

The Regents of the University of California

**COMMITTEE ON EDUCATIONAL POLICY
COMMITTEE ON FINANCE**

January 17, 2008

The Committees on Educational Policy and Finance met jointly on the above date at Covell Commons, Los Angeles campus.

Members present: Representing the Committee on Educational Policy: Regents Allen, Blum, Dynes, Garamendi, Island, Lansing, Marcus, Parsky, Ruiz, and Varner; Faculty Representative Brown, Staff Advisors Brewer and Johansen
Representing the Committee on Finance: Regents Blum, Dynes, Garamendi, Gould, Hopkinson, Island, Kozberg, Parsky, and Preuss; Advisory members Scorza and Croughan, Staff Advisors Brewer and Johansen

In attendance: Regents Pattiz and Schilling; Regent-designate Shewmake, Secretary and Chief of Staff Griffiths, Associate Secretary Shaw, General Counsel Robinson, Chief Investment Officer Berggren, Chief Compliance and Audit Officer Vacca, Provost Hume, Executive Vice Presidents Lapp and Darling, Vice Presidents Beckwith, Dooley, Foley, and Sakaki, Chancellors Bishop, Block, Blumenthal, Fox, Kang, Vanderhoef, and Yang, Acting Chancellor Grey, and Recording Secretary Johns

The meeting convened at 12:50 p.m. with Committee Chair Marcus presiding.

1. APPROVAL OF MINUTES OF PREVIOUS MEETING

Upon motion duly made and seconded, the minutes of the meeting of November 15, 2007 were approved.

2. POLICY ON HIGHER EDUCATION BOND MEASURE INFORMATION AND ADVOCACY IMPLEMENTATION PLANS

The President recommended that the following Policy on Higher Education Bond Measure Information and Advocacy Implementation Plans be adopted and carried out each time a bond measure is proposed for the ballot:

- A. The President will continue to assess the potential support and opposition to any prospective higher education bond measure, and consult with the Chairs of The Regents' Committee on Finance and the Committee on Grounds and Buildings related to these findings.

- B. The General Counsel will review the University's "Legal Guidelines for UC Participation in Ballot Campaigns" to ensure clarity, and provide an overview of these guidelines to the Chancellors, Campus Counsel, and the University's Campus Foundations and Alumni Associations. This review will also include a review of this "Policy on Higher Education Bond Measure Information and Advocacy Implementation Plans" as well as of the Regental Policy on "State Funding of Capital Projects: UC Endorsement of Educational Facilities Bond Measure Campaigns" that was adopted by The Regents in January 2007.
- C. The President will apprise the Chairs of The Regents' Committee on Finance and the Committee on Grounds and Buildings when public education facilities bond measures are introduced in the Legislature and keep them informed regarding the legislation.
- D. Upon passage of the legislation, the President will prepare a Regents' item so the Regents may decide whether to endorse such bond measure.
- E. If the Regents endorse the bond measure, the President will inform the Campus Foundations and Alumni Associations that the Regents have endorsed the bond measure.
- F. Following endorsement of the bond measure by the Regents, the President and other University officials will be authorized to begin an information and education program as permitted by law to explain the impact the bond measure would have on the University of California. The President will inform the Chairs of The Regents' Committees on Finance and Grounds and Buildings on an ongoing basis of the informational materials prepared by the campuses related to the bond measure.
- G. Following endorsement of the bond measure by the Regents, pursuant to the Regental Policy on "State Funding of Capital Projects: UC Endorsement of Educational Facilities Bond Measure Campaigns", the University's auxiliary organizations, including Campus Foundations and Alumni Associations, would then be able to contribute their own privately raised funds in support of a campaign seeking to pass such a bond measure in compliance with applicable campaign disclosure laws.
- H. Any Officer of the Regents or of the University, or any other member of the Senior Management Group of the University who intends to participate in and/or participates in any organization engaged in soliciting funds for or otherwise campaigning for a state bond measure shall:
 - (1) At least 10 days before commencing such participation, deliver to the Chairs of The Regents' Committees on Finance and Grounds and Buildings a signed writing disclosing such intent to participate;

- (2) At least 10 days before commencing such participation, deliver to the Secretary and Chief of Staff to the Regents a signed writing confirming that he or she has read this Regental Policy and understands its requirements;
 - (3) Refrain from pursuing such participation on University time and further refrain from using University facilities and/or resources in support of such participation;
 - (4) Make clear to the organization and to others with whom he or she engages that he or she is not acting in an official University capacity or otherwise acting on behalf of the University; and
 - (5) Within five days of each anniversary of commencing such participation, deliver to the Secretary and Chief of Staff to the Regents a signed writing confirming that he or she at all times has been in compliance with this policy.
- I. Upon notice that a disclosure under Paragraph H., above, has been received, the President shall cause each Campus Foundation to be advised in writing that the employee delivering such disclosure does not represent the University and has no authority to act on its behalf.
 - J. Compliance with this Policy will be assessed through a number of mechanisms, including: ongoing efforts by the General Counsel to ensure an understanding by University employees of the University's legal guidelines for participation in ballot campaigns; regular consultation with the Chairs of The Regents' Committee on Finance and Committee on Grounds and Buildings; and Internal Audit review of the Campus Foundation contributions in support of legislation, and measures taken by University employees to make certain that no University resources are used for campaign purposes.

[Background material was mailed to Regents in advance of the meeting, and copies are on file in the Office of the Secretary and Chief of Staff.]

Executive Vice President Darling explained that this item is an implementation plan for the University's involvement with bond measure campaigns. He indicated that the President, the Provost, the General Counsel, and he all strongly support this plan. He noted that the plan establishes clear disclosure, compliance, and certification requirements for any Officer of the Regents, any Officer of the University, or any senior manager who is involved in any way on his or her own time, without the use of University resources, in raising money for or supporting these bond measure campaigns. Mr. Darling thanked Regent Parsky for his attention to the item. He pointed out that the University itself, beyond the

Regents' endorsement of these measures, is not involved in campaigning. The University may only provide factual information in accordance with the law. This implementation plan will ensure that individuals are informed about the provisions of the law and that the University is fully compliant.

Regent Parsky noted that he worked closely with Executive Vice President Darling, General Counsel Robinson, and the Office of the President on this item.

Regent Kozberg noted that the Chairs of the Committee on Finance and the Committee on Grounds and Buildings also participated in this discussion, and they fully endorse the item.

Upon motion duly made and seconded, the Committee approved the President's recommendation and voted to present it to the Board.

The meeting adjourned at 12:55 p.m.

Attest:

Secretary and Chief of Staff