

THE REGENTS OF THE UNIVERSITY OF CALIFORNIA

September 15, 2011

The Regents of the University of California met on the above date at UCSF–Mission Bay Community Center, San Francisco.

Present: Regents Blum, Crane, De La Peña, Gould, Hallett, Island, Johnson, Kieffer, Lansing, Makarechian, Mireles, Newsom, Pattiz, Pelliccioni, Reiss, Ruiz, Schilling, Torlakson, Varner, Wachter, Yudof, and Zettel

In attendance: Regents-designate Mendelson, Rubenstein, and Stein, Faculty Representatives Anderson and Powell, Secretary and Chief of Staff Kelman, Associate Secretary Shaw, General Counsel Robinson, Chief Investment Officer Berggren, Chief Compliance and Audit Officer Vacca, Provost Pitts, Executive Vice President Brostrom, Chief Financial Officer Taylor, Senior Vice Presidents Dooley and Stobo, Vice Presidents Darling, Lenz, and Sakaki, Chancellors Block, Desmond-Hellmann, Drake, Fox, Leland, White, and Yang, and Recording Secretary Johns

The meeting convened at 12:30 p.m. with Chairman Lansing presiding.

1. APPROVAL OF MINUTES OF PREVIOUS MEETING

Upon motion duly made and seconded, the minutes of the meetings of July 13 and 14 and the meetings of the Committee of the Whole of July 13 and 14, 2011 were approved.

2. REPORT OF THE PRESIDENT

President Yudof presented his report concerning University activities and individuals. Earlier that month, UC Berkeley School of Law Professor Goodwin Liu was sworn in as the newest associate justice of the California Supreme Court. An exemplary education law scholar, Professor Liu has served on the Berkeley law faculty for eight years. President Yudof observed that the University's loss would be a great gain for the State of California, to have someone with Liu's intelligence, accomplishments, integrity, and superb legal mind serving on its Supreme Court. In the long history of the Court, eight other distinguished UC Berkeley faculty and alumni have served as justices.

Catherine Allgor, professor of history and Presidential Chair at UC Riverside, has been nominated by President Obama to the board of trustees of the James Madison Memorial Fellowship Foundation. The Foundation, established by Congress in 1986, promotes the teaching of the Constitution by giving fellowships to secondary school educators, enabling them to get master's degrees in American history, American government, and social studies. The Chair of the UCR Department of History stated that Allgor's nomination is "easily equal to an appointment to a national academy."

Leo Chiang, a lecturer in the Social Documentation M.F.A. program at UC Santa Cruz has been nominated for an Emmy Award for his documentary film, “A Village Called Versailles.” The film is about a small Vietnamese community in the aftermath of Hurricane Katrina. Community members swiftly rebuilt their neighborhood, only to find themselves threatened by a new toxic landfill planned for a site just two miles away. The film has garnered a number of awards.

[The report was mailed to Regents in advance of the meeting, and a copy is on file in the Office of the Secretary and Chief of Staff.]

3. **REPORT OF THE COMMITTEE ON COMPENSATION**

The Committee presented the following from its meeting of September 14-15, 2011:

A. ***Individual Compensation Actions***

(1) ***Change in Total Compensation for Claire Pomeroy as Vice Chancellor – Human Health Sciences and Dean – School of Medicine, UC Davis Health System***

Background to Recommendation

The UC Davis Health System requested approval to increase the total compensation for Claire Pomeroy as Vice Chancellor – Human Health Sciences and Dean – School of Medicine. Funding for her compensation increase comes exclusively from health system clinical revenue.

Dr. Pomeroy participates in the Health Sciences Compensation Plan (HSCP), under the purview of the Academic Personnel group. Her current compensation consists of an annual base salary of \$468,800, plus a negotiated additional compensation “Y” component payment of \$75,000 and a “Z” component negotiated as a true incentive with objectives aligned with the Clinical Enterprise Management Recognition Plan (CEMRP). This request was to increase Dr. Pomeroy’s “Y” payment from \$75,000 to \$195,475 to be in alignment with her UC peers. Per policy, Dr. Pomeroy is a participant only in the HSCP, not CEMRP. In addition, the campus proposed eliminating the “Z” component of the HSCP for Dr. Pomeroy. The “Z” payment is a variable payment based on achievement of annual goals, with a target of 20 percent and a maximum potential award amount of 30 percent of base salary. This action was intended to achieve consistency among Dr. Pomeroy’s role and those of her peers at other UC health systems.

Dr. Pomeroy was appointed Vice Chancellor – Human Health Sciences and Dean – School of Medicine in 2005. In that role, she oversees the UC Davis Health System and its academic, research and clinical programs,

including the School of Medicine, the Betty Irene Moore School of Nursing, the 800-member physician practice group and the UC Davis Medical Center, a 645-bed acute care hospital.

This past year, Dr. Pomeroy oversaw the UC Davis School of Medicine's rise to 37th place among 134 schools of medicine in the United States in an annual ranking based on the amount of National Institutes of Health (NIH) research funds received. The 2010 ranking moves UC Davis School of Medicine 11 places higher than its 2009 ranking and 25 places higher than its 2001 ranking, when it ranked 62nd nationwide. Total NIH funding for the School of Medicine has more than doubled in the past nine years. In 2010, NIH funds reached nearly \$119 million; the total in 2001 was just over \$46 million. NIH funding represents 62 percent of the School's total extramural funding, which in fiscal year 2009-10 reached \$190.4 million.

The School of Medicine successfully renewed three major grants for the Alzheimer's disease Center, the Clinical and Translational Science Center, and the Cancer Center. The Betty Irene Moore School of Nursing has drawn significant initial research funding as it develops its research program aimed at improving health care systems and advancing the health of individuals, families, and communities. In addition, high-impact, collaborative research programs that improve societal health have experienced tremendous growth under Dr. Pomeroy's leadership.

In the area of education, the School of Nursing recruited five faculty members and enrolled its second class of eight Ph.D. students and 25 master's students. The School of Medicine recruited 63 new faculty members, four new chairs and a director of the MIND (Medical Investigation of Neurodevelopmental Disorders) Institute. Both schools utilized a new holistic admissions process and a multiple mini-interview approach to improve the quality and diversity of students. The UC Davis Health System also has successfully reaccredited six of its 56 graduate medical education programs.

UC Davis was the only UC medical center to be recognized by the Leapfrog Group, which ranked the medical center in the top 65 hospitals nationally.

National recognition for and awareness of the UC Davis Health System continues to rise under Dr. Pomeroy's leadership. The UC Davis Medical Center and School of Medicine rank among the top 50 institutions in America, according to an annual *U.S. News and World Report* survey published in July 2011. *U.S. News and World Report* assessed medical schools across the country for both the quality of their research training and primary care training. The current year's rankings place UC Davis

School of Medicine at 42nd for research and 41st for primary care. UC Davis Children's Hospital is among the nation's premiere children's hospitals, as reported in the May 2011 ranking by *U.S. News and World Report*.

Recommendation

The Committee recommended approval of the following items in connection with a change in the total compensation for Claire Pomeroy as Vice Chancellor – Human Health Sciences and Dean – School of Medicine, UC Davis Health System:

- a. Per policy, continuation of an annual base salary of \$468,800 at SLCG Grade 113 (Minimum \$333,900, Midpoint \$431,500, Maximum \$529,100).
- b. Per policy, continued participation in the Health Sciences Compensation Plan (HSCP) with an increase to the “Y” payment from \$75,000 to \$195,475 annually and elimination of the “Z” payment.
- c. This appointment is at 100 percent time and effective upon approval.

Recommended Compensation

Effective Date: Upon approval

Annual Base Salary: \$468,800

Health Sciences Compensation Plan (“Y”): \$195,475

Total Cash Compensation: \$664,275

Grade Level: SLCG Grade 113 (Minimum \$333,900, Midpoint \$431,500, Maximum \$529,100)

50th Percentile Market Data for Base Salary Only: \$549,700

Percentage Difference from 50th Percentile Market Data for Base Salary Only: 14.7 percent below market

75th Percentile Market Data for Base Salary Only: \$818,800

Percentage Difference from 75th Percentile Market Data for Base Salary Only: 42.7 percent below market

50th Percentile Market Data for Total Cash Compensation: \$660,400

Percentage Difference from 50th Percentile Market Data for Total Cash Compensation: 0.6 percent above market

75th Percentile Market Data for Total Cash Compensation: \$923,300

Percentage Difference from 75th Percentile Market Data for Total Cash Compensation: 28.1 percent below market

Funding Source: Non-State funds

Budget &/or Prior Incumbent Data

Title: Vice Chancellor – Human Health Sciences and Dean – School of Medicine

Annual Base Salary: \$468,800

Health Sciences Compensation Plan (“Y”): \$75,000

Health Sciences Compensation Plan (“Z”)*: \$93,760 (at target of 20 percent)

Total Cash Compensation: \$637,560

Grade Level: SLCG Grade 113 (Minimum \$333,900, Midpoint \$431,500, Maximum \$529,100)

Funding Source: Non-State funds

*The “Z” component is a variable payment of the HSCP. Dr. Pomeroy was eligible to receive up to 30 percent of her base salary.

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 to participate in the Senior Management Supplemental Benefits Program due to tenured faculty appointment.
- Per policy, 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: UC Davis Chancellor Katehi

Reviewed by: President Yudof

Committee on Compensation Chair Ruiz

Office of the President, Human Resources

- (2) ***Retention Increase in Salary and Total Compensation for Ann Madden Rice as Chief Executive Officer, UC Davis Medical Center***

Background to Recommendation

The UC Davis Medical Center requested approval of a preemptive retention salary adjustment for Ann Madden Rice as Chief Executive

Officer. Funding for this position will come exclusively from hospital system funds.

The requested annual base salary increase would bring Ms. Rice's base salary plus target award to \$960,000. This request was in response to a recent recruitment effort by a major competing academic medical center. Due to Ms. Rice's outstanding leadership, she is now a finalist for the chief executive officer position at the other institution. It is expected that her salary offer will be in excess of \$1.5 million. The requested increase would take Ms. Rice's base salary from \$584,300 annually to \$800,000 annually. According to Mercer Consulting, the 50th percentile market data indicate a base salary for this position of \$923,800. A review of chief executive officers' compensation at competing institutions shows total compensation packages of over \$1 million. Comparator institutions included Thomas Jefferson University Hospital, University Hospitals Case Medical Center, University of Maryland Medical Center, Kaleida Health/University of Buffalo, and Yale-New Haven Hospital.

Ms. Rice has been the Chief Executive Officer of the UC Davis Medical Center since October 1, 2006. She oversees 6,500 employees who support the operations of an acute care teaching hospital licensed at 613 beds. The Medical Center, which includes primary and specialty clinics in ten communities, has an annual operating budget of more than \$1 billion. It serves a region of six million residents in 33 counties in Northern and Central California and records nearly one million patient visits annually. It is the sole provider of a number of services for inland Northern California, including a Level 1 trauma center, a full-service children's hospital and pediatric emergency department, and a National Cancer Institute-designated Cancer Center.

Under Ms. Rice's leadership, the UC Davis Medical Center leadership and staff continue to achieve exceptional success in patient quality and safety, patient satisfaction, and financial objectives. The UC Davis Medical Center opened its Surgery and Emergency Services Pavilion in August 2010; it is the largest, most complex and far-reaching building project UC Davis has ever undertaken. The expansion of the Medical Center combines the latest in technological advances with a focus on patient care. The UC Davis Medical Center is the only UC medical center to receive national recognition from the Leapfrog Group as a top hospital. It has received top rankings locally and nationally for its specialty services and for its advanced use of electronic health records. UC Davis Children's Hospital also received top rankings for the first time. The Medical Center achieved Healthcare Information and Management Systems Society (HIMSS) Analytics Stage 6 for its advanced implementation of electronic health records, joining the top three percent of the hospitals that have earned this distinction. It also has been honored for its commitment to

diversity: the Institute for Diversity in Health Management recognized the Medical Center as “best in class” for strengthening its diverse workforce and for delivering culturally and linguistically competent care. The Human Rights Campaign Foundation honored the Medical Center as a leader in health care equality for lesbian, gay, bisexual, and transgender patients and employees.

Patient satisfaction scores have increased over the past four years. Despite the lack of County funding for acute and ambulatory patients and the decline in funding for mental health in Sacramento County, operating income for the period ending May 2011 exceeded the approved budget by approximately \$47 million with actual expenses approximately \$27.48 million under budget.

Ms. Rice is highly regarded within her professional community. She has received the Senior Level Healthcare Executive Award from the Association of Healthcare Leaders. She is on the Executive Board and the Finance Committee of the University Health System Consortium and on the Board of the Hospital Council of Northern California. Most recently, she was elected alternate delegate to the American Hospital Association’s Regional Policy Board from District 9. She is currently chair of the Sacramento Area Commerce and Trade Organization, the Sacramento Region’s economic development group.

These achievements are a testament to Ms. Rice’s exceptional management skills. Retaining such an accomplished leader is critical to the mission of the UC Davis Health System, particularly with the challenges and uncertainties of health care reform.

Recommendation

The Committee recommended approval of the following items in connection with a retention increase in salary and total compensation for Ann Madden Rice as Chief Executive Officer, Medical Center, Davis campus:

- a. Per policy, an adjustment to the base salary of \$215,700 for a base salary of \$800,000, SLCG Grade 117 (Minimum \$522,300, Midpoint \$679,000, Maximum \$835,800). This adjustment to base salary is to be effective upon approval and consistent with the withdrawal of Ms. Rice’s candidacy in the outside recruitment effort.
- b. Per policy, continued eligibility for additional non-base building incentive compensation as an eligible participant in the Clinical Enterprise Management Recognition Plan with an annual target

award of 20 percent of base salary and a maximum potential award of 30 percent of base salary. Actual award will be determined based on performance against pre-established goals and objectives.

- c. Per policy, continued annual automobile allowance of \$8,916.
- d. Per policy, a five percent monthly contribution to the Senior Management Supplemental Benefit Program.
- e. This appointment is at 100 percent time.

Recommended Compensation

Effective Date: Upon approval

Base Salary: \$800,000

CEMRP (at 20 percent target rate): \$160,000

Total Cash Compensation: \$960,000

Grade Level: SLCG Grade 117 (Minimum \$522,300, Midpoint \$679,000, Maximum \$835,800)

Funding Source: Non-State funds

	BASE SALARY MARKET REFERENCE ZONE					TOTAL CASH MARKET REFERENCE ZONE				
Percentiles	25th	50th	Mean	75th	90th	25th	50th	Mean	75th	90th
Market Data	\$791.1	\$923.8	\$916.5	\$1,036M	\$1,210M	\$851.0	\$1,150M	\$1,205M	\$1,523M	\$1,886M
% Difference from Market	1.1%	-13.4%	-14.6%	-22.8%	-33.9%	12.8%	-16.5%	-20.3%	-37.0%	-49.1%

Budget &/or Prior Incumbent Data

Title: Chief Executive Officer, Medical Center

Base Salary: \$584,300

CEMRP (at 20 percent target rate): \$116,860

Total Cash Compensation: \$701,160

Grade Level: SLCG Grade 117 (Minimum \$522,300, Midpoint \$679,000, Maximum \$835,800)

Funding Source: Non-State 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).

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: UC Davis Chancellor Katehi
Reviewed by: President Yudof
Committee on Compensation Chair Ruiz
Office of the President, Human Resources

- (3) ***Retention Increase, Reclassification, and Interim Slotting for John A. Heydt as Senior Associate Dean for Clinical Affairs and President and Chief Executive Officer for University Physicians and Surgeons, Irvine Campus***

Background to Recommendation

Approval was requested for the retention increase, reclassification, and interim slotting for John A. Heydt, Senior Associate Dean for Clinical Affairs and President and Chief Executive Officer (CEO) for University Physicians and Surgeons (UPS), Irvine campus. The requested amount is an increase of \$74,975 (16.7 percent) in total potential cash compensation. Funding would come exclusively from non-State funds.

Since 2005, Dr. Heydt has excelled in leadership, consensus building, and strategic vision development. He has received a competitive offer from a premier institution in Florida. Because it is crucial to the stability of UC Irvine Health Sciences that his talents and experience be retained, approval was requested for a retention increase, reclassification, and interim slotting of his position into the Senior Leadership Compensation Group (SLCG).

The Senior Associate Dean for Clinical Affairs and President and CEO has ultimate responsibility for UPS attaining its mission in accordance with its guiding principles. The position encompasses all oversight and management of UPS clinical activities such as strategic planning, administration, information systems, provider relations, credentialing, eligibility, claims and finance, contracting, productivity standards, and operations. The incumbent is expected to lead the organization while building consensus among the group practice physicians to advance their professional and economic interests and improve their ability to care for patients.

The campus also requested a reclassification of the position from an academic title into a Manager and Senior Professional (MSP) title. The Senior Associate Dean for Clinical Affairs and President and CEO of UPS position requires deep and broad experience similar to that required for

other high-level positions associated with the medical center. The campus requested that this position be aligned to the market (SLCG Grade 113). The position is comparable to a position at its peer institution of UC San Diego, specifically the Dean of Clinical Affairs position, which is a Senior Management Group position slotted in SLCG Grade 115.

Dr. Heydt has extensive management experience at high-quality academic medical organizations where he has served as chief executive officer, medical director, chief quality officer, and director. In addition, he is a Board-certified sports medicine physician with more than 20 years of experience working with all levels of athletes, including children, adolescents, Olympic athletes, and professional elites.

This position is funded 100 percent by medical group operating revenue. Dr. Heydt's current total annual compensation of \$450,000 consists of a base salary of \$104,300, a "prime" addition to base salary of \$31,300, and a negotiated amount of \$314,400. UC Irvine proposed a base salary of \$456,500, which is 5.8 percent above the proposed SLCG Grade 113 midpoint of \$431,500, 17 percent below the \$550,000 base salary of the Dean of Clinical Affairs at UC San Diego, 15.5 percent below the 50th percentile market base salary of \$539,920, and 35.9 percent below the 75th percentile market base salary of \$712,600. The proposed base salary and eligibility to participate in the Clinical Enterprise Management Recognition Plan with an annual target award of 15 percent of base salary would result in total annual cash compensation of \$524,975.

Recommendation

The Committee recommended approval of the following items in connection with the retention increase, reclassification, and interim slotting of John A. Heydt into a Manager and Senior Professional (MSP) title slotted in the Senior Leadership Compensation Group (SLCG) as Senior Associate Dean for Clinical Affairs and President and Chief Executive Officer for University Physicians and Surgeons, Irvine campus:

- a. Per policy, a retention increase of 16.7 percent to total annual cash compensation with an annual base salary of \$456,500 (SLCG Grade 113: Minimum \$333,900, Midpoint \$431,500, Maximum \$529,100).
- b. Per policy, eligibility to participate in the Clinical Enterprise Management Recognition Plan (CEMRP), with an annual target award of 15 percent of base salary (\$68,475) and maximum potential award of 25 percent of base salary (\$114,125). Actual payout will depend upon performance.

- c. This appointment is at 100 percent time.
- d. Effective upon approval.

Recommended Compensation**Effective Date:** Upon approval**Base Salary:** \$456,500**CEMRP (at 15 percent target rate):** \$68,475**Total Cash Compensation:** \$524,975**Grade Level:** SLCG Grade 113 (Minimum \$333,900, Midpoint \$431,500, Maximum \$529,100)**50th Percentile Market Base Salary:** \$539,920**Percentage Difference from 50th Percentile Market Base Salary:**
15.5 percent below market**75th Percentile Market Base Salary:** \$712,600**Percentage Difference from 75th Percentile Market Base Salary:**
35.9 percent below market**Funding Source:** Non-State funds**Budget &/or Prior Incumbent Data****Job Title:** Senior Associate Dean for Clinical Affairs; President and Chief Executive Officer for University Physicians and Surgeons**Base Salary:** \$104,300**Health Sciences Base Prime (HSCP):** \$345,700**Total Cash Compensation:** \$450,000**Grade Level:** Clinical faculty appointment – not slotted in SLCG**Funding Source:** Non-State funds

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 in accordance with the standard procedures of the Board of Regents.

Submitted by:	UC Irvine Chancellor Drake
Reviewed by:	President Yudof
	Committee on Compensation Chair Ruiz
	Office of the President, Human Resources

(4) ***Market-Based Salary Adjustment for Katharine “Posie” Carpenter as Chief Administrative Officer, Santa Monica – UCLA Orthopaedic Hospital, UCLA Hospital System, Los Angeles Campus***

Background to Recommendation

Approval was requested for a 21.8 percent market-based salary adjustment for Katharine “Posie” Carpenter, Chief Administrative Officer, Santa Monica – UCLA Orthopaedic Hospital, UCLA Hospital System, Los Angeles campus, effective upon approval. The funding source for this increase will come from UCLA Hospital System funds; no State monies are involved.

According to market data provided by Mercer Consulting, using the Council of Teaching Hospitals and Health Systems Custom Analysis survey, Ms. Carpenter’s current base salary of \$266,805 is 18.9 percent below the market median of \$328,900 for a chief operating officer in institutions with net revenue in excess of \$300 million. The campus proposed a salary increase of 21.8 percent to bring Ms. Carpenter’s annual base salary to \$325,000. The proposed base salary is 1.2 percent below the market median of \$328,900 and 27 percent below the 75th percentile market base salary of \$445,000.

As Chief Administrative Officer for the Santa Monica – UCLA Orthopaedic Hospital, Ms. Carpenter oversees the daily delivery of care and operations in a matrix organization with 1,600 employees. Her responsibilities include overseeing a budget in excess of \$300 million. Over the past two years, the hospital’s scope of patient services has increased as medical specialties have migrated into this facility. With the opening of new hospital buildings, anticipated in early 2012, the census is expected to continue to grow by four percent annually.

Ms. Carpenter was appointed Chief Administrative Officer in 2005 and has been instrumental in guiding the hospital toward its continued expansion and increased community involvement. She played a key role in preparations for the hospital’s accreditation surveys for patient care, pharmacy, and laboratory functions. She works closely with the hospital system senior leadership to implement the organizational culture across facilities, ensuring consistency, accountability and oversight with intensified focus on patient quality outcomes.

Recommendation

The Committee recommended approval of the following items in connection with the market-based salary adjustment for Katharine “Posie”

Carpenter as Chief Administrative Officer, Santa Monica – UCLA Orthopaedic Hospital, UCLA Hospital System, Los Angeles campus:

- a. Continued appointment of Katharine “Posie” Carpenter as Chief Administrative Officer at 100 percent time.
- b. Per policy, a market-based salary adjustment of 21.8 percent for an annual base salary of \$325,000 at SLCG Grade 109 (Minimum \$214,700, Midpoint \$274,300, Maximum \$333,700).
- c. Per policy, continued participation in the Clinical Enterprise Management Recognition Plan (CEMRP) with a target award at the rate of 15 percent of base salary (\$48,750) and a maximum potential award of up to 25 percent of base salary (\$81,250). Actual award will depend on performance against pre-established goals and objectives.
- d. Per policy, a five percent monthly contribution to the Senior Management Supplemental Benefit Program.
- e. Effective upon approval.

Recommended Compensation

Effective Date: Upon approval

Base Salary: \$325,000

CEMRP (at 15 percent target rate): \$48,750

Total Cash Compensation: \$373,750

Grade Level: SLCG Grade 109 (Minimum \$214,700, Midpoint \$274,300, Maximum \$333,700)

Funding Source: Non-State funds

Percentiles	BASE SALARY MARKET REFERENCE ZONE **					TOTAL CASH MARKET REFERENCE ZONE**				
	25th	50th	Mean	75th	90th	25th	50th	Mean	75th	90th
Market Data	\$246.4	\$328.9	\$351.3	\$445.0	\$563.0	\$296.4	\$368.2	\$404.0	\$489.4	\$670.4
% Difference from Market	31.9%	-1.2%	-7.5%	-27.0%	-42.3%	26.1%	1.5%	-7.5%	-23.6%	-44.2%

Budget &/or Prior Incumbent Data

Title: Chief Administrative Officer

Base Salary: \$266,805

CEMRP (at 15 percent target rate): \$40,021

Total Cash Compensation: \$306,826

Grade Level: SLCG Grade 109 (Minimum \$214,700, Midpoint \$274,300, Maximum \$333,700)

Funding Source: Non-State funds

Additional items of compensation include:

- Per policy, continuation of standard pension and health and welfare benefits and standard senior management benefits (including senior management life insurance and executive salary continuation for disability).

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: UCLA Chancellor Block
Reviewed by: President Yudof
Committee on Compensation Chair Ruiz
Office of the President, Human Resources

- (5) *Market-Based Salary Adjustment for Heidi Crooks as Senior Associate Director of Operations and Patient Care Services, Chief Nursing Officer, UCLA Hospital System, Los Angeles Campus*

Background to Recommendation

Approval was requested for a market-based salary adjustment of 21.8 percent for Heidi Crooks, Senior Associate Director of Operations and Patient Care Services, Chief Nursing Officer, UCLA Hospital System, Los Angeles campus, effective upon approval. The source of funding for this position will come exclusively from UCLA Hospital System funds; no State monies are involved.

Ms. Crooks' current base salary of \$266,800 reflects a market lag of 5.1 percent when compared to the 2010 market median salary of \$281,000 for a top nursing executive. Market data are provided by Mercer Consulting, using the Council of Teaching Hospitals and Health Systems Custom Analysis survey. The salaries of the UC incumbents in this role have been aligned with the market and have historically been paid relative to the size and scope of their respective portfolios. Specifically, for grade designation and salary purposes, the comprehensive scope of the UCLA Hospital System has supported placement above the midpoint of the range. Additionally, Ms. Crooks currently lags her UCSF counterpart by 7.2 percent. Maintaining salary alignment between these comparable positions is appropriate. Therefore, an equity increase of 21.8 percent is recommended for Ms. Crooks to bring her salary from \$266,800 to \$325,000, effective upon approval. The proposed base salary of \$325,000

is 15.7 percent above the market median of \$281,000 and 2.2 percent above the 75th percentile market base salary of \$318,000.

As Chief Patient Care Services Officer and Chief Nursing Officer for the UCLA Hospital System, Ms. Crooks oversees the clinical delivery of care by 3,000 employees and has responsibility for a budget in excess of \$300 million. Ms. Crooks has held the Senior Associate Director of Operations and Patient Care Services, Chief Nursing Officer position for more than 20 years and her demonstrated leadership, both internally at the University and throughout the country, has allowed the UCLA Hospital System to excel in areas related to staff engagement and service.

It should be noted that Ms. Crooks' portfolio is significantly greater relative to her colleagues in the system, including three separately accredited hospitals, oversight of patient care at all UCLA sites, and ancillary support for hospital operations. Ms. Crooks oversees pharmacy operations with a budget well over \$100 million. She is also responsible for the clinical activities of rehabilitation services (physical/occupational therapies) and respiratory therapy. Further, her oversight of child development services has expanded to include multiple sites and disciplines.

Recommendation

The Committee recommended approval of the following items in connection with the market-based salary adjustment for Heidi Crooks as Senior Associate Director of Operations and Patient Care Services, Chief Nursing Officer, UCLA Hospital System, Los Angeles campus:

- a. Continued appointment of Heidi Crooks as Senior Associate Director of Operations and Patient Care Services, Chief Nursing Officer at 100 percent time.
- b. Per policy, a market based salary adjustment of 21.8 percent for an annual base salary of \$325,000 at SLCG Grade 109 (Minimum \$214,700, Midpoint \$274,300, Maximum \$333,700).
- c. Per policy, continued participation in the Clinical Enterprise Management Recognition Plan (CEMRP) with a target incentive award of 15 percent of base salary (\$48,750) and a maximum potential award of 25 percent of base salary (\$81,250). Actual award will depend on performance against pre-established goals and objectives.
- d. Per policy, a five percent monthly contribution to the Senior Management Supplemental Benefit Program.

e. Effective upon approval.

Recommended Compensation

Effective Date: Upon approval

Base Salary: \$325,000

CEMRP (at 15 percent target rate): \$48,750

Total Cash Compensation: \$373,750

Grade Level: SLCG Grade 109 (Minimum \$214,700, Midpoint \$274,300, Maximum \$333,700)

Funding Source: Non-State funds

Percentiles	BASE SALARY MARKET REFERENCE ZONE **					TOTAL CASH MARKET REFERENCE ZONE**				
	<u>25th</u>	<u>50th</u>	<u>Mean</u>	<u>75th</u>	<u>90th</u>	<u>25th</u>	<u>50th</u>	<u>Mean</u>	<u>75th</u>	<u>90th</u>
Market Data	\$237.7	\$281.0	\$279.3	\$318.0	\$351.0	\$270.2	\$310.1	\$318.8	\$364.3	\$426.7
% Difference from Market	36.7%	15.7%	16.4%	2.2%	-7.4%	38.3%	20.5%	17.2%	2.6%	-12.4%

Budget &/or Prior Incumbent Data

Title: Senior Associate Director of Operations and Patient Care Services, Chief Nursing Officer

Base Salary: \$266,800

CEMRP (at 15 percent target rate): \$40,020

Total Cash Compensation: \$306,820

Grade Level: SLCG Grade 109 (Minimum \$214,700, Midpoint \$274,300, Maximum \$333,700)

Funding Source: Non-State funds

Additional items of compensation include:

- Per policy, continuation of standard pension and health and welfare benefits and standard senior management benefits (including senior management life insurance and executive salary continuation for disability).

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: UCLA Chancellor Block

Reviewed by: President Yudof

Committee on Compensation Chair Ruiz

Office of the President, Human Resources

(6) ***Market-Based Salary Adjustment for Sheila E. Antrum as Chief Nursing and Patient Care Services Officer, UCSF Medical Center, San Francisco Campus***

Background to Recommendation

UCSF Medical Center sought approval for a 27.6 percent increase in annual base salary for Sheila Antrum as Chief Nursing and Patient Care Services Officer, UCSF Medical Center. The requested increase from \$250,000 to \$319,000 rolls an existing stipend into base salary, provides for a salary level reflective of the market, and addresses pay compression issues related to the UCSF Chief Pharmacy Officer and UCSF Associate Chief Nursing Officer positions, which both report to Ms. Antrum. This change would be effective upon Regental approval. Funding for the proposed salary increase would come exclusively from medical center revenues and would not include general funds provided by the State or student fee revenues.

Since 2009, Ms. Antrum has been receiving a stipend approved by the Regents in recognition of the fact that she assumed responsibility for oversight of Pharmacy and Perioperative Services and has demonstrated exemplary leadership in those areas over the past two years. The scope of her additional duties includes budgetary oversight of \$250 million with 789 full-time equivalent employees. This represents a staff increase of more than 50 percent and a 103 percent increase in operating budget oversight compared to her position prior to receiving the stipend. Below is a summary of the prior Regental approvals related to this request:

- May 6, 2009 – the original annual 15 percent stipend (\$37,500) was approved by the Regents to increase Ms. Antrum's annual salary of \$250,000 to \$287,500, retroactive to February 1, 2009 through December 31, 2009.
- November 19, 2009 – A request was submitted for approval to increase Ms. Antrum's annual base salary from \$250,000 to \$287,500 (rolling the stipend into annual base salary), along with a promotion. While the promotion was approved on November 19, 2009, with re-slotting to SLCG Grade 110, the annual base salary (\$250,000) plus the stipend (\$37,500) were approved without change, through December 31, 2010.
- January 12, 2011 – the Regents approved a stipend extension, effective January 1, 2011 through June 30, 2011.

- May 18, 2011 – the Regents approved a stipend extension, effective July 1, 2011 through December 31, 2011.

Since the first implementation of the stipend, effective February 1, 2009, two actions have affected the current annual base salary rate of \$250,000, resulting in this salary adjustment request:

- New UCSF Chief Pharmacy Officer: UCSF is currently recruiting for a new Chief Pharmacy Officer with a proposed salary level up to \$250,000 (non-Senior Management Group). This position will report to Ms. Antrum. The Chief Nursing Officer position will experience extreme compression against the Chief Pharmacy Officer position as both positions will be leveled at an annual base salary rate of \$250,000.
- UCSF Associate Chief Nursing Officer: An additional compression issue exists between Ms. Antrum's annual base salary and that of the UCSF Associate Chief Nursing Officer, a direct report to Ms. Antrum, whose annual base is \$224,500 (non-Senior Management Group). When the Associate Chief Nursing Officer received an equity increase of three percent, effective November 1, 2010, Ms. Antrum received no increase to maintain parity and, thus, the equity action created salary compression between the two positions.

Ms. Antrum has served as the UCSF Chief Nursing and Patient Care Services Officer since October 2007. She has overall responsibility for the nursing practices provided within the organization, including UCSF Medical Center at Parnassus and Mount Zion, UCSF Children's Hospital, Home Care, and Ambulatory Services. In addition to nursing services, her responsibilities include pharmacy, perioperative services, case management/social work, respiratory care, and clinical nutrition services. She serves on the Medical Center's Executive Medical Board and the Governance Advisory Council, chairs the Committee on Interdisciplinary Practice, and is an integral member of medical center and campus-wide committees within the organization.

Ms. Antrum received her Master of Health Services Administration (MHSA) at the University of Michigan School of Public Health in Ann Arbor, Michigan, and her bachelor of science degree in nursing from the Hampton Institute in Virginia. She has given many university and nursing forum lectures and served on a variety of committees and taskforces at both UC San Diego and UCSF. Ms. Antrum is a member of the American Organization of Nurse Executives, Beacon Leadership Council, and Sigma Theta Tau.

The proposed base salary of \$319,000 is 13.5 percent above the 50th percentile market base salary of \$281,000, 0.31 percent above the 75th percentile market base salary of \$318,000, and 3.8 percent above the SLCG Grade 110 midpoint of \$307,200.

Recommendation

The Committee recommended approval of the following items in connection with the market-based salary adjustment for Sheila E. Antrum as Chief Nursing and Patient Care Services Officer, UCSF Medical Center, San Francisco campus:

- a. Per policy, a 27.6 percent increase (\$69,000) resulting in a base salary of \$319,000, SLCG Grade 110 (Minimum \$239,700, Midpoint \$307,200, Maximum \$374,500).
- b. Per policy, continued eligibility for additional non-base building incentive compensation as an eligible participant of the Clinical Enterprise Management Recognition Plan (CEMRP) with an annual target award of 15 percent of base salary and a maximum potential award of 25 percent of base salary. Actual award will be determined based on performance against pre-established goals and objectives.
- c. Per policy, a five percent monthly contribution to the Senior Management Supplemental Benefit Program.
- d. Continued appointment at 100 percent time.
- e. Ms. Antrum is currently receiving an annual stipend of \$37,500 until December 31, 2011. This stipend will be discontinued upon receipt of the market-based salary adjustment of \$69,000.

Recommended Compensation

Effective Date: Upon approval

Base Salary: \$319,000

CEMRP (at 15 percent target rate): \$47,850

Total Cash Compensation: \$366,850

Grade Level: SLCG Grade 110 (Minimum \$239,700, Midpoint \$307,200, Maximum \$374,500)

Funding Source: Non-State funds

	BASE SALARY MARKET REFERENCE ZONE					TOTAL CASH MARKET REFERENCE ZONE				
Percentiles	25th	50th	Mean	75th	90th	25th	50th	Mean	75th	90th
Market Data	\$237.7	\$281.0	\$279.3	\$318.0	\$351.0	\$270.2	\$310.1	\$318.8	\$364.3	\$426.7
% Difference from Market	34.2%	13.5%	14.2%	0.31%	-9.1%	35.8%	18.3%	15.1%	0.70%	-14.0%

Budget &/or Prior Incumbent Data**Title:** Chief Nursing and Patient Care Services Officer**Base Salary:** \$250,000**Stipend:** \$37,500**CEMRP (at 15 percent target rate):** \$37,500**Total Cash Compensation:** \$325,000**Grade Level:** SLCG Grade 110 (Minimum \$239,700, Midpoint \$307,200, Maximum \$374,500)**Funding Source:** Non-State 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).

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 Ruiz
 Office of the President, Human Resources

(7) ***Salary Adjustments for Members of the Senior Management Group at Lawrence Berkeley National Laboratory***

Background to Recommendation

On July 27, 2011, the Lawrence Berkeley National Laboratory (LBNL) received approval from the U.S. Department of Energy (DOE) for a salary budget allocation of two percent for federal fiscal year 2012, effective October 1, 2011. The allocation includes 1.5 percent for special adjustments and 0.5 percent for reclassifications and promotions throughout the year.

Additionally, the Laboratory has received approval from the DOE to distribute one percent of the special adjustment fund as an across-the-board pay increase for all LBNL employees on October 1, 2011. The remaining 0.5 percent of the special adjustment fund will be used to address equity or retention issues throughout the year.

As the DOE contractor responsible for managing and operating LBNL, the University is obligated by its contract with DOE to ensure the competitiveness and scientific excellence of LBNL without regard to the University's own financial circumstances. Among the obligations to which the University has committed in the contract is to recruit and retain the best possible scientific and administrative staff to perform the mission assigned by DOE within the level of funding provided by DOE. This is particularly challenging in the vibrant Bay Area science and technology community, where other National Laboratories and successful technology companies regularly attempt to recruit LBNL employees with offers of significantly greater compensation.

Each year LBNL must benchmark its levels of compensation against an approved list of comparator institutions. LBNL compensation is currently 4.7 percent below the market. DOE expects all its National Laboratory contractors, including the University of California, to allocate the level of funding for compensation increases that DOE authorizes on an annual basis. This action by the Regents would fulfill that obligation. Further, this increase would be paid from federal funds that may not be used for other University purposes and that may not be reallocated to supplement compensation increases for non-Senior Management Group employees at LBNL.

Recommendation

The Committee recommended approval of salary adjustments for Senior Management Group members at Lawrence Berkeley National Laboratory, other than the Laboratory Director, as proposed by the Laboratory Director and as presented in the table below.

This measure is in accordance with the approval authority guidelines and the Senior Management Group Salary and Appointment Policy, approved by the Regents at the September 2008 meeting.

All salary increases will be made by the Laboratory with funds provided by the U.S. Department of Energy's two percent salary budget allocated for fiscal year 2012, including 1.5 percent for special adjustments. The effective date of the increases is October 1, 2011.

Those salary increases that are under the authority of the President and Laboratory Director will be reported to the Regents separately.

NAME	JOB TITLE	PREVIOUS BASE SALARY	PERCENT INCREASE	NEW BASE SALARY
Simon, Horst D.	Deputy Laboratory Director	\$334,992	1.0% across-the-board	\$338,342
Krupnick, James T.	Associate Laboratory Director for Operations – Chief Operating Officer	\$326,364	1.0% across-the-board	\$329,628
Fernandez, Jeffrey A.	Management IV – Chief Financial Officer	\$284,892	1.0% across-the-board	\$287,741
Blair, Jeffrey A.	Management III – Laboratory Counsel	\$267,288	1.0% across-the-board 0.5% equity adjustment ¹	\$271,311
Keasling, Jay D.	Associate Laboratory Director for Biosciences	\$357,996	1.0% across-the-board	\$361,576
DePaolo, Donald J.	Associate Laboratory Director for Energy & Environmental Sciences	\$333,996	1.0% across-the-board 0.5% retention adjustment ²	\$339,023
Siegrist, James L.	Associate Laboratory Director for General Sciences	\$290,664	1.0% across-the-board	\$293,571
Yelick, Katherine A.	Associate Laboratory Director for Computing Sciences	\$273,996	1.0% across-the-board 0.5% equity adjustment ³	\$278,120

Except as expressly modified by the Regents above, the University's total compensation commitment for the aforementioned employees remains unchanged. 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: Laboratory Director Alivisatos
Reviewed by: President Yudof
Committee on Compensation Chair Ruiz
Office of the President, Human Resources

¹ 0.5 percent equity adjustment to better align salary with market average of \$328,288 (Pearl Meyer & Partners Executive and Senior Management Survey, Top Legal Counsel aged to 04/01/12 with a three percent aging factor).

² 0.5 percent preemptive retention adjustment to retain unique talent and expertise in high demand from both private and public institutions, particularly those in the petroleum and mining industries.

³ 0.5 percent equity adjustment to better align with Associate Laboratory Director peers.

B. ***Incentive Compensation for Fiscal Year 2010-11 for Marie Berggren as Chief Investment Officer, Vice President for Investments and Acting Treasurer of the Regents, Office of the President***

Background to Recommendation

The Office of the President requested approval of an annual incentive award (\$744,950) for Marie Berggren, Chief Investment Officer (CIO), Vice President for Investments and Acting Treasurer of The Regents. This award for the 2010-11 Plan Year falls under the Office of the Treasurer Annual Incentive Plan, which is funded entirely through investment assets. Assets under management total \$70 billion. For the 2010-11 Plan Year, the Treasurer's Office added approximately \$661 million of value in excess of the benchmark.

Recommendation

The Committee recommended approval of the 2010-11 Office of the Treasurer Annual Incentive Plan award for Marie Berggren as Chief Investment Officer, Vice President for Investments and Acting Treasurer of The Regents. The recommended incentive award of \$744,950 is 159 percent of her base salary of \$470,000. With the foregoing recommended incentive award for the 2010-11 Plan Year, Ms. Berggren's total cash compensation will be \$1,214,950. Consistent with the Annual Incentive Plan document, this award will be payable in three annual payments, with 50 percent paid in the current Plan Year (September 2011), 25 percent paid in the next year (September 2012) and 25 percent paid in the year thereafter (September 2013). The recommended award is greater than what a target award would have been.

Recommended Compensation

Effective Date: Upon approval

Base Salary: \$470,000

Annual Incentive Plan (AIP) Award: \$744,950 (159 percent of base salary)

Total Cash Compensation: \$1,214,950

Funding Source: Non-State funds

Target Compensation

Base Salary: \$470,000

Target AIP Award: \$470,000 (100 percent of base salary)

Total Cash Compensation based on Target AIP Award: \$940,000

Funding Source: Non-State funds

Prior Year Data (2009-10 Plan Year)

Base Salary: \$470,000

AIP Award: \$717,275 (153 percent of base salary)

Total Cash Compensation: \$1,187,275

Funding Source: Non-State funds

The compensation described above shall constitute the University's total commitment regarding incentive compensation 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.

C. ***Incentive Compensation for Fiscal Year 2010-11 for Jack Stobo as Senior Vice President – Health Sciences and Services, Office of the President***

Background to Recommendation

The Office of the President requested approval of an annual incentive award of \$130,500 for Jack Stobo as Senior Vice President – Health Sciences and Services. This award for the 2010-11 Plan Year falls under the Clinical Enterprise Management Recognition Program (CEMRP), which is funded from medical center operating revenues.

Recommendation

The Committee recommended approval of the fiscal year 2010-11 Clinical Enterprise Management Recognition Plan (CEMRP) award for Jack Stobo as Senior Vice President – Health Sciences and Services, Office of the President. The recommended incentive award of \$130,500 is 22.5 percent of base salary. The weighting of Dr. Stobo's recommended award is based 100 percent on the UC Health Sciences and Services system's performance towards its pre-established goals.

Recommended Compensation

Effective Date: Upon approval

Base Salary: \$580,000

CEMRP Award: \$130,500

Percent of Base Salary: 22.5 percent

Total Cash Compensation: \$710,500

Funding Source: Non-State funds

Target Compensation

Base Salary: \$580,000

Target CEMRP Award: \$116,000

Percent of Base Salary: 20 percent

Total Cash Compensation based on Target CEMRP Award: \$696,000

Funding Source: Non-State funds

Prior Year Data (2009-10 Plan Year)

Base Salary: \$580,000

CEMRP Award: \$130,500

Percent of Base Salary: 22.5 percent

Total Cash Compensation: \$710,500

Funding Source: Non-State funds

The compensation described above shall constitute the University's total commitment regarding incentive compensation 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.

D. *Salary Adjustment for A. Paul Alivisatos as Director, Lawrence Berkeley National Laboratory*

Background to Recommendation

On July 27, 2011, the Lawrence Berkeley National Laboratory (LBNL) received approval from the Department of Energy (DOE) for a salary budget allocation of two percent for federal fiscal year 2012, effective October 1, 2011. The allocation includes 1.5 percent for special adjustments and 0.5 percent for reclassifications and promotions throughout the year.

Additionally, the Laboratory has received approval from the DOE to distribute one percent of the special adjustment fund as an across-the-board pay increase for all LBNL employees on October 1, 2011. The remaining 0.5 percent of the special adjustment fund will be used to address equity or retention issues throughout the year.

This item requested approval for including A. Paul Alivisatos, Director of LBNL, in the one percent across-the-board salary increase that is being applied to all Laboratory employees.

As the DOE contractor responsible for managing and operating LBNL, the University is obligated by its contract with DOE to ensure the competitiveness and scientific excellence of LBNL without regard to the University's own financial circumstances. Among the obligations to which the University has committed in the contract is to recruit and retain the best possible scientific and administrative staff to perform the mission assigned by DOE within the level of funding provided by DOE. This is particularly challenging in the vibrant Bay Area science and technology community, where other National Laboratories and successful technology companies regularly attempt to recruit LBNL employees with offers of significantly greater compensation.

Each year LBNL must benchmark its levels of compensation against an approved list of comparator institutions. LBNL compensation is currently 4.7 percent below the market. DOE expects all its National Laboratory contractors, including the University of California, to allocate the level of funding for compensation

increases that DOE authorizes on an annual basis. This action by the Regents would fulfill that obligation. Further, this increase would be paid from federal funds that may not be used for other University purposes and that may not be reallocated to supplement compensation increases for non-Senior Management Group employees at LBNL.

Recommendation

The Committee recommended approval of a one percent salary adjustment for Director A. Paul Alivisatos at the Lawrence Berkeley National Laboratory, as presented in the table below.

This measure is in accordance with the approval authority guidelines and the Senior Management Group Salary and Appointment Policy, approved by the Regents at the September 2008 meeting.

The salary increase for Director Alivisatos will be made by the Laboratory with funds provided by the U.S. Department of Energy's two percent salary budget allocated for fiscal year 2012, including 1.5 percent for special adjustments. The effective date of the increase is October 1, 2011.

The salary increase recommendations for the other Senior Management Group members at Lawrence Berkeley National Laboratory will be presented separately to the Regents for approval.

NAME	JOB TITLE	PREVIOUS BASE SALARY	PERCENT INCREASE	NEW BASE SALARY
A. Paul Alivisatos	Laboratory Director	\$430,500	1.0 % across-the-board	\$434,805

Except as expressly modified by the Regents above, the University's total compensation commitment for Director Alivisatos remains unchanged. 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: President Yudof
Reviewed by: Committee on Compensation Chair Ruiz
 Office of the President, Human Resources

E. ***Term Appointment of and Total Compensation for Barbara Allen-Diaz as Vice President – Agriculture and Natural Resources, Office of the President***

Background to Recommendation

The Office of the President requested approval for the term appointment of and total compensation for Barbara Allen-Diaz as Vice President – Agriculture and Natural Resources (ANR). This term appointment for a period of up to three years

is effective October 1, 2011 through September 30, 2014. This request was in response to the reorganization of the reporting responsibilities of the Division of Agriculture and Natural Resources. This reorganization will better align administrative and programmatic responsibilities to improve organizational effectiveness. Funding for this action would come from State funds that reside in the current Vice President – ANR position.

This request includes an annual base salary of \$280,000, which is 2.1 percent above the midpoint for SLCG Grade 109 (\$274,300). According to market data provided by Mercer Consulting, the proposed base salary of \$280,000 is 4.4 percent below the 50th percentile market base salary of \$292,762 and 14.9 percent below the 75th percentile market base salary of \$328,836. Market data are from the College and University Professional Association (CUPA) 2010-11 data for the dean of agriculture position.

In November 2008, following the resignation of the former Senior Vice President – External Affairs, Vice President – ANR, Daniel M. Dooley agreed to take on the additional responsibilities of the Senior Vice President, and he has served since then in both roles. During this period, each unit retained an individual full-time equivalent employee (FTE) for each position (Senior Vice President in External Relations and Vice President in ANR, which is a unit within Academic Affairs) and each unit paid one-half the costs of Mr. Dooley's 1.0 FTE. Given the ever-increasing importance of the University's external relations needs and the recent incorporation of two additional units into the Division of External Relations, it is no longer feasible for one individual to hold both positions. Senior Vice President Dooley has proposed a reorganization in which he will resign his position as Vice President – ANR, and Ms. Allen-Diaz will succeed him as Vice President, reporting directly to the Provost and Executive Vice President – Academic Affairs. In addition to his title as Senior Vice President, Mr. Dooley will be named Senior Advisor to the President on Agriculture and Natural Resources and will continue to be available to advise Ms. Allen-Diaz, Provost Pitts, and President Yudof on issues related to agriculture and natural resources and the strategic direction of ANR.

Barbara Allen-Diaz is an effective and seasoned leader in the Division of Agriculture and Natural Resources, where she has served as Associate Vice President – Academic Programs and Strategic Initiatives since September 2009 and as Assistant Vice President – Programs since September 1, 2007. She is currently on leave from her position as a tenured faculty member in the College of Natural Resources (CNR) on the Berkeley campus, where she has worked since 1986. She has served in a number of administrative positions in the College, including Division Chair; Chair of the Department of Environmental Science, Policy and Management; Associate Dean and then Executive Associate of CNR; and Acting Dean of the College. Ms. Allen-Diaz is internationally recognized for her work in understanding ecosystem response to grazing in various rangeland ecosystems and has authored more than 160 research articles and presentations.

She is an active participant in her professional society and served on its Board of Directors, in addition to serving on various other government panels.

Recommendation

The Committee recommended approval of the following items in connection with the term appointment of and total compensation for Barbara Allen-Diaz as Vice President – Agriculture and Natural Resources, Office of the President:

- (1) Term appointment of Barbara Allen-Diaz as Vice President – Agriculture and Natural Resources, for up to three years, effective October 1, 2011 through September 30, 2014.
- (2) Per policy, an annual base salary of \$280,000 at SLCG Grade 109 (Minimum \$214,700, Midpoint \$274,300, Maximum \$333,700).
- (3) Per policy, an administrative fund for official business and other purposes permitted by University policy.
- (4) Per policy, continued participation in the UC Home Loan Program, in accordance with all applicable policies.
- (5) This appointment is at 100 percent time.

Recommended Compensation

Effective Date: October 1, 2011

Base Salary: \$280,000

Total Cash Compensation: \$280,000

Grade Level: SLCG Grade 109 (Minimum \$214,700, Midpoint \$274,300, Maximum \$333,700)

50th Percentile Market Data for Base Salary: \$292,762

Percentage Difference from 50th Percentile Market Data for Base Salary:
4.4 percent below market

75th Percentile Market Data for Base Salary: \$328,836

Percentage Difference from 75th Percentile Market Data for Base Salary:
14.9 percent below market

Funding Source: State funds

Budget &/or Prior Incumbent Data

Title: Vice President – Agriculture and Natural Resources

Base Salary: \$320,000

Grade Level: SLCG Grade 109 (Minimum \$214,700, Midpoint \$274,300, Maximum \$333,700)

Funding Source: State 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, 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: Senior Vice President Dooley
Reviewed by: President Yudof
Committee on Compensation Chair Ruiz
Office of the President, Human Resources

Upon motion of Regent Ruiz, duly seconded, the recommendations of the Committee on Compensation were approved, Regents Island and Mireles (2) voting "no."

4. **REPORT OF THE COMMITTEE ON EDUCATIONAL POLICY**

The Committee presented the following from its meeting of September 14, 2011:

Endorsement of the California Cancer Research Act

The Committee recommended that the Regents endorse the California Cancer Research Act (Act), and direct the President to inform University of California constituents and supporters of the Act's benefit to the University, consistent with what is allowable under current State law, Regental policy and Presidential authority.

Upon motion of Regent Reiss, duly seconded, the recommendation of the Committee on Educational Policy was approved.

5. **REPORT OF THE COMMITTEE ON GOVERNANCE**

The Committee presented the following from its meeting of September 14, 2011:

A. Amendment of the Schedule of Reports to the Regents

The Committee recommended that the Schedule of Reports be amended, as shown in Attachment 1.

B. *Appointment of Member to the Investment Advisory Group*

The Committee recommended that, as an exception to policy, Investment Advisory Group member Charles Martin be reappointed to the Investment Advisory Group for a term to begin September 1, 2011 through August 31, 2015.

Upon motion of Regent Varner, duly seconded, the recommendations of the Committee on Educational Policy were approved.

6. **REPORT OF THE COMMITTEE ON GROUNDS AND BUILDINGS**

The Committee presented the following from its meeting of September 13, 2011:

A. *Determination of California Environmental Quality Act (CEQA) Compliance and Approval of Project Elements, California Memorial Stadium Seismic Corrections and West Program Improvements, Berkeley Campus*

Upon review and consideration of the environmental consequences of the proposed action, the Committee reported its:

- (1) Certification of the Final Subsequent Environmental Impact Report for the California Memorial Stadium (CMS) West Project.
- (2) Adoption of the Mitigation Monitoring Reporting Program and Findings.
- (3) Approval of the (1) temporary use of simulated crowd noise at Witter Field, (2) construction, use, and occupancy of the Athletic Service Center, (3) scheduling of one regular season football game for a Friday night, once a season, twice in a four year cycle at CMS, and (4) permanent improvement and related intensified use of Witter Field following completion of the project.

[The Environmental Impact Summary, Mitigation Monitoring and Reporting Program, and CEQA documentation were mailed to the Regents in advance of the meeting, and copies are on file in the Office of the Secretary and Chief of Staff.]

B. *Approval of Preliminary Plans Funding, Student Services Building, Merced Campus*

The Committee recommended that the 2011-12 Budget for Capital Improvements be amended as follows:

Merced: Student Services Building – preliminary plans – \$840,000 to be funded from University funds.

Upon motion of Regent Makarechian, duly seconded, the recommendations of the Committee on Grounds and Buildings were approved.

7. **REPORT OF INTERIM ACTIONS**

Secretary and Chief of Staff Kelman reported that, in accordance with authority previously delegated by the Regents, interim action was taken on routine or emergency matters as follows:

- A. The Chairman of the Board and the Chair of the Committee on Governance approved the following recommendation:

Appointment of Regent to Standing Committee

That Regent Makarechian be appointed to the Committee on Health Services, effective immediately, through June 30, 2012. Regent Makarechian will resign from the Committee on Finance, effective immediately.

- B. The Chairman of the Board, the Chair of the Committee on Finance, and the President of the University approved the following recommendation:

Authorization to Use Taxable Commercial Paper for the University of California's Deposit in the State Agency Investment Fund (SAIF) Pursuant to Government Code Section 16330 as Part of Senate Bill 79

That the Regents authorize inclusion of the use of taxable commercial paper (CP) for a portion of the University of California's \$1 billion deposit in the State Agency Investment Fund (SAIF) pursuant to Government Code Section 16330 as part of Senate Bill 79.

The April 2010 interim action entitled *Authorization to Include Permanent Equipment Financing as an Authorized Use of the Regents' Commercial Paper Program* be amended as follows with the understanding that all other actions related to the April 2010 authorization remain unchanged.

Additions shown by underscoring; deletions shown by strikethrough

- (1) Authorize the removal of limitations on the amount of the Regents' commercial paper (CP) program that is authorized for (1) the interim financing of capital projects and equipment, permanent financing of equipment, and financing of working capital for the teaching hospitals and other working capital needs and (2) standby/interim financing for gift-related projects and (3) use for a portion of a \$1 billion deposit in the State Agency Investment Fund (SAIF) pursuant to Government Code Section 16330 as part of Senate Bill 79. The overall \$2 billion authorized amount of the Regents' commercial paper program will remain unchanged.

- C. The Chair of the Committee on Finance and the President of the University approved the following recommendations:

(1) ***Authorization to Approve and Execute Documents for North Campus Faculty Housing, Santa Barbara Campus***

- a. The President, or designee, after consultation with the General Counsel, be authorized to approve and to execute one or more leases in connection with a faculty for-sale housing project ("Project") for a total of approximately 26 acres of Santa Barbara campus land (the "Project Parcel"), in one or more phases, to one or more nonprofit homeowners associations, on the terms hereinafter set forth, and to designate, describe and subdivide such leasehold interests as may be appropriate to create a common interest residential development under California law, consisting of up to 161 residences for sale to faculty members and staff of the Santa Barbara campus.
- b. The President, or his designee, after consultation with the General Counsel, be authorized to approve and to execute a Declaration of Covenants, Conditions and Restrictions with respect to such subdivision and to approve and execute such other leases, subleases, condominium plans, deeds and related documents as are reasonably necessary for completion and sale of residences on the Project Parcel, said documents to contain the following provisions:
 - i. The duration of such leases shall not exceed 65 years.
 - ii. Each owner of a residence shall pay monthly sublease rent for the land which shall initially not exceed \$200 per residence, subject to annual increases which shall not exceed the greater of the increase in the Consumer Price Index – Urban Wage Earners and Clerical Workers – Los Angeles – Riverside-Orange County or five percent of the previous year's rent.
 - iii. Upon the resale of a residence, the owner shall first offer the residence to the University and to University-related persons in the priority established by the Chancellor of the Santa Barbara campus, at a price that conforms to b.v., below; provided, however, that if no such priority sale occurs during an established restricted sales period, the residence may be sold to a member of the general public, with any subsequent resale to require an offer of the residence to the University and to University-related

persons in the priority established by the Chancellor at a price that conforms to b.v., below.

- iv. The President, or his designee, after consultation with the General Counsel, may extend the terms of the leases referenced above following a determination that such extensions are in the best interests of the University.
 - v. To ensure that the North Campus residences remain affordable by members of the University community, the maximum resale prices by individual owners shall be limited to the lesser of:
 - (a) The fair market value of the residence; or
 - (b) The sum of: (i) the purchase price of the residence paid by the owner, plus (ii) the product of the purchase price of the residence paid by owner and the fractional change in whichever one of the following indices which shall result in the largest product: (x) the Consumer Price Index – Urban Wage Earners and Clerical Workers – Los Angeles – Riverside-Orange County (CPI-W-all items), or (y) the Faculty Salary Index (as published by the University of California Office of Loan Programs), plus (iii) the costs of qualified capital improvements to the residence made by the owner, but only to the extent that each such capital improvement exceeds \$2,500 in cost and was certified by the University at the time such improvement was completed, but which may be limited by a formula that takes into account either depreciation or a determination of the appraised value of such improvements, less (iv) the cost of correcting damage to the residence in excess of normal wear and tear.
 - vi. The aggregate of all loans secured by a residence shall not exceed 95 percent of the amount determined for such residence under b.v (b), above.
- c. The President, or his designee, after consultation with the General Counsel, be authorized to approve and execute amendments to the above referenced documents as may be necessary or appropriate for the management of the Project and such additional documents as may be required or are reasonably necessary to effectuate the

Project, so long as such amendments and additional documents do not materially alter the basic meaning or purposes of the provisions approved by the Regents.

- d. Approval of Recommendations a.- c. above, be determined exempt from the California Environmental Quality Act (CEQA).

(2) ***Authorization to Enter into a Transfer and Disposition Agreement to Terminate the Affiliation with the Great Valley Center***

The President, in consultation with the Office of the General Counsel, be authorized to enter into a Transfer and Disposition Agreement in connection with the termination of the affiliation between the University and the Great Valley Center ("Center"), pursuant to which the University will accept a promissory note in the amount of \$430,746.68 in exchange for the University transferring to the Center certain assets, including active contracts and grants and associated cash accounts received by the University for work being performed by the Center, and all furniture and equipment, including computers and software, located in the Center's offices, and execute all documents necessary in connection with this action.

- D. The Chair of the Committee on Compensation and the Provost of the University, on behalf of the President, approved the following recommendations:

(1) ***Promotional Appointment of and Compensation for David M. Birnbaum as Chief Advisor and Deputy General Counsel, Office of the General Counsel***

Background to Recommendation

The Office of the President requested approval of a promotional appointment of and total compensation for David M. Birnbaum as Chief Advisor and Deputy General Counsel. Funding would include State funds. This request was in recognition of the increased scope and accountability of his role in the Office of the General Counsel (OGC).

When Mr. Birnbaum assumed additional responsibilities as Chief Advisor in addition to his former role as Deputy General Counsel, his title and classification were not changed. As Deputy General Counsel, Mr. Birnbaum's responsibilities were limited to leading a designated legal practice group (Educational Affairs and Campus Services). In his current role of Chief Advisor and Deputy General Counsel, Mr. Birnbaum is the senior advisor in legal strategy across all practice groups within OGC and acts as the point person for substantive subject matter review for all legal issues. Further, Mr. Birnbaum functions on behalf of the General Counsel

upon request or in his absence. He represents the position of the General Counsel on a broad range of policy and legal issues to individuals and groups within the Office of the President, at the campuses, and to external organizations. Mr. Birnbaum's title of Deputy General Counsel did not accurately reflect the nature and scope of his role, nor did it align with other Senior Management Group (SMG) positions of similar scope and complexity.

In the role of Chief Advisor and Deputy General Counsel, Mr. Birnbaum will assume responsibility for a number of critical and time-sensitive projects for the Office of the General Counsel that require immediate attention. This includes strategic planning activities that must occur well in advance of the September meeting of the Board. As a result, interim action was requested.

In March 2008, the Regents approved a job and salary structure for attorneys in the Office of the General Counsel. This structure included designation of a Deputy General Counsel position, current grade of SLCG Grade 108, which would serve as legal and administrative head of one or more of the designated legal practice groups. In May 2009, David M. Birnbaum was appointed Deputy General Counsel – Educational Affairs and Campus Services. The Educational Affairs and Campus Services division handles matters concerning academic freedom, student discipline, political campaigning, Proposition 209, student affairs, Employee Assistance Program (EAP), and research compliance issues. The division also provides legal advice for UC Santa Barbara, UC Merced, and the Division of Agriculture and Natural Resources.

In recognition of his increased role, it was recommended that Mr. Birnbaum be reclassified from SLCG Grade 108 to SLCG Grade 109, and be assigned a new title of Chief Advisor and Deputy General Counsel. A base salary of \$280,000, slotted at SLCG Grade 109 (Minimum \$214,700, Midpoint \$274,300, Maximum \$333,700) was proposed for Mr. Birnbaum, which represents an increase of 12 percent from his current salary of \$250,000. The proposed \$280,000 base salary is 2.1 percent above the SLCG Grade 109 midpoint of \$274,300.

Mr. Birnbaum has been in legal practice for 34 years, the last 28 of which have been within the Office of the General Counsel. In 1983, he began his UC career as University Counsel, serving in the Litigation and Educational Affairs sections for 18 years. In 2001, he was promoted to Group Leader, Educational Affairs. In 2006, he acted as Interim Assistant Deputy General Counsel for the Oakland office for six months during recruitment for the permanent General Counsel. From 2007 until his May 2009 promotion to Deputy General Counsel, Mr. Birnbaum was Interim Lead/Acting Deputy General Counsel – Educational Affairs.

The proposed base salary of \$280,000 is based on recent market data for the Deputy General Counsel, plus a premium of 12 percent for the added responsibilities for the Chief Advisor.

Recommendation

The following items were approved in connection with the promotional appointment of and compensation for David M. Birnbaum as Chief Advisor and Deputy General Counsel in the Office of the General Counsel:

- a. Promotional appointment of David M. Birnbaum as Chief Advisor and Deputy General Counsel in the Office of the General Counsel at 100 percent time.
- b. Per policy, an annual base salary of \$280,000 at SLCG Grade 109 (Minimum \$214,700, Midpoint \$274,300, Maximum \$333,700).
- c. Reclassification of Mr. Birnbaum's position to SLCG Grade 109 (Minimum \$214,700, Midpoint \$274,300, Maximum \$333,700) to reflect the new portfolio of responsibilities and to align with market and internal comparators.
- d. Per policy, a five percent monthly contribution to the Senior Management Supplemental Benefit Program.
- e. Per policy, eligibility to participate in the University of California Home Loan Program, in accordance with all applicable policies.
- f. Effective upon approval.

Recommended Compensation

Effective Date: Upon approval

Base Salary: \$280,000

Grade Level: SLCG Grade 109

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

50th Percentile Market Data: \$261,672

Percentage Difference from 50th Percentile Data: seven percent above market

75th Percentile Market Data: \$303,870

Percentage Difference from 75th Percentile Data: 7.86 percent below market

Funding Source: Common Funds (20 percent), General Funds (20 percent), Campus Recharge to OGC (50 percent), LANS, LLC Research/administrative allocation (ten percent)

Budget &/or Prior Incumbent Data

Title: Deputy General Counsel – Educational Affairs and Campus Services

Base Salary: \$250,000

Grade Level: SLCG Grade 108

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

Funding Source for Fiscal Year 11-12: Common Funds (100 percent)

Additional items of compensation include:

- Per policy, continued standard pension and health and welfare benefits and standard senior management benefits (including senior management life insurance and executive salary continuation for disability).

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: General Counsel Robinson

Reviewed by: President Yudof

Committee on Compensation Chair Ruiz

Office of the President, Human Resources

- (2) *Appointment of and Compensation for Shaun B. Keister as Vice Chancellor – Development and Alumni Relations and President – UC Davis Foundation, Davis Campus*

Background to Recommendation

The Office of the Chancellor requested approval under interim authority for the appointment and compensation of Shaun B. Keister, Vice Chancellor – Development and Alumni Relations and President – UC Davis Foundation, at the Davis campus. Funding for this action would come from gift fee revenue.

Mr. Keister's appointment and compensation was to begin upon approval, but no later than September 6, 2011. Mr. Keister was identified as the most qualified candidate following a national search facilitated by the executive search firm Storbeck/Pimental & Associates. This urgent request was necessary because the campus is in the midst of a major comprehensive campaign and this leadership position is crucial to its success. In addition, because Mr. Keister was a candidate in two other

searches, there was a risk that he could accept an offer from another institution if the University did not act quickly to secure a commitment with him. The campus requested an appointment salary of \$335,000 at SLCG Grade 110 (Minimum \$239,700, Midpoint \$307,200, Maximum \$374,500).

Mr. Keister has over 19 years experience in development and has worked with a broad spectrum of educational, arts, and conservation organizations throughout his career. He most recently served as Associate Vice President for Development at Pennsylvania State University, where he had supervisory responsibility for annual giving, development communications, corporate and foundation relations, donor relations, gift planning, leadership gifts, and research/prospect development. He was actively involved in the launch of *For the Future: The Campaign for Penn State Students*, a \$2 billion fundraising effort under way at Pennsylvania State University. Prior to his appointment at Pennsylvania State University, Mr. Keister served as Vice President for Development Outreach at the Iowa State University Foundation. During his 13-year tenure at the Foundation, he helped develop and launch two major fundraising campaigns, including the most recent, *Campaign Iowa State: With Pride and Purpose*, with an original goal of \$800 million. At both institutions, Mr. Keister gained broad management, strategic planning, and budgeting experience.

Mr. Keister is also active in the Council for Advancement and Support of Education (CASE). He earned his bachelor's degree, with honors and distinction, from Pennsylvania State University and his master's and doctorate degrees from Iowa State University.

The Vice Chancellor – Development and Alumni Relations and President – UC Davis Foundation will report directly to the Chancellor and function as the campus' chief fundraising officer. The incumbent will be responsible for redesigning and directing a comprehensive and dynamic development program that will enable UC Davis to maintain and enhance its reputation on the national and international stage. Four units previously in University Relations – Alumni Relations, Advancement Services, Foundation Accounting and University Development – have been reassigned to report to the Vice Chancellor – Development and Alumni Relations and President – UC Davis Foundation. UC Davis has many achievements of significant interest to the public, and the campus must be even more proactive in communicating these achievements in order to attract the talent, resources, and public support it requires for the next century.

The Davis campus launched its first major comprehensive campaign in 2005 during a time when dwindling State support made private gift giving

increasingly vital. The campaign entered its public phase on October 22, 2010 with a goal of raising over \$1 billion from 100,000 donors by 2014. UC Davis intends to use funds raised through the campaign for student scholarships and financial aid, new endowed chairs and professorships, enriched teaching and research, better patient care, improved facilities, library materials, art and scholarly collections and equipment, and to enable the campus to act on emerging opportunities.

An aggressive, focused campaign is needed to catalyze long-term growth in private support and prepare for a second, larger campaign that the campus intends to launch immediately after the first. It is for the next campaign, as much as for the current, that UC Davis needs a dynamic, engaging, and visionary leader.

This position is funded 100 percent from gift fee revenue. The proposed annual base salary of \$335,000 is 9.1 percent above the 50th percentile market data of \$307,004 and 16.1 percent below the 75th percentile market data of \$399,297.

Recommendation

The following items were approved in connection with the appointment of and compensation for Shaun B. Keister as Vice Chancellor – Development and Alumni Relations and President – UC Davis Foundation, Davis campus:

- a. Per policy, an annual base salary of \$335,000 at SLCG Grade 110 (Minimum \$239,700, Midpoint \$307,200, Maximum \$374,500).
- b. Per policy, a relocation allowance of \$83,750 (25 percent of proposed annual salary). This payment will be distributed in two installments with 50 percent paid in year one (\$41,875) and the other 50 percent (\$41,875) being paid out on September 6, 2012 if Mr. Keister is still employed by the University at that time. If Mr. Keister separates from the University within four years of his appointment, this relocation allowance is subject to the following repayment schedule: 100 percent if separation occurs within the first year; 75 percent if within the second year; 50 percent if within the third year; and 25 percent if within the fourth year.
- c. Per policy, two house hunting trips each, subject to the limitations under policy, for Mr. Keister and his spouse/partner.
- d. Per policy, a temporary housing allowance not to exceed \$12,000 for a period of 90 days to offset limited housing related expenses. If Mr. Keister leaves the University prior to the completion of one

year of service, or accepts an appointment with another University location within 12 months from his initial date of appointment, he will be required to pay back 100 percent of the temporary housing allowance.

- e. Per policy, 100 percent reimbursement of actual and reasonable moving expenses associated with relocating his primary residence.
- f. Per policy, a five percent monthly contribution to the Senior Management Supplemental Benefit Program.
- g. Per policy, an automobile allowance of \$8,916 per year.
- h. This appointment is at 100 percent time.

Recommended Compensation

Effective Date: Upon approval but no later than September 6, 2011

Base Salary: \$335,000

Total Cash Compensation: \$335,000

Grade Level: SLCG Grade 110

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

50th Percentile Market Data: \$307,004

Percentage Difference from 50th Percentile Data: 9.1 percent above market

75th Percentile Market Data: \$399,297

Percentage Difference from 75th Percentile Data: 16.1 percent below market

Funding Source: Gift fee revenue

Budget &/or Prior Incumbent Data

Not available – This is a new position for UC Davis

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, eligibility to participate in the UC Home Loan Program, in accordance with all applicable policies.

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: UC Davis Chancellor Katehi
Reviewed by: President Yudof
Committee on Compensation Chair Ruiz
Office of the President, Human Resources

- (3) *Reemployment of and Compensation for University of California Retired Employee Ronald A. Nelson as Executive Director – Contracts and Administration and as Facility Security Officer, Office of Laboratory Management, Office of the President*

Background to Recommendation

The Office of Laboratory Management requested approval for the reemployment of retired employee Ronald A. Nelson as Executive Director – Contracts and Administration, Office of Laboratory Management and as Facility Security Officer (FSO), Office of the President. This position is funded from non-State funds, specifically Department of Energy (DOE) contract fees earned as UC's partner share at the Lawrence Alamos National Laboratory (LANL) and the Lawrence Livermore National Laboratory (LLNL), and reimbursed costs for Laboratory Management expenses approved by the DOE Contracting Officer at Lawrence Berkeley National Laboratory (LBNL). Mr. Nelson retired from the University effective July 1, 2011 after 30 years with the University. This request was to reemploy Mr. Nelson at a 43 percent time appointment for the period August 1, 2011 through July 31, 2012.

Per University policy 2.325, *Reemployment of UC Retired Employees Into Senior Management Group and Staff Positions*, "Reemployment must be as a result of University need, such as the Retired Employee possesses skills and institutional knowledge that the hiring department cannot otherwise obtain with equal cost effectiveness, the hiring department anticipates a prolonged process for hiring a replacement, or the hiring department anticipates that the retired employee will assist a replacement to acquire necessary skills and knowledge."

Until his retirement, Mr. Nelson had been serving in the position of Executive Director for Contracts Management since 1992. Prior to that, he was Deputy Business Manager for the Lawrence Livermore National Laboratory, Assistant to the Controller and Counsel at the Los Alamos National Laboratory, and Assistant Staff Judge Advocate for Kirtland Air Force Base in Albuquerque, New Mexico. Mr. Nelson possesses skills and institutional knowledge that will be difficult for the Laboratory Management Office to replace in the near term. Mr. Nelson's responsibilities have been identified as having significant impact upon the University and are complex and public in nature.

Mr. Nelson's performance as Executive Director for Contracts Management was exceptional. He is considered the institutional expert on the DOE management and operating contracts, and is highly valued by the Laboratories, the DOE Berkeley Site Office, and across the DOE complex. His contributions to the ongoing administration of the LBNL contract and his participation in assuring the University's fiduciary responsibilities are met as a partner in Los Alamos National Security, LLC and Lawrence Livermore National Security, LLC were incomparable. He was instrumental in providing structure and framework for several projects at LBNL, including the potential second campus and is a leading member of a group that is working with DOE to develop a closeout contract that will fund future pension liabilities and potential litigation and claims.

In addition, with the retirement of FSO Willie Archie in February 2010, Mr. Nelson assumed the role of FSO and has been mentoring an Assistant Facility Security Officer (AFSO) since June 2010. This process will take one to two years while the experience and breadth of the AFSO is further developed and evaluated. Therefore, it is very important to have Mr. Nelson return to the University and resume this mentoring role, and to continue his work on the evolution of the Laboratory Management Office organizational model to support the needs of the University related to the oversight of Lawrence Berkeley National Laboratory, Los Alamos National Security, LLC and Lawrence Livermore National Security, LLC.

Recommendation

The following items were approved in connection with the reemployment of Ronald A. Nelson as Executive Director – Contracts and Administration, and as Facility Security Officer, Office of Laboratory Management, Office of the President:

- a. Appointment of Ronald A. Nelson, Executive Director – Contracts and Administration, and as Facility Security Officer (FSO), Office of Laboratory Management, Office of the President, at 43 percent time for 12 months.
- b. Per policy, appointment salary of \$224,324 (\$96,459 at 43 percent time).
- c. This appointment was effective August 1, 2011 upon approval. Per policy, any extension beyond the 12-month appointment is subject to approval by the Regents.

Recommended Compensation

Effective Date: August 1, 2011

Base Salary: \$224,324 (\$96,459 at 43 percent time)

Grade Level: SLCG Grade 106 (Minimum \$154,200, Midpoint \$195,200, Maximum \$236,100)

Funding Source: Non-State funds

Budget &/or Prior Incumbent Data

Title: Executive Director, Contracts and Administration, Laboratory Management

Base Salary: \$224,324 (100 percent time)

Funding Source: Non-State funds

Additional items of compensation include:

- Per policy, Mr. Nelson will sign the UC Retirement Plan Rehired Retiree Waiver Form that serves to decline participation in the UC Retirement System (UCRS) and allow Mr. Nelson to continue receiving his retirement annuity while receiving compensation related to this 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: Vice President Darling
Reviewed by: President Yudof
Committee on Compensation Chair Ruiz
Office of the President, Human Resources

(4) ***Term Appointment Extension and Total Compensation for Samuel J. Traina as Vice Chancellor for Research and Dean of Graduate Studies, Merced Campus***

The Merced campus requested action under interim authority for a term appointment extension for Samuel J. Traina as Vice Chancellor for Research and Dean of Graduate Studies effective July 1, 2011 through June 30, 2013. Funding for this action would come from State funds. This request was urgently needed because Mr. Traina's current term appointment expired June 30, 2011. It was necessary to reappoint Mr. Traina prior to the next Regents' meeting in order to maintain the uninterrupted advancement of UC Merced's research mission. He would not receive compensation in August if the term appointment was not extended. This action resulted in no change to Mr. Traina's compensation.

It was discovered on Wednesday, July 5, 2011 that Mr. Traina's appointment as Vice Chancellor for Research and Dean of Graduate Studies was a term with an end date of June 30, 2011. Vice chancellor appointments at the Merced campus are not typically term appointments and therefore no appointment tracking method was created to follow Mr. Traina's beginning and end dates. Action on this interim item was needed to ensure that there is no disruption in his regular compensation.

Mr. Traina is an effective and seasoned academic administrator and brings extensive knowledge of the campus to his current post. He joined UC Merced in 2002 as Director of the Sierra Nevada Research Institute and Professor, Natural Sciences. He was appointed Acting Vice Chancellor for Research and Dean of Graduate Studies in 2006 and has made many significant contributions to the continued development of the campus research administration infrastructure and to campus graduate programs. He has also fostered an effective collaboration with other UC campuses and the Lawrence Livermore National Laboratory. At the July 2008 meeting, the Regents approved Mr. Traina's term appointment as Vice Chancellor for Research and Dean of Graduate Studies effective July 1, 2008 through June 30, 2011. The timeframe provided the campus with academic leadership continuity and the need to progress successfully through the Western Association of Schools and Colleges (WASC) accreditation process and other significant campus milestones.

Working with the faculty, Mr. Traina increased the graduate student population from 37 to more than 240 students. Under his leadership, the first four fully authorized, stand-alone graduate groups – Environmental Systems, Qualitative Systems Biology, Cognitive and Information Sciences, and Psychological Services – were established. He also opened an operational Vivarium and Stem Cell Instrumentation Foundry, which are two core research facilities. He has worked with faculty to establish the Organized Research Unit (ORU) at UC Merced and the campus' first Natural Reserve Site. He obtained federal assurances for the use of animals and human subjects in research and established the Institutional Animal Care and Use Committee (IACUC), the Institutional Review Board (IRB), and the Conflict of Interest (COI) and Bio Safety committees. He has also obtained AAALAC⁴ accreditation for the animal research program. Through his leadership, the campus has moved toward the COEUS-KUALI model for grants submittals and management. He established a technology transfer program independent from UCOP with full authority delegated to the campus on July 2, 2011. In addition, he wrote the first graduate faculty advisor's handbook and the first graduate program review documents for UC Merced.

⁴ AAALAC International is a private, nonprofit organization that promotes the humane treatment of animals in science through voluntary accreditation and assessment programs. AAALAC stands for the "Association for Assessment and Accreditation of Laboratory Animal Care."

The campus proposed that Mr. Traina continue to receive an annual base salary of \$202,000 at SLCG Grade 106 (Minimum \$154,200, Midpoint \$195,200, Maximum \$236,100). According to market data provided by Mercer Consulting, which include data from the 2010-11 College and University Professional Association (CUPA) Administrative Compensation Survey, the proposed base salary is 19.1 percent below the 50th percentile market rate of \$249,687 and 32.8 percent below the 75th percentile market rate of \$300,579. In addition, the proposed base salary is 3.5 percent above the midpoint range for SLCG Grade 106 and 29 percent below the average base salary of \$284,388 for the Vice Chancellor – Research at the other UC campuses.

Recommendation

The following items were approved in connection with the term appointment extension of and compensation for Samuel J. Traina as Vice Chancellor for Research and Dean of Graduate Studies, Merced campus:

- a. Term appointment extension of Samuel J. Traina as Vice Chancellor for Research and Dean of Graduate Studies.
- b. Per policy, continued appointment base salary of \$202,000 at SLCG Grade 106 (Minimum \$154,200, Midpoint \$195,200, Maximum \$236,100).
- c. This term appointment is at 100 percent time and is effective from July 1, 2011 through June 30, 2013 or until a permanent appointment is made, whichever occurs first.

Recommended Compensation

Effective Date: July 1, 2011

Term Appointment base Salary: \$202,000

Total Cash Compensation: \$202,000

Grade Level: SLCG Grade 106

(Minimum \$154,200, Midpoint \$195,200, Maximum \$236,100)

50th Percentile Market Data for base salary only: \$249,687

Percentage Difference from 50th Percentile Market Data for base salary only: 19.1 percent below market

75th Percentile Market Data for base salary only: \$300,579

Percentage Difference from 75th Percentile Market Data for base salary only: 32.8 percent below market

Funding Source: State funds

Budget &/or Prior Incumbent Data

Title: Vice Chancellor for Research and Dean of Graduate Studies

Base Salary: \$202,000

Total Cash Compensation: \$202,000

Grade Level: SLCG Grade 106

(Minimum \$154,200, Midpoint \$195,200, Maximum \$236,100)

Funding Source: State 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, ineligible to participate in the Senior Management Supplemental Benefits 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 or 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: UC Merced Chancellor Leland

Reviewed by: President Yudof

Committee on Compensation Chair Ruiz

Office of the President, Human Resources

- E. The Chair of the Committee on Compensation and the President approved the following recommendation:

Appointment of and Compensation for Gregory R. Leet as Vice Chancellor – University Advancement, Irvine Campus

Background to Recommendation

The Office of the UC Irvine Chancellor requested approval under interim authority for the appointment of and compensation for Gregory R. Leet, Vice Chancellor – University Advancement at the Irvine campus, at an annual base salary of \$320,000. Funding for this action would come fully from State funds.

This urgent request was necessary to provide Mr. Leet sufficient time to notify his current employer, relocate from Arizona, and begin employment in Irvine on September 19, 2011. The former Vice Chancellor – University Advancement vacated the position in August 2010.

UC Irvine conducted an exhaustive national search to fill this vice chancellorship, employing a notable search firm and a search committee consisting of various UC

Irvine stakeholders. The recruitment proved difficult; the campus conducted two full search rounds before realizing success.

Mr. Leet brings nearly 20 years of experience in higher education advancement. He is currently Vice President of Grenzebach Glier and Associates, a leading international consultant group to non-profit institutions specializing in fundraising. He has provided counsel services to the University of California, Los Angeles Health System; California State University, San Bernardino; Los Angeles Philharmonic Association; The Pew Charitable Trusts; University of San Diego; University of Southern California; Villanova University School of Law; and the Women's College Hospital Foundation.

Prior to his position at Grenzebach Glier and Associates, Mr. Leet served as Vice President of Development with the Arizona State University Foundation from 2006 to 2010. There he oversaw the University's fundraising operations, managing a staff of 69 and helping lead efforts for a planned \$1.3 billion campaign. Working with the foundation's executive leaders and the University president, he led the foundation's strategic effort to rapidly expand its fundraising capacity and activities, which saw a tripling of donor appointments within three years. Mr. Leet was also closely involved in the Foundation's work leading Arizona State University's institutional rebranding initiative, which resulted in a Council for Advancement and Support of Education (CASE) National Silver Award in special events in 2010. The foundation also received a CASE National Gold Award for its innovative advancement services program, a strategic management initiative in which Mr. Leet was a key partner.

From 1995 to 2006, Mr. Leet served Creighton University in a variety of senior management and frontline regional officer fundraising positions, most recently as Director of Principal Gifts. In this role, he formed and implemented the University's first principal gifts program, which leveraged the University's board to increase philanthropic activity and support and which raised over \$120 million in new commitments in under two-and-a-half years. Before joining Creighton, Mr. Leet was Library Campaign Director with Kansas State University, where he successfully directed a \$5 million capital campaign to expand the primary campus library.

Mr. Leet is a longstanding member of CASE and the Association of Fundraising Professionals (AFP). He holds a bachelor's degree in agricultural journalism from Kansas State University and a master's in non-profit studies from Arizona State University.

The Vice Chancellor – University Advancement serves as UC Irvine's chief advancement officer. University Advancement is responsible for creating awareness, building relationships, and generating support for UC Irvine's teaching, research and public service missions.

UC Irvine launched its Shaping the Future campaign in July 2005 and recently celebrated the milestone success of having achieved \$609 million of the campaign's overall \$1 billion goal. Through this campaign's success, UC Irvine will expand its role as a leading research and teaching institution and continue to invest in undergraduate scholarships, graduate fellowships, and critical academic support.

As the campus completes this important campaign, building private support will continue to remain a priority to support the academic and research mission of UC Irvine. Securing exceptional talent to lead these efforts is imperative. The Irvine campus is certain that Mr. Leet has the experience, track record, and leadership abilities to lead an aggressive campaign and build a fundraising and advocacy enterprise that supports campus priorities.

UC Irvine proposed a compensation package that includes a base salary of \$320,000, a relocation allowance of 25 percent (\$80,000), moving expenses, participation in the Senior Management Supplemental Benefit Program at five percent, eligibility for a UC Home Loan Program loan up to \$800,000, eligibility to purchase a home in the on-campus community of University Hills, and standard and senior management benefits. Mr. Leet's permanent residence is currently in Phoenix, Arizona. According to Sperling's cost of living comparison, Irvine is 74 percent more expensive in cost of living and 236 percent more expensive in housing than Phoenix.

The campus requested that this position be reslotted from SLCG Grade 108 to SLCG Grade 109. Five of the ten comparable positions in the UC system are slotted in SLCG Grade 109 or higher. SLCG Grade 109 has a Minimum of \$214,700, Midpoint of \$274,300, and Maximum of \$333,700.

This position is funded 100 percent by State funds. The proposed base salary of \$320,000 is 4.2 percent above the 50th percentile market salary of \$307,004 and 19.9 percent below the 75th percentile market salary of \$399,297.

Recommendation

The following items were approved in connection with the appointment of and compensation for Gregory R. Leet as Vice Chancellor – University Advancement, Irvine campus:

- (1) Reslotting of the position from SLCG Grade 108 (Minimum \$192,300, Midpoint \$244,900, Maximum \$297,400) to SLCG Grade 109 (Minimum \$214,700, Midpoint \$274,300, Maximum \$333,700).
- (2) Per policy, an appointment salary of \$320,000 at SLCG Grade 109 (Minimum \$214,700, Midpoint \$274,300, Maximum \$333,700).

- (3) Per policy, a relocation allowance of 25 percent of base salary (\$80,000). This payment will be provided in either a lump sum or two installments. If the payment is provided in a lump sum and Mr. Leet resigns from the University within four years, the repayment schedule would be as follows: 100 percent if separation occurs within the first year of employment; 75 percent if within the second year of employment; 50 percent if within the third year of employment; and 25 percent if within the fourth year of employment. Alternatively, if the payment is provided in two installments and Mr. Leet separates from the University prior to the second payment, forfeiture provisions would apply, and payment of the second installment would be forfeited.
- (4) Per policy, two house-hunting trips each for Mr. Leet and his partner, subject to the limitations under policy.
- (5) Per policy, 100 percent reimbursement of actual and reasonable moving expenses associated with relocating the primary residence, subject to the limitations under policy.
- (6) Per policy, eligibility to participate in the UC Home Loan Program, in accordance with all applicable policies and up to a loan amount of \$800,000. Participation will comply with all University/campus normal program parameters.
- (7) Per policy, a five percent monthly contribution to the Senior Management Supplemental Benefit Program.
- (8) This appointment is at 100 percent time, and the actions associated with the appointment are effective upon approval with an anticipated start date of September 19, 2011.

Recommended Compensation**Effective Date:** Upon approval**Base Salary:** \$320,000**Total Cash Compensation:** \$320,000**Grade Level:** SLCG Grade 109

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

50th Percentile Market Data: \$307,004**Percentage Difference from 50th Percentile Market Data:** 4.2 percent above market**75th Percentile Market Data:** \$399,297**Percentage Difference from 75th Percentile Market Data:** 19.9 percent below market**Funding Source:** State funds

Budget &/or Prior Incumbent Data**Job Title:** Vice Chancellor – University Advancement**Base Salary:** \$275,000**Total Cash Compensation:** \$275,000**Grade Level:** SLCG Grade 108

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

Funding Source: State 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, eligibility to purchase a home in the on-campus community of University Hills.

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: UC Irvine Chancellor Drake**Reviewed by:** President Yudof

Committee on Compensation Chair Ruiz

Office of the President, Human Resources

- F. The Chairman of the Board and President of the University approved the following recommendation:

Authorization to Waive a Credit Concentration Limitation in the University of California's Short Term Investment Pool (STIP) Guidelines to Enable the University's Deposit in the State Agency Investment Fund (SAIF) Pursuant to Government Code Section 16330 as Part of Senate Bill 79

That the Regents authorize waiver of the credit concentration limitation in the Short Term Investment Pool (STIP) Investment Guidelines to enable the University of California's \$1 billion deposit in the State Agency Investment Fund (SAIF) pursuant to Government Code Section 16330 as part of Senate Bill 79 (2011 Cal.Stat.142). As this is a one-time waiver, there will be no change to the STIP Investment Policy and Guidelines. The waiver will lapse at the final maturity of the Deposit Agreement, which is April 25, 2013, unless the Deposit Agreement is terminated at an earlier date.

8. REPORT OF COMMUNICATIONS RECEIVED

Secretary and Chief of Staff Kelman reported that, in accordance with Bylaw 16.9, Regents received a summary of communications in reports dated July 11 and August 1, 2011.

9. REPORT OF MATERIALS MAILED BETWEEN MEETINGS

Secretary and Chief of Staff Kelman reported that, on the dates indicated, the following were sent to the Regents or to Committees:

To Members of the Committee on Compensation

- A. From the President, Annual Report on Compensation for Calendar Year 2010: Deans and Faculty Administrators, and Annual Report on Compensated Outside Professional Activities for Calendar Year 2010: Deans and Faculty Administrators. (July 22, 2011)
- B. From the President, information on the addition of faculty administrator positions to be transferred from governance under the Senior Management Group Program to governance under the Academic Personnel Program. (August 2, 2011)
- C. From the President, July 2011 Bi-Monthly Transaction Monitoring Report for Deans and Faculty Administrators who have transferred from the Senior Management Group Program to Academic Titles and other full-time Faculty Administrators. (August 26, 2011)

To the Regents of the University of California

- D. From the President, advance copy of the preliminary fall 2011 California Community College transfer admission data and the preliminary fall 2011 freshman and California Community College transfer Statement of Intent to Register data. (June 29, 2011)
- E. From the Associate Secretary, copy of Regent Hime's statement made at the May 2011 Regents' meeting, sent on behalf of Regent Hime. (June 30, 2011)
- F. From the President, letter announcing the decision to step down by the Chancellor of UC San Diego. (July 5, 2011)
- G. From the President, copy of the Academic Council's adopted resolution on tuition and fees and notification of the elimination of State General Fund support for the California Postsecondary Education Commission. (July 7, 2011)
- H. From the Secretary and Chief of Staff, summary of communications received subsequent to the June 1, 2011 report of communications. (July 11, 2011)

- I. From the Secretary and Chief of Staff, press release issued regarding the Bureau of State Audits report on the University of California. (July 28, 2011)
- J. From the Secretary and Chief of Staff, summary of communications received subsequent to the July 11, 2011 report of communications. (August 1, 2011)
- K. From the Chairman, news that three individuals associated with the University of California were honored with the California Wellness Foundation's 2011 Champions of Health Professions Diversity Award. (August 8, 2011)
- L. From the President, press release announcing a \$10 million gift to the UCLA School of Law from Lowell Milken. (August 9, 2011)
- M. From the President, invitation from the Chancellor of UC Davis to the Mondavi Gala and United States premiere of Ballet Preljocaj's production of "Blanche Neige." (August 12, 2011)
- N. From the President, copy of letter sent to the chancellors announcing the resumption of merit increases as part of the University's 2011-12 budget. (August 17, 2011)
- O. From the President, letter to the Academic Council Chair regarding the report of the Academic Council Special Committee on a Plan for the University of California. (August 25, 2011)
- P. From the President, Bi-Monthly Transaction Monitoring Report – May 2011, and Report of Actions Taken Under the Delegation of Authority for Recruiting and Negotiation Parameters for Certain Athletic Positions and Coaches, Systemwide – May 2011. (August 25, 2011)

The meeting adjourned at 12:40 p.m.

Attest:

Secretary and Chief of Staff

Additions shown by underscoring; deletions shown by strikethrough

SCHEDULE OF REPORTS TO THE REGENTS
[Pursuant to Bylaw 16.8(a)]
Amended ~~January~~ September 2011

	Month(s) Presented or Mailed to Regents
BOARD	
Report of the President Concerning University Activities and Individuals (the President's Report)	January March May July September November
COMMITTEE ON COMPENSATION	
Annual Reports on Executive Compensation for Calendar Year ____: (a) Incumbents in Senior Management Positions and (b) Deans and Certain Faculty Administrators (<i>mbm</i> *)	July
Annual Reports on Compensated Outside Professional Activities for Calendar Year ____: (a) Incumbents in Senior Management Positions and (b) Deans and Certain Faculty Administrators (<i>mbm</i> *)	July
<u>Annual Report on Compensated Outside Professional Activities for Calendar Year ____: Deans and Faculty Administrators (<i>mbm</i>*)</u>	<u>January</u>
Annual Report on Health Sciences Compensation Plan Participants' Compensation that Exceed the Reporting Threshold (<i>mbm</i> *)	November
<u>Annual</u> Biannual Report on Academic Personnel Salaries Above the Indexed Compensation Level (<i>mbm</i> *)	May November
Annual Report on Adjustment of the Indexed Compensation Level (<i>mbm</i> *)	September

*mbm: Report is sent to all Regents as a mailing between meetings (mbm)

** ~~Modified from annual to biennial report in January 2010~~

SCHEDULE OF REPORTS TO THE REGENTS
[Pursuant to Bylaw 16.8(a)]
Amended ~~January~~ September 2011

	Month(s) Presented or Mailed to Regents
<u>Biannual</u> Bi-Monthly Compensation Monitoring Reports: (a) Incumbents in Certain Senior Management Positions; <u>and</u> (b) Deans and Full-Time Faculty Administrators; and (c) Actions for Certain Athletic Positions and Coaches Systemwide (<i>mbm</i> *)	January March May July September November
<u>Annual Compensation Monitoring Report for Calendar</u> <u>Year ____ : Actions for Certain Athletic Positions and</u> <u>Coaches Systemwide</u>	<u>July</u>
COMMITTEE ON COMPENSATION and COMMITTEE ON LONG RANGE PLANNING	
Biennial Accountability Sub-Report on Faculty Competitiveness [Biennial cycle begins 2011]**	January
Biennial Accountability Sub-Report on Staff [Beginning 2010]	September
COMMITTEE ON COMPLIANCE AND AUDIT	
Annual Report on Internal Audit Plans	July
Annual Review of External Audit of Hastings College of the Law (<i>mbm</i> *)	March
Annual Report on Ethics and Compliance	September
Annual Report of External Auditors for the Year Ended June 30, ____	November
Annual Report on Internal Audit Activities	November
COMMITTEE ON EDUCATIONAL POLICY	
Annual Report on Private Support, Major Donors, and Namings and Endowed Chairs (<i>mbm</i> *)	November

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SCHEDULE OF REPORTS TO THE REGENTS
[Pursuant to Bylaw 16.8(a)]
Amended ~~January~~ September 2011

	Month(s) Presented or Mailed to Regents
Statistical Summary of Students and Staff (<i>mbm</i> *)	March
Annual Report on Time to Degree (<i>mbm</i>*)	September
Annual Report on Nonresident Undergraduate Students (<i>mbm</i>*)	November
Annual Report on Student Financial Support (<i>mbm</i> *)	March
Annual Report on Undergraduate Admissions Requirements [effective 2013; will include Report on Comprehensive Review] (<i>mbm</i> *)	July
Annual Report on Proposals Seeking Research Funding from the Tobacco Industry (<i>mbm</i> *)	September
<u>Biennial Report on Comprehensive Review (<i>mbm</i>*)</u> <u>[Consolidate with the Annual Report on Undergraduate Admissions Requirements, 2013 effective 2012]</u>	April <u>July</u>
COMMITTEE ON EDUCATIONAL POLICY and COMMITTEE ON FINANCE	
Annual Report on Self-Supporting Professional Degree Programs (<i>mbm</i> *)	August
COMMITTEE ON EDUCATIONAL POLICY and COMMITTEE ON LONG RANGE PLANNING	
Biennial Accountability Sub-Report on Graduate Academic and Professional Degree Students [Beginning 2010]	July
Biennial Accountability Sub-Report on Student Success [Beginning 2011]**	July
Annual Accountability Sub-Report on Diversity at the University of California	September <u>January</u>
Annual Accountability Sub-Report on the University of California Admissions and Enrollments	March

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[Pursuant to Bylaw 16.8(a)]
Amended ~~January~~ September 2011

	Month(s) Presented or Mailed to Regents
COMMITTEE ON FINANCE	
Annual Report on Risk Management (<i>mbm</i> *)	January
Annual Report on Use of Outside Counsel (<i>mbm</i> *)	January
Annual Report on Settlements and Separation Agreements	January
Annual Report on University Housing Assistance Programs (<i>mbm</i> *)	January
Annual Report on Expenditures of Associates to the President and Chancellors (<i>mbm</i> *)	September
University of California Financial Reports	November
Annual University of California Retirement Plan-Actuarial Valuation Report	November
Annual Report on Debt Capital and External Finance Approvals (<i>mbm</i> *)	January
Annual Report on the University of California Technology Transfer Program (<i>mbm</i> *)	May
Annual Report on Administrative Efficiencies	May
Annual Report on Advocacy	January
Annual Report on Newly Approved Indirect Costs (<i>mbm</i> *)	November
<u>Bi-Monthly Report on New Litigation (<i>mbm</i>*)</u>	<u>January</u> <u>March</u> <u>May</u> <u>July</u> <u>September</u> <u>November</u>

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SCHEDULE OF REPORTS TO THE REGENTS
[Pursuant to Bylaw 16.8(a)]
Amended ~~January~~ September 2011

	Month(s) Presented or Mailed to Regents
COMMITTEE ON FINANCE and COMMITTEE ON OVERSIGHT OF THE DEPARTMENT OF ENERGY LABORATORIES	
Annual Report on the Net Fee Income Received as Owner of a Limited Liability Company Managing a Department of Energy National Laboratory and Expenditures Made Therefrom (<i>mbm*</i>)	November
COMMITTEE ON GROUNDS AND BUILDINGS	
Annual Report on Sustainable Practices (<i>mbm*</i>)	January
Annual Report on Chancellor's Residence and Office Capital Projects (<i>mbm*</i>)	September
Annual Report on Major Capital Projects Implementation (<i>mbm*</i>)	October
Ten Year Consolidated State and Non-State Capital Financial Plan	November
COMMITTEE ON HEALTH SERVICES	
Biannual Activity and Financial Status Report on Hospitals and Clinics (<i>mbm*</i>)	February <u>March</u> November
COMMITTEE ON HEALTH SERVICES and COMMITTEE ON LONG RANGE PLANNING	
Biennial Accountability Sub-Report on Health Sciences and Services [Biennial cycle begins 2011]**	March
COMMITTEE ON INVESTMENTS	
Annual Endowment Investment Report (<i>mbm*</i>)	February
Annual Report on Divestment Policies (<i>mbm*</i>)	September

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SCHEDULE OF REPORTS TO THE REGENTS
[Pursuant to Bylaw 16.8(a)]
Amended ~~January~~ September 2011

	Month(s) Presented or Mailed to Regents
Annual Report of the Treasurer (<i>mbm</i> *)	November
COMMITTEE ON LONG RANGE PLANNING	
Biennial Accountability Sub-Report on University Private Support [Biennial cycle begins 2010]**	January
Annual University of California Accountability Report	May <u>July</u>
Biennial Accountability Sub-Report on the Research Enterprise [Biennial cycle begins 2010]**	January

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