

**Annual Report on Compensated Outside Professional Activities
for Reporting Period July 1, 2019 through June 30, 2020
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 and not members of the Senior Management Group (SMG), the Academic Personnel Program governs the reporting.

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, 2010¹. In May 2010, the Regents approved a corollary action transferring a subset of full-time faculty administrator positions, henceforth referred to as "Certain Other Full-Time Faculty Administrator" positions, from SMG to the Academic Personnel Program under APM-246, Faculty Administrators (100% Time)². As part of these approvals, it was required that a report on OPA for the transferred population (deans and certain other full-time faculty administrators) be submitted annually to the Regents³.

Policy

In accordance with Academic Personnel Policy Section 025, Conflict of Commitment and Outside Activities of Faculty Members (APM-025) and Section 671, Conflict of Commitment and Outside Activities of Health Sciences Compensation Plan Participants (APM-671), 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. Either APM-025 or APM-671 applies to all faculty members who are not SMG members, including deans and certain other full-time faculty administrators reported here. Under these policies, faculty appointed to a full-time academic-year appointment may engage in OPA for up to 39 days per year; faculty appointed to a full-time fiscal-year appointment may participate in OPA for a maximum of 48 days per year. In addition, faculty may engage in OPA that are within the course and scope of University employment and are unlikely to raise conflict of commitment issues with no maximum so long as such activities do not interfere with a faculty member's obligations to the University.

¹ Full-time academic deans, including those holding acting/interim appointments, are governed by APM-240, Deans, 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, <https://www.ucop.edu/academic-personnel-programs/files/apm/apm-240.pdf>

² APM-246, Faculty Administrators (100% Time): <https://www.ucop.edu/academic-personnel-programs/files/apm/apm-246.pdf>

³ See Schedule of Reports to the Regents: <https://regents.universityofcalifornia.edu/documents/pdf/schedule-of-reports.pdf>

The purpose of these policies 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 administrators. In addition to requiring faculty to obtain pre-approval before engaging in activities that are most likely to create a conflict of commitment, another key provision of APM-025 and APM-671 is the requirement that faculty annually report OPA to the chancellor unless the OPA is within the course and scope of University employment and therefore unlikely to raise conflict of commitment issues. The University is strongly committed to the value of OPA; such activities help drive the economic engine of the state, fulfill our commitment to public service, and provide practical experience and knowledge valuable to teaching, research, and creative activity.

The University is cognizant of the value derived by both faculty and the University from faculty members' engagement in OPA. The University is also mindful of increased responsibilities assumed by faculty appointed to administrative titles. As a condition of employment in the dean or full-time faculty administrator titles and in recognition of the value of OPA, tempered with the need to balance those activities with administrative duties, the following restrictions apply (APM-240 and APM-246):

- Compensated board service is limited to no more than three for-profit boards that are not entities of the University of California and for which there are governance responsibilities;
- All compensated OPA, including compensated consulting, must be reported annually to the chancellor;
- Fiscal-year deans and full-time faculty administrators may engage in a maximum of 48 calendar days of compensated OPA per fiscal year of which up to 12 University workdays may be used before deducting from vacation leave balances. Any days beyond 12 must be taken as vacation days, unless work is performed during non-University hours.

Current Report

This annual report covers compensated OPA that occurred from July 1, 2019 through June 30, 2020. A total population of 125 administrators (110 deans and 15 certain other full-time faculty administrators) were eligible to report. Of this population, 37 administrators (32 deans and five other faculty administrators), or 30 percent, reported compensated OPA. A total of 63 compensated activities totaling \$1,010,158 in cash compensation that occurred over 210 work days were reported.

All 63 compensated activities during the reporting period are reported by the campuses to be within policy (APM-025, APM-671, APM-240, and APM-246). This includes OPA earnings thresholds established under APM-671 for administrators with concurrent appointments in the Health Sciences Compensation Plan.

**Deans and Certain Other Full-Time Faculty Administrators
Grouped By Compensation Range**

Number of Deans and Certain Other Full-Time Faculty Administrators Receiving Compensation	Range (Total Cash Compensation Received by Deans or Certain Other Full-Time Faculty Administrators for Outside Professional Activities) ⁴
4	\$0 to \$999
5	\$1,000-\$4,999
12	\$5,000-\$19,999
10	\$20,000-\$49,999
4	\$50,000-\$99,999
2	Over \$100,000

The median cash compensation for each professional activity was \$4,100. Thirty-six (36) non-profit and twenty-seven (27) for-profit organizations were served. Stocks, stock options, and restricted stock units were granted to three individuals.

The table below tallies the OPA days used without surrendering vacation days and OPA days for which vacation days were surrendered for the 37 deans and certain other full-time faculty administrators reporting compensated OPA for 2019-20. If the compensated OPA was conducted during non-University hours, reporting of days served would be zero. Partial days reported were rounded up to full days.

**Deans and Certain Other Full-Time Faculty Administrators
Non-Profit versus For-Profit Activities**

Type of Business	OPA Days Served (without surrendering vacation)	Vacation Days Surrendered for OPA
Total Non-Profit	131	5
Total For-Profit	79	15
Grand Total	210	20

This is moderate use of available days. The 37 deans and faculty administrators reported here were entitled by policy to a total of 444 days during which they could have engaged in compensated OPA without surrendering vacation days. Of those 37 deans and faculty administrators, 33 (89 percent) used fewer than 12 workdays and therefore were not required to surrender vacation days. If all 125 deans and other faculty administrators used the 12-day allotment, there would have been 1,500 workdays during which they could have engaged in OPA.

⁴ For deans and certain faculty administrators with concurrent appointments in the Health Sciences Compensation Plan, OPA earnings thresholds established under APM-671 apply.

Outside professional activities contribute to the University's stated missions of teaching, research, and public service. Compliance with APM-025, APM-671, APM-240, and APM-246 ensures that such OPA do not conflict with the faculty administrators' primary professional allegiance and commitment to the University. In line with these principles, the attached report ensures accountability and transparency for such outside activities.

Annual Report on Compensated Outside Professional Activities
Reporting Period: July 1, 2019 to June 30, 2020
Deans and Certain Other Full-Time Faculty Administrators

Please Note:

- 1) All faculty may engage in outside professional activities (OPA) in accordance with Academic Personnel Manual Section 025 (APM-025) or Section 671 (APM-671). Faculty appointed to a full-time academic-year appointment may engage in OPA for up to 39 days per academic year; faculty appointed to a full-time fiscal-year appointment may participate in OPA for a maximum of 48 days per fiscal year. Faculty may engage in OPA that are within the course and scope of University employment and are unlikely to raise conflict of commitment issues with no maximum so long as such activities do not interfere with a faculty member's obligations to the University. Additional restrictions governing compensated OPA are placed on faculty appointed to a career, acting, or interim dean or faculty administrator title under APM-240, Deans or APM-246, Faculty Administrator (100% Time). Faculty appointed to full-time administrative positions under these policies may engage in up to 12 workdays per fiscal year of compensated OPA before using vacation leave, but are required to deduct accrued vacation leave for any compensated OPA performed in excess of the 12 workdays until they reach the 48 day limit for fiscal-year appointees. Academic-year appointees do not accrue vacation leave and therefore are limited to 39 days per academic year without use of vacation leave.
- 2) Deans and faculty administrators may serve on no more than three for-profit external boards (not entities of the University of California) for which they receive compensation and for which they have governance responsibilities (APM 240-20 (c)(1); APM 246-20 (c)(1)).
- 3) Full-time deans and faculty administrators are subject to APM-025 with the exception that full-time deans and faculty administrators who participate in the Health Sciences Compensation Plan (APM-670) are subject to APM-671.
- 4) Reporting may reflect a "zero" entry under "Time Served (Days)" category below if the compensated outside professional activity was conducted during non-University hours.

Annual Report on Compensated Outside Professional Activities
Reporting Period: July 1, 2019 to June 30, 2020
Deans and Certain Other Full-Time Faculty Administrators

Employee Name	Location	Title	Name of Org (Prof'l Svc Provided for)	Non-Profit=N 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
ALLDREDGE, BRIAN K.	UCSF	VICE PROVOST, ACADEMIC AFFAIRS	Green, Law Firm	P	Expert Witness	1	0	\$1,064						Document review
ALVAREZ-COHEN, LISA	UCB	VICE PROVOST, ACADEMIC PLANNING	Tongji University	N	Researcher/advisor	9	0	\$5,700						Advised on 3+1+1 program with UC Berkeley, previous member of China 1000 Talents Foreign Experts
BERNARDO, ANTONIO E.	UCLA	DEAN, ANDERSON GRADUATE SCHOOL OF MANAGEMENT	Utah Tax Commission	N	Expert or Professional witness	1	1	\$22,500						
BOTCHAN, MICHAEL	UCB	DEAN, DIVISION OF BIOLOGICAL SCIENCES	Howard Hughes Medical Institute	N	Board Member	4	0	\$45,000						Medical advisory board member reviewed investigators for renewal and helped with the selection of new investigators.
BOTCHAN, MICHAEL	UCB	DEAN, DIVISION OF BIOLOGICAL SCIENCES	eLife	N	Reviewing Editor	6	0	\$2,000						eLife is an online open access journal dedicated to Life Sciences.
BOTCHAN, MICHAEL	UCB	DEAN, DIVISION OF BIOLOGICAL SCIENCES	Biogen	P	Outside consultant/expert witness	3	1	\$21,250						
BRASHEAR, ALLISON	UCD	DEAN, SCHOOL OF MEDICINE	American Board of Psychiatry and Neurology	N	Board Member	7	0	\$21,000						
CARTER, PRUDENCE	UCB	DEAN, SCHOOL OF EDUCATION	William T. Grant Foundation	N	Board Member	4	0	\$5,500						
CARTER, PRUDENCE	UCB	DEAN, SCHOOL OF EDUCATION	The Spencer Foundation	N	Co-author	1	0	\$15,000						Shared Initiative White Paper
CARTER, PRUDENCE	UCB	DEAN, SCHOOL OF EDUCATION	The Spencer Foundation	N	Guest Speaker	1	0	\$1,000						
CHAYES, JENNIFER T.	UCB	DEAN, SCHOOL OF INFORMATION AND ASSOCIATE PROVOST, COMPUTING, DATA SCIENCES AND SOCIETY	Howard Hughes Medical Institute	N	Board Member	2	0	\$8,000						Janelia Research Campus Advisory Board
CHEMERINSKY, ERWIN	UCB	DEAN, SCHOOL OF LAW	Barbri	P	Lecturer	6	6	\$40,000						
CLARK, DOUGLAS	UCB	DEAN, COLLEGE OF CHEMISTRY	Finnegan, Henderson, Farabow, Garrett & Dunner, LLP	P	Expert witness	8	0	\$33,125						Fermentation and dairy products cases on behalf of Danisco
CLARK, DOUGLAS	UCB	DEAN, COLLEGE OF CHEMISTRY	Cooney, LLP	P	Expert witness	5	2	\$19,500						Therapeutics case on behalf of Harpoon Therapeutics
CROOMS, LISA ORDONEZ	UCSD	DEAN, RADY SCHOOL OF MANAGEMENT	CA Attorney General	N	Expert Witness	10	0	\$31,200						
FAN, CHI-FUN CINDY	UCLA	VICE PROVOST, INTERNATIONAL INSTITUTE	Elsevier	P	Author	0	0	\$100						Authoring chapter for International Encyclopedia of Human Geography, 2nd Edition.
FAN, CHI-FUN CINDY	UCLA	VICE PROVOST, INTERNATIONAL INSTITUTE	Hong Kong University	N	Review Panels Chair	4	0	\$13,376						Organized review panels, reviewed grant proposals.
FLANAGAN, JOHN	UCB	DEAN, SCHOOL OF OPTOMETRY	Carl Zeiss Meditec	P	Consultant	5	0	\$22,500						
GAINES, STEVEN	UCSB	DEAN, SCHOOL OF ENVIRONMENTAL SCIENCE AND MANAGEMENT	Ocean Analytics LLC	P	Consultant	5	0	\$26,000						
GARFIN, STEVEN	UCSD	INTERIM DEAN, SCHOOL OF MEDICINE	SI Bone	P	Consultant	2	0	\$800						
GARFIN, STEVEN	UCSD	INTERIM DEAN, SCHOOL OF MEDICINE	Baxter Healthcare	P	Consultant	0	0	\$50						
GARFIN, STEVEN	UCSD	INTERIM DEAN, SCHOOL OF MEDICINE	Zimmer Biomet Holdings	P	Consultant	0	0	\$25						
GARFIN, STEVEN	UCSD	INTERIM DEAN, SCHOOL OF MEDICINE	Depuy-Synthes Sales	P	Consultant	0	0	\$70						
GARFIN, STEVEN	UCSD	INTERIM DEAN, SCHOOL OF MEDICINE	Alphatec Spiine, Inc	P	Consultant	1	0	\$450						
GARFIN, STEVEN	UCSD	INTERIM DEAN, SCHOOL OF MEDICINE	Orthofix Medical	P	Consultant	3	0	\$0					\$4,329	This was a buyout by Orthofix of Spinal Kinetics.
GARFIN, STEVEN	UCSD	INTERIM DEAN, SCHOOL OF MEDICINE	LifeWalker	P	Board Member	3	0	\$0					\$4,355	Stock options
GARFIN, STEVEN	UCSD	INTERIM DEAN, SCHOOL OF MEDICINE	PrinterPrezz	P	Board Member	2	0	\$0					\$1,500	Stock options
GARFIN, STEVEN	UCSD	INTERIM DEAN, SCHOOL OF MEDICINE	DiscitisDx, INC	P	Consultant	1	0	\$0					\$100	Stock options
GARFIN, STEVEN	UCSD	INTERIM DEAN, SCHOOL OF MEDICINE	Seaspine Orthopedic Corporation	P	Consultant	6	6	\$4,500						
GARRELL, ROBIN L.	UCLA	VICE PROVOST AND DEAN, GRADUATE DIVISION	Cornell University	N	Reviewer	2	0	\$2,500						Review team for the Graduate School
GARRELL, ROBIN L.	UCLA	VICE PROVOST AND DEAN, GRADUATE DIVISION	Hong Kong Government: H.K. PhD Fellowship Scheme	N	Reviewer	2	0	\$4,200						Review panel for graduate fellowships
GILLISS, CATHERINE	UCSF	DEAN, SCHOOL OF NURSING	CHIMERIX	P	Board Member	6	0	\$56,750						
HALE, CHARLES R.	UCSB	DEAN, DIVISION OF SOCIAL SCIENCES	Oaxaca/California film consultant	N	Consultant	3	0	\$1,000						
HAYES, GILLIAN R.	UCI	VICE PROVOST FOR GRADUATE EDUCATION AND DEAN, GRADUATE SCHOOL	UCI	N	Program Instructor	10	0	\$15,000						Instructor in MHCID and taught 280-Intro to Human-Computer Interaction and Design in Fall 19 and co-taught 286-Innovations in HCI and Design in Summer 2020.
HELLMAN, FRANCES	UCB	DEAN, DIVISION OF MATHEMATICAL AND PHYSICAL SCIENCES	Lawrence Berkeley National Laboratory	N	Researcher	2	2	\$2,217						Performed research; lead research group.
HUNT, DARNELL M.	UCLA	DEAN, DIVISION OF SOCIAL SCIENCES	DreamWorks Animation - Film and Television	P	Consultant	5	0	\$12,000						
HUNT, DARNELL M.	UCLA	DEAN, DIVISION OF SOCIAL SCIENCES	Writers Guild of America West	N	Consultant	5	0	\$10,500						
KASS, PHILIP H.	UCD	VICE PROVOST FOR ACADEMIC AFFAIRS	RTI International	N	Reviewer	6	0	\$6,000						Reviewed a federal grant
LEE, HERBERT, III	UCSC	VICE PROVOST, ACADEMIC AFFAIRS	Hong Kong Research Grants Council	N	Consultant	1	0	\$550						

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LIU, TSU-JAE KING	UCB	DEAN, COLLEGE OF ENGINEERING	Intel Corporation	P	Member, Board of Directors	8	0	\$120,000	\$220,000				Restricted stock units (RSUs) subject to time-based vesting.	RSUs granted on May 14, 2020 with a target value on the grant date of approximately \$220,000, consisting of the following: (1) 3,721 time-based RSUs; these RSUs vest 100% in one year on May 14, 2021. These RSUs do not have any strike price. In addition, Intel made a matching charitable contribution on behalf of Dr. Liu in the sum of \$10,000.
MARTIN, KELSEY C.	UCLA	DEAN, SCHOOL OF MEDICINE	UCSF	N	Presenter	1	0	\$2,000						
MARTIN, KELSEY C.	UCLA	DEAN, SCHOOL OF MEDICINE	McKnight Foundation	N	Board Member	2	0	\$5,000						
MARTIN, KELSEY C.	UCLA	DEAN, SCHOOL OF MEDICINE	Columbia University	N	Presenter	2	0	\$3,000						
MARTIN, KELSEY C.	UCLA	DEAN, SCHOOL OF MEDICINE	Burroughs Wellcome Fund	N	Board Member	9	2	\$10,000						
MURTHY, JAYATHI	UCLA	DEAN, HENRY SAMUELI SCHOOL OF ENGINEERING AND APPLIED SCIENCE	The Ohio State University	N	Presenter	2	0	\$1,000						Presenter at a seminar.
MURTHY, JAYATHI	UCLA	DEAN, HENRY SAMUELI SCHOOL OF ENGINEERING AND APPLIED SCIENCE	INFOSYS Foundation	N	Member of Jury	3	0	\$10,000						Service on jury of INFOSYS Prize.
PISANO, ALBERT P.	UCSD	DEAN, JACOBS SCHOOL OF ENGINEERING	Saudi Aramco Exploration and Production Engineering Center (EXPEC) / Advanced Research Center (ARC)	P	Reviewer	2	0	\$15,000						Aramco EXPEC/ARC Reviewer
POGLIANO, KIT J.	UCSD	DEAN, DIVISION OF BIOLOGICAL SCIENCES	Linnaeus Biosciences, Inc.	P	Founder/Board Member	0	0	\$0		Equity interest in company			No market valuation	The company is small and represently has no market valuation.
RODRIGUEZ, LOUIE F.	UCR	INTERIM DEAN, GRADUATE SCHOOL OF EDUCATION	California State University, San Marcos	N	Presenter	1	0	\$750						Delivered professional development session to a group of faculty at California State University San Marcos.
SCHABERG, DAVID C.	UCLA	DEAN, DIVISION OF HUMANITIES	University of Colorado Boulder	N	Keynote Lecturer	2	0	\$450						
SEGURA, GARY M.	UCLA	DEAN, SCHOOL OF PUBLIC AFFAIRS	Pacific Market Research DBA Latino Decisions		Co-founder/Co-owner of Division/Consultant	3	0	\$240,000						Political consultancy including research and polling. Time dedicated to activity occurred largely at night and on weekends.
SORK, VICTORIA	UCLA	DEAN, DIVISION OF LIFE SCIENCE	Molecular Ecology Editorial Board	N	Editor	0	0	\$6,250						Reviewing manuscripts, acting in an editorial capacity
STAMOS, MICHAEL J.	UCI	DEAN, SCHOOL OF MEDICINE	Clinkenbeard, Ramsey, Spackman & Clark, LLP	P	Med/Legal Expert - Biggs vs. St. Johns Regional	0	0	\$800						
STAMOS, MICHAEL J.	UCI	DEAN, SCHOOL OF MEDICINE	Kaiser Permanente/Kaiser Foundation Health Plan Inc.	P	Med/Legal Expert - Aguilar vs. Kaiser	0	0	\$1,548						
STAMOS, MICHAEL J.	UCI	DEAN, SCHOOL OF MEDICINE	Clinkenbeard, Ramsey, Spackman & Clark, LLP	P	Med/Legal Expert - Wideman vs. Conway	0	0	\$1,200						
STREMPPEL, EILEEN L.	UCLA	DEAN, HERB ALPERT SCHOOL OF MUSIC	University of Texas at Austin	N	Reviewer	2	0	\$2,500						Decanal review
STREMPPEL, EILEEN L.	UCLA	DEAN, HERB ALPERT SCHOOL OF MUSIC	Boston University	N	Keynote Speaker	1	0	\$1,500						Transfer Student Conference
SUAREZ-OROZCO, MARCELO	UCLA	DEAN, GRADUATE SCHOOL OF EDUCATION AND INFORMATION STUDIES	Harvard University	N	Presenter	3	0	\$1,000						
SUAREZ-OROZCO, MARCELO	UCLA	DEAN, GRADUATE SCHOOL OF EDUCATION AND INFORMATION STUDIES	USC Price School of Public Policy	N	Presenter	5	0	\$3,000						
SUAREZ-OROZCO, MARCELO	UCLA	DEAN, GRADUATE SCHOOL OF EDUCATION AND INFORMATION STUDIES	National Association of Diversity Officers in Higher Education	N	Presenter	1	0	\$4,000						
UHRICH, KATHRYN E.	UCR	DEAN, COLLEGE OF NATURAL AND AGRICULTURAL SCIENCES	Journal of Bioactive & Compatible Polymers	P	Editor-in-Chief	7	0	\$16,000						Sage Publications
WARBURTON, EDWARD C.	UCSC	INTERIM DEAN, DIVISION OF ARTS	Teachers College, Columbia University	N	Senior Fellow	10	0	\$39,900						Fellow at the Arnhold Institute for Dance Education Research, Policy, and Leadership at Teachers College, Columbia University.
WASHINGTON, GREGORY N.	UCI	DEAN, SCHOOL OF ENGINEERING	Peking University	N	Instructor	2	0	\$1,500						
WASHINGTON, GREGORY N.	UCI	DEAN, SCHOOL OF ENGINEERING	Teaching Institute for Excellence in STEM (TIES)	N	Consultant	2	0	\$73,333						