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)