engage in any Category I or II activities during the previous academic year.

Deans are responsible for ensuring that all (100%) of faculty members within their division annually disclose their outside professional activities or certify that they did not engage in any outside professional activities by the campus deadline. Deans are also responsible for reporting their compliance numbers to the Executive Vice Chancellor for Academic Affairs and to explain all efforts in obtaining 100% faculty compliance.

Deans must comply with APM 240-20 c. with regards to outside professional activities and must seek approval from their applicable administrative supervisor.

Faculty administrators must comply with APM 246-20 c. with regards to outside professional activities and must seek approval from their applicable administrative supervisor.

Members of the Senior Management Group must comply with Regents Policy 7707 with regards to outside professional activities and must seek approval from their applicable administrative supervisor.