

---

**CHECKLIST FOR CAT I PRIOR APPROVAL REQUEST**

---

**Please remember: A Cat I form must be submitted and approved BEFORE a faculty member engages in the activity. To ensure a timely review and approval, follow this checklist and submit as early as possible.**

---

**Preliminary Consultations (Prior to Submission)**

- Consult with your Department Chair and/or your Department Administrator/CAO.
  - If an international activity is proposed, consult with the [UCI Office of Global Engagement](#) on travel risk management and international agreements.
  - If your Intellectual Property is used in association with the activity, consult with [UCI Beall Applied Innovation](#) for guidance on intellectual property use and protection.
- 

**Length of Activity**

- The Category I Prior Approval form should be submitted **BEFORE** the activity commences.
  - All activities are approved in one-year increments, unless otherwise requested. The maximum time frame approved by UCI Academic Personnel is three years.
  - Estimate the number of hours for the activity. The annual threshold for School of Medicine HCOMP faculty is 168 hours; exceptional approval should be submitted and approved before the activity if the faculty anticipates the thresholds may be exceeded.
- 

**Details on Activity**

- Provide a general description of the organization.
  - Provide a detailed description of the activity and your involvement/role within the organization.
  - Explain how your involvement benefits your research, industry, and public service to yourself and UCI.
  - Estimate the numbers of hours and earnings expected for the activity during the fiscal year.
  - Disclose if any students will be involved in the activity and [submit the student involvement form](#).
- 

**Documentation**

- If the activity is **employment outside of the university**, attach an employment agreement.
  - If the activity involves the **founding of a company**, attach an employment agreement or documentation on the company.
  - If the activity involves your **intellectual property**, attach the intellectual property language.
  - If the activity comes with **stock options**, attach the fully executed stock agreement.
- 

**Resources**

- [OATS Homepage](#)
- [OATS Training Guide for HS Faculty](#)
- [OATS Frequently Asked Questions in UCI School of Medicine](#)
- [Category I Form Guide](#)
- [Attaching a Document in OATS](#)
- [UCOP Policy on Outside Professional Activities \(APM671\)](#)