

UCI Academic Personnel Procedures

APP 1-15, Conflict of Commitment and Outside Activities of Faculty Members.

Explains the University's position on the outside professional activities of faculty and sets out reporting requirements.

GENERAL INFORMATION

1-15. Annual Reporting of Outside Professional Activities

A. BACKGROUND

The University encourages outside activities by faculty that contribute to their respective professions and to the community. However, faculty obligations to the University require that compensated and uncompensated activities must not interfere with a faculty member's full-time commitment to the University, and since some outside activities may raise the appearance of a conflict of commitment, the University has established specific guidelines for managing such activity.


The policy on Conflict of Commitment and Outside Activities of Faculty Members (APM Policy 025) requires all faculty who are members of the Academic Senate to complete an annual report of Category I and II compensated outside professional activities. This policy addresses compensated and uncompensated outside professional and non-professional activities, in an effort to clarify the faculty member's commitment to the University and to set out reporting guidelines.

Time Limits of 39 days are placed on participation in compensated outside activities for full-time faculty members on academic-year appointments. If receiving Summer Salary, the applicable limit is one day per week during the period in which compensation is received. A time limit of 48 days will apply to fiscal year appointments. Part-time faculty time limits will be pro-rated based upon their percentage of time appointments. Exceptions will require Executive Vice Chancellor & Provost approval.

Three Categories of Compensated Outside Professional Activity have been defined; only Category I and II compensated activities must be reported:

- **Category I** activities require prior approval and count toward either the 39 or 48 day limit. Examples would include: assuming a managerial position in a for-profit or not-for-profit business; administering a grant outside the University that would ordinarily be conducted under the auspices of the University; or, establishing a relationship as a salaried employee outside the University.
- **Category II** activities do not require prior approval and count toward either the 39 or 48 day limit. Examples would include: providing expert testimony in legislative or judicial proceedings; providing consulting services; serving on a board of directors; providing a workshop for industry; or engaging in additional compensated University teaching activities.

Highlights:

- [Procedures for reporting](#)
- [Maintaining records](#)
- [Policy Reference](#)
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- **Category III** activities do not require prior approval and do not count toward either the 39 or 48 day limit. Examples would include: acting in an editorial capacity for a professional journal; reviewing journal manuscripts or grant proposals; or serving as an officer in a professional society.

The annual reports ([UCI-AP-3](#)) must be completed, regardless of activity, and forwarded to the Dean or Chair by November 1st of the following academic year.

Academic-Year (9/12) Appointments: The annual reports for faculty on an academic-year appointment (9 months of service paid over twelve pay periods) include activities during service months, as well as summer months during which they earn additional University compensation. There are no restrictions on the number of days of compensated outside professional activity during the summer unless faculty are earning University compensation. The limit on compensated outside professional activities while receiving University compensation during the summer is the equivalent of one day per week during the compensated period.

Fiscal-Year Appointments: The annual reports for faculty with a fiscal year appointment include service throughout the calendar year. There are no restrictions on the number of days of compensated outside professional activity during periods of vacation leave unless the fiscal-year faculty are earning University compensation.

Part-Time Appointments: The annual reports for faculty on a part-time appointment (i.e., those with less than a full-time appointment) are prorated based on their percentage appointment at the University. Compensated outside professional activity conducted during the remaining percentage of time is at the faculty member's discretion.

One of the key provisions of this policy is the requirement that faculty members seek and receive prior approval ([UCI-AP-2](#)) from the Executive Vice Chancellor & Provost whenever activities are likely to raise issues of conflict of commitment (Category I). Examples of such activities would include the following: assuming a managerial position in a for-profit or not-for-profit business; administering a grant outside the University that would ordinarily be conducted under the auspices of the University; or, establishing a relationship as a salaried employee outside the University. Additionally, involving a student in an outside professional activity in which the faculty member has a financial interest requires prior approval ([UCI-AP-2](#)) from the Executive Vice Chancellor & Provost.

This policy applies to all members of the Academic Senate and equivalent ranks. However, the policy does not apply to emeritus faculty members, unless on recall status. This policy does not replace professional and health science school policies, which provide more detailed or specific guidelines on outside activities. Health sciences faculty who are members of a compensation plan may only retain professional income in accordance with the terms of the compensation plan (APM 670).

In turn, chairs or unit heads are to consider these reported activities as a part of their annual review of faculty members for possible recommendations for advancement. Such reporting, therefore, is an integral part of the University's advancement and review process.

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Uncompensated outside professional activities and compensated and uncompensated outside non-professional activities do not require prior approval or annual reporting. However, if the Department Chair, Dean or Executive Vice Chancellor and Provost believes a faculty member is failing to meet his/her University obligations due to these activities or that the activities might create a possible conflict of interest, then the guidelines for compensated outside professional activities may be used as a model to address these conflicts.

See Reference Charts for a summary of the guidelines and reporting requirements for the various kinds of outside activities. ([Reference Chart](#))

B. PROCEDURES

All members of the Academic Senate are required to report annually. Prior Approval is required for all Category I, Compensated Outside Professional Activities and when involving a student in an outside professional activity in which the faculty member has a financial interest. Requests for prior approvals must be submitted and approved by the Executive Vice Chancellor & Provost annually, unless approved for a longer term. No activity may be undertaken without written approval. Annual Reports of all Compensated Category I and II Outside Professional Activities are required to be submitted to the Dean or Chair.

NOTE: Administrators who hold Academic Senate titles, regardless of percent of time, must also report. Academic administrators may also be subject to additional approval and reporting requirements as set forth in the [University's Policies, Guidelines and Letters of Clarification on Outside Professional Activities for Officers and Designated Staff](#).

Responsibilities of the Faculty:

- Faculty members must manage their outside professional and non-professional activities so that they do not interfere with their University obligations, ensuring that their compensated outside activities do not exceed the established time limits.
- Faculty members must request and receive prior approval from the Executive Vice Chancellor & Provost whenever activities are likely to raise issues of conflict of commitment (Category I) or when involving a student in an outside professional activity in which the faculty member has a financial interest. Prior Approval requests should be submitted via the Chair to the Dean on form [UCI-AP-2](#). Forms must be forwarded to the Academic Personnel office for approval by the Executive Vice Chancellor & Provost. Requests should be submitted at least 30 days in advance of expected activity, and no activity may be undertaken without written approval.
- All faculty who are members of the Academic Senate must complete an Annual Report of Category I and II compensated outside professional activities ([UCI-AP-3](#)), regardless of whether they have any activity to report. These reports should include compensated activities during the academic year or fiscal year, as well as summer months during which they earn University compensation. These reports are to be forwarded to the Dean or Chair, by November 1st of the following year.

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Responsibilities of the Dean or Chair:

- Establish and maintain a procedure to request and receive Prior Approval forms ([UCI-AP-2](#)) for all Category I, or student-related outside professional activities. Forward the completed and signed form(s) to the Academic Personnel office at least 30 days in advance of expected activity, for approval by the Executive Vice Chancellor & Provost.
- Establish and maintain a procedure to request and receive an Annual Report of all Category I and II compensated outside professional activities ([UCI-AP-3](#)) from each faculty member no later than November 1st of the following academic year

C. REPORTING PERIODS

Reports are for academic year periods (July 1 to June 30 of each year), and faculty members must submit their reports to the department chair or unit head by November 1st of the following year.

D. RECORDS

The reports will be kept on file in department offices and should be consulted when academic personnel actions are considered. For this reason, copies of the report for applicable years should be included in each faculty member's file for the personnel review.

Under University policy, the annual reports are considered to be non-confidential in nature, and are subject to public inspection.

As part of the implementation of this University policy, the Office of the President regularly requests summaries of campus reports on outside professional activities to ensure that the reporting continues on a regular basis and is specific in content.

References - University Policy

- [APM 025](#), Conflict of Commitment and Outside Activities of Faculty Members
- [APM 670](#), Health Sciences Compensation Plan and Guidelines on Occasional Outside Professional Activities by Health Sciences Compensation Plan Participants