

Jacobs School Faculty Annual Reporting Packet Parts I and II
Effective August 2002
Revised July 2012

POLICIES:

UC policies provide that full-time faculty on a nine-month appointment, and prorated for other terms, may not engage in compensated outside professional activity for more than 39 days during the academic year, nor may they risk any conflict of interest between their University and their outside professional obligations. Each faculty member within the Jacobs School of Engineering is required to verify in writing compliance with this policy at the end of each academic year. These forms do not replace the required campus annual biography form, which is more inclusive and part of the normal review process.

If a graduate student is employed by a company outside UCSD in which a faculty member has a significant financial interest (e.g. owns more than 10% or receives income in excess of \$10,000/yr.), **then that faculty member may not be the thesis advisor of that graduate student.** The faculty member may be on the thesis committee. Further, if the faculty member is on the thesis committee then the faculty member must inform the University, through the appropriate offices, of the situation and any possible conflict of interest. Upon review, the Dean of Engineering, in conjunction with the Dean of Graduate Studies, may grant exceptions.

Definitions and further information are available in the Academic Personnel Manual, particularly sections 025 and 028:

<http://www.ucop.edu/academic-personnel/ files/apm/apm-025-07-01.pdf>

<http://www.ucop.edu/academic-personnel/ files/apm/apm-028.pdf>

PROCEDURES:

Please complete Part I and Part II (be sure to sign Part II) of the Jacobs School Faculty Annual Reporting Packet and return to your Chair. Both the faculty member and the Department Chair shall sign part II, certifying information submitted on both forms (Part I and Part II). You will find more instructions for Part II at the end of this document for reference.

Please send all forms to your Department Academic Personnel representative by the Department's established deadline. Forms are due from the department to the Dean of Engineering via Tina Nguyen by August 31. Departments are encouraged to establish an earlier deadline in order to meet the Dean's Office deadline.

JACOBS SCHOOL FACULTY ANNUAL REPORTING PACKET -- PART I
FACULTY STATEMENTS ON:
COMPENSATED OUTSIDE PROFESSIONAL ACTIVITIES
OUTSIDE EMPLOYMENT OF GRADUATE STUDENTS

NAME _____

DEPARTMENT _____ PERIOD: July 1_____ to June 30_____

1. Are you aware of any potential conflict of interest or conflict of commitment between your University obligations and compensated outside activities? **NO**_____ **YES**_____. If yes, please state whether you have received a conflict of interest review by the Campus Conflict of Interest Committee in the period above and give the date of that report here:

2. Are you the thesis advisor for any student who is employed by an outside company in which you have a financial interest? **NO**_____ **YES**_____. If yes, please explain fully, including the date of the exception granted by the Dean, here:

3. Are you on the thesis committee of any graduate student who is employed by an outside company in which you have a financial interest? **NO**_____ **YES**_____. If yes, please describe and indicate the date that you informed the Dean of Graduate Studies of the thesis committee activity here:

If you answer 'no' to any of 1-3 above, please note that if such situations develop during the next year you should inform your Chair immediately. Do not wait until submission of the next year's form. Please sign Part II to certify information reported in both Parts I and II.

**DETAILED INSTRUCTIONS & DEFINITIONS FOR PART II
REPORT OF CATEGORY I AND II COMPENSATED OUTSIDE PROFESSIONAL ACTIVITIES
AND ADDITIONAL TEACHING ACTIVITIES
FOR THE FISCAL YEAR ENDING JUNE 30, _____**

Compensated Outside Professional Activities: *Compensation* is defined as income, assets, or capital, realized or having the potential to become realized. *Outside Professional Activities* are defined as those activities that are within a faculty member's area of professional, academic expertise and that advance or communicate that expertise through interaction with industry, the community, or the public, and through consulting or professional opportunities.

Academic/Fiscal-Year Faculty Appointment: Enter whether you held an academic- or fiscal-year appointment. An *Academic-Year Appointment* is an appointment in which the faculty member renders services to the University during the academic year, from the beginning of the fall term through the end of the spring term (APM - 600-4-d), or the equivalent of an academic year should the campus operate year-round. A *Fiscal-Year Appointment* is an appointment in which the faculty member renders service to the University throughout the calendar year as opposed to the academic year. Fiscal-year faculty accrue vacation time in accordance with APM - 730. A full-time faculty member on an academic-year appointment normally may engage in compensated outside professional activities for up to 39 days from the start of the fall term through the end of the spring term (including intersession). There are no restrictions on the number of days of compensated outside professional activity for academic-year faculty during the summer months unless an academic-year faculty member is receiving University compensation for the summer. If an academic-year faculty member is receiving University summer compensation, then the applicable limit on compensated outside professional activities is the equivalent of one day per week during the period in which compensation is received. A fiscal-year faculty member is permitted a maximum of 48 days during the months of active service.

Terms of Leave, If Any: A faculty member may be permitted to go on full- or part-time leave in order to pursue certain compensated outside professional activities. If you were on such leave during any part of the pertinent fiscal year, provide information here about the percentage of time and inclusive months.

Category: For each activity, enter I, II or AT (for additional teaching as defined in APM-662). *Category I* activities include: assuming an executive or managerial position (which for purposes of this policy does not include (1) serving on a board of directors of an outside entity or (2) providing consulting services or engaging in professional practice through the faculty member's single member professional corporation or sole proprietorship); administering, outside of the University, a grant that would ordinarily be conducted under the auspices of the University; establishing an employment relationship as a salaried employee outside of the University; compensated teaching or research at another institution; and other activities which common sense and good judgment would indicate are likely to raise issues of conflict of commitment. You must receive prior approval to engage in Category I activities, which always count in the 39/48-day limit and must be reported annually. *Category II* activities include: providing expert testimony in administrative, legislative, or judicial proceedings; providing occasional professional consulting services or referrals or engaging in professional practice where such activities are provided by the faculty member acting as an individual or are provided by the faculty member through his or her single member professional corporation or sole proprietorship; and undertaking compensated outside professional activity not mentioned in Categories I or III (see APM - 025 for description of Category III activities which do not need to be reported). Category II activities are counted within the 39/48-day limit and must be reported annually. Note that, in accordance with APM - 662, faculty members may receive additional compensation for specified additional University teaching activities (i.e., UNEX courses and programs, other continuing education programs which are run by the University, and self-supporting UC degree programs) and that these activities are also reportable and counted within the 39/48-day limit.

No. of Days: Enter the approximate number of days you worked on this activity during your period of active service to the University. For compensated outside professional activities *Day* is defined on a case by case basis, using common sense and customary practice. The University recognizes and supports the diverse hours and schedules devised by faculty members and department chairs to accommodate teaching, research and creative work activity, University service, and University-related public service. You should exercise sound professional judgment, taking into account reasonable work schedules, when determining what constitutes a day of outside activity and be prepared to provide, upon request from the responsible University official, an explanation of the definition of "day" you used. For additional teaching activities, the general rule is that every six contact or "podium" hours spent with students equals one day. See APM - 662 for further information.

Description of Activity: Briefly describe the work you did.

Nature of Relationship: Use one or more of the following terms to describe your relationship to the entity identified in the last column, the one for whom you performed the compensated outside professional activity: owner, board member, consultant, equity or royalty interest, stockholder or partnership interest, salaried employee, or other (explain).

General Description of Business/Agency/Organization/Group/Person: Name and describe the business, agency, group or person to whom service was provided (e.g., government agency, non-profit educational research organization, for-profit bio tech).