

Office of the President

TO MEMBERS OF THE GOVERNANCE AND COMPENSATION COMMITTEE:

DISCUSSION ITEM

For Meeting of September 14, 2016

UPDATE ON SYSTEMWIDE IMPLEMENTATION OF THE REVISED POLICY ON OUTSIDE PROFESSIONAL ACTIVITIES AND REPORT ON 2015 COMPENSATED OUTSIDE PROFESSIONAL ACTIVITIES: INCUMBENTS IN SENIOR MANAGEMENT POSITIONS

Update on Systemwide Implementation of Revised Policy on Outside Professional Activities

Following the Regents' approval of the proposed policy revision in July, the Office of the President began communications, training, and implementation of the new policy. The following actions have been taken:

- A communication will be sent to the State legislature summarizing the changes to the policy on outside professional activities (OPA), meeting the University's obligations under the 2016 Budget Act to provide an update by January 1, 2017.
- The charter and construct of the Independent Review Committee has been created. This Committee will include staff knowledgeable of the OPA policy, such as senior campus leadership, ethics and compliance representatives, campus and OP legal counsel, human resources staff and staff from Audit and Compliance. In addition, the Vice President of Systemwide Human Resources and the Executive Director of Systemwide Compensation Programs and Strategy will provide facilitation and administrative/operational support to the Committee.
- Detailed administrative guidelines, procedures and workflows have been established to define the process to help ensure that SMG members understand the policy and documentation requirements as well as reporting obligations.
- Communications and training sessions are planned to ensure that SMG members understand the new policy requirements. In addition, training and communications are planned for those administrators who are responsible for advising SMG members on policy interpretation and who have responsibility for collection and submittal of documentation requesting approval of activities.

Annual Report on 2015 Compensated Outside Professional Activities

Each year, the University produces and provides to the Regents a report displaying details of the previous year's compensated outside professional activities for all members of the Senior Management Group. This year, consistent with requirements contained in the 2016 Budget Act, the report on 2015 compensated activities is attached.

As stated in the Senior Management Group Outside Professional Activities policy (Regents Policy 7707):

“Considerable benefit accrues to the University from Senior Management Group (SMG) members’ association with external educational and research institutions, not-for-profit professional associations, federal, state and local government offices and private sector organizations. Such associations foster a greater understanding of the University of California and its value as a preeminent provider of education, research, public service, and health care. Such associations also may provide a stimulus for economic development and enhanced economic competitiveness.

While outside professional activities performed by SMG members are often mutually beneficial to the University and its members themselves, and are therefore encouraged, the primary commitment of University of California SMG members must be to the fulfillment of their regular University responsibilities.”

This report covers compensated service performed in calendar year 2015. The policy in effect during this time had the following limitations and requirements, as described in section III.B.3.a (the policy governing outside professional activities for 2015 did not incorporate the latest revisions that the Regents adopted in July 2016):

- i. An SMG member may serve simultaneously on up to three for-profit boards that are not entities of the University of California for which s/he receives compensation and for which s/he has governance responsibilities.
- ii. An SMG member is required to use his/her personal time to engage in compensated OPA, by either performing such activities outside his/her usual work hours or debiting accrued vacation time consistent with applicable leave policy.
- iii. An SMG member who is appointed at 100 percent time shall not receive additional compensation for any work or services from an entity managed exclusively by the University, regardless of source or type of payment, with the exception of University Extension.

The attached report reflects the individually certified declarations of every member of the SMG regarding their compensated OPA that occurred in calendar year 2015. SMG members who left the University before January 1, 2016 and those who served in SMG positions in an acting capacity are not included in this report. Compensated OPA that occurred before 2015, or before the SMG member’s appointment to their SMG position, are not included in the report.

Following the individual certification by SMG members, the chancellors, the Lawrence Berkeley National Laboratory Director, and the division and department heads of the Office of the

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President certified their divisional reports as to the inclusion of all SMG members meeting the aforementioned criteria.

(Attachment)

Outside Professional Activity Final Report
Senior Management Group (SMG) Compensated Activities
Reporting Year: January 1, 2015 to December 31, 2015
Location: ALL

Employee Name		Location	Working Title												
Name of Org (Prof'l Svc Provided For)	Non- Profit=N Profit=P	Role	Total Time Served (Hrs)*	Time During Bus Hours (Hrs)	Time Outside Bus Hours (Hrs)	Vacation Debited (Hrs)	Cash Comp (\$)	Deferred Comp (\$)	Description Deferred Comp	Other Comp (\$)	Description Of Other Comp	Grant Type	# Granted	Strike Price Per Share(\$)	Comments
ADLER, JOSHUA S			UCSF			Executive Vice President-Physician Services/Vice Dean-Clinical Affairs									
Hill Physicians Board	P	Board Member	17	8	9	8	\$3,200								
ALIVISATOS, A PAUL			LBNL			Laboratory Director									
American Chemical Society	N	Journal Editor	108	12	96	12	\$50,000								
Nanosys	P	Consultant	46	46	0	46	\$60,000				Stock				No new stock shares granted this year, but retains common shares from previous years.
Samsung Electronics Co., Ltd.	P	Advisor	72	16	56	16	\$30,000								
Zhejiang University	N	Invited Speaker	20	10	10	10	\$3,000								Inadvertently omitted from pre-approval request.
BAGGETT, MARGARITA M			UCSD			Chief Clinical and Support Services Officer									
Nurse.com	N	Advisory Board Member	4	0	4	0	\$250								Time served occurred on weekend
American Nurses Credentialing Center	N	Intermittent Employee	16	16	0	16	\$3,670								
BRENNER, DAVID ALLEN			UCSD			Vice Chancellor - Health Sciences and Dean, School of Medicine									
Merck	P	Scientific Consultant	48	48	0	48	\$8,775								
University of Pennsylvania	N	External Advisory	24	24	0	24	\$1,000								

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		Board Member for P30 Center													
D'ANIERI,PAUL			UCR			Provost and Executive Vice Chancellor									
US Government	N	Consultant	10	0	10	0	\$5,000								
US Government	N	Consultant	12	0	12	0	\$1,650								
DIRKS,NICHOLAS			UCB			Chancellor									
Tanner Foundation Board / Lectures on Human Values	N	Board Member	17	8	9	0	\$4,000								Chancellor's participation garners the campus \$54,000; 8 hours served on this OPA during normal business hours offset by equivalent number of hours served in evenings or on weekends on campus business.
ECONOMOU,JAMES S			UCLA			Former Vice Chancellor - Research									
Kite Pharma	P	Scientific Advisory Board	192	192	0	192						Multiple Grant Types	210,000		200,000 of stocks and 10,000 of options
FEDEROFF,HOWARD J			UCI			Vice Chancellor for Health Affairs and Dean for School of Medicine									
University KOL	N	Speaker	4	0	4	0	\$1,500								
Van Andel Research	N	Scientific	48	0	48	0	\$5,000								

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Institute (VARI)		Advisory Board Member													
Ovid Therapeutics Inc.	P	Scientific Advisor	4	0	4	0	\$65,000				Stock Options	100,000		Stock options - common stock. Vesting 25% per year, beginning November 2014. Price will be fair market value of common stock.	
MedGenesis Therapeutix Inc.	P	Scientific Advisor	4	0	4	0					Founders' Stock	500,000		Strike price 50 Canadian dollars, which is estimated to be 39 US dollars (or \$.000078 per share).	
FORD, JOHN B			UCSF	Vice Chancellor-University Development/Alumni Relations											
Bill and Susan Oberndorf Foundation	N	Consultant	40	5	35	5	\$100,000								
FREISCHLAG, JULIE ANN			UCD	Vice Chancellor-Human Health Sciences and Dean-School of Medicine											
Veteran's Affairs	N	Physician	240	0	240	0	\$32,000								
GOLDBERG, CAROLE EUDICE			UCLA	Vice Chancellor - Academic Personnel											
United Auburn Indian Community	N	Consultant	24	24	0	24	\$7,500								
Pechanga Band of Luiseno Indians	N	Consultant	16	16	0	16	\$4,115								

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Hualapai Court	N	Justice	3	0	3	0	\$750								
Pacific Forest & Watershed Lands Stewardship Cncl	N	Consultant	2	0	2	0	\$900								
LexisNexis Law School Advisory Board	P	Consultant	30	26	4	26	\$12,500								
Fernando Tataviam Band of Mission Indians	N	Consultant	80	0	80	0	\$16,278								
HEXTER,RALPH J			UCD			Provost and Executive Vice Chancellor									
Trinity College	N	Review Panel Co-Chair	48	24	24	24	\$1,250								The compensation was not received until March 2016, and is cited in Euros
JONES,KENNETH M			UCSF			Senior Vice President-UCSF Health Affiliates									
TDIC Insurance Solutions	P	Board Member	48	48	0	48	\$6,000								
JUAREZ,STEVE			UCOP			Associate Vice President & Director, State Government Relations									
Natl Assoc of Counties Financial Svs Corp.	N	Board Member	32	16	16	16	\$15,000								
KANG,JERRY			UCLA			Vice Chancellor -- Equity, Diversity and Inclusion									
Bay Area Asian American General Counsels/APABA-SV	N	Consultant	3	0	3	0	\$3,000								APABA-SV (Asian Pacific American Bar Association of Silicon Valley)
Bryan Cave LLP	P	Consultant	7	5	2	5	\$10,000								

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Fenwick & West LLP	P	Consultant	13	8	5	8	\$8,000									
Foster Pepper PLLC	P	Consultant	13	8	5	8	\$7,500									
Gordon Rees Scully Mansukhani LLP	P	Consultant	10	0	10	0	\$10,000									
Honeywell	P	Consultant	17	8	9	8	\$10,000									
Kirkland & Ellis LLP	P	Consultant	7	3	4	3	\$11,000									
Kramer Levin Naftalis & Frankel LLP	P	Consultant	12	7	5	7	\$12,000									
Manett Phelps & Phillips LLP	P	Consultant	2	2	0	2	\$5,000									
Philadelphia Diversity Law Group	P	Consultant	14	4	10	4	\$10,000									
Reed Smith LLP	P	Consultant	4	0	4	0	\$5,000									
Shook Hardy & Bacon LLP	P	Consultant	8	0	8	0	\$10,500									
University of Chicago Law School	P	Consultant	7	3	4	3	\$6,000									
Willkie Farr & Gallagher LLP	P	Consultant	8	5	3	5	\$21,500									
KATEHI-TSEREGOUNIS,LINDA			UCD	Chancellor												
EMAG Technologies, Inc.	P	Co-Owner	80	0	80	0				\$6,456	Schedule K-1					
John Wiley & Sons, Inc.	P	Board Member	0	0	0	0	\$29,800	\$195,500	Deferred compensation represents stocks							John Wiley & Sons, Inc. - Cash

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compensation and deferred stock represents final reconciliation of funds received for board service that concluded July 2014.															
KEASLING,JAY D		LBNL	Associate Laboratory Director												
Radiant Genomics	P	Scientific Advisory Board Member	0	0	0	0						Stock Options	5,000	.01	Received 500 shares immediately in 2014. After One Year: 2,000 shares, remaining shares will vest at the rate of 208.3 shares per month on the last day of each month over the 12 consecutive months following one year after the effective date.
Malaysia Life Sciences	P	Scientific Advisory Board Member	4	0	4	0	\$12,500								
National University of	N	Distinguish	48	48	0	48	\$7,903								

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Singapore		ed Academic Visitor														
Lygos	P	Board Member	12	0	12	0						Stock				No new shares granted, but retains stock from prior years
Novo Nordisk	N	Consultant	78	52	26	52	\$20,000									
Kalion, Inc.	P	Scientific Advisory Board Member	4	0	4	0						Stock Options	20,750			Strike price per share is Fair Market Value. Four year vesting schedule. Business conducted during lunchtime.
Lamar University	N	Speaker	8	8	0	8	\$10,000									
Rensselaer University	N	Speaker	12	12	0	12	\$500									
Stanford Universtiy	N	Speaker	8	8	0	8	\$1,500									
KEISTER,SHAUN B.			UCD			Vice Chancellor - Development and Alumni Relations										
Campbell & Co.	P	Data Analyst/ Consultant	118	28	90	32	\$59,530									
Ball State University	N	Consultant	24	8	16	8	\$5,000									
KHOSLA,PRADEEP K			UCSD			Chancellor										
Infosys Foundation Jury of Engineering	N	Chair of Jury	24	24	0	24	\$12,000									

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HCL Infosystems	P	Board Member	56	56	0	56	\$12,000									
Biometricore LLC	P	Member	0	0	0	0						Stock	33	.01	Stock is 33.33%. Founding member of LLC, and receives pro-rata share of the year-end distribution. No compensation received for board service.	
Quantapoint	P	Board Member	0	0	0	0						Stock	69,276	1.03	The Co. was sold and no money was received.	
Engage Click	P	Advisor	0	0	0	0						Restricted Stock Units	50,000		Strike price is .00001	
Propel IT	P	Advisor	0	0	0	0						Stock Options	60,000	.59		
Thar Energy	P	Advisor	0	0	0	0						Stock	5,000		Strike price is \$.001	
KING JR, TALMADGE E JR			UCSF	Dean-School of Medicine/Vice Chancellor-Medical Affairs												
American Registry of Pathology	P	Editor (Royalties)	0	0	0	0	\$114									Royalty payment for period ending 9/30/15. No service time during business or

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Elsevier	P	Editor (Royalties)	0	0	0	0	\$15,855								non-business hours 7/1/15-12/31/15 (service was pre-Dean 7/1/15 appointment). Royalty payment for period ending 12/31/15. No service time during business or non-business hours 7/1/15-12/31/15 (service was pre-Dean 7/1/15 appointment).
McGraw-Hill, Inc.	P	Editor (Royalties)	0	0	0	0	\$329								Royalty payment for period ending 9/15/15. No service time during business or non-business hours, 7/1/15-12/31/15 (service was pre-Dean 7/1/15 appointment).
UpToDate	P	Auditor/Edit	100	0	100	0	\$42,944								Royalty

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		or (Royalties)													payments for period ending 6/30/15. Paid on 11/4/15. No service time during business hours.	
KIRK,JAMES D		UCD	Chief Medical Officer													
Society of Cardiovascular Patient Care	N	Board Member	28	8	20	8	\$15,000									
David Spicer, Attorney at Law	P	Consultant- Malpractice Case Review	2	0	2	0	\$900									
Clark, Fountain & LaVista Attorneys at Law	P	Consultant- Malpractice Case Review	9	0	9	0	\$5,400									
Scheuring, Zimmerman & Doyle Law Firm	N	Consultant- Malpractice Case Review	6	0	6	0	\$3,300									
John O'Brien & Associates	P	Consultanat- Personal Injury Case Review	10	0	10	0	\$6,000									
LARET,MARK R		UCSF	President and Chief Executive Officer, UCSF Health													
Varian	P	Board Member	99	49	50	49	\$127,000	Retainer and meeting fees	\$170,007	1,706 RSUs plus \$10,000 charitable match	Restricted Stock Units	1,706	93.79	Total compensation= \$297,007		

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Nuance	P	Board Member	97	47	50	47	\$70,000				\$213,285	15,000 shares paid at \$14.21 share	Restricted Stock Units	15,000	14.21	Total compensation=\$283,285
LAVERNIA, ENRIQUE JOSE		UCI	Provost and Executive Vice Chancellor													
Elsevier Editorial-Scientific Journals	P	Editor in Chief, MSEA International Journal	40	0	40	0	\$60,000				\$20,000	Other compensation				
Wuhan University of Technology	N	Honorary Dean, Intl Schl MSAE	26	16	10	16	\$45,000									
Rheinfelden Aluminium	P	Member, Technical Advisory Board	10	8	2	8	\$3,000									
California Nanotechnologies Inc.	P	Board Member	6	0	6	0						Stock Options	100,000	.10		33,000 shares/year for three years beginning 2015.
LEINEN, MARGARET S		UCSD	Vice Chancellor Marine Sciences, Dean of School of Marine Sciences, and Director of Scripps In													
Gulf of Mexico Research Initiative	N	Vice Chair, Research Board	80	40	40	40	\$32,000									
LEWIN, HARRIS A		UCD	Vice Chancellor - Research													
Annual Reviews of Animal Biosciences	P	Founding Co-Editor	16	8	8	8	\$2,000									
MACKIE-MASON, JEFFREY		UCB	UNIV LIBRARIAN													
applEcon LLC	P	Partner/Expert	3	0	3	0	\$60,000									

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MAURICE,TIMOTHY R			UCD		Chief Financial Officer - UC Davis Health System										
Guidepoint Global, LLC	P	Telephone consultation	11	0	11	0	\$4,425								
MAZZIOTTA,JOHN			UCLA		Vice Chancellor--Health Sciences/CEO--UCLA Health										
Brain Mapping Support Foundation	N	Board Member	6	3	3	3	\$75,000								
Investment Corp. of America	P	Independent Director	13	6	7	6	\$53,850	\$96,500	Deferred Cash Compensation						
NAVARRO,J RENEE			UCSF		Vice Chancellor-Diversity and Outreach										
Texas Tech Health Science Center, SOM	N	Keynote Speaker	24	24	0	24	\$1,500								
PARHAM,THOMAS A.			UCI		Vice Chancellor - Student Affairs										
Indiana University Bloomington	N	Seminar Instructor	8	8	0	8	\$2,000								
New Center for Psychoanalysis	N	Invited Speaker	8	0	8	0	\$500								
RAMESH,RAMAMOORTHY			LBNL		Associate Laboratory Director										
Qatar Foundation	N	Board Member	12	0	12	0	\$10,000								
ROBINSON,CHARLES F			UCOP		General Counsel and Vice President										
PJM Interconnection	N	Board Member	186	96	90	96	\$124,000								
ROSENTHAL,J THOMAS			UCLA		Chief Administrative Officer, UCLA Health System										
One Legacy	N	Board Member	30	0	30	0	\$25,000								
SCHOTTLAENDER,BRIAN E.			UCSD		University Librarian										
Florida Atlantic University	N	Consultant	16	16	0	16	\$6,500								

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Online Computer Library Center Board of Trustees	N	Member	72	72	0	72	\$30,000								
SIMON,HORST D			LBNL	Deputy Laboratory Director											
CRC Press/Taylor & Francis Group	P	Consultant	48	0	48	0	\$3,000								
STEELE,CLAUDE			UCB	Executive Vice Chancellor & Provost											
Russell Sage Foundation	N	Board Member	24	11	13	8	\$3,000								
MacArthur Foundation	N	Board Member	68	37	31	22	\$26,000							Where compensated activity was performed during normal business hours, EVCP Steele served an equal number of hours on University business during the evening and/or weekend.	
Northwestern University	N	Speaker	23	19	4	16	\$7,500							Honoraria for speaking.	
The Dalton School	N	Speaker	6	6	0	6	\$5,000							Honoraria for speaking.	
U.S. Department of Education	N	Participant in Learning Roundtable	8	8	0	8	\$500								

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SPEAK coalition of schools	N	Speaker	3	0	3	0	\$7,000								Honoraria for speaking.
Case Western	N	Speaker	15	8	7	8	\$9,000								Honoraria for speaking.
York College CUNY	N	Speaker	7	6	1	6	\$4,500								
TRAINA,SAMUEL JUSTIN		UCM	Vice Chancellor - Research and Economic Development												
California Almond Board Science Adv. Panel	N	Panel Member	16	16	0	16	\$2,000								
VACCA,SHERYL JEANNE		UCOP	Senior Vice President - Chief Compliance and Audit Officer												
Health Care Compliance/Society of Corp Compliance	N	Teacher	150	50	100	50	\$44,000								
WALSHOK,MARY LINDENSTEIN		UCSD	Assoc Vice Chan. Extended Studies and Public Service, Dean-University Extension												
Girard Foundation	N	Board Member	25	0	25	0	\$5,000								Meetings held outside of normal business hours
Int'l Adv. Board to Tech Review Council of Sultan	N	Advisor	32	32	0	32	\$2,500								Complete org name: International Advisory Board to Technical Review Council of the Sultan of Oman
WILTON,JOHN		UCB	Vice Chancellor - Administration & Finance												
Leblon Equities	P	Asset Management	43	27	16	24	\$10,000								

Outside Professional Activity Final Report
Senior Management Group (SMG) Compensated Activities
Reporting Year: January 1, 2015 to December 31, 2015
Location: ALL

Employee Name		Location	Working Title				Cash	Deferred	Description	Other	Description	Grant	#	Strike	Comments
Name of Org	Non-Profit=N	Role	Total Time Served (Hrs)*	Time During Bus Hours (Hrs)	Time Outside Bus Hours (Hrs)	Vacation Debited (Hrs)	Comp (\$)	Comp (\$)	Deferred Comp	Of Other Comp	Type	Granted	Price Per Share(\$)		
WU DRAGUN,DIANA			UCB		Dean - University Extension										
Shanghai Jiao Tong University	N	Speaker	60	50	10	0	\$300							Dean Wu participated and invited to speak at a professional conference. The service time during business hours devoted to the speaking engagement plus prep-time were offset by equivalent number of hours engaged in UC business during nights and weekends.	
University of Colorado, Boulder	N	External Reviewer	24	20	4	16	\$1,000							4 hours of service time during business hours devoted to the reviewer engagement was offset by equivalent number of hours engaged in UC business during nights and weekends.	
Patent Office of the	N	Speaker at	44	38	6	0	\$415							Dean Wu	

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Name of Org	Non-		Total	Time	Time	Vacation	Cash	Deferred	Description	Comp	Of Other	Type	Granted	Price Per	
(Prof'l Svc	Profit=N	Role	Time	During	Bus	Debited	Comp	Comp	Deferred	(\$)	Comp			Share(\$)	
Provided For)	Profit=P		Served	Bus	Hours	(Hrs)	(\$)	(\$)	Comp		Comp				
			(Hrs)*	Hours	(Hrs)	(Hrs)					(\$)				
Republic of Poland		Conference													spoke at and attended a conference. The speaking plus prep-time (2 hours) were offset by equivalent number of hours engaged in UC business during nights and weekends; balance of hrs were travel/conference time.
YELICK,KATHERINE A															
		LBNL													
Institute for Defense Analysis	N	Advisory Speaker/Consultant	40	40	0	40	\$9,000								
ACM - Federated Computing Research Conference	N	Invited Speaker	4	4	0	4	\$1,000								ACM = Association for Computing Machinery

* Total Time Served equals the combined hours of Time During Business Hours and Time Outside Business Hours.