

**University of California-Regents Policy 7707
Senior Management Group Outside Professional Activities (OPAs)**

UCSF OPA Quick Overview

What is an Outside Professional Activity? (from SMG OPA policy)	
Activities Regarded as OPAs	Activities <u>Not</u> Regarded as OPAs
<ul style="list-style-type: none"> • <u>Regarded as OPAs: Activities within the SMG member's area(s) of professional expertise for which they are employed by the University.</u> • OPAs are those non-UC activities within the SMG member's area of professional expertise <u>that are not a requirement of the SMG member's position with the University.</u> • Refer to the "SMG OPA Approval Authority Matrix." 	<ul style="list-style-type: none"> • <u>The following are not regarded as Outside Professional Activities:</u> <ul style="list-style-type: none"> – <u>Activities unrelated to the SMG member's area of professional expertise for which they are employed by the University</u> (e.g., religious or cultural organizations). – <u>Activities that are part of job expectations.</u> <ul style="list-style-type: none"> ▪ It is expected that the individual would not receive additional compensation for such activities beyond the individual's normal University salary. • For an SMG member with an underlying faculty appointment, activities that the Approving Authorities confirm as essential to remaining current in the SMG member's academic field. <ul style="list-style-type: none"> – It is expected that the individual would not receive additional compensation for such activities beyond the individual's normal University salary.
What is an Uncompensated vs. a Compensated OPA? (from SMG OPA Policy)	
<ul style="list-style-type: none"> • Uncompensated activities are... <ul style="list-style-type: none"> – OPAs for which the SMG member does not receive compensation. – OPAs where the full amount of the compensation is donated to the University or a charitable organization (payment is made directly to the organization; cannot first be paid to the SMG employee for SMG employee to make donation). – Compensation donated to the University may not be returned to the SMG employee. • Compensated activities are... <ul style="list-style-type: none"> – <u>OPAs for which the SMG member receives and retains compensation.</u> <ul style="list-style-type: none"> ▪ Compensation includes: Cash, stock or other equity vehicles, or deferred compensation. ▪ Reimbursement for reasonable travel expenses would not generally be considered compensation. <ul style="list-style-type: none"> ○ If, however, the travel expense is regarded as excessive and far beyond expenses deemed appropriate by University policy standards, then the service could be regarded as compensated for purposes of this policy and would need to be reported. – Limits on Compensated Outside Professional Activities <ul style="list-style-type: none"> ▪ An SMG member <u>may participate in up to two concurrent compensated activities</u> including, but not limited to, any board memberships, consulting or advisory activity. ▪ An SMG member will be required to use personal time to engage in compensated OPAs, by either performing such activities outside usual work hours or using accrued vacation time. ▪ An SMG member who is appointed at 100 percent time must not receive additional compensation above base salary from an entity managed exclusively by the University for any work or services, regardless of source or type of payment (except in the limited circumstances outlined in Regents Policy 7701: SMG Appointment and Compensation, which includes an exception for payments for teaching. University Extension courses). 	

What are the UCSF OPA Roles and Responsibilities?

- **UCSF SMG Employee**
 - **Pre-Approvals:** Ensures that required pre-approvals are in place *in advance* of OPA participation *or* OPA announcement following UC SMG OPA policies and procedures.
 - **Refer to the “SMG OPA Approval Authority Matrix.”**
 - **For pre-approvals, submit OPA pre-approval requests at least 45 days in advance of the planned activity.**
 - If unsure of whether or not an activity is considered an OPA, contacts the UCSF SMG Coordinator, well in advance of the activity, for guidance/clarification.
 - Discusses planned OPAs, *well in advance*, with supervisor prior to participating in the OPA.
 - Ensures that only two (2) compensated OPA activities occur per calendar year.
 - Submits OPA pre-approval request (signed by SMG employee and supervisor) to the UCSF SMG Coordinator at least 45 days in advance of the OPA.
 - **OPA Recordkeeping:** Ensures that all OPA hours are tracked as detailed in the “SMG OPA Approval Authority Matrix.”
 - **Annual Reconciliation:** Collaborates with the UCSF SMG Coordinator and SMG employee’s executive assistant in the annual OPA reconciliation during the annual OPA reporting process for OP/Regents.
- **Executive Assistant to UCSF SMG Employee**
 - The SMG employee’s executive assistant is a critical player in the UCSF SMG OPA process and works closely with the UCSF SMG Coordinator on all aspects of the UCSF OPA process throughout the year.
 - **Pre-Approvals:** While scheduling meetings/events on SMG employee’s calendar, if an activity looks like a possible OPA, raises questions and discusses with SMG supervisor *if* no OPA pre-approval is already in place for the activity.
 - Reviews OPAs regularly with SMG supervisor to consistently ensure pre-approvals are in place and match calendar entries.
 - Helps SMG employee to ensure that required pre-approvals are in place *in advance* of OPA participation *or* OPA announcement.
 - Tracks and notifies SMG supervisor that only two (2) compensated activities are allowed per calendar year.
 - Helps to ensure that pre-approval requests (signed by SMG employee and supervisor) are submitted to the UCSF SMG Coordinator at least 45 days in advance of the OPA.
 - **OPA Recordkeeping:** Helps to ensure that all OPA hours are tracked as indicated on the “SMG OPA Approval Authority Matrix.”
 - **During business hours:** Helps to ensure that compensated and uncompensated OPA hours are entered into the HBS time keeping system as detailed in the “HBS & UCSF OPA Reporting Procedures” document.
 - **Compensated OPAs:** Helps to ensure that compensated OPAs, during business hours, have associated vacation usage, and detailed OPA information, reflected in HBS.
 - **Annual Reconciliation:** Collaborates with the UCSF SMG Coordinator in the annual OPA reconciliation during the annual OPA reporting process for OP/Regents.
- **SMG Employee’s Supervisor (who is also an SMG employee)**
 - Discusses planned OPAs with SMG employee and ensures that there are no actual or perceived conflicts of commitment or interest.
 - Critically reviews OPA pre-approval form before signing the form.
 - Submits form to the UCSF SMG Coordinator.
- **UCSF SMG Coordinator**
 - Coordinates the UCSF OPA process for UCSF SMG employees.
 - Serves as the UCSF OPA resource to UCSF SMG employees and their executive assistants.
 - With UCSF’s Chief Campus Counsel, provides OPA orientation to all new SMG employees.

What are the UCSF OPA Roles and Responsibilities?

- **UCSF Pre-Approval Forms:** Reviews all UCSF OPA pre-approval forms for accuracy/full completion, and secures required approvals, locally or at OP (President/Regents).
 - Prepares required additional documents for submission to OP (for Presidential/Regental approval authorities).
 - Confirms approval with SMG employee, supervisor, and executive assistant. Places approval in SMG employee’s “Box” folder for future reference.
- Acts as UCSF OPA liaison with OP OPA Coordinator and responds to OP’s OPA Coordinator’s inquiries regarding UCSF OPA pre-approval requests.
- Interacts with UCSF Audit as needed.
- Coordinates the annual UCSF OPA reporting process (e.g., individual OPA certifications, HBS reconciliation, etc.).
- Submits UCSF annual report to OP (March/April), for inclusion in UC-wide/all campus OPA report which is presented to the Regents every summer.
- Ensures that compensated OPAs reflect vacation usage in HBS.

Is the **UC OPA** Process the Same as the **UC Form 700** Process?

- **Answer:** No
- While similar data is referenced to complete these two different processes, [the OPA process and the Form 700 processes are two distinct processes with separate coordinating offices, policies, and procedures. There is no process overlap between the two processes.](#)
- **OPA Process:** Housed within UCSF Human Resources and coordinated by UCSF SMG Coordinator Joanne Fraysse-Gordon (Joanne.Fraysse@ucsf.edu; 476-4285) who is the liaison to the OP OPA Coordinator who is located within the Vice President-Systemwide Human Resources office. No connection to the UC/UCSF Form 700 process.
- **Form 700 Process:** Housed within the UCSF Office of Legal Affairs and coordinated by UCSF Conflict of Interest Coordinator Susan Smith (Susan.Smith@ucsf.edu; 476-0832). No connection to the UC/UCSF OPA process.

Where is More OPA Information Available?

SMG OPA Policy Link	Who is Covered	Policy Highlights (refer to policy for full details)
Regents Policy 7707	<ul style="list-style-type: none"> • All employees whose position is designated to be in the SMG, inclusive of Officers of the University per Regents Standing Order 100.1.a. • Non-SMG members appointed to an SMG position on an acting or interim basis. 	<ul style="list-style-type: none"> • OPA Benefits: Considerable benefit accrues to the University from 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... <ul style="list-style-type: none"> – Foster a greater understanding of UC and its value as a preeminent provider of education, research, public service, and health care. – May provide a stimulus for economic development and enhanced economic competitiveness. – Support and recognize the value of SMG members’ OPAs to UC, such as contributing to their academic field, sharing their expertise with other institutions, and providing service to the community • SMG Employee Responsibilities <ul style="list-style-type: none"> – Fulfillment of University Responsibilities: While outside professional activities performed by SMG members are often mutually beneficial to UC and the members themselves, and are therefore encouraged, the primary commitment of UC SMG members must be to the fulfillment of their regular University responsibilities.

Where is More OPA Information Available?		
SMG OPA Policy Link	Who is Covered	Policy Highlights (refer to policy for full details)
		<ul style="list-style-type: none"> - Conflict of Commitment or Interest: <ul style="list-style-type: none"> ▪ SMG members are individually responsible for ensuring that the OPAs they perform, and compensation received for such activities, do not violate conflict of commitment and/or actual or perceived conflict of interest standards of the University. ▪ SMG members have a duty of loyalty to the University, as well as a primary fiduciary responsibility to the University. ▪ Conflict of Interest: No SMG member may make, participate in the making, or influence a governmental decision in which he or she has a financial interest as defined by the Political Reform Act. ▪ Conflict of Commitment: Is a subjective judgment made either by the SMG member or his/her Approving Authorities at the time approval is requested to pursue an OPA. This subjective judgment shall determine whether or not a conflict is created -- either by the time required to reasonably fulfill the outside professional activity, and/or by an incompatibility between the OPA and the SMG member's responsibilities to the University. ▪ Actual or Perceived Conflict of Interest and/or Commitment: Instances may occur in which there is an appearance of a conflict of interest even though the SMG member does not have a financial interest in the decision as defined by the Political Reform Act. SMG members are expected to conduct themselves with integrity and good judgment and must avoid the appearance of favoritism in all of their dealings on behalf of the University.

What are the Tools for the OPA Process?	
OPA Form or Reference Tool Description	OPA Form or Reference Tool
2019 OPA Pre-approval Form <i>Submit at least 45 days in advance of the OPA begin date.</i>	 OPA-PreApproval Request Form-2...
2019 OPA "Detailed Information Form" <i>Must be completed for each compensated activities.</i>	 OPA-Detailed Info Form-2019.do...
UCSF OPA Pre-Approval Process Steps	 UCSF OPAs-PreAppro...
HBS & UCSF OPA Reporting Procedures	 SMG-OPA-UCSF Time Reporting ...

What are the Tools for the OPA Process?

OPA Form or Reference Tool Description	OPA Form or Reference Tool
<p>UCSF SMG Conflict of Interest & OPA PowerPoint Presentation</p>	<p align="center">  SMG_COI_OPA PowerPoint Pres... </p>
<p>OPAs & Dual SMG (100% Paid)/Academic (without salary) Appointments</p>	<p align="center">  SMG-HSCP Guidance Letter... </p>