

Approved

GOVERNANCE COMMITTEE

November 17, 2022

TO THE REGENTS OF THE UNIVERSITY OF CALIFORNIA

1. APPROVAL OF APPOINTMENT OF AND COMPENSATION FOR TRICIA LYALL AS SECRETARY AND CHIEF OF STAFF TO THE REGENTS AS DISCUSSED IN CLOSED SESSION

Recommendation

The Committee recommends approval of the following items in connection with the appointment of and compensation for Tricia Lyall as Secretary and Chief of Staff to the Regents:

- A. Per policy, appointment of Tricia Lyall as Secretary and Chief of Staff to the Regents, at 100 percent time.
- B. Per policy, an annual base salary of \$260,000.
- C. Per policy, eligibility to participate in the UC Employee Housing Assistance Program, subject to all applicable program requirements.
- D. Per policy, standard pension and health and welfare benefits and standard senior management benefits including eligibility for Senior Manager Life Insurance and, after five consecutive years of Senior Management Group service, eligibility for Executive Salary Continuation for Disability.
- E. Per policy, an administrative fund will be established for official entertainment and other purposes permitted by University policy. Adjustments may occur annually as allowed by policy.
- F. Ms. Lyall will comply with the Senior Management Group Outside Professional Activities (OPA) policy and reporting requirements.
- G. This action will be effective on Ms. Lyall's start date, which is estimated to be on or about December 1, 2022.

COMPARATIVE ANALYSIS

Recommended Compensation

Effective Date: December 1, 2022

Annual Base Salary: \$260,000

Incentive Compensation: N/A

Target Cash Compensation:* \$260,000

Prior Career Incumbent Data

Title: Secretary and Chief of Staff to the Regents

Annual Base Salary: \$272,600

Incentive Compensation: N/A

Target Cash Compensation:* \$272,600

*Target Cash Compensation consists of base salary and, if applicable, short term incentive and/or stipend.

**COMPETITIVE ANALYSIS FOR
SECRETARY AND CHIEF OF STAFF TO THE REGENTS
(MRZ: SECRETARY AND CHIEF OF STAFF TO THE REGENTS)**

Percentiles	MARKET REFERENCE ZONE FOR BASE SALARY					Percentiles	MARKET COMPOSITE FOR TARGET CASH COMPENSATION				
	25 th	50 th	60 th	75 th	90 th		25 th	50 th	60 th	75 th	90 th
Market Data	\$247.9k	\$303.6k	\$329.9k	\$369.7k	\$462.3k	Market Data	\$265.1k	\$341.9k	\$384.4k	\$448.3k	\$577.0k
% Difference from Market	4.9%	-14.4%	-21.2%	-29.7%	-43.8%	% Difference from Market	-1.9%	-24.0%	-32.4%	-42.0%	-54.9%

Survey Source: CUPA Administrators in Higher Education Salary Survey, EduComp Executive Salary Survey, and Towers-Watson General Industry Executive Survey

The compensation described above shall constitute the University’s total commitment until modified by the Regents, as applicable under Regents policy, 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.

Background to Recommendation

The Chair of the Board of Regents recommends approval for the appointment of and compensation for Tricia Lyall as Secretary and Chief of Staff to the Regents, at 100 percent time, with a proposed annual base salary of \$260,000 effective upon Ms. Lyall’s start date which is estimated to be on or about December 1, 2022.

This is a Level One Senior Management Group position which requires approval by the Board of Regents.

The previous career incumbent, Anne Shaw, retired from the University in June 2022 and Ms. Lyall was appointed as the Interim Secretary and Chief of Staff to the Regents effective July 1, 2022 to June 30, 2023, or until a new career incumbent is appointed, whichever occurs first.

A competitive recruitment was completed, and Ms. Lyall has been identified as the top candidate from a broad and diverse applicant pool.

Committee vote: Regents Cohen, Drake, Elliott, Leib, Park, Pérez, Reilly, and Sherman voting “aye.”

Board vote: Regents Anguiano, Batchlor, Blas Pedral, Chu, Cohen, Drake, Elliott, Hernandez, Kounalakis, Leib, Makarechian, Matosantos, Park, Pouchot, Reilly, Robinson, and Sherman voting “aye.”

2. APPROVAL OF EXCEPTION FOR MOVING AND RELOCATION EXPENSES FOR BARBARA CEVALLOS AS ASSOCIATE VICE PRESIDENT – SYSTEMWIDE CONTROLLER, OFFICE OF THE PRESIDENT AS DISCUSSED IN CLOSED SESSION

Recommendation

The Committee recommends that the Regents approve the following for Barbara Cevallos as Associate Vice President – Systemwide Controller, Office of the President:

As an exception to policy, extend the period of time to September 30, 2023 for Ms. Cevallos to (1) submit receipts and/or documentation supporting her moving and relocation expenses; (2) sell her former primary residence; and (3) complete her move. This permits the reimbursement of expenses authorized by Regents Policy 7710, Senior Management Group Moving Reimbursement, which are incurred by Ms. Cevallos through September 30, 2023.

Background to Recommendation

The President of the University recommends approval, as an exception to policy, for an extension of the period of time allowed for the submission of receipts and/or documentation for sale of a former primary residence and to complete a move, which will allow reimbursement of relocation and moving expenses for Barbara Cevallos as Associate Vice President – Systemwide Controller, Office of the President, through September 30, 2023.

Ms. Cevallos joined the University on December 20, 2021, and due to family obligations, she is not able to complete the relocation of her primary residence until the latter part of calendar year 2023. Therefore, the extension to complete her relocation and seek reimbursement for associated expenses is being requested.

Under Regents Policy 7710: Senior Management Group Moving Reimbursement, receipts and/or documentation must be submitted within 12 months of the appointee’s start date, the sale of the residence must occur within 12 months of the appointee’s start date, and the appointee’s move should be completed within one year of the date an appointee first reports to the new job. The one-year period for Ms. Cevallos will end on December 20, 2022, and this item recommends an extension through September 30, 2023.

Because this is an exception to policy to extend the period of time for Ms. Cevallos to relocate her primary residence and receive reimbursement for relocation and moving expenses, this action requires approval by the Regents.

Committee vote: Regents Cohen, Drake, Elliott, Leib, Park, Pérez, Reilly, and Sherman voting “aye.”

Board vote: Regents Anguiano, Batchlor, Blas Pedral, Chu, Cohen, Drake, Elliott, Hernandez, Kounalakis, Leib, Makarechian, Matosantos, Park, Pouchot, Reilly, Robinson, and Sherman voting “aye.”

3. **AMENDMENT OF REGENTS POLICY 7102: POLICY ON APPOINTMENT OF CHANCELLORS**

The Committee recommends that the Regents amend Regents Policy 7102 – Policy on Appointment of Chancellors, as shown in Attachment 1.

Committee vote: Regents Cohen, Drake, Elliott, Leib, Park, Pérez, Reilly, and Sherman voting “aye.”

Board vote: Regents Anguiano, Batchlor, Blas Pedral, Chu, Cohen, Drake, Elliott, Hernandez, Kounalakis, Leib, Makarechian, Matosantos, Park, Pouchot, Reilly, Robinson, and Sherman voting “aye.”

4. **APPROVAL OF APPOINTMENT OF AND COMPENSATION FOR CATHERINE REINIS LUCEY, M.D., AS EXECUTIVE VICE CHANCELLOR AND PROVOST, SAN FRANCISCO CAMPUS AS DISCUSSED IN CLOSED SESSION**

Recommendation

The Committee recommends approval of the following items in connection with the appointment of and compensation for Catherine Reinis Lucey, M.D., as Executive Vice Chancellor and Provost, San Francisco campus:

- A. Per policy, appointment of Catherine Reinis Lucey, M.D., as Executive Vice Chancellor and Provost, San Francisco Campus, at 100 percent time.
- B. Per policy, an annual base salary of \$620,000.
- C. Per policy, standard pension and health and welfare benefits and standard senior management benefits including eligibility for senior manager life insurance and,

after five consecutive years of Senior Management Group service, eligibility for executive salary continuation for disability.

- D. Per policy, eligibility to continue to accrue sabbatical credits as a member of the tenured faculty, consistent with academic personnel policy.
- E. Per policy, eligibility to participate in the UC Employee Housing Assistance Program, subject to all applicable program requirements.
- F. Dr. Lucey will comply with the Senior Management Group Outside Professional Activities (OPA) policy and reporting requirements.
- G. This action will be effective on Dr. Lucey’s start date, which is estimated to be on or about January 1, 2023.

COMPARATIVE ANALYSIS

Recommended Compensation

Effective Date: Upon start date which is estimated to be on or about January 1, 2023

Annual Base Salary: \$620,000

Incentive Compensation: N/A

Target Cash Compensation:* \$620,000

Current Career Incumbent Data

Title: Executive Vice Chancellor and Provost

Annual Base Salary: \$517,509

Incentive Compensation: N/A

Target Cash Compensation:* \$517,509

*Target Cash Compensation consists of base salary and, if applicable, short term incentive and/or stipend.

**COMPETITIVE ANALYSIS FOR
EXECUTIVE VICE CHANCELLOR AND PROVOST, SAN FRANCISCO CAMPUS
(MRZ TITLE: EXECUTIVE VICE CHANCELLOR AND PROVOST)**

Percentiles	MARKET REFERENCE ZONE FOR BASE SALARY				
	25 th	50 th	60 th	75 th	90 th
Market Data	\$414.8k	\$487.4k	\$510.3k	\$669.4k	\$784.3k
% Difference	49.5%	27.2%	21.5%	-7.4%	-20.9%

Survey Source: College and University Professional Association (CUPA) Administrators in Higher Education Salary Survey. CUPA reports base salary only.

The compensation described above shall constitute the University's total commitment until modified by the Regents or the President, as applicable under Regents policy, 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.

Background to Recommendation

The President recommends approval of the appointment of and compensation for Catherine Reinis Lucey, M.D., as Executive Vice Chancellor and Provost, San Francisco campus, at 100 percent time, with a proposed annual base salary of \$620,000, effective upon Dr. Lucey's start date, which is estimated to be on or about January 1, 2023. Dr. Lucey will maintain her tenured faculty appointment at zero percent time, without salary.

The current incumbent, Daniel Lowenstein, M.D., will retire from the University at the close of the 2022 calendar year. A competitive recruitment was completed, and Dr. Lucey has been identified as the top candidate from a broad and diverse applicant pool.

This is a Level Two Senior Management Group position. The appointment and compensation require approval by the Regents because the proposed base salary exceeds the current incumbent's base salary by more than ten percent.

Committee vote: Regents Cohen, Drake, Elliott, Leib, Park, Pérez, Reilly, and Sherman voting "aye."

Board vote: Regents Anguiano, Batchlor, Blas Pedral, Chu, Cohen, Drake, Elliott, Hernandez, Kounalakis, Leib, Makarechian, Matosantos, Park, Pouchot, Reilly, Robinson, and Sherman voting "aye."

5. APPROVAL OF SALARY INCREASE FOR JULIE HOOPER AS VICE CHANCELLOR FOR UNIVERSITY DEVELOPMENT AND ALUMNI RELATIONS, BERKELEY CAMPUS AS DISCUSSED IN CLOSED SESSION

Recommendation

The Committee recommends approval of the following items in connection with a market-based salary adjustment for Julie Hooper as Vice Chancellor for University Development and Alumni Relations, Berkeley campus:

- A. Per policy, a 19.7 percent (\$88,036) market-based salary adjustment increasing Ms. Hooper's base salary from \$446,964 to \$535,000 as Vice Chancellor for University Development and Alumni Relations, Berkeley campus, at 100 percent time.

- B. Per policy, continuation of standard pension and health and welfare benefits and standard senior management benefits including eligibility for senior manager life insurance and, after five consecutive years of Senior Management Group service, continued eligibility for executive salary continuation for disability.
- C. Per policy, continuation of eligibility to participate in the Senior Management Group Supplemental Benefit Program, subject to all applicable program requirements.
- D. Per policy, continuation of eligibility to participate in the UC Employee Housing Assistance Program, subject to all applicable program requirements.
- E. Ms. Hooper will continue to comply with the Senior Management Group Outside Professional Activities (OPA) policy and reporting requirements.
- F. This action will be effective December 1, 2022.

COMPARATIVE ANALYSIS

Recommended Compensation

Effective Date: December 1, 2022

Annual Base Salary: \$535,000

Incentive Compensation: N/A

Target Cash Compensation:* \$535,000

Current Compensation

Title: Vice Chancellor for University Development and Alumni Relations, Berkeley Campus

Annual Base Salary: \$446,964

Incentive Compensation: N/A

Target Cash Compensation:* \$446,964

*Target Cash Compensation consists of base salary and, if applicable, short term incentive and/or stipend.

COMPETITIVE ANALYSIS FOR VICE CHANCELLOR FOR UNIVERSITY DEVELOPMENT AND ALUMNI RELATIONS (MRZ TITLE: VICE CHANCELLOR - DEVELOPMENT/UNIVERSITY RELATIONS)

Percentiles	MARKET REFERENCE ZONE FOR BASE SALARY				
	25 th	50 th	60 th	75 th	90 th
Market Data	\$347.1k	\$464.7k	\$491.9k	\$602.6k	\$661.7k
% Difference	54.1%	15.1%	8.8%	-11.2%	-19.1%

Survey Source: CUPA Administrators in Higher Education Salary Survey, Mercer Benchmark Database Survey, and Towers-Watson CDB General Industry Executive Survey. Market data for this position reports base salary only.

The compensation described above shall constitute the University's total commitment until modified by the Regents or the President, as applicable under Regents policy, 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.

Background to Recommendation

The President recommends approval for a 19.7 percent (\$88,036) market-based salary adjustment for Julie Hooper as Vice Chancellor for University Development and Alumni Relations, Berkeley campus, bringing her base salary from \$446,964 to \$535,000, effective December 1, 2022.

This is a Level Two Senior Management Group position. The proposed base salary is between the 60th and 75th percentiles of the Market Reference Zone and would fall within the President's approval authority. However, because the proposed base salary increase is greater than ten percent, Regents Policy requires the next higher authority level to approve the increase, and therefore Regents' approval is required.

This request will better align Ms. Hooper's salary with the guidelines in Regents Policy 7701, Senior Management Group Appointment and Compensation. Additionally, Ms. Hooper is being actively recruited by other institutions of higher education, including a recruitment that resulted in an offer of a base salary over \$1 million. Approval of this request will help ensure her retention at UC Berkeley.

Committee vote: Regents Cohen, Drake, Elliott, Leib, Park, Pérez, Reilly, and Sherman voting "aye."

Board vote: Regents Anguiano, Batchlor, Blas Pedral, Chu, Cohen, Drake, Elliott, Hernandez, Kounalakis, Leib, Makarechian, Matosantos, Park, Pouchot, Reilly, Robinson, and Sherman voting "aye."

Additions shown by underscoring; deletions shown by strikethrough

Regents Policy 7102 – Policy on Appointment of Chancellors

Approved May 15, 1981

Amended January 2008, June 26, 2018, and July 30, 2020*

POLICY SUMMARY/BACKGROUND

The Policy on Appointment of Chancellors facilitates the selection of candidates for Chancellorships by outlining the selection process for search advisory committee membership and the roles and responsibilities of the committee members.

POLICY TEXT

1. The President of the University will ensure that the University has a continuous robust process for identifying promising candidates. This process is included as an important complement to the systematic nationwide search which will be undertaken each time a vacancy occurs.
2. When a vacancy occurs or is imminent, the Board and the President each has a role in the appointment of a new chancellor. A search advisory committee will be formed to advise the appointment. The Committee will consist of:
 - The President of the University, who will serve ex-officio;
 - The Chair of the Board, who will serve ex-officio;
 - Five Regents appointed by the Chair of the Board;
 - Five faculty members appointed by the President of the University;
 - one shall be either the Chair or Vice Chair of the Academic Council;
 - one shall be a faculty member from a campus other than the one that is the subject of the search, chosen from a panel of no less than three nominees submitted by the Academic Senate's Universitywide Committee on Committees; and
 - three shall be campus faculty members chosen from a panel of no less than six nominees submitted by the campus Academic Senate Committee on Committees.
 - A graduate and an undergraduate student appointed by the respective graduate and undergraduate student associations of the campus;
 - An alumni representative appointed by the alumni association of the campus;

- A Foundation representative chosen by the President from a panel of no less than three names submitted by the Campus Foundation; and
 - A staff employee representative of the campus chosen by the President from a panel of no less than three names submitted by the Campus Staff Assembly.
3. The President of the University will meet with the Regent members of the Committee prior to the retention of the search firm and appointment of other members of the Committee to discuss the search process. The President will convene the Committee and ensure that the Committee has a strong balance of skills, background, and experience, and represents the diversity of the University community.
 4. The Committee shall solicit the opinions of a wide variety of groups in the search for candidates. The Committee shall invite faculty and other university stakeholders to submit any number of promising candidates to the Committee for consideration. The Committee will evaluate these nominations and may consider or suggest other names. It shall interview candidates.
 5. The Committee shall be mindful of the University's firm commitment to diversity in the employment of women and minorities in seeking out the most qualified candidates.
 6. After the Committee has completed its process, the President shall meet and discuss the Committee's recommended list of finalists for the position ~~and candidates~~ with the Regent members of the Committee. Throughout the negotiation process with the finalists, the President shall regularly update the Chair and, with the help of the Chair, update the Regent members of the Committee. Once the President has selected a final candidate to bring to the Board for approval, the President shall meet with ~~and then propose a candidate for approval by~~ the Regent members of the Committee to inform them of the candidate, prior to making the recommendation to the Board of Regents for consideration and approval. The President shall notify all non-Regent members of the Committee of the recommendation at an appropriate time.

NO RIGHT OF ACTION

This policy is not intended to, and does not, create any right or benefit, substantive or procedural, enforceable at law or in equity by any party against the University of California or its Board of Regents, individual Regents, officers, employees, or agents.

**Technical Amendments made by the Secretary and Chief of Staff to the Regents per Policy 1000*