

**PRIOR APPROVAL FORM**  
**REQUEST TO EXCEED TIME AND/OR EARNINGS THRESHOLD(S)**  
**FOR FISCAL YEAR \_\_\_\_\_**

Compensation Plan participants are responsible for maintaining: 1) a running total of their time devoted to and annual earnings derived from all outside professional activities; 2) whether they exceed the time threshold as set forth in their department's bylaws or the earnings threshold of \$40,000 or 40% of scale 0 base salary, whichever is greater; and 3) whether the funds are due to the Plan. If a Plan participant wishes to engage in an activity that might reasonably be expected to cause his or her time and/or total annual earnings from outside professional activities to exceed the annual approval threshold, then the Plan member must request prior written approval to engage in the activity.

Plan participant's name: \_\_\_\_\_

I am requesting (check all that apply):

- To exceed time threshold
  - the total estimated number of hours to be devoted to this activity: \_\_\_\_\_
  - the number of hours that are expected to exceed the threshold: \_\_\_\_\_
  
- To exceed earnings threshold
  - the total expected income from this activity: \_\_\_\_\_
  - the amount of total annual earnings that are expected to exceed the threshold: \_\_\_\_\_

This is a:

- New request
- Amendment of a previously approved request  
Date of previous approval: \_\_\_\_\_

*Faculty must submit an amendment if any of the information they provided in an approval request is inaccurate or has changed since the initial notification. For example, an amendment should be filed if the earnings estimate from an outside professional activity was understated.*

Activity begin date: \_\_\_\_\_

Anticipated activity end date: \_\_\_\_\_

Person or entity(ies) who will receive and/or pay for the service: \_\_\_\_\_

Nature of services to be provided (check all that apply below):

**Grant / Research Related**

- Teaching, research, or administration of a grant at an educational institution, trust, organization, government agency, foundation, or other entity outside of the University

**Executive / Leadership / Management Role**

- Assuming a founding/co-founding role of a company
- Assuming an executive or managerial position outside the University
- Serving on a board of directors outside the University whether compensated or uncompensated

**Teaching, including providing or presenting talks, workshops, lectures**

- Providing or presenting a workshop for industry
- Participation in continuing health education programs run by the University
- Participation in self-supporting UC degree programs
- Participation in University Extension (UNEX) programs
- Participation in other University-compensated teaching activities (see clarification in APM 671-10 a. (2) (a))

**Consulting**

- Consulting under the auspices of the University of California
- Consulting for for-profit entities
- Consulting for non-profit entities
- Consulting for non-profit health or education-related organizations
- Consulting for government agencies
- Providing outside consulting or compensated professional activity performed for entities such as the Los Alamos and Lawrence Livermore National Laboratories (see clarification in APM 671-10 a. (2) (j))

**Other Miscellaneous Activities**

- Employment outside the University
- Consulting or testifying as an expert or professional witness
- Other income generating activities as specified in approved Implementing Procedures  
Please describe: \_\_\_\_\_

If the activity in which you are engaging does not appear on the list above, please contact your department administrator for further instructions.

Please note:

- o You should not engage in this activity until you have received official notification that your request has been approved.
- o Approval is for this specific activity only. Any subsequent activities require separate requests and approvals.
- o If this activity is approved, it shall be undertaken with all related income accruing to the Plan.
- o If any of the information provided above changes (e.g., if the earnings estimate is understated), an amendment should be submitted.

Signed:

\_\_\_\_\_

Plan Member

\_\_\_\_\_

Date

CHAIR'S ACTION:

- Request approved
- Request denied

\_\_\_\_\_

Chair's Signature

\_\_\_\_\_

Date