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February 10, 2016

MEMBERS OF THE REGENTS' COMMITTEE ON COMPENSATION

Attached is the Annual Report on Compensated Outside Professional Activities (OPA Report) for Reporting Period July 1, 2014 through June 30, 2015: Deans and Certain Other Full-Time Faculty Administrators. The compensated outside professional activities listed in the OPA Report were approved by the Chancellors or the Chancellors' designees, for activities conducted by Deans and certain other full-time faculty administrators from July 1, 2014 to June 30, 2015. The University's Provost is required to report annually on these activities. An executive summary is also attached.

The OPA Report comports with the annual year (fiscal year) reporting requirement for all faculty members pursuant to APM – 025, Conflict of Commitment and Outside Activities of Faculty Members, for compensated outside professional activities that are Category I and Category II activities.

For all faculty, including the Deans and Certain Other Full-Time Faculty Administrators covered in this report, compensated outside professional activities are divided into three categories depending on the extent to which the activities may raise conflict-of-commitment issues. Each category has its own prior approval requirements, time limits, and reporting requirements. Category I activities are those activities defined as likely to cause a conflict of commitment; they require prior approval, count toward the Dean's or certain other full-time faculty administrator's maximum allowable days that can be devoted to outside professional activities, and require disclosure in annual reporting. Category II activities are those activities that carry a moderate to low potential for conflict of commitment and do not require prior approval, count toward the Dean's or certain other full-time faculty administrator's maximum allowable days that can be devoted to outside professional activities, and require disclosure in annual reporting. Category III activities are considered integral to all academic disciplines and even if compensated, such activities are allowable and are not subject to reporting requirements.

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As full-time fiscal year appointees, Deans and certain other full-time faculty administrators are permitted a maximum of 48 days devoted annually to outside professional activities. Of these 48 days, a maximum of 12 may be taken without the use of vacation days.

The reported OPA actions for the period July 1, 2014 through June 30, 2015 for Deans and certain other academic administrators contain no exceptions to policy.

Yours very truly,



Janet Napolitano
President

Attachment

cc: All Regents

Annual Report on Compensated Outside Professional Activities for

Reporting Period July 1, 2014 through June 30, 2015:

Deans and Certain Other Full-Time Faculty Administrators

Executive Summary

This report fulfills a Regents' requirement that compensation for outside professional activities (OPA) for deans and certain other full-time faculty administrators be submitted annually. Since these academic administrators are also faculty, the Academic Personnel Program governs the reporting.

Policy

In accordance with Academic Personnel Policy Section 025, Conflict of Commitment and Outside Activities of Faculty Members (APM - 025), chancellors are responsible for managing and reporting annually on outside professional activities that have the potential to interfere with a faculty member's full time professional obligations to the University. APM - 025 applies to all faculty members, including deans and certain other full-time faculty administrators who are not in the Senior Management Group ("SMG").

The purpose of the policy is to provide a framework for ensuring that potential conflicts of commitment are identified and appropriately managed, while providing flexibility for faculty to participate in a wide assortment of professional activities outside of their University responsibilities, often activities that enhance their performance as faculty

members and academic administrators. In addition to requiring faculty to obtain pre-approval before engaging in activities which could cause the greatest potential for conflict of commitment, another key provision of APM - 025 is the requirement that faculty annually report their outside professional activities (“OPA”) to the chancellor. The University is strongly committed to the value of OPA, which helps drive the economic engine of the state, fulfills our commitment to public service, and affords practical experience and knowledge valuable to teaching, research, and creative activity.

History

In November 2009, the Regents approved the deans’ salary structure and transfer of deans from the SMG to the Academic Personnel Program. In accordance with the November 2009 Regents’ Action Item, APM - 240, Deans was issued effective January 1, 2010.¹ In May 2010, the Regents approved a corollary action transferring certain other full-time faculty administrator positions from SMG to the Academic Personnel Program.² Both the deans’ policy (APM - 240) and the certain other full-time faculty administrators’ policy (APM - 246) require annual reporting of all compensated OPA, mirroring the format required by The Regents for the Senior Management Group.

¹ Fulltime academic deans, including those holding acting/interim appointments, are governed by APM - 240, effective January 1, 2010. A dean with a concurrent title of vice chancellor or a dean reporting solely to the chancellor is subject to SMG policies. University Extension deans and Student Affairs deans are not subject to APM - 240. <http://www.ucop.edu/academic-personnel/files/apm/apm-240.pdf>

² See APM - 246. <http://www.ucop.edu/academic-personnel/files/apm/apm-246.pdf>

Current Report

This annual report covers compensated OPA actions that occurred from July 1, 2014 through June 30, 2015. During this period, 312 compensated days of activities occurred for 40 deans and 8 certain other full-time faculty administrators from a total reporting population of 118 deans and 20 certain other full-time faculty administrators. A total of \$822,884 in cash compensation was reported for all ten campuses, ranging as follows:

Number of Deans and Full-Time Faculty Administrators Receiving Compensation	Range (Total Cash Compensation Received by Dean or Full-Time Faculty Administrator for Outside Professional Activities)
11	\$0 to \$999
16	\$1,000-\$4,999
12	\$5,000-\$19,999
3	\$20,000-\$49,999
5	\$50,000-\$99,999
1	Over \$100,000

The median cash compensation for each professional activity was \$1,000 and all 112 compensated activities are within policy. Seventy-four (74) non-profit and thirty (30) for-profit organizations were served. Stocks and stock options were granted to two of the deans, for a total of 88,947 shares, with current values estimated at \$5,063,252 (50,000 shares were reported at no current value).

All activity during the reporting period is within a policy (APM - 025) that encourages professional engagement by faculty administrators. The University is cognizant of the value derived by both faculty and the University from faculty members' engagement in outside professional activities. The University is also mindful of increased responsibilities assumed by faculty appointed to administrative titles. As a condition of employment in the dean or certain other full-time faculty administrator titles and in recognition of the value of outside professional activities, tempered with the need to balance those activities with administrative duties, policy provides that up to 12 University workdays per fiscal year may be used by the administrator to participate in compensated outside professional activities before deducting from the administrator's vacation leave balance. Any days beyond 12 are taken as vacation days, unless work is performed on nights and weekends.

The table below tallies the mix of OPA days used without surrendering vacation days and OPA days for which vacation days were surrendered for the forty-eight deans and full-time faculty administrators reporting OPA this year.

Deans and Certain Other Full-time Faculty Administrators, Compensated Outside Professional Activities July 1, 2014 – June 30, 2015	OPA Days Served (without surrendering vacation)	Vacation Days Surrendered for OPA
Total Non-Profit Activities	243	45
Total For-Profit Activities	69	27
Grand Total	312	72

This is moderate use of available days. The forty-eight (48) deans and certain other full-time faculty administrators reported here were entitled by policy to a total of 576 days during which they could have engaged in outside professional activities without surrender of vacation days. Of those 48, forty-seven (47), or ninety-eight percent (98%) used fewer than 12 days. If all 138 deans and certain other full-time faculty administrators used the 12-day allotment, there would have been 1,656 days during which they engaged in outside professional activities.

Outside professional activities contribute to fulfilling the University's stated missions in teaching, research and public service. Compliance with APM - 025 ensures that any outside professional activities do not conflict with the faculty administrators' primary professional allegiance to the University. In line with these principles, the attached report ensures accountability and transparency for such activities.

Annual Report on Compensated Outside Professional Activities
Reporting Period: July 1, 2014 to June 30, 2015
Deans and Certain Other Full-Time Faculty Administrators

Please Note:

- 1) All faculty may engage in Outside Professional Activities (OPA) in accordance with the Academic Personnel Manual (APM) Section 025 (APM - 025), for a maximum of forty-eight (48) days per year for fiscal year faculty administrators. Additional restrictions governing compensated OPA are placed on faculty appointed to a permanent, acting, or interim dean or faculty administrator title under APM - 240 (dean) or APM - 246 (faculty administrator [100% time]). Faculty appointed under these policies may engage in up to twelve (12) workdays per fiscal year in compensated OPA but are required to deduct accrued vacation leave for any compensated OPA performed in excess of the twelve (12) fiscal year workdays until they reach the forty-eight (48) day limit. APM - 671 was fully implemented in July 2015. Deans who are participating in the Health Sciences Compensation Plan (HSCP) are subject to APM - 671 instead of APM - 025, and will be reported on the 2015-16 OPA report.
- 2) Reporting may reflect a "zero" entry under "Time Served (Days)" category below if the compensated outside professional activity was conducted during non-University workday hours.

Employee Name	Location	Title	Non-Profit=N	Non-Profit=P	Role	Time Served (Days)	Vacation Taken (Days)	Cash Comp (\$)	Deferred Comp (\$)	Description of Deferred Comp	Other Comp (\$)	Description of Other Comp	Strike Price Per Share (\$)	Comments
Adler, Steven														
Hunter College	UCSD	Provost - Warren College	N		Reviewer	2	0	\$500						
Allredge, Brian														
Greene, LLP	UCSF	Vice Provost - Academic Affairs	P		Expert Witness/Consultant	2	0	\$10,800						
Barrett, Kim Elaine														
American Physiological Society	UCSD	Dean - Graduate Studies	N		Instructor	2	0	\$200						
McGraw-Hill			P		Author	1	0	\$0						
National Institutes of Health			N		Panel Member	3	0	\$400						
University of North Carolina			N		Chair	2	0	\$1,500						
University of Pennsylvania			N		Speaker	2	0	\$500						
Bertozzi, Stefano														
Berkeley Inter-American Development Bank	UCB	Dean - School of Public Health	N		Panel Member	1	0	\$1,000						
Impact Evaluation Collaborative			N		Member	1	0	\$0						
National Institutes of Health			N		Panel Member	1	0	\$1,000						
Poder Civico			N		Reviewer	2	0	\$0						
Scientific Advisory Council			N		Reviewer	2	0	\$0						
Wellcome Trust			N		Reviewer	2	0	\$0						
Chemernitsky, Erwin														
	UCI	Dean - School of Law												

Annual Report on Compensated Outside Professional Activities
Reporting Period: July 1, 2014 to June 30, 2015
Deans and Certain Other Full-Time Faculty Administrators

Employee Name	Location	Title	Non-Profit=N	Non-Profit=P	Time Served (Days)	Vacation Taken (Days)	Cash Comp (\$)	Deferred Comp (\$)	Description of Deferred Comp	Other Comp (\$)	Description of Other Comp	Strike Price Per Share (\$)	Comments
BarBri		Lecturer		P	10	10	\$45,000						
Cowhey, Peter													
UCSD													
Information Technology & Innovation Foundation		Presenter	N		2	0	\$1,000						
Sciences Po		Presenter	N		3	0	\$15,000						
Swift International Banking Operations Seminar		Presenter	N		3	0	\$5,000						
U.S. - Korea Innovation Institute		Presenter	N		2	0	\$5,000						
Della Coletta, Cristina													
UCSD													
University of Buffalo		Member	N		2	0	\$1,000						
Dillard, Helene													
UCD													
School of Agriculture & Food Sciences, University of Queensland		Member	N		4	0	\$1,054						
Edleson, Jeffrey													
UCB													
American Bar Association		Consultant	N		1	0	\$225						
Hong Kong University		Reviewer	N		1	0	\$666						
Kaiser Permanente Family Violence Prevention Program		Presenter	N		1	0	\$1,000						
Stanford Packard Hospital		Lecturer	P		1	0	\$500						
University of Minnesota		Presenter	N		2	0	\$100						
Fan, Chi-Fun Cindy													
UCLA													
Hong Kong University		Panel Chair	N		3	0	\$8,474						
Flanagan, John													
UCB													

Annual Report on Compensated Outside Professional Activities
Reporting Period: July 1, 2014 to June 30, 2015
Deans and Certain Other Full-Time Faculty Administrators

Employee Name (Prof'l Svc Provided for)	Location	Non- Profit=N Profit=P	Role	Title	Time Served (Days)	Vacation Taken (Days)	Cash Comp (\$)	Deferred Comp (\$)	Description of Deferred Comp	Other Comp (\$)	Description of Other Comp	Strike Price Per Share (\$)	Comments
Allergan Pharmaceuticals													
		P	Board Member		0	0	\$1,600						
Carl Zeiss Meditec													
		P	Consultant		5	0	\$60,000						
Diagnostic Instruments													
		P	Board Member		1	0	\$1,000						
		P	Speaker		1	0	\$1,000						
		P	Speaker		1	0	\$2,000						
Symposium													
Gaines, Steven													
UCSB													
Dean - Bren School of Environmental Science and Management													
		P	Consultant		6	0	\$18,000						
		N	Reviewer		1	0	\$300						
Gibeling, Jeffery													
UCD													
Vice Provost & Dean - Graduate School													
		N	Reviewer		1	1	\$1,250						
University of Central Florida													
Gilles, J. Keith													
UCB													
Dean - College of Natural Resources													
		N	Chair		25	13	\$2,500						
California State Board of Forestry and Fire Protection													
Gilliam, Jr., Frank													
UCLA													
Dean - Luskin School of Public Affairs													
		N	Chair		6	6	\$12,500						
Blue Shield Foundation of California													
		N	Senior Fellow		4	4	\$2,000						
FrameWorks Institute													
		N	Policy Analyst		1	0	\$52,000						
Los Angeles County Office of Education													
Guglielmo, B. Joseph													
UCSF													
Dean - School of Pharmacy													
		P	Expert Witness/Consultant		1	0	\$3,675						
Merck & Company													
Heilman, Frances													
UCB													
Dean - Division of Mathematical & Physical Sciences, College of Letters & Science													

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Reporting Period: July 1, 2014 to June 30, 2015
Deans and Certain Other Full-Time Faculty Administrators

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Lawrence Berkeley National Laboratory	N	Principal Investigator	N		10	10	\$8,138						10 days of compensation for performing research and leading a research group at UCB for LBNL (paid directly by LBNL)
U.S. Department of Energy	N	Chair	N		1	0	\$500						Honorarium for chairing the Department of Energy Division of Materials Science and Engineering Council Meeting
Herrera-Sobek, Maria													
UCSB Associate Vice Chancellor - Diversity, Equity, and Academic Policy													
Rutgers University	N	Reviewer	N		1	0	\$150						
University of Georgia	N	Reviewer	N		1	0	\$150						
Heymann, Jody													
UCLA Dean - Fleiding School of Public Health													
World Health Organization	N	Consultant	N		4	0	\$2,400						
Jenness, Valerie													
UCI Dean - School of Social Ecology													
King and Markman Law Offices	P	Expert Witness/Consultant	P		3	0	\$5,400						
Lambda Legal	N	Consultant	N		1	0	\$700						
Los Angeles Public Defender's Office	N	Expert Witness/Consultant	N		1	0	\$950						
Johnson, Kevin													
UCD Dean - School of Law													
California Foundation of Commerce & Education	N	Participant	N		1	0	\$235						
Immigration Blog	N	Reviewer	N		20	0	\$300						Activity done on nights and weekends
New York University Press	N	Reviewer	N		1	0	\$300						
Temple University Press	N	Reviewer	N		1	0	\$300						
Kamieniecki, Sheldon													
UCSC Dean - Division of Social Sciences													
Columbia University Press	N	Reviewer	N		2	2	\$150						

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Massachusetts Institute of Technology Press	N	Editor			15	0	\$375						Activity done on nights and weekends
LaFeria, Frank													
Dean - School of Biological Sciences													
Ceresti Health, Inc.	P	Member			1	0	\$0						
Give to Cure	N	Member			5	0	\$0						
GrandPad	P	Member			2	0	\$0						
Lee, Herbert													
Vice Provost - Academic Affairs													
Hong Kong Research Grants Council	N	Reviewer			1	0	\$588						
Leslie, Frances													
Dean - Graduate Division													
National Institute on Drug Abuse (NIDA)	N	Reviewer			2	2	\$400						
UC Center for Accelerated Innovation, National Institute on Drug Abuse (NIDA)	N	Reviewer			1	1	\$200						
Lyons, Richard													
Dean - Haas School of Business													
Matthew Asia Funds	P	Independent Trustee			7	7	\$154,000						
Syntax LLC	P	Consultant			1	1	\$5,000						
Mangun, George													
Dean - Division of Social Sciences, College of Letters and Science													
European Research Council	N	Panel Member			1	0	\$1,500						
Massachusetts Institute of Technology Press	N	Associate Editor			6	0	\$7,000						
National Institutes of Health	N	Panel Member			4	0	\$500						
Martin, Adrienne													
Interim Vice Provost Global Affairs													
University of Buffalo	N	External Evaluator			2	0	\$1,000						

Annual Report on Compensated Outside Professional Activities
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McGinnis, William											
Howard Hughes Medical Institute	UCSD	Dean - Division of Biological Sciences	N	Reviewer	2	0	\$6,000				
Meza, Juan											
American Association for the Advancement of Science	UCM	Dean - School of Natural Sciences	N	Member	2	0	\$0				
National Academy of Sciences			N	Member	3	0	\$0				
National Science Foundation			N	Member	5	0	\$0				
Miller, Tyrus											
UCSD	UCSC	Dean and Vice Provost - Graduate Studies	N	Reviewer	2	0	\$500				
Moran, Rachel											
Paul & Daisy Soros Foundation	UCLA	Dean - School of Law	N	Interviewer	2	0	\$1,000				
University of Denver			N	Lecturer	5	0	\$2,500				
Olian, Judy											
Ares Management	UCLA	Dean - Anderson School of Management	P	Board Member	2	0	\$94,929				Cash compensation for serving as a board member
											3,947 stock shares @ \$16
UCLA Anderson Executive Education			N	Instructor	3	0	\$3,750				Self-supporting degree program
United Therapeutics			P	Board Member	1	0	\$0				35,000 stock shares @ \$142.86
Oliver, Melvin											
Russell Sage Foundation	UCSB	Dean - Division of Social Sciences, College of Letters and Sciences	N	Reviewer	2	0	\$400				

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Sastry, S. Shankar														
C3 Carbon, LLC	UCB	Board Member	P			2	0	\$0					50,000 stock shares @ no current value	
HCL Technologies Limited		Board Member	P			2	0	\$75,000						
Interwest Partners		Board Member	P			1	0	\$15,000						
Schaberg, David														
American Council of Learned Societies' Collaborative Fellowships Selection Committee	UCLA	Reviewer	N			2	0	\$750						
Stanford University		Speaker	N			1	0	\$200						
Smith, Thomas														
National Center for Research in Policy and Practice SRI Inc.	UCR	Member	N			1	0	\$1,000						
U.S. Department of Education Institute of Education Sciences		Reviewer	P			5	0	\$7,613						
		Reviewer	N			5	0	\$400						
Spangenberg, Eric														
Beall Family Foundation	UCI	Consultant	N			2	2	\$20,000						
Emerge Education		Board Member	P			2	2	\$0						
Merage Capital		Consultant	P			3	3	\$50,000						
Millward, Brown, Vermeer		Consultant	P			1	1	\$25,000						
Stern, Hal														
American Statistical Association	UCI	Consultant	N			2	2	\$700						

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University of Pittsburgh	N	Consultant			2	2	\$1,000						
Suarez-Orozco, Marcelo	UCLA	Dean - Graduate School of Education & Informational Studies											
California State University, Northridge	N	Speaker			1	0	\$1,500						
Claremont McKenna College	N	Speaker			1	0	\$4,000						
Duke University	N	Speaker			1	0	\$1,000						
Stanford University	N	Speaker			1	0	\$2,000						
Sullivan, Robert	UCSD	Dean - Rady School of Management											
American Assets Trust	P	Director			4	3	\$3,000						
CUBIC	P	Director			3	0	\$8,000						
Thomas, Carolyn	UCD	Vice Provost & Dean - Undergraduate Education											
Humanities Without Walls	N	Reviewer			2	0	\$700						
Van Den Abeele, Georges	UCI	Dean - School of Humanities											
Gulf University of Science and Technology (Kuwait)	N	Consultant			3	0	\$1,500						
Vlahov, David	UCSF	Dean - School of Nursing											
Journal of Urban Health	N	Editor			9	0	\$25,000						
Wasserman, Edward	UCB	Dean - School of Journalism											
McClatchy Newspapers	N	Writer			0	0	\$2,600						Activity done on nights and weekends
St. Martin's Press	N	Writer			0	0	\$3,000						Activity done on nights and weekends
Yates, Marylynn	UCR	Dean - College of Natural and Agricultural Sciences											
U.S. Environmental Protection Agency	N	Speaker			5	0	\$1,288						
Young, Heather	UCD	Dean - Betty Irene Moore School of Nursing											

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Deans and Certain Other Full-Time Faculty Administrators

Employee Name (Name of Org Provided for)	Location Non-Profit=N Profit=P	Role	Title Time Served (Days)	Vacation Taken (Days)	Cash Comp (\$)	Deferred Comp (\$)	Description of Deferred Comp	Other Comp (\$)	Description of Other Comp	Strike Price Per Share (\$)	Comments
AARP	N	Speaker	2	0	\$1,575						
California Institute for Nursing and Healthcare	N	Speaker	1	0	\$500						
National Hartford Center for Geriatric Nursing Excellence (NHGNE)	N	Speaker	1	0	\$500						
Robert Wood Johnson Foundation	N	Speaker	1	0	\$1,000						
Robert Wood Johnson Foundation	N	Mentor	2	0	\$1,000						
The John A. Hartford Foundation, Inc.	N	Consultant	1	0	\$2,000						
The John A. Hartford Foundation, Inc.	N	Speaker	1	0	\$1,000						
University of Little Rock, AR	N	Speaker	2	0	\$3,000						
University of Utah	N	Speaker	1	0	\$2,000						
Yu, Paul		UCSD	Provost - Revelle College								
Research Grants Council Hong Kong	N	Panel Chair	9	0	\$2,000						
Univ Grants Council Hong Kong	N	Panel Member	3	0	\$1,000						