

REPORT OF INTERIM ACTIONS

Office of the Secretary and Chief of Staff
November 18, 2010

TO THE REGENTS OF THE UNIVERSITY OF CALIFORNIA

INFORMATION ITEM

Report of Actions Taken Between Meetings

In accordance with authority previously delegated by the Regents, interim action was taken on routine or emergency matters as follows:

The Chair of the Committee on Compensation and the President of the University approved the following recommendations:

- (1) *Appointment of and Total Compensation for Horst Simon as Deputy Laboratory Director, Lawrence Berkeley National Laboratory*

Background to Recommendation

Action under interim authority was requested for the appointment and compensation for Horst Simon as Deputy Laboratory Director, Lawrence Berkeley National Laboratory (LBNL).

Although an Acting Deputy Director had been in place, the Laboratory was without a permanent leader in the role since February 2009. It is essential to have a competent leader permanently in this key Laboratory leadership position.

Reporting to the Laboratory Director, the Deputy Laboratory Director is responsible for the overall integration of scientific goals and objectives consistent with the Director's vision and the Laboratory's mission. The Deputy Laboratory Director serves as management liaison with the University, the Department of Energy, and other public and private agencies to represent the Laboratory's programs, accomplishments and initiatives. Within the Laboratory and under the direction of the Director, the Deputy Director is responsible for management oversight of divisional interdisciplinary programs and interacts with policy and advisory committees to ensure the highest quality scientific achievement.

The wide ranging responsibilities for this position include:

- Work closely with the Laboratory Director to develop the strategic vision of the Lawrence Berkeley National Laboratory and assist in all aspects of the specific implementation of this vision.

- Serve as principal counsel and partner with the Director in decision making regarding the balance of programs within the Laboratory; attending reviews of existing programs; approving the seeding of new programs and the scaling back of others.
- Active involvement with internal and external stakeholders, including high level contacts with Federal funding agencies, especially the Department of Energy, as well as the senior administration of the UC Office of the President and the UC Campuses.
- Assist in maintaining the contacts of the Laboratory with the community and industry.
- Work in coordination with the Chief Operating Officer of the Laboratory on scientific infrastructure needs, as well as with Associate Laboratory Directors and Scientific Division Directors.
- Partner with the Director on the management of Internal Directorate discretionary funds including Laboratory Directed Research and Development (LDRD), Strategic Planning Support Activities (SPSA), Contractor Support Research (CSR), and Royalties and Patents.
- Manage the Technology Transfer unit for the Directorate.

A search committee was established consisting of a diverse group of scientists and senior administrators from the Lawrence Berkeley National Laboratory and the University of California, Office of the President. After conducting a national search that included extensive networking efforts in academia, private industry and other national labs, Mr. Simon was selected as the successful candidate.

Mr. Simon joined LBNL in early 1996 as director of the newly formed NERSC (National Energy Research Scientific Computing) Division, and was one of the key architects in establishing NERSC at its new location in Berkeley. The NERSC Center is the Department of Energy's flagship supercomputing facility for unclassified research. Under Mr. Simon's leadership, NERSC has enabled important discoveries in fields ranging from global climate modeling to combustion to astrophysics. Mr. Simon is also the founding director of LBNL's Computational Research Division, which conducts applied research and development in computer science, computational science, and applied mathematics. He is widely respected in the Laboratory and the Department of Energy, and his experience and reputation make him very qualified to assume the Deputy Laboratory Director position.

This position is funded by Department of Energy funds.

Recommendation

The following items were approved in connection with the appointment of and compensation for Horst Simon as Deputy Laboratory Director, Lawrence Berkeley National Laboratory (LBNL):

- a. Per policy, a base salary of \$335,000 (LBNL Job Code 198.4, Salary Grade N17: Minimum \$268,260, Midpoint \$344,646, Maximum \$421,032) as Deputy Laboratory Director, Lawrence Berkeley National Laboratory. This represents an 11.3 percent increase over his current total annualized compensation of \$300,888.
- b. Per policy, this position is subject to the salary reduction/furlough plan effective September 1, 2009 through August 31, 2010, with a ten percent salary reduction.
- c. This appointment is at 100 percent time and is effective upon the approval by the Chair of the Committee on Compensation and the President.
- d. Per policy, eligibility to participate in the University Mortgage Origination Program.

The source of funds for payment of this compensation item is Department of Energy (DOE) funds as provided under the University's contract with DOE.

Recommended Compensation

Effective Date: Upon approval

Base Salary: \$335,000

Total Cash Compensation: \$335,000

Grade Level: N17, Job Code 198.4

(Minimum \$268,260, Midpoint \$344,646, Maximum \$421,032)

Funding Source: DOE Funds

Budget &/or Prior Incumbent Data

Title: Acting Deputy Laboratory Director

Total Cash Compensation: \$354,240

Funding Source: DOE Funds

Additional items of compensation include:

- Per policy, standard pension and health and welfare benefits and standard senior management benefits (including senior management life insurance and executive salary continuation for disability).
- Per policy, five percent monthly contribution to the Senior Management Supplemental Benefits Program.

The compensation described above shall constitute the University's total commitment until modified by the Regents and shall supersede all previous oral and written commitments. Compensation recommendations and final actions will be released to the public as required in accordance with the standard procedures of the Board of Regents.

Submitted by: LBNL Director Alivisatos
Reviewed by: President Yudof
Committee on Compensation Chair Varner
Office of the President, Human Resources

(2) *Appointment of and Total Compensation for Katherine Yelick as Associate Laboratory Director, Computing Sciences, Lawrence Berkeley National Laboratory*

Background to Recommendation

Action under interim authority was requested for the appointment of and total compensation for Katherine Yelick as Associate Laboratory Director (ALD), Computing Sciences, Lawrence Berkeley National Laboratory (LBNL). Ms. Yelick was the Scientific Division Director – Faculty, National Energy Research Scientific Computing (NERSC) Division. She filled the position vacated by Horst Simon, who has been selected as the permanent Deputy Laboratory Director, LBNL. In addition to the ALD, Computing Sciences position, Ms. Yelick retained her current position as Scientific Division Director – Faculty, NERSC Division. The Laboratory proposed an annual base salary of \$274,000. The proposed base salary is 26 percent below the midpoint for salary grade N17 (Minimum \$268,260, Midpoint \$344,646, Maximum \$421,032). The source of funds for payment of this compensation item is Department of Energy (DOE) funds as provided under the University's contract with DOE.

Reporting to the Laboratory Director, the Associate Laboratory Director, Computing Sciences, is charged with coordinating across organizational lines at the Laboratory in spearheading new, large-scale scientific initiatives; assisting the Laboratory Director and Deputy Director in strategic planning exercises; serving as an exemplar of the Laboratory's culture of excellence in science and in safety; facilitating multidisciplinary collaboration within the Laboratory and across the broader research community; helping to raise the public profile of the Berkeley Laboratory and the Department of Energy's National Laboratory system; and representing the Laboratory before senior program officials in the Department of Energy's Office of Science. The Associate Laboratory Director works collaboratively with other Associate Laboratory Directors, Deputy Laboratory Director, Laboratory Director, and staff to accomplish these missions.

As the NERSC Division Director, Ms. Yelick is ultimately responsible for the planning, organization, monitoring, and control functions for a group of approximately 65 staff members and a budget of approximately \$53 million

dollars for NERSC, the U.S. Department of Energy's flagship supercomputing facility for unclassified research. NERSC provides high-performance computing, information, data, and communications services to 3,500 users working on more than 400 projects.

By assuming the role of Associate Laboratory Director, Computing Sciences, Ms. Yelick added to her responsibilities the oversight of LBNL's second computing division, the Computational Research Division (CRD). The Computational Research Division creates computational tools and techniques that enable scientific breakthroughs by conducting applied research and development in computer science, computational science and applied mathematics, with a staff of approximately 125 and a budget of approximately \$48 million. In addition, the Computational Research Division is home to the Energy Sciences Network (ESnet) user facility, a high-speed network serving thousands of Department of Energy scientists at over 40 institutions, as well as connecting to more than 100 other networks. ESnet is a pioneer in providing high-bandwidth, reliable connections that link researchers at national laboratories, universities and other research institutions, enabling them to collaborate on some of the world's most important scientific research challenges including energy, climate science, and the origins of the universe.

Ms. Yelick earned her Ph.D. in Computer Science from the Massachusetts Institute of Technology (MIT) and has been a Professor of Electrical Engineering and Computer Sciences at UC Berkeley since 1991 with a joint research appointment at LBNL since 1996. She is the co-author of two books and more than 100 refereed technical papers on parallel languages, compilers, algorithms, libraries, architecture, and storage. She co-invented the UPC and Titanium languages and demonstrated their applicability across architectures through the use of novel runtime and compilation methods. She also co-developed techniques for self-tuning numerical libraries, including the first self-tuned library for sparse matrix kernels which automatically adapt the code to properties of the matrix structure and machine. Her work includes performance analysis and modeling as well as optimization techniques for memory hierarchies, multi-core processors, communication libraries, and processor accelerators. She has worked with interdisciplinary teams on application scaling, and her own applications work includes parallelization of a model for blood flow in the heart. In 2006, she was named one of sixteen "People to Watch in 2006" by HPC wire. She has received multiple research and teaching awards and is a member of the California Council on Science and Technology and a member of the National Academies Committee on Sustaining Growth in Computing Performance.

Recommendation

The following items were approved in connection with the appointment of and compensation for Katherine Yelick as Associate Laboratory Director, Computing Sciences, Lawrence Berkeley National Laboratory (LBNL):

- a. Per policy, a base salary of \$274,000 (LBNL Job Code 198.3, Salary Grade N17: Minimum \$268,260, Midpoint \$344,646, Maximum \$421,032) as Associate Laboratory Director, Computing Sciences, Lawrence Berkeley National Laboratory. This represents a 23.4 percent increase over her current total annualized compensation of \$222,007.
- b. This appointment is at 100 percent time and is effective upon the approval by the Chair of the Committee on Compensation and the President.

The source of funds for payment of this compensation item is Department of Energy (DOE) funds as provided under the University's contract with DOE.

Recommended Compensation

Effective Date: Upon approval

Total Cash Compensation: \$274,000

Grade Level: N17, Job Code 198.3

(Minimum \$268,260, Midpoint \$344,646, Maximum \$421,032)

Funding Source: DOE Funds

Budget &/or Prior Incumbent Data

Title: Associate Laboratory Director, Computing Sciences

Total Cash Compensation: \$300,888

Funding Source: DOE Funds

Additional items of compensation include:

- Per policy, standard pension and health and welfare benefits (including senior management life insurance and executive salary continuation for disability).
- Per policy, continued accrual of sabbatical credits as a member of faculty.
- Per policy, ineligible to participate in the Senior Management Supplemental Benefit Program due to tenured faculty appointment.

The compensation described above shall constitute the University's total commitment until modified by the Regents and shall supersede all previous oral and written commitments. Compensation recommendations and final actions will be released to the public as required in accordance with the standard procedures of the Board of Regents.

Submitted by: LBNL Director Alivisatos

Reviewed by: President Yudof

**Committee on Compensation Chair Varner
Office of the President, Human Resources**

(3) ***Interim Appointment of and Compensation for Thomas A. Parham as Interim Vice Chancellor – Student Affairs, Irvine Campus***

Background to Recommendation

Action under interim authority was requested for the approval of the appointment of Thomas A. Parham as Interim Vice Chancellor – Student Affairs. This request was in response to an immediate need to fill the position, which was vacant due to the prior incumbent's retirement on July 1, 2010.

Recruitment efforts to fill this position with a permanent incumbent is underway. UC Irvine administration expects a prolonged process for hiring a replacement because it will be imperative to find a candidate who has all of the skills required by the position and who will be a good fit for the campus.

The Vice Chancellor – Student Affairs is an integral position in Irvine's executive management. The Vice Chancellor is responsible for the development and administration of Student Affairs. Additionally, the Vice Chancellor is accountable for the effective operation of education development, enrollment management, student financial support, undergraduate and graduate housing, counseling and health services, student activities, campus recreation and auxiliary enterprises.

Mr. Parham possesses the right administrative and leadership abilities that are needed in the Vice Chancellor – Student Affairs position during this transitional period. Mr. Parham has 26 years of service at UC Irvine. He is currently the Assistant Vice Chancellor for Counseling and Health Services as well as an adjunct faculty member. Prior to his current position, he served as the Counseling Center Director and the Director of the Career and Life Planning Center. Mr. Parham is an active member of the UC Irvine community and surrounding communities, contributing his talents in the areas of social advocacy, community uplift and youth empowerment. He has served as a member of the City of Irvine's Human Relations Committee, Chair of UC Irvine's Martin Luther King Symposium for ten years, charter member and President of the 100 Black Men Orange County Chapter, and past President of the National Association of Black Psychologists.

Mr. Parham holds a Bachelor of Arts degree in Social Ecology from the University of California, Irvine, a Masters degree in Psychology from Washington University in St. Louis, and a Doctor of Philosophy degree in Psychology from Southern Illinois University at Carbondale.

For over 30 years, Mr. Parham has focused his research efforts on the psychology of identity development. He has authored numerous books and articles in these areas. In consultations, public addresses and television appearances throughout the United States, Mr. Parham has addressed such issues as multicultural

counseling, counseling African Americans, cultural competence, educating African American youth, youth and violence, coping with stress, characteristics of exceptional people, multicultural education, managing a diverse workforce, effective communications, developing effective management and supervisory skills, managing people, conflict resolution, and team building.

Mr. Parham has been honored with numerous awards and tributes, including, the UC Irvine "Lauds and Laurels" award for staff achievement in 2003; the American Psychological Association – Division 17 – Society of Counseling Psychology Award for Lifetime Achievement in Mentoring in 2007; the 100 Black Men of America's Wimberly Award in 2008; an honorary Doctorate of Humane Letters from the Phillips Graduate Institute in 2009; and most recently the Janet E. Helms Award for Mentorship and Scholarship in 2010.

This position is funded 100 percent by UC general funds provided by the State. The annual compensation of \$200,000 is 3.6 percent below the average base salary of \$207,500 for other UC vice chancellors of student affairs, 18.3 percent below the midpoint for SLCG Grade 108 of \$244,900, and is 13.6 percent below the market average of \$231,480. Market data provided by Mercer Human Resource Consulting includes data from the College and University Professional Association (CUPA) Administrative Compensation Survey.

Recommendation

The following items were approved in connection with the appointment of and compensation for Thomas A. Parham as Interim Vice Chancellor – Student Affairs, Irvine campus:

- a. Per policy, an administrative stipend of \$41,015 (25.8 percent). This stipend plus his annual base salary of \$158,985 will result in total compensation of \$200,000.
- b. This appointment is at 100 percent time and is effective upon approval and until the appointment of a permanent Vice Chancellor – Student Affairs.

Recommended Compensation

Effective Date: Upon approval

Base Salary: \$158,985

Stipend: \$41,015 (25.8 percent of base salary)

Total Cash Compensation: \$200,000

Grade Level: SLCG Grade 108

(Minimum \$192,300, Midpoint \$244,900, Maximum \$297,400)

Median Market Data: \$231,480

Funding Source: UC general funds

Budget &/or Prior Incumbent Data

Base Salary: \$215,300

Grade Level: SLCG Grade 108

Additional items of compensation include:

- Per policy, standard pension and health and welfare benefits.

The compensation described above shall constitute the University's total commitment until modified by the Regents and shall supersede all previous oral and written commitments. Compensation recommendations and final actions will be released to the public as required in accordance with the standard procedures of the Board of Regents.

Submitted By: UCI Chancellor Michael V. Drake, M.D.
Reviewed by: President Yudof
Committee on Compensation Chair Varner
Office of the President, Human Resources

(4) *Term Appointment of and Compensation for Sally H. Rankin as Acting Dean – School of Nursing, San Francisco Campus*

Background to Recommendation

Action under interim authority was requested for the approval of the term appointment of Sally H. Rankin as Acting Dean – School of Nursing, San Francisco campus, effective October 1, 2010, through March 31, 2011, or until the appointment of a permanent dean, whichever occurs first.

Following Kathleen Dracup's announcement of her decision to step down from the Dean – School of Nursing position effective October 1, 2010, an extensive national search for her successor has been underway for the past many months. The campus is in the final stages of selecting a permanent replacement. The last day for Dean Dracup in her current role was September 30, 2010, and it is expected that the permanent replacement will begin sometime within the next several months. In order to maintain strong leadership of the School during the final stages of the recruitment, the campus requested approval to appoint Ms. Rankin as the Acting Dean – School of Nursing, effective October 1, 2010.

Ms. Rankin was selected as the most qualified person to fill the interim role. Ms. Rankin has proven to be a capable and respected campus leader during her tenure at UCSF, displaying exemplary service, and is extremely well-regarded by the faculty in the School. In order to sustain the preeminence of the UCSF School of Nursing, the campus indicates that it is imperative to have an effective Acting Dean to lead the School until the permanent successor has been determined. She was serving as the UCSF Associate Dean for International Programs, Director of UCSF WHO Collaborating Center for Research and Training in Nursing, and Professor and Chair of the Department of Family Health Care Nursing. After earning her Bachelor of Arts degree in Sociology from Boston University in 1966,

Ms. Rankin received her Bachelor of Science in Nursing degree from California State University, Los Angeles, in 1974. She worked as a staff nurse at Duke University Medical Center and in in-service education. In 1978, she obtained her Master of Science in Nursing degree from Duke University, where she taught for two years in the Duke University School of Nursing. In the early 1980's, she taught at Mt. St. Mary's College and the University of Southern California. In 1988, Ms. Rankin completed her Ph.D. at UCSF after which she became a member of the UCSF faculty continuing to today, with an interim period of teaching at the Boston College of School of Nursing from 1993-1998.

In recognition of the increased scope of additional temporary responsibilities, the campus requested approval of an annual administrative stipend of \$75,700 to be paid while Ms. Rankin serves as Acting Dean, as well as during a transition period of up to three months thereafter. When combined with Ms. Rankin's current academic annual base salary of \$104,300, this stipend provides a total annual salary of \$180,000, which would closely align her salary with that of her peer chairs within the School. According to Mercer Human Resource Consulting, data from the 2009/2010 College and University Professional Association (CUPA) Administrative Compensation Survey, the proposed total annual salary of \$180,000 is 70 percent below the market median of \$305,250 for the Dean, Nursing position. This stipend will be funded by State funds.

Recommendation

The following items were approved in connection with the term appointment of and compensation for Sally H. Rankin as Acting Dean – School of Nursing, San Francisco campus:

- a. Per policy, term appointment of Sally H. Rankin as Acting Dean – School of Nursing, San Francisco campus.
- b. Per policy, an annual administrative stipend of \$75,700 to be paid while Ms. Rankin serves as Acting Dean, as well as during a transition period of up to three months thereafter, increasing her current academic annual base salary of \$104,300 to a total annual salary of \$180,000.
- c. This term appointment is at 100 percent time and is effective October 1, 2010, through March 31, 2011, until the appointment of a permanent dean, whichever occurs first.

Recommended Compensation

Effective Date: October 1, 2010

Annual Academic Base Salary: \$104,300

Administrative Stipend: \$75,700

Total Annual Salary: \$180,000

Grade Level: Not applicable; continued academic classification

Median Market Data: \$305,250

Funding Source: State Funds

Percentage Difference from Market: 70 percent below market

Budget &/or Prior Incumbent Data

Title: Dean – School of Nursing

Base Salary: \$290,000

Health Sciences Compensation Plan Pay: \$60,000

Total Cash Compensation: \$350,000

Grade Level: SLCG Grade108

(Minimum \$192,300, Midpoint \$244,900, Maximum \$297,400)

Additional items of compensation include:

- Per policy, continued standard pension and health and welfare benefits.
- Continued primary academic classification as professor.
- Per policy, ineligible to participate in the Senior Management Supplemental Benefits Program due to tenured faculty appointment.
- Per policy, continued accrual of sabbatical credits as a member of tenured faculty.

The compensation described above shall constitute the University's total commitment until modified by the Regents and shall supersede all previous oral and written commitments. Compensation recommendations and final actions will be released to the public as required in accordance with the standard procedures of the Board of Regents.

Submitted By: UCSF Chancellor Desmond-Hellmann

Reviewed by: President Yudof

Committee on Compensation Chair Varner

Office of the President, Human Resources

- (5) *Term Appointment of Sharon A. Duffy as Dean – University Extension, Riverside Campus*

Background to Recommendation

Action under interim authority was requested for the approval of the term appointment of Sharon A. Duffy as Dean – University Extension effective October 1, 2010 through September 30, 2012. The position of Dean – University Extension has been vacant since October 31, 2006. Ms. Duffy has served as Acting Dean – University Extension since October 1, 2007.

It was after careful consideration of the particular facts and circumstances that this request came forward for approval. The acting appointment held by Ms. Duffy ended September 30, 2010, and it was under a sense of urgency that the final

consultations took place to ensure the appropriateness of the request and its conformance to policy, while securing the agreement of the incumbent to continue to serve. A convergence of events preceded this request, including a failed nationwide search in 2007 to fill the position; the assessment of Ms. Duffy's exceptional qualifications, experience, and contributions to UC Riverside in the role of Acting Dean – University Extension; the urgent need to continue Ms. Duffy's leadership role for UC Riverside University Extension; and the decision to plan for a nationwide search in 2011-12 for a permanent successor.

Ms. Duffy possesses strong qualifications for the position; previous recruitment efforts failed to result in a hire; there are no viable candidates better qualified than Ms. Duffy; and there is a strong case for the business necessity of ensuring continuity of leadership during this pivotal period facing the campus and University Extension. Ms. Duffy served on the Strategic Planning Steering Committee and is well versed in the opportunities and challenges that UCR will be facing in the implementation of the campus strategic plan. In addition, Ms. Duffy furthered her involvement in the campus strategic vision by serving as chair of the subcommittee on Community Engagement, one of the four overarching themes that emerged from UCR's strategic planning process. Ms. Duffy has participated in a visible and influential role in the development of the final version of *UCR 2020: The Path to Preeminence*, and is uniquely positioned to lead University Extension into the implementation phase of *UCR 2020*. Under Ms. Duffy's leadership, University Extension developed successful revenue-generating student-based initiatives that are illustrative of the type of leadership direction that University Extension will need to continue in order to implement *UCR 2020* during the next 24 months. It is of critical importance to the campus that the term appointment as Dean – University Extension be approved.

The term appointment of Ms. Duffy was proposed in accordance with UCOP Human Resources Procedure 20 – Recruitment, and local procedures that permit the appointment through a waiver of recruitment in special circumstances consistent with equal opportunity and affirmative action objectives. Prior to the conclusion of the fixed two-year term, the campus plans to conduct a nationwide search in fiscal year 2011-2012. Ms. Duffy brings exceptional qualifications to the position. She received her M.A. and Ph.D. from UC Riverside in Special Education/Educational Psychology. Ms. Duffy's prior leadership experience includes a one-year term as Interim Dean – Graduate School of Education, four years as Associate Dean – Graduate School of Education, and three years as Interim Dean – University Extension. Her leadership experience and the strength of her community network were well established in her former roles of interim dean and associate dean for the Graduate School of Education (GSOE). The exceptional qualifications, experience, and community relationships that Ms. Duffy offers to UC Riverside, in the role of Dean – University Extension, are unique, highly valued, and difficult to recruit. With the appointment of Ms. Duffy as Dean – University Extension, the number of female Senior Management Group

(SMG) members will increase from three to four individuals out of a total of ten SMG positions at UCR.

This position is funded 100 percent from non-State funds. As the acting dean, Ms. Duffy was receiving an annualized stipend of \$52,006, in addition to her adjusted academic base salary of \$131,994, bringing her total compensation to \$184,000. The campus proposed that Ms. Duffy continue to receive an annualized base salary of \$184,000 for her term appointment as the Dean – University Extension. The proposed annual base salary represents a 0 percent increase in her total adjusted compensation and is 5.6 percent above the midpoint for SLCG Grade 105 (Minimum \$138,200, Midpoint \$174,300, Maximum \$210,400). According to Mercer Human Resource Consulting, relying on data from the 2009/2010 College and University Professional Association (CUPA) Administrative Compensation Survey, the proposed base salary is 6.6 percent below the market median of \$196,148 for the Dean, Continuing Education position.

Recommendation

The following items were approved in connection with the term appointment for Sharon A. Duffy as Dean – University Extension, Riverside campus:

- a. Per policy, term appointment of Sharon A. Duffy as Dean – University Extension, Riverside Campus.
- b. Per policy, annual base salary of \$184,000 at SLCG Grade 105 (Minimum \$138,200, Midpoint \$174,300, Maximum \$210,400).
- c. This term appointment is at 100 percent time and is effective October 1, 2010 through September 30, 2012, or until the appointment of a permanent dean, whichever occurs first.

Recommended Compensation

Effective Date: October 1, 2010

Base Salary: \$184,000

Bonus/Incentive: \$0

Total Cash Compensation: \$184,000

Grade Level: SLCG Grade 105

(Minimum \$138,200, Midpoint \$174,300, Maximum \$210,400)

Median Market Data: \$196,148

Percentage Difference from Market: 6.6 percent below market

Funding Source: Non-State Funds

Budget &/or Prior Incumbent Data

Title: Dean – University Extension

Adjusted Academic Base Salary: \$131,994

Administrative Stipend: \$52,006

Total Cash Compensation: \$184,000

Funding Source: Non-State Funds

Additional items of compensation include:

- Per policy, standard pension and health and welfare benefits.
- Per policy, accrual of sabbatical credits as a member of tenured faculty.
- Per policy, ineligible to participate in the Senior Management Supplemental Benefit Program due to tenured faculty appointment

The compensation described above shall constitute the University's total commitment until modified by the Regents and shall supersede all previous oral and written commitments. Compensation recommendations and final actions will be released to the public as required in accordance with the standard procedures of the Board of Regents.

Submitted By: UCR Chancellor White

Reviewed by: President Yudof

Committee on Compensation Chair Varner

Office of the President, Human Resources

(6) ***Appointment of and Total Compensation for Jay Keasling as Associate Laboratory Director, Biosciences, Lawrence Berkeley National Laboratory***

Background to Recommendation

Action under interim authority was requested for the appointment of and total Compensation for \$358,000 for Jay Keasling as Associate Laboratory Director (ALD), Biosciences, Lawrence Berkeley National Laboratory (LBNL).

Reporting to the Laboratory Director, the Associate Laboratory Director, Biosciences, is charged with: coordinating across organizational lines at the Laboratory in spearheading new, large-scale scientific initiatives; assisting the Laboratory Director and Deputy Director in strategic planning exercises; serving as an exemplar of the Laboratory's culture of excellence in science and in safety; facilitating multidisciplinary collaboration within the Laboratory and across the broader research community; helping to raise the public profile of Berkeley Lab and the Department of Energy's National Laboratory system; and, representing the Laboratory before senior program officials in the Department of Energy's Office of Science. The Associate Laboratory Director works collaboratively with other Associate Laboratory Directors, Deputy Laboratory Director, Laboratory Director, and staff to accomplish these missions.

Mr. Keasling is currently the CEO of the Department of Energy's Joint BioEnergy Institute (JBEI). Mr. Keasling was previously the Acting Deputy Laboratory Director, an administrative position he accepted reluctantly and only

as a service to the Laboratory. (Mr. Keasling was never a candidate for the position and has always wanted to return to his scientific activities.) In addition, he was the Scientific Division Director-Faculty of the Physical Biosciences Division. He has over 18 years of scientific experience, is widely respected by the Laboratory, Department of Energy (DOE), Berkeley campus, and the scientific community, and is world renowned for his scientific accomplishments. He has received numerous awards and has been the author of numerous publications, including articles in the journals *Science* and *Nature*. He has superb skills in strategic planning, organization, and management.

The proposed compensation of \$358,000 provides Mr. Keasling the level of compensation he likely would be receiving (assuming a 5 percent per year increase for the years 2007 – 2011) had he remained in his scientific position and not assumed the Acting Deputy Director position. While the proposed compensation would make Mr. Keasling the highest paid of the six Laboratory Associate Laboratory Directors, as explained in this request, the proposed compensation is considered both reasonable and appropriate for the following singular and combined reasons.

Mr. Keasling's scientific preeminence in the field of synthetic biology combined with his international reputation and proven Laboratory leadership make him a critical asset in maintaining the Laboratory's international and national reputation.

- Mr. Keasling's work is considered seminal, particularly for the creation and development of both new drugs and sustainable fuel sources.
- In recognition of his achievements, Mr. Keasling has been elected to the National Academy of Engineering.
- Mr. Keasling has published over 227 papers and articles in peer-reviewed scientific journals.
- Mr. Keasling's work has been cited in prestigious scientific journals at least 3,689 times.
- Mr. Keasling has been honored with numerous national and international awards. In 2006 Discover magazine awarded its first ever Scientist of the Year Award to Jay Keasling. In 2009, Mr. Keasling was awarded the first Biotech Humanitarian Award by the Biotechnology Industry Organization for his successful work to use synthetic biology to develop and distribute and cut the cost of malaria treatment (Artemisinin) by 90 percent. The one million people who die of malaria each year are from the world's poorest countries, and the drastic reduction in the cost of treatment enabled by Mr. Keasling's work will have the effect of saving many additional millions of lives while the drug is in use.
- Mr. Keasling is a frequent speaker at the international level, bringing visibility and recognition to the Regents, the University and the Lawrence Berkeley National Laboratory.
- Mr. Keasling was instrumental in securing the \$500 million Energy Biosciences Institute grant to the UC Berkeley campus.

Mr. Keasling's research funding employs over 175 scientists, post docs and staff plus 45 students; Mr. Keasling's work represents an appreciable percentage of the Laboratory's annual operating budget.

- Mr. Keasling founded and leads one of the Department of Energy's signature initiatives – the Joint BioEnergy Institute – funded at \$135 million through 2012. JBEI is a multi-disciplinary research institute focused on developing and testing new types of sustainable transportation fuels. LBNL has several UC partner institutions participating in work at JBEI, including UC Berkeley, UC Davis, and Lawrence Livermore National Laboratory.
- Mr. Keasling has also secured and oversees substantial grant funding beyond that from DOE, including from the Bill and Melinda Gates Foundation and the National Institutes of Health. Since 1992, Mr. Keasling has brought in at least 159 awards to the Berkeley campus for a total of \$44.3 million.
- In addition to his LBNL roles as a Division Director and head of a major research institute, he is a Professor of Chemical Engineering and Bioengineering and is the Hubbard Howe Distinguished Professor of Biochemical Engineering at the University of California, Berkeley.

Mr. Keasling has become a leading ambassador for science, promoting science in a variety of media venues over the past year, including most recently a profile in *The New Yorker* magazine.

- In the past two years, Mr. Keasling has testified before Congress twice regarding the importance of biological research for health and energy applications.
- Mr. Keasling's national television appearances have showcased the University and the Lawrence Berkeley National Laboratory as a source of science solutions for the world. (Mr. Keasling successfully engaged with Stephen Colbert on the highly viewed Colbert Report.)
- Mr. Keasling's local public appearances include LBNL's Science at the Theater panel presentation last fall on the future of biofuels, a presentation seen by a live audience of more than 600 and an additional 80,000 on UCTV, and scored high in audience surveys.

Mr. Keasling accepted the position of Acting Deputy Director as a service to the Laboratory and should not be penalized for having done so.

- Mr. Keasling generously accepted the Acting Deputy Laboratory Director position as a public service to the Laboratory, but only until a permanent successor could be located. During this period Mr. Keasling has foregone any permanent salary increase.
- The proposed compensation restored Mr. Keasling's compensation to a level commensurate with the salary he would have received had he

remained in his prior scientific position and not agreed to assume the Acting Deputy Director position. (In 2007, Mr. Keasling's salary was \$295,000, before he had built the flagship JBEI group. The average percent increase for highly rated Laboratory scientists over the four-year period was 5 percent per year through FY 11.)

Mr. Keasling's funded research portfolio combined with his nationally recognized reputation make him an ongoing recruitment target of competing institutions.

- Mr. Keasling has recently received several offers from competing institutions: at least two with potential salaries of \$440,000 or higher, and one with a potential startup package of \$12,000,000.
- Providing Mr. Keasling with a fair and competitive salary will greatly assist in retaining Mr. Keasling as Associate Laboratory Director for Biosciences.
- In turn, retaining Mr. Keasling will help ensure the University and the Berkeley Laboratory remains on the leading edge in the highly competitive area of synthetic clean fuels research.

Recommendation

The following items were approved in connection with the appointment of and compensation for Jay Keasling as Associate Laboratory Director, Biosciences, Lawrence Berkeley National Laboratory (LBNL):

- a. Per policy, a base salary of \$358,000 (LBNL Salary Grade N17: Minimum \$268,260, Midpoint \$344,646, Maximum \$421,032) as Associate Laboratory Director, Biosciences, Lawrence Berkeley National Laboratory. This represents an 11.3 percent increase over his current total annualized compensation of \$321,600 as faculty.
- b. This appointment is at 100 percent time and is effective upon approval by the Chair of the Committee on Compensation and the President.

The source of funds for payment of this compensation item is DOE funds as provided under the University's contract with DOE.

Recommended Compensation

Effective Date: Upon approval

Base Salary: \$358,000

Bonus/Incentive: \$0

Total Cash Compensation: \$358,000

Grade Level: LBNL Salary Grade N17

(Minimum \$268,260, Midpoint \$344,646, Maximum \$421,032)

Funding Source: DOE Funds

Budget &/or Prior Incumbent Data**Title:** Associate Laboratory Director, Biosciences**Total Cash Compensation:** \$321,324**Funding Source:** DOE Funds

Additional items of compensation include:

- Per policy, standard pension and health and welfare benefits (including senior management life insurance and executive salary continuation for disability).
- Per policy, continued accrual of sabbatical credits as a member of faculty.
- Per policy, ineligible to participate in the Senior Management Supplemental Benefit Program due to tenured faculty appointment.
- Per policy, eligibility for participation in the University of California Mortgage Origination Program up to the maximum loan amount (currently \$1,330,000). The loan will comply with all normal Mortgage Origination Program parameters.

The compensation described above shall constitute the University's total commitment until modified by the Regents and shall supersede all previous oral and written commitments. Compensation recommendations and final actions will be released to the public as required in accordance with the standard procedures of the Board of Regents.

Submitted by: LBNL Director Alivisatos**Reviewed by:** President Yudof**Committee on Compensation Chair Varner
Office of the President, Human Resources**

- (7) *Interim Re-Slotting, Appointment of and Compensation for Harris A. Lewin Vice Chancellor – Research, Davis Campus*

Background to Recommendation

Action under interim authority was requested for approval of the interim re-slotting, appointment of and compensation for Harris A. Lewin, Ph.D., as Vice Chancellor – Research. This urgent request was in response to the campus' need to make an announcement regarding the selected candidate immediately following word of Regental approval. Following a national search, aided by the search firm of Storbeck/Pimentel & Associates, Mr. Lewin emerged as the most qualified candidate. The campus requested re-slotting of the position from SLCG Grade 109 (Minimum \$214,700, Midpoint \$274,300, Maximum \$333,700) to SLCG Grade 110: (Minimum \$239,700, Midpoint \$307,200, Maximum \$374,500) and a base appointment salary of 370,000.

The Chancellor has challenged UC Davis to transform its research enterprise and increase total research awards to \$1 billion annually. Mr. Lewin is an accomplished researcher and an entrepreneurial leader who will foster partnerships and collaborations with government, industry and other research enterprises. He has 14 years of experience in research administration and has consistently maintained an externally funded research program that has averaged approximately \$1million in direct costs over the past eight years despite his full-time administrative responsibilities. His research program is highly interdisciplinary (genomics, developmental biology, reproductive biology, bioinformatics, immunogenetics) and international in scope. He was Professor of Immunogenetics, with a primary appointment in the Department of Animal Sciences, at the University of Illinois at Urbana – Champaign. Mr. Lewin was the founding Director of the W.M. Keck Center for Comparative and Functional Genomics, a nationally recognized facility that conducts genome research on microbes, plants and animals. He was Director of the Institute for Genomic Biology at the University of Illinois. The mission of the Institute is to explore and find answers to the pressing societal issues in human health, agriculture, the environment and energy use and production. Collaboration is a key component to the research conducted at the Institute.

Mr. Lewin had been at the University of Illinois at Urbana – Champaign since 1984. He held the prestigious Gutgsell Endowed Chair in the College of Agricultural, Consumer and Environmental Sciences. He was elected to the Royal Swedish Academy of Agriculture and Forestry and is an AAAS Fellow.

In collaboration with the Chancellor and the faculty, Mr. Lewin will have responsibility for ensuring the research preeminence of UC Davis. Dr. Lewin will be responsible for building and leading an exceptional administrative team that will provide direction in the following areas: strategic planning; advancement of key research initiatives; and translation of UC Davis research into knowledge and technology of significant public benefit.

As Vice Chancellor – Research, Mr. Lewin will be expected to develop infrastructure and policy that promote creativity and an entrepreneurial culture; provide policies and educational programs that promote a culture of innovation and the highest ethical standards; and communicate to the general public and state, national and international decision makers, the possibilities created by UC Davis research for advancing efforts to enhance the quality of life regionally, nationally and internationally. He will be responsible for exercising leadership at the local, state, national and international levels representing the university to external agencies, serving as a legislative liaison and promoting cooperative research arrangements with governments, industry, foundations, universities and other organizations.

This position is funded 100 percent from State General Funds. The market median base salary for Vice Chancellors – Research is \$329,220 (aged to October 2010) as provided by the College and University Professional Association

(CUPA) Administrative Compensation survey. The candidates that emerged through the search process all reported base salaries that are close to, or over, the maximum of the SLCG Grade 109 salary range, and some reported a base salary above \$400,000. The other finalists for this position have current salaries in their present positions in the range of \$360,000 to \$500,000. The recommended base salary of \$370,000 is 12.4 percent above the market median; however, recruitment for vice chancellors of research is extremely competitive.

Recommendation

The following items were approved in connection with the appointment of and compensation for Harris A. Lewin as Vice Chancellor – Research, Davis campus:

- a. Appointment of Harris A. Lewin as Vice Chancellor – Research, Davis campus.
- b. Interim re-slotting of the position from SLCG Grade 109 (Minimum \$214,700, Midpoint \$274,300, Maximum \$333,700) to SLCG Grade 110 (Minimum \$239,700, Midpoint \$307,200, Maximum \$374,500).
- c. Per policy, an annual base salary of \$370,000.
- d. Per policy, a combined relocation allowance and hiring bonus of 30 percent of base salary (\$111,000). The maximum amount allowable under policy is necessary to offset the housing cost differential that Mr. Lewin will experience as a result of his relocation. Sperling's Best Places cites the cost of housing in Sacramento, California as 58 percent higher than the cost of housing in Champaign, Illinois. This payment will be provided as a single lump-sum or as an annual stream of payments for a period of up to five years. If paid in a lump sum, and Mr. Lewin resigns within five years, the repayment schedule would be as follows: 100 percent if resignation occurs within the first year of employment; 80 percent within the second year of employment; 60 percent within the third year of employment; 40 percent within the fourth year of employment and 20 percent within the fifth year of employment. If paid in annual installments and Mr. Lewin resigns, any unpaid future installments would be forfeited.
- e. Per policy, temporary living assistance for up to 90 days including cost of furnished temporary lodging and reasonable residential parking fees, reimbursed within normal policy limits, up to \$12,000 total. Additionally, meals for the first 30 days of residence in temporary quarters that do not have cooking facilities, reimbursed within normal policy limits. At the discretion of the University, the University may provide a temporary cash allowance, not to exceed \$12,000, to the relocating employee to offset limited housing-related expenses in lieu of reimbursement. This allowance

would be paid through the University payroll system and would be subject to withholding for income and FICA taxes.

- f. Per policy, two house hunting trips, subject to the limitations under policy for the candidate and his spouse/partner.
- g. Per policy, reimbursement of 100 percent of all reasonable moving expenses for the purpose of relocation of the primary residence subject to the current policy guidelines. This move must be completed within one year from the date of appointment in order for it to be nontaxable.
- h. Per policy, eligibility to participate in the Mortgage Origination Program. Participation will comply with all University/Campus normal program parameters.
- i. This appointment is 100 percent time and is effective immediately upon Approval.

Additional items of compensation include:

- Per policy, standard pension and health and welfare benefits (including senior management life insurance and executive salary continuation for disability).
- Per policy, ineligible for participation in the Senior Management Supplemental Benefit Program due to faculty appointment.
- Per policy, accrual of sabbatical credits as a member of tenured faculty.

Recommended Compensation

Effective Date: Upon approval

Base Salary: \$370,000

Relocation Allowance and Hiring Bonus: \$111,000

Total Cash Compensation: \$481,000

Grade Level: Grade 110

(Minimum \$239,700; Midpoint \$307,200; Maximum \$374,500)

Median Market Data: \$329,220

Percentage Difference from Market: 12.4 percent above market

Funding Source: State General Funds

Budget &/or Prior Incumbent Data

Base Salary: \$237,400

Total Cash Compensation: \$237,400

Grade Level: Grade 109

(Minimum \$214,700, Midpoint \$274,300, Maximum \$333,700)

Funding Source: State General Funds

The compensation described above shall constitute the University's total commitment until modified by the Regents and shall supersede all previous oral

and written commitments. Compensation recommendations and final actions will be released to the public as required in accordance with the standard procedures of the Board of Regents.

Submitted By: UCD Chancellor Katehi
Reviewed by: President Yudof
Committee on Compensation Chair Varner
Office of the President, Human Resources

(8) *Appointment of, Re-classification and Compensation for John C. Hemminger as Vice Chancellor – Research, Irvine Campus*

Background to Recommendation

Action under interim authority was requested for the approval of the appointment of John C. Hemminger as Vice Chancellor – Research, effective upon approval. The position had been vacant since the prior incumbent's retirement on July 1, 2010 and therefore requires interim action.

The Vice Chancellor – Research position has fiscal and administrative responsibility for the Office of Research, which supports, facilitates and promotes world-class research at UC Irvine. The Office of Research consists of approximately 325 employees and an operating budget of \$91.4 million, consisting of the Office of Research Administration, the Office of Technology Alliances, the University Laboratory Animal Resources, Research Development, Administrative Operations and Information Technology, and campus research units.

The campus conducted an internal search to capitalize on the existing talents, expertise and insight specific to UC Irvine. The search was led by a 13-member committee with representation from faculty, graduate students and research administration. From this search, Mr. John Hemminger was identified as the top candidate for the Vice Chancellor – Research position.

Mr. Hemminger has demonstrated excellence in administrative leadership through his service as Dean – School of Physical Sciences since 2006 and his prior service as Chair – Department of Chemistry from 1993 to 1996, founding Director of UC Irvine's Institute for Surface and Interface Science from 1987 to 1993, and Chair of the UC Irvine Conflict of Interest Oversight Committee from 2000 to 2003. He also served as the Chair of the Campus Committee on Academic Personnel and was a member of the Science and Technology Panel and National Security Panel of the UC President's Council on the National Laboratories. Extending his administrative service outside UC Irvine, Mr. Hemminger has served since 2003 as the Chair of the Department of Energy Basic Energy Sciences Advisory Committee, which provides advice to the Director of the Department of Energy

Office of Science and to the Associate Director of the Office of Basic Energy Sciences.

Mr. Hemminger is also an internationally known and respected scientist and a longtime UC Irvine faculty member, joining the University in 1978. He is a distinguished professor of Chemistry. Mr. Hemminger's research has been recognized by several awards, including the 2006 American Vacuum Society Medard W. Welch Award for Outstanding Theoretical and/or Experimental Research, the 2004 National American Chemical Society Award, the Arthur W. Adamson Award for Distinguished Service in the Advancement of Surface Chemistry, the 2003 Charles R. Bennett Service Through Chemistry Award for the Orange County region, the 1999 Alexander von Humboldt Senior Scientist Award and the 1986 Distinguished Research Award from the UC Irvine Alumni Association. Mr. Hemminger has been also honored with the National Science Foundation Postdoctoral Fellowship and the Alfred P. Sloan Research Fellowship and has been recognized as a Fellow of the American Chemical Society, the American Physical Society, the American Vacuum Society and the American Association for the Advancement of Science.

Mr. Hemminger's abiding commitment to the excellence of research, his ability to cultivate positive and collaborative relationships with a diverse population and his administrative talents will position him to excel as Vice Chancellor – Research.

This position is funded 100 percent by UC general funds provided by the State. The proposed annual compensation of \$300,000 is 9.4 percent above the midpoint for SLCG Grade 109 of \$274,300; 19.7 percent above the average base salary of \$250,700 for other UC Vice Chancellors of Research; and 9.7 percent below the market median of \$329,220. The proposed reclassification to SLCG Grade 109 aligns the position with comparable internal peers and with the external market. Market data is from the College and University Professional Association (CUPA) Administrative Compensation Survey.

Recommendation

The following items were approved in connection with the appointment of John C. Hemminger as Vice Chancellor – Research, Irvine campus:

- a. Appointment salary of \$300,000 at SLCG Grade 109 (Minimum \$214,700, Midpoint \$274,300, Maximum \$333,700).
- b. This appointment is at 100 percent and is effective upon approval.

Additional items of compensation include:

- Per policy, standard pension and health and welfare benefits and standard

- senior management benefits (including senior management life insurance and executive salary continuation for disability).
- Per policy, ineligible for participation in the Senior Management Supplemental Benefit Program due to tenured academic appointment.

The compensation described above shall constitute the University's total commitment until modified by the Regents and shall supersede all previous oral and written commitments. Compensation recommendations and final actions will be released to the public as required in accordance with the standard procedures of the Board of Regents.

Recommended Compensation

Effective Date: Upon approval

Base Salary: \$300,000

Grade Level: SLCG Grade 109

(Minimum \$214,700, Midpoint \$274,300, Maximum \$333,700)

Median Market Data: \$329,220

Percentage Difference from Market: 9.7 percent below market

Funding Source: UC general funds

Budget &/or Prior Incumbent Data

Base Salary: \$275,000

Grade Level: SLCG Grade 108

Funding Source: UC General Funds

Submitted By: UCI Chancellor Michael V. Drake, M.D.

Reviewed by: President Yudof
Compensation Committee Chair Varner
Office of the President, Human Resources