

**PRIOR APPROVAL FORM  
REQUEST TO RETAIN INCOME BEYOND EARNINGS THRESHOLD  
FOR FISCAL YEAR \_\_\_\_\_**

Income earned by Compensation Plan participants from outside professional activities that exceeds the earnings threshold of \$40,000 or 40% of scale 0 base salary, whichever is greater, must be deposited to the Plan. Only the Chancellor or his/her designee has the authority to approve any request which involves a faculty member retaining earnings that exceed the maximum annual outside professional earnings approval threshold set by the UC Provost and Executive Vice President.

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

This is a:

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

The total expected income from this activity: \_\_\_\_\_

Amount of total annual earnings that are expected to exceed the threshold and are going to be retained by the Plan member: \_\_\_\_\_

Justification/circumstances for retention of earnings above earnings threshold:

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:

- If you engage in this activity and your request is not approved, all related income will be due the Plan.
- Approval is for this specific activity only. Retention of income for any subsequent activities requires separate requests and approvals.
- 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 Authorization

\_\_\_\_\_  
Date

\_\_\_\_\_  
Dean's Authorization

\_\_\_\_\_  
Date

VICE CHANCELLOR'S ACTION:

- Request approved
- Request denied

\_\_\_\_\_  
Vice Chancellor's Signature

\_\_\_\_\_  
Date